



Australian Government

National Archives of Australia

Records Authority

2018/00189419

Australian Skills Quality Authority

*Industry and Risk Intelligence; Investigations and
Enforcement; Vocational Education and Training
Regulation*

2018

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INTRODUCTION

The Australian Skills Quality Authority (ASQA) and the National Archives of Australia have developed this records authority to set out the requirements for keeping or destroying records for the core business areas of Industry and Risk Intelligence; Investigations and Enforcement; Vocational Education and Training Regulation. It represents a significant commitment on behalf of ASQA to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of ASQA. It takes into account the agency's legal and organisational information management requirements, and the interests of stakeholders, the agency and the National Archives.

The authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This authority gives ASQA permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives on the basis of information provided by the agency.

As changes in circumstances may affect future information management requirements, the periodic review of this authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the authority.
 - Where the minimum retention period has expired and the records are not needed for ASQA business they should be destroyed as authorised in this authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as 'retain as national archives' are to be transferred to the National Archives for preservation.
2. This authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies; and
 - General Records Authority (31) - Destruction of source or original records after digitisation, conversion or migration (2015).
3. The normal administrative practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this authority but can be used as a tool to assist in identifying records for destruction together with an agency's records authority or authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop a NAP policy is available from the National Archives' website at www.naa.gov.au.
4. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant act must not be destroyed until the action has been completed.
5. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this authority is available from the National Archives website at www.naa.gov.au.
6. Where the method of recording information changes (for example from a manual system to a digital system, or when information is migrated from one system to a new system) this authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this authority. The ASQA will need to maintain continuing access to the

information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.

7. In general, retention requirements indicate a minimum period for retention. The ASQA may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the ASQA believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
8. Records coming within 'retain as national archives' classes in this authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
9. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
10. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives. Records created digitally after 1 January 2016 can be transferred in digital formats only.
11. Advice on how to use this authority is available from the ASQA information manager. If there are problems with the application of the authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this records authority or for advice on other information management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

RECORDS AUTHORITY 2018/00189419

Person to whom notice of authorisation is given:

Mr Mark Paterson
Chief Commissioner and Chief Executive Officer
Australian Skills Quality Authority
Level 6, 595 Collins Street
Melbourne VIC 3000

Purpose:

Authorises arrangements for the disposal of records in accordance with paragraph 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'Retain as national archives' in this records authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Industry and Risk Intelligence; Investigations and Enforcement; Vocational Education and Training Regulation.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorised by

Linda Macfarlane
Assistant Director-General (A/g), Collection Management
National Archives of Australia

Date of issue:

15 December 2018

INDUSTRY AND RISK INTELLIGENCE

The core business of gathering industry and risk intelligence to protect and enhance the quality of the vocational education and training (VET) sector. Involves undertaking quality assurance and improvement through the collection, analysis, interpretation and dissemination of information concerning VET sector entities (ie providers and owners) and services and conducting assessments to identify systemic issues, good practice and risks in the sector that affect the quality of VET. Includes gathering intelligence through forming and maintaining relationships and strategic alliances with key industry stakeholders, agents and other institutions nationally and internationally, and promoting the quality and integrity of Australia's VET sector in the international sphere.

Note: VET sector entities include those approved to offer courses to overseas students studying, or intending to study, in Australia - ie entities on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS), or its equivalent - and entities delivering English language intensive courses to overseas students (ELICOS).

The **core activities** include:

- developing, implementing and reviewing industry and risk intelligence policies, procedures, strategies, general directions, frameworks and programs;
- providing and receiving advice and other information;
- undertaking industry quality assurance assessments, including sector-wide assessments, thematic assessments, and assessments by sample of providers, to assess the relative quality of VET services being delivered against minimum requirements for registration;
- collecting and assessing information about provider issues to develop provider risk profiles for use in supporting assessments of appropriate regulatory scrutiny strategies and to share, as appropriate, with stakeholders to inform their decision-making;
- managing and participating in internal and external committees, meetings, forums, working groups and other bodies;
- monitoring national and international developments in VET sector regulation and quality assurance practices, including monitoring systemic issues relating to particular courses of study or awards;
- undertaking research and analysis, including data collection and environmental monitoring and surveillance of the national and international VET sector;
- negotiating, establishing and implementing agreements and contracts, including joint venture agreements;
- liaising, collaborating and consulting with national and international stakeholders, including gathering intelligence from industry and peak bodies, exchanging regulatory information and coordinating representatives;
- developing and submitting proposals and submissions to international bodies and forums, foreign governments, and other non-government organisations on Australia's VET sector regulation and quality assurance policy positions;
- participating in the development of international policies, standards and codes of practice relating to VET sector regulation and quality assurance;
- building and maintaining relationships and strategic alliances with key industry stakeholders, agents and other institutions nationally and internationally;
- arranging and attending conferences, seminars, discussion forums and workshops; and
- managing visits and receiving delegations, including visits from scholars.

