

Records and Retention Policy and Procedure

At Inspiring Training Academy, we recognise our obligation to retain certain records from our delivery of training and assessment services to clients. We are committed to retain records to ensure their accuracy and integrity.

For the purposes of this policy, records include:

- **AVETMISS Data.** For the purposes of the requirement to retain records of AQF certification documentation issued for a period of 30 years specified within Condition 6, the retention of the AVETMISS data is sufficient to meet this requirement.
- **Completed learner assessment items.** Completed learner assessment items include documents or other media where assessments evidence has been recorded by learners and assessment decisions are recorded by assessors. It may be a combination of completed assessment tools, templates, questionnaires, checklists, summary sheets, RPL tools, or records of assessment and feedback from assessors to learners. These will be stored for a period of 12 months from the date of completion.
- **Learner file.** The learner file is simply the file location where all learner results, completed assessment resources and administrative records are retained in hard copy. This will usually be a standard office file and will be archived within an archive envelope at the end of the learner's enrolment.
- **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.

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 learners and Inspiring Training Academy staff.
- Records must be kept to avoid damage by fire, flood, termites or any other pests.
- Learner results and Qualification / Statements of Attainment must be backed-up in an electronic format and must be available to be retrieved at any time.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

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Period of retention

Inspiring Training 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
- VRQA retention requirements: Retention requirements for completed learner assessment items.

In determining our period of retention, Inspiring Training 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 learner electronic records at Inspiring Training Academy:

- **AVETMISS Data.** AVETMISS Data is to be retained for a minimum of thirty (30) years.
- **Completed learner assessment items.** Completed learner assessment items (100%) are to be retained for a minimum of 12 months from the date on which the judgement of competence for the learner was made.
- **Completed learner assessment items. – That relate to High Risk Work Outcomes.** 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 five (5) years.
- **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.
- **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.

Note. Records may be retained in hard copy or electronically.

Destruction of Records

Inspiring Training Academy PEO is the only person who can authorise (in writing) the destruction of records. Records are only to be authorised for destruction after the retention period has lapsed.

Documents identified for destruction are to be shredded before being recycled. The archive register must be updated in the notes section to identify that a particular record has been destroyed.

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Record Handling Responsibilities

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

- The **Principal Executive Officer** is to ensure that Inspiring Training Academy implements suitable arrangement to comply with the requirements of this policy and the requirements of the Standards for Registered Training Organisations. This is to include the acquisition and installation of records and data storage facilities and the application of records retention procedures.
- **Administrative support staff** are to ensure that procedures for the achieving and storage of records are applied including the backing up of electronic data. Administrative support 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 support staff are also to liaise with Trainers and Assessors to ensure that approaches to records handling are consistent throughout Inspiring Training Academy operation.
- **Trainers / Assessors** are to ensure that learner records are appropriately gathered during and at the completion of a training program and are suitably bundled and packaged in accordance with records archiving procedures, including:
 - Liaising with administrative support staff to ensure that their practices are aiding the efficient retention of learner records.
 - Ensure learner 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 Inspiring Training Academy records only to record learner progress and the outcomes of assessment activities

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Archiving and Completion Procedure

The following procedure is to be followed by all staff when archiving learner records and completing an enrolment:

Trainers

- Retain all records which record information about the evidence collected during assessment. Note that learners may retain a copy of any work they have produced and submitted as evidence toward the assessment. Work submitted in an electronic version must also be retained and is to be gathered on a suitable electronic storage media such as a CD, disk, or flash-drive for archiving.
- **Important to Note:** Trainers are to ensure that their observations and comments recorded onto completed assessment resources are detailed and complete. It is a VRQA requirement that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's performance against the standard required. If assessment records are received by administration for entry and archiving and they are deficient of detail, administration staff are instructed to return the assessment documentation to Trainers for further detail and completion. Trainers who receive returned assessment documentation and who have issues with this arrangement are to refer their issue directly to the Principal Executive Officer.
- At the completion of each training module, all learner records are to be sorted and placed into an Inspiring Training Academy archiving envelope. The archiving envelope will have printed on the front Inspiring Training Academy Learner Archive Record. The Trainer / Assessor is to complete this form with as much detail as possible.
- The archiving envelop is **not** to be sealed and should either be handed personally to Inspiring Training Academy administrative support staff or mailed via registered express post to Inspiring Training Academy office.

