

# TAC Guideline on Records Management

## 1. About this Guideline

A Registered Training Organisation (RTO) is required to operate in accordance with the *AQTF 2007 Essential Standards for Registration*. The AQTF is the national set of standards which assures nationally consistent, high quality training and assessment services for stakeholders in the Australian vocational education and training system.

This document has been developed to provide guidance to RTOs on the management of its records, ensuring accuracy and integrity, as prescribed in the AQTF.

The intention of this document is for it to be used in conjunction with the existing records management procedures of an RTO. It is recommended that an RTO should check that its records management procedures cover any other legislative obligations including obligations under the State Records Act, the Privacy Act and Freedom of Information Act.

It is important to note that this document only provides guidance on compliance with the AQTF standards and relevant conditions of registration.

## 2. Background

The AQTF conditions of registration requires the Chief Executive Officer of an RTO to ensure that the RTO cooperates with its registering body in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements

The AQTF 2007 '*Users Guide to the Essential Standards for Registration*', developed for RTOs to support their understanding and application of the AQTF, does not prescribe how an RTO should manage its operation or what form the evidence provided for auditing purposes should take. The guide does however, offer suggestions about the types of evidence an RTO may provide to demonstrate compliance with AQTF.

The AQTF has three standards, with the third standard relating to management systems. Element 3.3 of the standards relates specifically to records management. It states:

- The RTO manages records to ensure their accuracy and integrity.

The following conditions of registration also relate to this element:

- Interactions with the registering body
- Compliance with legislation
- Certification and issuing qualifications and Statement of Attainment

## 3. Records

### 3.1. Storage of Records

It is recommended that all records retained by RTOs should be kept secure. Confidential information should be safeguarded to avoid theft, fire, flood, vermin or any other pests. It is also recommended that the records should be available for perusal by TAC auditors at a scheduled audit.

Records can be stored in hardcopy and/or electronic formats with any electronic records being backed up regularly. In the instance of electronic records, the mechanism or software by which the material can be retrieved should be made available to TAC at no charge.

Information about a student should not be disclosed to a third party without the written consent of the student. However, records management procedures should ensure that students have access to their personal records when requested.



### 3.2. Records for Audit Processes

Registered Training Organisations are required to retain certain documents for the purposes of auditing. It is recommended that the documents required for audit purposes should be retained for a period of at least **five years**. These documents may include the following:

- Attendance rolls that show the names of students, the unit/s of competency identifier and/or name, date/s of attendance and signature or initial of trainer/lecturer.
- Records of assessment and/or training record books that show the date of assessment/s, unit/s of competency, student name and outcome of assessment/s.
- Training delivery and assessment policies and strategies for all qualifications/courses.
- Assessment tools and instruments.
- Recognition of Prior Learning assessment records.
- All AQTF policies and procedures.
- All financial (including income and expenditure), enrolment and assessment records relating to any delivery and performance agreement held with the Department of Education and Training.
- Complaints.

There is no requirement to retain originals or copies of student work for auditing purposes. However, it is recommended that some examples of student work are retained for moderation purposes. Sufficient evidence to support assessment decisions can be provided through the assessment tools and instruments.

### 3.3. Records for Appeals Processes

An RTO is responsible for establishing the length of an appeals process. It is recommended that sufficient evidence of how assessments were made should be kept for the length of the determined appeals period, in case an appeal against the decision is lodged.

Sufficient evidence of assessments may include the marking guide, criteria, training record book, workplace evidence and/or observation checklist for each student. If it is possible, copies of students' completed assessments or other evidence such as photos of the assessment should be kept to support the assessment decision.

After the appeals period, the completed marking guide, criteria, training record book, workplace evidence and/or observation checklist is considered to be an assessment tool/instrument and retained as a record for audit processes.

It is important to note that as the completed student assessments will form the basis of evidence to support the assessment decision it should be sufficiently detailed to show the standard required by the RTO.

As a minimum, these documents may include the student name, the unit/s of competency being assessed, sufficient evidence to justify the judgment made, a summary of feedback given to the student, the name and signature of the assessor and the date of the assessment.