The performance of the function is supported by **general activities** such as:

- delegating powers and authorising actions;
- planning and reporting;
- identifying, assessing and managing risks;

INDUSTRY AND RISK INTELLIGENCE

- preparing and presenting speeches;
- evaluating and reviewing; and
- planning, conducting and facilitating audits.

Cross references to other areas of this records authority

For activities involving the exercise of the agency's investigative and enforcement powers, including conducting compliance audits, use INVESTIGATIONS AND ENFORCEMENT.

For activities involving the exercise of the agency's regulatory powers, including conducting training and information awareness sessions to improve the quality of the Australian vocational education and training sector, use VOCATIONAL EDUCATION AND TRAINING REGULATION.

For conducting quality assessments and registration audits of individual providers, use VOCATIONAL EDUCATION AND TRAINING REGULATION.

Cross references to AFDA Express records authority

For advice, briefs and submissions to the portfolio Minister and other government bodies, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For the acquisition of goods and services, use PROCUREMENT.

For financial administration of application fees, use FINANCIAL MANAGEMENT.

For managing legal services, including legal advice and appeals, use LEGAL SERVICES.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For travel and accommodation arrangements made for employees in connection with entity regulation activities, use PERSONNEL.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
62479	<p>Records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing high-level policies, strategies, plans, general directions, frameworks, standards and programs, including cooperation and collaboration strategies. Includes final versions, proposals, submissions, supporting research and results of stakeholder consultation; • providing and receiving high-level advice, including advice provided to international stakeholders. Includes position papers, briefs, opinions, reports and stakeholder submissions; • high-level formal proposals and submissions developed and submitted to international bodies and forums, foreign governments, and other non-government organisations on Australia's VET sector regulation and quality assurance policy positions; <p><i>[For submissions to the Prime Minister, portfolio Minister, and other government bodies, use GOVERNMENT RELATIONS.]</i></p> <ul style="list-style-type: none"> • developing high-level reports, including overseas visit reports and reports provided to key international relations partners and stakeholders. Includes final versions, stakeholder consultation and supporting research; 	Retain as national archives

INDUSTRY AND RISK INTELLIGENCE

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • high-level internal and external, including inter-governmental or inter-agency committees, working groups and other bodies, where the agency provides the secretariat, is the Australian Government's main representative or plays a prominent or central role. Includes establishment records, final versions of minutes, agenda, tabled papers, briefings and results of committee meetings such as reports and recommendations; • high-level liaison, negotiation and consultation with major international stakeholders to discuss VET sector standards and related issues; • industry quality assurance assessments to determine relative quality of VET services and national and high-level reviews, including major internal reviews, thematic quality assessments, sector-wide strategic reviews (eg systemic risk profiles) and assessments by sample of providers. Includes final report, major drafts, analysis, milestone reports, submissions, terms of reference, stakeholder consultations and supporting research; • final versions of significant agreements and contracts and supporting documents, that: relate to substantial funding agreements or the establishment of major partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; or have substantial implications for the conduct of agency business. Includes memorandums of understanding, bilateral and joint venture agreements; • master versions of statistical data compiled or commissioned by the agency that contribute to knowledge, modelling and forecasting in the VET sector. Includes datasets resulting from periodic stakeholder surveys and associated reports; • outcomes of major research undertaken or commissioned by the agency into the VET sector. Includes final research reports, research findings, statistical and trend analysis, data models, and supporting research datasets and associated information; • final versions of unpublished proceedings, reports, presentations and papers from conferences, forums, seminars, symposiums and workshops that: are of national or international significance; or, are hosted by the agency; • master versions of agency publications. Includes information sheets, brochures and newsletters; and • final versions of speeches presented by the portfolio Minister, the agency head, Commissioners or senior agency staff. 	
62480	Records documenting: <ul style="list-style-type: none"> • developing VET provider risk profiles, undertaken in accordance with the agency's Regulatory Risk Framework. 	Destroy when VET provider ceases to be regulated or ceases to exist, whichever is sooner
62481	Records documenting: <ul style="list-style-type: none"> • arrangements for meeting room bookings and catering. 	Destroy 3 years after action completed