Administration

On receipt of the archiving envelope, the administrative staff are to:

- Conduct an audit of the learner record to ensure that all evidence and assessment records (including electronic files) correspond with the units of competency being issued to the learner.
- As records are received into Inspiring Training Academy office, they are to be scanned and appended to the relevant electronic file. This includes all submitted learner work and evidence of assessment.
- **Important to Note:** Administrative staff are to ensure that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's performance against

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the standard required. If an assessment record is received by administration for entry and archiving and is deficient of detail, administration staff are to return the assessment documentation to Trainers for further detail and completion. Trainers who contact administration and who have issues with this arrangement are to be referred directly to the Principal Executive Officer.

- Enter assessment outcomes into the learner’s training plan within the student management system ensuring that the correct Outcome Identifier - National is selected and the date assessed corresponds with the date the learner was assessed by the assessor. **Note.** The date field linked with the Outcome Identifier - National within the learner training plan (within the student management system) will automatically default to the date the outcome identifier is selected. This means that administrative staff must ensure they select the correct date before exiting the learner’s training plan. It is an important requirement to ensure that the date entered into the student management system that the outcome was achieved corresponds with the date recorded by the assessor that the assessment decision was made.
- When the learner has completed all required units of competency, administrative staff will update the learner’s enrolment record within the student management system to record the completion of the learner’s training and enrolment. This then presents the opportunity to create the appropriate Qualification or Statement of Attainment and present this for authorisation by the Principal Executive Officer. Certificates are published direct from the student management system and include a unique certificate number and the learner’s student management system number (not the learner’s USI). In addition to these items that uniquely identify the certificate it is also personally signed by the Principal Executive Officer.
- Once the certificate is authorised, the administrative staff will then make a note in the learner’s enrolment register (Student notes) that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the learner (registered post) or alternatively handed to the learner directly if this opportunity is available. **Note.** Please refer to the Issuing Certificates and Outcomes Policy for a detailed outlined of the procedure to produce, authorise and issue AQF certificates.
- Create a new entry in the student management system Archive Register and insert a hyperlink to the learner’s electronic file.

Unique Student Identifier

The *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. Any USI provided to Inspiring Training Academy by a learner must be **verified** with the USI Registrar. This may be achieved by inserting the USI into the Learner details within the student management system and changing the USI status to “Verify”. The student management system will verify any records with the USI Registrar with this status every 30 seconds. Once verified the status will have changed to “Valid”. If the status does not change to valid then one of the following learner details is incorrect:

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- First name
- Last name
- Date of Birth
- The Unique Student Identifier

These are the only data elements used to verify a USI so if it does not verify then one of these elements is incorrect. A common error is the abbreviation of the learner’s name. The learner may have registered their USI with the first name of “Benjamin” but has completed the enrolment application form with the first name of “Ben”. The first name provided by the learner must align with the name they provided when they registered their USI.

- Learner Identifier details and all related documentation under the control of Inspiring Training Academy **must be kept secure**. This includes the information stored within the student management system. User profiles and password protections to the student management system are to be used to prevent any unauthorised access to USI information. Where Inspiring Training Academy assisted the learner to create their USI, additional details such as the learners Driver’s Licence information will have been collected and stored within the student management system - Document Verification System (DVS). Once the learner’s USI has been successfully created, these details within the DVS are automatically removed (deleted) from the database. This is a requirement of the USI legislation and is aimed at protecting the learner’s privacy.

Further information on the Unique Student Identifier can be accessed via the following website:

<http://usi.gov.au/Training-Organisations/Pages/training-organisations.aspx>

Treatment of records on ceasing operation

Inspiring Training Academy acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to VRQA should Inspiring Training Academy ceased to operate. It is a requirement that RTOs who ceased to operate, must within 30 days of registration ending, forward to VRQA an electronic copy of the records for each learner who were enrolled in a course during the period of registration.

