Policy for registered training organisations operating in Queensland

The Training and Employment Recognition Council has approved a framework that provides registered training organisations (RTOs) with the Council’s requirements for retention of student results and assessment records to demonstrate compliance at audit.

This is the framework that the Department of Education and Training’s auditors will use when auditing apprentice/trainee requirements under the Vocational Education, Training and Employment Act 2000.

Information sought at an AQTF audit will be consistent with these requirements.

It should be noted that other record-keeping requirements may apply to particular training and assessment activities. For example, where training and assessment is conducted under a government funded agreement or contract, RTOs must consider specific record-keeping requirements of the agreement or contract. Qualifications, courses or units that lead to regulated outcomes may also impose specific records retention requirements and RTOs should refer to specific regulatory requirements relating to that delivery area to ensure compliance.

Definitions

Student results
This is a record of the final assessment outcome for each unit of competency. It must include the code and title of the unit of competency plus the date achieved.

Qualifications / Statements of Attainment issued
This is a record of qualifications and or statements of attainment issued to students. The documents must meet the requirements of the Australian Qualifications Framework (AQF) Implementation Handbook and the endorsed training packages and/or accredited courses within the scope of the registered training organisation’s registration. Enough information to reproduce the qualifications/statements of attainment, including the date of issue, is required. A list of units of competency achieved by each individual student must be retained as part of this information.

Completed assessment items
This refers to the actual piece of work completed by the student, or evidence of that work and includes evidence collected for an RPL process. An assessor’s completed marking guide/criteria/observation checklist for each student may be sufficient where it is not possible to retain the student’s actual work. However; the retained evidence must have enough detail to demonstrate the assessor’s judgement of the student’s performance against the standard required. Clear benchmark criteria (e.g. model answers) against which the student’s performance has been judged must be included in the evidence. The assessor’s checklist must include a summary of feedback given to the student, the name of the assessor and the date of the assessment.

Assessment instruments
These are documents that clearly demonstrate what has been assessed, how this occurred and the linkage to the competency standards in the training product (training package/accredited course). The assessment instrument must be supported by objective criteria on which the assessor will base the assessment decision, such as benchmark criteria (e.g. model answers) which list the key points. Assessment instruments may address a cluster of competencies as applicable for holistic assessment.
Storage Requirements
All records must be kept securely and confidential information must be safeguarded. Records must be kept to avoid fire, flood, termites or any other pests and be available for perusal by departmental auditors at a scheduled audit.

A backup of all records must be kept (including hard copy records if these are the only records). If only electronic records are kept, the mechanism by which the material can be retrieved must be retained.

Information about a client must not be disclosed to a third party without the written consent of the client. Clients must have access to their personal records.

Transfer of student results and other records in the event of the RTO ceasing to operate
When an RTO ceases to operate, it must, within 14 days of ceasing, forward all student results, including student records (name, address and any identifier, such as date of birth) to the Department of Education and Training. The documentation is to be a complete, accurate and ordered copy of all student results/details since initial registration. The records must be in the form of an electronic copy or hard copy, and include software details if appropriate. Details of qualification/statements of attainment issued to students, and a list of the competencies/modules achieved for each student, must be included.

An organisation which delivered training to its own staff and continues to operate its core business after it relinquishes its registration status may continue to hold the student records to provide easy access to records for employees. These organisations are reminded that such records must be kept for 30 years.

Retention of student results and other records in the event of change of ownership
When an RTO changes ownership, either through a change to the legal status of the business or through sale of the organisation, it will become a new RTO with a new national provider number. In these circumstances, student results and other records from the previous RTO are to be retained by the new organisation in such a format that qualifications and statements of attainment can be reproduced if required.
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<th>Item</th>
<th>Description</th>
<th>Period and number to be retained</th>
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<td>Student results</td>
<td>Records may be electronic or hard copy and should show, for each unit of competency, the result (usually a notation of competent/not yet competent), and the date of result.</td>
<td>Keep 100% for 30 years as per condition 6 of the AQTF Essential Standards for Registration.</td>
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<td>Qualifications/statements of attainment issued</td>
<td>A record of qualifications/statements of attainment issued to each individual student must be retained. This may be either electronic or hard copy, and must contain enough information to reproduce the qualification/statement of attainment if required. A record of units of competency achieved by each individual student must also be retained.</td>
<td>Keep 100% for 30 years.</td>
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<td>Assessment instruments/tools/procedures and assessors’ marking guides/criteria/observation checklist</td>
<td>A master copy of each version of all assessment tools. This includes criteria by which an assessor would base assessment decisions, such as model answers which list the key points and/or other benchmark criteria. The assessment instruments will be reviewed by the audit team, including industry advisers where appropriate. If a model is used as part of an assessment, then either the model or a detailed description of its critical components should be retained.</td>
<td>Keep a master copy of all versions of assessment instruments/tools/procedures used for 7 years following the last date of use. Master copies may be retained electronically or in hard copy. However, sufficient information must be retained to confirm which version of each assessment tool was used on a given date.</td>
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<td><strong>Completed assessment items</strong>&lt;br&gt;(This refers to the student’s completed work and includes evidence collected for RPL purposes.)&lt;br&gt;<em>The appeal period is determined by the RTO. However the RTO must inform students of the appeal period</em>*&lt;br&gt;** A cohort is any grouping of similar students undertaking the same training program (e.g. classroom block) or the same delivery methodology (e.g. on-job, flexible, online). Where a cohort is determined by methodology, it should comprise all students enrolled within a 12 month period.</td>
<td><strong>During the appeal period</strong>*&lt;br&gt;The RTO will need to keep sufficient evidence of how the assessment was made to justify the decision if there is an appeal. This includes evidence collected for RPL purposes.&lt;br&gt;If possible, the completed assessment items must be retained until the expiry of the RTOs appeal period. If it is impossible to keep all completed assessment items, the assessor's observation checklists or similar documents must be retained, along with evidence (e.g. photographic or video evidence) of the completed work.</td>
<td><strong>During the appeal period</strong>*&lt;br&gt;100% of records must be retained until the expiration of the RTOs appeal period.</td>
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<td><strong>After the appeal period</strong>*&lt;br&gt;The RTO will need to keep sufficient evidence of how the assessment was made to justify the decision. This includes evidence collected for RPL purposes.&lt;br&gt;If possible, the completed assessment items must be retained. If it is impossible to keep all completed assessment items, the assessor's observation checklists or similar documents must be retained, along with evidence (e.g. photographic or video evidence) of the completed work.</td>
<td><strong>After the appeal period</strong>*&lt;br&gt;For each unit of competency delivered by the RTO, keep all student assessment evidence for each selected student from each cohort** for a minimum of 12 months after confirmation of the final result (i.e. expiry of the appeal period) for a sample of students as follows:&lt;br&gt;• Every student – when cohort comprises 1 to 10 students&lt;br&gt;• 10% or 10 (whichever is greater) when cohort comprises over 10 students.&lt;br&gt;The sample of student records retained should be representative of the standard of the RTOs records for that cohort.</td>
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