INDUSTRY AND RISK INTELLIGENCE

Class no	Description of records	Disposal action
62482	Records documenting: <ul style="list-style-type: none"><li data-bbox="344 383 1198 416">• routine operational administrative tasks supporting the function; and<li data-bbox="344 432 1182 495">• industry and risk intelligence activities, other than those covered in classes 62479 to 62481.	Destroy 7 years after action completed

INVESTIGATIONS AND ENFORCEMENT

The core business of carrying out investigations and managing enforcement actions in accordance with regulatory authority powers under relevant vocational education and training (VET) related legislation. Includes conducting formal investigations into VET sector entities (ie providers and owners) to assess their compliance with relevant legislation and standards, including compliance with any imposed conditions or undertakings voluntarily agreed by entities. Also includes exercising statutory investigative and enforcement powers, such as entry to and search of provider premises and seizure of evidence, and the imposition of administrative sanctions, civil penalties and injunctions for breaches of legislation.

Note: VET sector entities include those approved to offer courses to overseas students studying, or intending to study, in Australia - ie entities on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS), or its equivalent - and entities delivering English language intensive courses to overseas students (ELICOS).

The **core activities** include:

- developing, implementing and reviewing policies, procedures, strategies, standards, general directions, frameworks and programs;
- monitoring and reviewing the operations of entities to ensure compliance with legislative requirements and standards, and conditions imposed by the agency or agreed to by the provider;
- receiving and managing complaints against regulated entities, including complaints against registered and non-registered entities, and complaints concerning accredited courses;
- conducting formal investigations into VET sector entity compliance with legislation and standards, including conducting compliance audits;
- case management;
- seizure of documents and other objects under monitoring and enforcement warrants;
- preparing investigation briefs;
- referring matters to other bodies (eg referrals to the Australian Federal Police);
- making determinations and providing notification of decisions, including advising of remedial action required and proposed cancellations or suspensions;
- imposition of administrative sanctions, civil penalties and injunctions on VET sector entities, including enforceable undertakings and suspension or cancellation of registration;
- managing cancellations of qualifications and statements of attainment issued by entities subsequently found to be critically non-compliant, including notifying affected individuals of proposed cancellations and assessing claims by individuals to retain cancelled qualifications; and
- managing appeals and reviewing agency decisions.

The performance of the function is supported by **general activities** such as:

- receiving or providing advice and other information;
- liaising with and visiting other bodies;
- receiving and responding to enquiries and feedback;
- negotiating, establishing and implementing agreements and contracts;
- planning and reporting;
- managing and participating in internal and external committees and meetings;
- delegating powers and authorising actions;
- preparing and presenting speeches;
- planning, conducting and facilitating audits;

INVESTIGATIONS AND ENFORCEMENT

- evaluating and reviewing;
- undertaking research and analysis; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For gathering industry and risk intelligence to protect and enhance the quality of service provision to the vocational education and training sector, including undertaking sector quality assurance assessments and the development of provider risk profiles, use INDUSTRY AND RISK INTELLIGENCE.

For compliance activities not involving the agency's investigative and enforcement powers, use VOCATIONAL EDUCATION AND TRAINING REGULATION.

For conducting quality assessments and registration audits of individual providers, use VOCATIONAL EDUCATION AND TRAINING REGULATION.

Cross references to AFDA Express records authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For claims arising from damage to seized electronic equipment, use COMPENSATION.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For managing legal services, including providing legal advice and undertaking litigation activities, use LEGAL SERVICES.

