

Archiving Policy and Procedure

1. Purpose

This policy ensures DNA Kingston Training securely retains, archives, and produces training, assessment, enrolment and compliance records to meet the Standards for RTOs 2025 and related legislation. It sets out responsibilities, retention schedules, and procedures for storage and disposal.

2. Scope

Applies to all student records (including enrolment, training and assessment, results and certification), RTO governance and compliance records, staff records, marketing materials, and policies/procedures, in both electronic and physical formats.

3. Policy Statement

- Records are securely retained to protect integrity, confidentiality and availability (Privacy Act 1988, APP 11).
- Completed student assessment evidence is retained for a minimum of 24 months (2 years) from the date of final assessment judgement, in line with Standards for RTOs 2025 guidance; DNA Kingston adopts 24 months as the minimum standard.
- A statistically valid sample of completed assessments is retained for 5 years to support validation activities (RTO policy).
- Records of qualifications and Statements of Attainment issued are retained for 30 years in the Student Management System (SMS) in line with the AQF Qualifications Register Policy and ASQA guidance.
- CRICOS (ESOS) written agreements and payment receipts are retained for at least 2 years after an overseas student ceases to be an accepted student.
- Enrolment records are retained for a minimum of 7 years after completion or withdrawal, or longer where contracts/regulators require.
- Electronic copies may replace hard copies where scanned clearly and verified; originals may then be securely destroyed.
- Archiving and disposal occur in accordance with this procedure and with Director approval.

4. Roles and Responsibilities

Role	Responsibilities
Director	Approves policy, signs off on disposal, ensures resources and compliance.
General Manager / Operations Manager	Implements procedures, maintains retention schedules, prepares for audits, validates archives.
Trainers/Assessors	Provide attendance, assessment and validation artefacts for archive; verify accuracy of records.
Administration Team	Maintain secure electronic repositories, backups and access controls; test recoverability.

5. Retention Schedule

Record Category	Examples (non-exhaustive)	Retention (minimum)
Student enrolment records	Application/enrolment form; identity evidence; USI consent/verification; pre-training review/LLND results; offer/written agreement; fee/invoice/refund records; credit transfer/RPL evidence; course deferment/withdrawal; COE/visa-related; attendance records and training dates; policy acknowledgements; reasonable adjustment/medical declarations; guardian consent (if under 18).	7 years after completion or withdrawal (or longer if required by contract/regulator).
Student training & assessment evidence	Completed assessments and/or assessor marking guides, criteria, observation checklists; practical sign-offs; assessment mapping.	24 months (2 years) after judgement of competence; PLUS sample retained 5 years for validation.
Results & certification	Student results; qualification/SoA / certificates of attendance issuance records; certification checklists.	30 years in SMS.

CRICOS written agreements & receipts (ESOS)	Written agreements; receipts of payments made under written agreements.	2 years after the student ceases to be an accepted student.
TAS and assessment tools/resources	TAS; assessment tools; guides; lesson plans; learning resources (modules, PPTs, videos).	5 years.
Validation records	Validation plans, schedules and outcomes; sample evidence retained for validation.	5 years.
Feedback, complaints & appeals	Feedback forms, complaints, investigations, outcomes, corrective actions.	7 years after resolution.
Staff HR/trainer records	Matrix; qualifications; CV; TAE; WWC; Police; immunisation; contracts; industry currency; PD.	Employment period + 7 years.
Marketing materials	Program brochures; website snapshots; ads; social media campaigns.	2 years.
Policies and procedures	Approved versions and superseded versions.	5 years after superseded.

6. Minimum Information Recorded in the Student Management System (SMS)

The SMS must record, at minimum:

RTO number; student full name; email; USI; DOB; student ID; activity start/end dates; qualification code/title; qualification completion date; unit codes/titles; unit outcomes; outcome identifier (national); VET in Schools (if applicable); funding source (national/state); and testamur/SoA issuance date.

7. Procedures

7.1 Capture and File Student Enrolment Records

- Receive completed application/enrolment form and required evidence (ID, USI, LLND, fees agreement).
- Verify USI and record consent; check prerequisites and RPL/CT requests.
- Issue offer/written agreement; obtain signed acceptance; create student file in SMS with unique ID.
- Scan and upload all enrolment documents; name files using standard convention (filename format: Student ID – Surname, name - Document name).
- For CRICOS students: record COE details and visa-related evidence in student file.
- File together with student training and assessment evidence when archiving.

7.2 Capture and File Training & Assessment Evidence

- Collect attendance rolls each session signed by trainer, with correct unit codes.
- Capture completed assessments (or, where not retained, the full assessor marking guides/observation checklists).
- Ensure practical achievements and final sign-offs are present for each unit.
- Scan/verify clarity; upload to the student file; record assessment judgement date.

7.3 Results and Certification

- Enter unit outcomes and completion dates in SMS; conduct independent data check.
- Complete Certification Checklist; obtain authorised sign-off before issuing certificate/SoA.
- Record testamur/SoA issuance date in SMS.
- Maintain credentials register in line with AQF Qualifications Register Policy (30-year retention).

