

## RECORDS RETENTION AND REPORTING POLICY

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### 1. PURPOSE

- 1.1. This Policy provides guidance to International Child Care College Pty Ltd (ICCC) employees on the requirement to ensure that all training related information is recorded and reported to the relevant authorities accurately, exhaustively, and in a timely manner.

### 2. SCOPE

- 2.1. In this Policy, “**Company**” or “**ICCC**” refers to International Child Care College Pty Ltd.
- 2.2. This Policy applies to all employees of International Child Care College; collectively referred to as [**employees**].
- 2.3. This Policy applies to all student records and reporting activities of ICCC training outcomes

### 3. RECORDS RETENTION AND REPORTING

- 3.1. ICCC accurately records and reports students' training outcomes, participation, and related information in a timely manner to relevant stakeholders, including the VET regulator.
- 3.2. ICCC recognises the obligation to accurately retain certain records from the delivery of training and assessment services to clients.
- 3.3. The maintenance of a well-structured systematic records retention system supports the overall operation of the College and provides a basis for compliance and quality assurance.
- 3.4. Records include:
  - **Student details** – including formal name, address, date of birth, and workplace information.
  - **UoC results** – including student details, date of enrolment, and results of training and assessment.
  - **Qualification outcomes/ Statements of Attainment** – formatted and prepared in accordance with the Australian Qualification Framework.
  - **Copies of completed assessment evidence** – including the actual date assessment is submitted by students, assessed date, and assessment decisions recorded by assessors.
  - **Assessment tools** – including the retention of older versions (master copy) of tools.
  - **Administrative records** – including enrolment forms, privacy forms, requests for refund, etc.
  - **AVETMISS data records** – in NAT file format
  - **RTO management records** – including governance activities, financial data, and records of complaints and appeals.

### 4. SECURITY AND CONFIDENTIALITY

- 4.1. Records are kept securely to prevent them from being accessed by any non-authorised personnel.
- 4.2. Personal information is kept confidential to safeguard and protect the privacy of students and ICCC staff.
- 4.3. Records are kept in a secure location to avoid damage by fire, flood, termites, or any other pests.
- 4.4. Records can be accessed and retrieved at suitable times.
- 4.5. Electronic data is stored within Australia.

## **5. REPORTING TRAINING OUTCOMES**

- 5.1. ICCC is required to maintain the capability to provide AVETMISS compliant data reports to the National VET Regulator on request.
- 5.2. Reportable information related to training programs for individual students must meet the Department requirements and includes:
  - 5.2.1. AVETMISS criteria.
  - 5.2.2. Commitment ID.
  - 5.2.3. Completions/ Withdrawals and Not Attempted students.
  - 5.2.4. Scheduled Milestones.
- 5.3. Training outcomes are to be reported to Training Services NSW on a regular basis, generally once every 28 days or more often as required.
- 5.4. Reported data must be true, accurate, and timely.
- 5.5. Where inaccurate or misleading data has been provided which may result in a payment, ICCC will notify Training Services NSW of the error and reimburse the amount.
- 5.6. ICCC reports quality indicator data to the National VET Regulator in accordance with scheduled reporting dates.

## **6. QUALITY ASSURANCE AND RESPONSIBILITIES**

- 6.1. The ICCC management team implements suitable arrangements to comply with the requirements of this policy and the requirements of the NVR RTO Standards.
- 6.2. Admin staff ensures the procedures for the archiving and storage of records are applied, including:
  - Analysing the sufficiency of records storage.
  - Analysing the accuracy of records stored.
- 6.3. Trainers and Assessors ensure that training and assessment evidence is appropriately gathered during and at the completion of a training program, including:
  - Ensuring student records are fully completed (accurate and exhaustive) with sufficient information recorded by Assessors to allow an independent review of the assessment decision by a third party.
  - Recording the interpretation of assessment evidence (Summary Record of Assessment) with suitably detailed comments to support their assessment decision.
- 6.4. Administrative support staff also liaises with Trainers and Assessors to ensure that approaches to records handling are consistent throughout ICCC's operation.

## **7. PERIOD OF RETENTION**

- 7.1. The following time periods apply to the retention of student electronic records:
  - Student results/Qualifications/Statements of Attainment are to be retained for a minimum of thirty (30) years.
  - Student assessment attempts (actual assessment tasks) are to be retained for a period of 6 months following the finalisation of training.
  - Assessment tools are to be retained for a minimum of five (5) years.
  - RTO management records are to be retained for a minimum of five (5) years.

## **8. TREATMENT OF RECORDS ON CEASING OPERATIONS**

- 8.1. ICCC acknowledges its responsibility to retain accurate copies of records to enable student profiles to be transferred to the National VET Regulator should ICCC cease to operate.
- 8.2. This includes records of qualifications and units of competence issued by ICCC during the entirety of its registration period.
- 8.3. ICCC will retain these records electronically and provide this information in the form of the following AVETMISS reports in consultation with the National VET Regulator:
  - 8.3.1. NAT00010 Training Organisation.
  - 8.3.2. NAT00020 Training Organisation Delivery Location.
  - 8.3.3. NAT00030 Course File.
  - 8.3.4. NAT00060 Module/Unit of Competency File.
  - 8.3.5. NAT00080 Client File.
  - 8.3.6. NAT00085 Client Postal Details File.
  - 8.3.7. NAT00090 Client Disability File.
  - 8.3.8. NAT00100 Client Prior Educational Achievement.
  - 8.3.9. NAT00120 Enrolment File.
  - 8.3.10. NAT00030 Qualification Completed File.
- 8.4. These reports, should ICCC cease to operate, should be generated by calendar year and supplied to the National VET Regulator in a suitable file structure and format to enable it to be navigated and used.

## 9. DESTRUCTION OF RECORDS

- 9.1. The CEO and General Manager are the only persons who can authorise the destruction of student records.
- 9.2. The Financial Manager may authorise the destruction of financial records.
- 9.3. Records are only to be authorised for destruction after the retention period has lapsed.

## 10. COMPLIANCE

- 10.1. ICCC seeks and encourages the commitment of all employees regarding this Policy and is dedicated to ensuring that all employees are aware of and understand all elements of this Policy, and any associated policies and procedures.
- 10.2. Employees must comply with the requirements of this Policy. Any breach of this Policy may result in disciplinary action including, but not limited to, termination of employment.

## 11. REVISION HISTORY

Rev	Date	Revision Description	Name
V1	6/03/2023	Initial Policy	ICCC HR
V2	15/02/2025	Updated to reflect 2025 Revised Standards	HR