For the acquisition of goods and services, including contracts concluded through carrying out a tendering process, use PROCUREMENT.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
62483	<p>Records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing national and high-level investigations and enforcement policies, plans, strategies, standards, general directions, frameworks and programs. Includes final versions, major drafts, national policy statements, directives, reports, supporting research and results of stakeholder consultations; • providing and receiving high-level advice. Includes position papers, briefs, opinions, reports and stakeholder submissions; • final versions of significant agreements and contracts and supporting documents, that: relate to substantial funding agreements or the establishment of major partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; or have substantial implications for the conduct of agency business. Includes memorandums of understanding, bilateral and joint venture agreements; • investigation cases records of regulated entities suspected of breaching the law, that: result in cancellation or refusal to renew an entity's registration, or cancellation of student qualifications or statements of attainment; result in criminal proceedings against a VET sector entity; are precedent setting; are controversial or of considerable public interest; or result in major changes to agency or Government 	Retain as national archives

INVESTIGATIONS AND ENFORCEMENT

Class no	Description of records	Disposal action
	<p>policies, programs or procedures, or changes to legislation. Includes initial complaint or allegation of misconduct, requests for information, action and investigation plans, applications for monitoring and enforcement warrants, arrangements for searching premises by consent, final reports on determinations and outcomes, interview recordings or transcripts, copies of records supplied or seized as evidence, notifications of decisions and penalties, records of legal proceedings and supporting research;</p> <p><i>[For original records supplied or seized in evidence not required to be retained as part of the case file, use class 62484.</i></p> <p><i>For development of provider risk profiles that inform investigations, use INDUSTRY AND RISK INTELLIGENCE - class 62480.</i></p> <p><i>For applications to cancel accredited courses, use VOCATIONAL EDUCATION AND TRAINING REGULATION - class 62490.</i></p> <p><i>For all other legal activities, use LEGAL SERVICES.]</i></p> <ul style="list-style-type: none"> • developing national or high-level reports. Includes final versions, stakeholder consultation and supporting research; • appeals or reviews of decisions made by the agency that are precedent setting, controversial or of significant public interest. Includes appeals to higher authorities such as the Administrative Appeals Tribunal and the Federal Court; • preparation of briefs of evidence for prosecution of criminal offences, where there is no court order or clause in settlement agreement to destroy the brief or return it to the source as a part of the settlement agreement; • high-level internal and external, including inter-governmental or inter-agency, committees, working groups and other bodies where the agency provides the secretariat, is the Australian Government's main representative or plays a prominent or central role. Includes establishment documentation, agenda, final version of minutes, reports and tabled papers; • significant summary records supporting the core business, such as registers of investigations and compliance audits conducted or registers of enforcement decisions. Includes registers, indexes and datasets and associated information; • national and high-level reviews, including sector-wide strategic and major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research; • final versions of speeches presented by the portfolio Minister, the agency head, Commissioners or senior agency staff; and • master versions of agency publications. Includes information sheets, manuals and handbooks. 	

INVESTIGATIONS AND ENFORCEMENT

Class no	Description of records	Disposal action
62484	<p>Original evidence supplied or seized in the exercise of the agency's investigative powers, that is not required to be retained as part of the case file, and is either:</p> <ul style="list-style-type: none"> • no longer wanted by the owner; or • unable to be returned to the owner after reasonable efforts have been made for its return. 	Destroy 1 year after reasonable efforts have been made to return the evidence
62485	<p>Records documenting:</p> <ul style="list-style-type: none"> • investigation cases of regulated entities suspected of breaching the law (ie investigation case records), other than those covered in class 62483. Includes initial complaint or allegation of misconduct, requests for information, action and investigation plans, applications for monitoring and enforcement warrants, arrangements for searching premises by consent, final reports on determinations and outcomes, interview recordings or transcripts, copies of records supplied or seized as evidence, notifications of decisions and penalties, records of legal proceedings and supporting research; and • activities associated with monitoring and reviewing the operations of regulated entities to ensure they comply with conditions imposed by the agency or agreed to by the provider. Includes formal undertakings and consent for withdrawal of an undertaking, requests for information and evidence of compliance, consent to and notices of cancellation of undertakings, applications for enforcement orders, notices of conditions concerning self-accreditation, representations concerning decisions and notifications of changes made by providers. 	Destroy 15 years after action completed
62486	<p>Records documenting:</p> <ul style="list-style-type: none"> • working papers supporting the development of low-level investigation and enforcement operational plans. Includes input into plans, comments received and drafts; and • arrangements for meeting room bookings and catering. 	Destroy 3 years after action completed
62487	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the function; and • investigations and enforcement activities, other than those covered in classes 62483 to 62486. 	Destroy 10 years after action completed

VOCATIONAL EDUCATION AND TRAINING REGULATION

The core business of regulating Australia's vocational education and training (VET) sector entities (ie owners and providers) and their activities to ensure compliance with statutory obligations under legislation and associated instruments, and in accordance with applicable nationally approved standards, frameworks and regulations. Involves regulating entities using a standards-based quality framework and principles relating to regulatory necessity, risk and proportionality. Also includes accrediting vocational education and training courses delivered by entities, including registered training organisations (RTOs).