This requirement does not include hard copy learner files and relates specifically to electronic data providing evidence of activities the learner has performed. For the purposes of this policy, Inspiring Training Academy will interpret “activities” to mean records providing information on the outcomes achieved by learners. This will include records of qualifications and units of competency which have been issued by Inspiring Training Academy during the entirety of its registration period. Inspiring Training Academy will retain these records electronically and will provide this information electronically in Microsoft Excel format. The following information must be included:

- Students full name
- Residential post code
- Date of birth
- Student ID number (if issued)

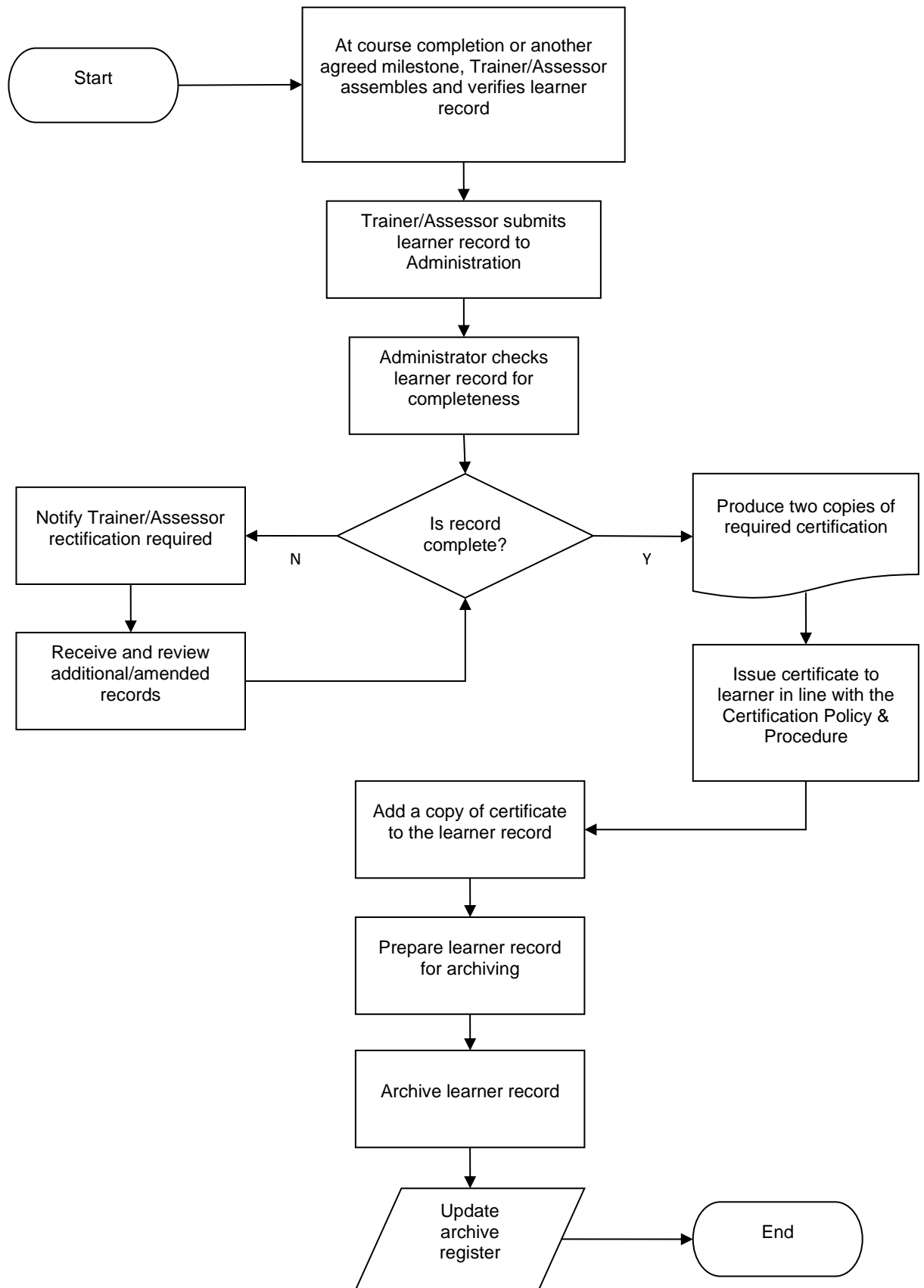
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- Enrolment/commencement date(s)
- Code and title of qualifications
- Codes and title of units of competencies
- Results for each unit of competencies
- Date the certificate or statements of attainment were issued
- Unique Student Identifier (2015 onwards students only)

These reports are to be generated by year and supplied to VRQA in a suitable file structure and format to enable it to be navigated and used. The files must be in a nationally AVETMISS compliant format produced using our student management system.

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Records Archiving and Completion Process



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