### 3.4. Students records

The AQTF requires that records of student results, qualifications and statements of attainment issued as well as the final summative result for each student must be kept for a minimum of **30 years**. This should contain sufficient information to reproduce the qualification or statement of attainment if required.

Western Australia has developed the Client Qualification Register (CQR) to assist RTOs in meeting this requirement.



### 3.5. Client Qualification Register

Registered Training Organisations (RTOs) are now required to submit information on student achievements via the Client Qualification Register (CQR).

The purpose of the CQR is to establish a permanent system for recording of Australian Qualification Framework (AQF) student achievements from RTOs. In the event that an RTO ceases to trade, students will have access to records of their achievement of Qualifications and Statements of Attainment, and employers will have an avenue to verify qualifications.

The CQR allows RTOs to meet their requirements of holding records of student achievements for a period of 30 years under AQTF condition of registration 6. It also provides a mechanism for RTOs to store their student records without the associated costs of storage. This will enable TAC to verify and provide past students with a certified extract of their results in the event that the RTO that they completed their training with is no longer operating.

RTOs will need to submit to TAC the following data:

- Student TRS number
- Provider Student ID
- Full Name
- Date of Birth
- Gender
- Qualification Code
- Issued Type
- Issue date
- Parchment Number
- Language the training was delivered in
- Unit Codes

The CQR will be accessible to the RTO via logon to RTONet. RTOs will be able to lodge student achievement data either manually or data may be uploaded from the RTO's existing data collection system. Updated records of student achievements are to be submitted **twice a year**.

Further details on the operation of the CQR are available in the document "*What RTOs need to know about the Client Qualification Register*" available on the TAC website.

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### 3.6. Transfer of Records

It is recommended that when a RTO ceases to operate it should, within 10 working days of ceasing operations, contact TAC to make arrangements to transfer all student records to TAC and for all current students to receive a copy of their results, if this has not been previously provided to them.

Within 20 working days of ceasing operation, the RTO can forward to TAC an agreed electronic and/or hardcopy document/s with:

- All student results and records (including name address and identifier such as DOB),
- All units of competency/modules achieved by each student including title and national code,
- Qualifications and statements of attainment issued to each student including title, code and date issued, and
- Evidence of training and assessment activities undertaken at the time of cessation that only partly fulfill a unit of competence.

The documentation is to be a complete, accurate and orderly copy of all student results/details since initial registration of the RTO. In the instance of electronic records, the RTO should make arrangements for the mechanism or software by which the material can be retrieved to be available to TAC at no charge.

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## Summary Table

### Retention, Archiving, Retrieval and Transfer of Student and Assessment Records

Record Category	Description of records	Period of Retention
Records for Audit	<ul style="list-style-type: none"> <li>Attendance rolls that show the names of students, the unit/s of competency identifier and/or name, date/s of attendance and signature or initial of trainer/lecturer.</li> <li>Records of assessment and/or training record books that show the date of assessment/s, unit/s of competency, student name and outcome of assessment/s.</li> <li>Training delivery and assessment policies and strategies for all qualifications/courses.</li> <li>Assessment tools and instruments.</li> <li>Recognition of Prior Learning assessment records.</li> <li>All AQTF policies and procedures.</li> <li>All financial (including income and expenditure), enrolment and assessment records relating to any delivery and performance agreement held with the Department of Education and Training.</li> </ul> <p>NB: There is no requirement to retain originals or copies of student work for auditing purposes, however, it is recommended that some examples of student work are retained for moderation purposes.</p>	Five years
Records for Appeals	Sufficient evidence of assessments may include the marking guide, criteria, training record book, workplace evidence and/or observation checklist for each student. If it is possible to keep student's completed assessment items, copies of these or other evidence such as a picture of the assessment piece - these items should also be kept to support the assessment decision.	Length of the appeals period
Records of Student Results, Qualifications and Statements of Attainment Issued	<ul style="list-style-type: none"> <li>RTO name.</li> <li>RTO number (state/national).</li> <li>Full student name.</li> <li>Student date of birth and/or identifier number.</li> <li>Qualification/s, course/s and unit/s of competency achieved including title and national code.</li> <li>Date on which requirements for the qualification/s or unit/s of competency were achieved.</li> </ul>	30 years