Note: VET sector entities include those approved to offer courses to overseas students studying, or intending to study, in Australia - ie entities on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS), or its equivalent - and entities delivering English language intensive courses to overseas students (ELICOS).

The **core activities** include:

- developing, implementing and reviewing policies, procedures, strategies, standards, general directions, principles, frameworks and programs, including the Regulatory Risk Framework;
- providing and receiving advice and other information, including developing best practice tools to support Australian VET sector entities;
- receiving and assessing applications for registration, or renewal of registration, of sector entities against a framework of standards (currently the VET Quality Framework) and in accordance with legislative requirements, including registration of entities to deliver courses to overseas students (currently CRICOS) and entities delivering ELICOS. Includes assessment of applications for amendment, renewal and withdrawal of registration and determining any attendant conditions, and receipt and assessment of the annual declaration of compliance;
- conducting quality assessments and registration audits of individual sector entities in support of registration, including undertaking site visits;
- receiving and assessing notifications of material changes to the circumstances of sector entities that may impact their ability to meet standards compliance obligations;
- providing formal notifications relating to entity registration, including requests for additional information and requirements for remedial action to rectify non-compliance;
- receiving and assessing applications for accreditation, or renewal of accreditation, of courses against applicable standards and requirements (eg Standards for VET Accredited Courses; Australian Qualifications Framework). Includes assessment of applications for amendment, extension and cancellation of existing accredited courses, and reconsideration or re-assessment of a decision following a successful appeal or review of a decision to reject an application for accreditation or renewal of accreditation;
- providing formal notifications relating to course accreditation, including notification of the discontinuance of, or significant changes relating to, a previously accredited course;
- monitoring and reviewing registered entities and accredited courses for compliance with applicable standards;
- creating, maintaining and contributing to registers and databases supporting the core business, including the National Register of VET Providers and the Course Accreditation Register;
- developing and delivering training and awareness-raising briefings for stakeholders to improve the quality of the Australian VET sector;
- managing appeals and reviews of decisions;
- setting of accreditation and registration fees;
- negotiating, establishing and implementing agreements and contracts, including joint ventures;
- liaising with stakeholders, including consulting with VET sector professional bodies;
- managing delegation arrangements with VET sector entities; and

VOCATIONAL EDUCATION AND TRAINING REGULATION

- undertaking research and analysis.

The performance of the function is supported by **general activities** such as:

- managing and participating in internal and external committees and meetings;
- arranging trips and visits;
- planning and reporting;
- arranging and attending conferences, seminars, forums and workshops;
- preparing and presenting speeches;
- managing enquiries and complaints;
- delegating powers and authorising actions;
- evaluating and reviewing; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For gathering industry and risk intelligence to protect and enhance the quality of service provision to the vocational education and training sector, including undertaking sector quality assurance assessments and the development of provider risk profiles, use INDUSTRY AND RISK INTELLIGENCE.

For agreements entered into with overseas entities and visits by international delegations, use INDUSTRY AND RISK INTELLIGENCE.

For activities involving the exercise of the agency's investigative and enforcement powers, including conducting compliance audits and investigating complaints against entities, use INVESTIGATIONS AND ENFORCEMENT.

Cross references to AFDA Express records authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For the acquisition of goods and services, use PROCUREMENT.

For financial administration of application fees, use FINANCIAL MANAGEMENT.

For managing legal services, including legal advice and appeals, use LEGAL SERVICES.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For travel and accommodation arrangements made for employees in connection with entity regulation activities, use PERSONNEL.