7.4 Archiving and Disposal

- When archiving, use the Archiving Procedure List and Archive label in points 12 and 13 below.
- After the retention period, compile disposal list and seek Director approval.
- Confirm electronic copy integrity and backup status before destroying hard copies.
- Destroy physical records via secure method (shred/secure bin); log disposal date and method.
- Test backup restore quarterly and document outcomes.

8. Security and Access

Records are stored in restricted-access repositories with audit trails. Electronic archives are backed up daily with offsite redundancy. Access is role-based. Privacy is managed in accordance with the Privacy Act 1988 (Australian Privacy Principles, especially APP 11 – security and retention; APP 13 – correction). Breaches are reported to the Director and rectified.

9. Continuous Improvement

Internal recordkeeping audits occur annually. Findings inform training and process updates. Policy is reviewed biennially or upon regulatory change.

10. Legislation, Standards & Regulatory References

- Standards for Registered Training Organisations (RTOs) 2025 – Outcome Standards & Compliance Requirements (effective 1 July 2025).
- National Vocational Education and Training Regulator Act 2011 (NVETR Act).
- ASQA Guidance – Retention requirements for completed student assessment items (superseded by 2025 Standards; minimum retention now 2 years per 2025 FAQs).
- AQF Qualifications Register Policy (records of certification documentation – retain 30 years).
- ESOS Act 2000 & National Code of Practice for Providers of Education and Training to Overseas Students 2018 – Standard 3 (retain written agreements and fee receipts 2 years after student ceases to be accepted).
- Student Identifiers Act 2014 & USI Regulations – USI collection/verification and reporting obligations.
- Data Provision Requirements (under NVETR Act) & NCVET AVETMISS (Release 8.0) – data collection and reporting obligations.
- Privacy Act 1988 (Cth) – APP 11 (security/retention), APP 13 (correction).
- TAC (WA) Fact Sheet: Records Management (for TAC-regulated delivery in WA).

11. Regulatory Retention Summary (Quick Reference)

Requirement	What to keep	How long (minimum)
Standards for RTOs 2025 (Assessments)	Completed student assessment evidence (per training product and judgement)	24 months from judgement of competence
AQF / ASQA (Certification)	Register/records of all AQF certification documentation issued	30 years
ESOS National Code Standard 3	Written agreements; receipts for payments under the agreement	2 years after the student ceases to be accepted
USI legislation	USI collection and verification records; consent; USI status	As long as required to meet reporting and re-issuance obligations
Data Provision / AVETMISS	Training activity and enrolment data (NAT files)	Per NCVET schedules (at least annual TVA); retain source records per above categories


12. Archiving Procedure Checklist – print if required

Tick box	Student Enrolment Records
<input type="checkbox"/>	Enrolment form and ID captured and verified
<input type="checkbox"/>	USI consent/verification recorded
<input type="checkbox"/>	LLND evidence on file
<input type="checkbox"/>	Written agreement/offer accepted and filed
<input type="checkbox"/>	Fees/invoices/refunds documented
<input type="checkbox"/>	RPL/CT applications and outcomes filed
<input type="checkbox"/>	COE/visa evidence (if applicable) recorded
<input type="checkbox"/>	Policy acknowledgements/consents filed
Training & Assessment Evidence	
<input type="checkbox"/>	Attendance rolls scanned with correct unit codes and trainer signature
<input type="checkbox"/>	Completed assessments or assessor guides/checklists on file
<input type="checkbox"/>	Practical sign-offs present for each unit
<input type="checkbox"/>	Assessment judgement date recorded
<input type="checkbox"/>	Retention clock set for 24 months
Results & Certification	
<input type="checkbox"/>	SMS (aXcelerate) updated with outcomes, start/end dates, completion date
<input type="checkbox"/>	Certification Checklist completed and authorised
<input type="checkbox"/>	Testamur/SoA issuance date recorded
<input type="checkbox"/>	Credentials register maintained (30-year retention)
CRICOS (if applicable)	
<input type="checkbox"/>	Written agreement and fee receipts filed
<input type="checkbox"/>	Retention clock set for 2 years after student ceases to be accepted
Archiving & Disposal	
<input type="checkbox"/>	Electronic copies verified and backed up
<input type="checkbox"/>	Director approval for disposal documented
<input type="checkbox"/>	Secure destruction completed and logged
<input type="checkbox"/>	Backup restore tested and documented

Kingston Training and Employment Pty Ltd



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Policy Title	Archiving Policy and Procedure
Policy Renewal	Every 2 years
Responsibility	Compliance Manager

Record of updates and changes

Version No.	Issue Date	Nature of Amendment
Version 01	July 2020	Materials designed
Version 02	August 2022	Review and update
Version 03	March 2024	SL update
Version 04	Sept 2025	Review and update to include 2025 RTO Standards