For developing and executing contracts under seal or deeds, including signed joint venture contracts under seal, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
62488	Records documenting: <ul style="list-style-type: none"> • developing, implementing and reviewing entity regulation policies, plans, strategies, general directions, principles, frameworks and standards, including the Regulatory Risk Framework and VET Quality Framework. Includes final versions, national policy statements, major drafts, stakeholder consultations and supporting research; 	Retain as national archives

VOCATIONAL EDUCATION AND TRAINING REGULATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • providing and receiving high-level advice. Includes position papers, briefs and reports; • final versions of significant agreements and contracts and supporting documents that: relate to substantial funding agreements or the establishment of major partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; or result in major changes to agency policies or programs. Includes memorandums of understanding and joint venture agreements; • significant summary records supporting the core business, such as registers of approved providers and accredited courses (eg National Register of VET Providers; Course Accreditation Register). Includes registers, indexes and datasets and associated information; • appeals or reviews of decisions made by the agency that: are precedent setting, controversial or of public interest; or, result in major changes to agency policy or programs; • high-level internal and external committees, working groups and other bodies where the agency provides the secretariat, plays a prominent role, or is the Australian Government's main representative. Includes agenda, final version of minutes and tabled papers; • developing national and high-level reports. Includes final versions, major drafts, stakeholder consultation and supporting research; • national and high-level reviews, including sector-wide strategic and major internal reviews. Includes final review, major drafts and submissions; • final versions of unpublished proceedings, reports, presentations and papers from conferences, forums, seminars, symposiums and workshops hosted by the agency; • outcomes of major research and analysis undertaken or commissioned by the agency. Includes final research reports, statistical and trend analysis, and supporting research datasets and associated information; • final versions of speeches presented by the portfolio Minister, the agency head, Commissioners or senior agency staff; and • master versions of agency publications. Includes information sheets, guides, published audit reports and newsletters (eg ASQA Update). 	
62489	<p>Records documenting:</p> <ul style="list-style-type: none"> • application assessment processes for entities seeking registration to deliver VET courses (ie entity/provider registration case records), including those seeking registration to deliver courses to overseas students (CRICOS) and providers of ELICOS, other than those records covered under classes 62488. Includes: <ul style="list-style-type: none"> ○ assessing applications for registration and re-registration, and amendments to the scope of registration; ○ assessing notifications of material changes to entities circumstances that may impact their ability to meet standards compliance obligations; ○ conducting quality assessment and registration audits, including site visits and general assessments of the quality of 	Destroy 30 years after registration ceases

VOCATIONAL EDUCATION AND TRAINING REGULATION

Class no	Description of records	Disposal action
	<p>training provided – including audits undertaken by state/territory jurisdictions that subsequently referred their powers to the Commonwealth;</p> <ul style="list-style-type: none"> ○ identifying non-compliance through the assessment process and reconsidering applications following remedial action; and ○ final decisions/outcomes of application assessment processes for entities seeking registration. <p>Includes registration applications, final reports, preliminary assessment reports, assessment plans, site visit reports, notifications, risk assessments, correspondence, declaration of compliance, audit records and report, final decisions and determinations, major drafts, and supporting research and documentation.</p> <p><i>[For developing provider risk profiles to support the application assessment process, use INDUSTRY AND RISK INTELLIGENCE - class 62480.</i></p> <p><i>For conducting compliance audits and investigations of entities for breaches of standards and where necessary applying enforcement actions, such as cancellation of registration, use INVESTIGATIONS AND ENFORCEMENT.]</i></p>	
62490	<p>Records documenting:</p> <ul style="list-style-type: none"> • VET course accreditation, or renewal of accreditation, application assessment processes (ie course accreditation records), other than those records covered under class 62488. Includes both successful and unsuccessful course applications. Includes assessment of applications for amendment, extension and cancellation of existing accredited courses, and reconsideration or re-assessment of a decision following a successful appeal or review of a decision to reject an application. Includes course provider applications, proposed course documents, supplementary evidence, stakeholder input, evaluation reports, notifications, resubmitted content to rectify a non-compliance finding, approval documentation, and supporting documentation. 	15 years after action completed
62491	<p>Records documenting:</p> <ul style="list-style-type: none"> • travel and accommodation arrangements made for contracted education experts in relation to entity regulation, including site visits made in support of entity regulation assessments; • development of low-level operational procedures; and • arrangements for meeting room bookings and catering. 	Destroy 3 years after action completed
62492	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the function; and • vocational education and training regulation activities, other than those covered in classes 62488 to 62491. 	Destroy 7 years after action completed