

File Archiving Procedure and Record Retention

Purpose

This procedure is used to prepare and collate GoodStart Training College's archiving files/documents across Australia. Each office will be responsible for the data entry of their archived files on the Archiving Database. The GoodStart Training College Archiving Database can be found at <http://intranet.abclearningcentres.com.au/TrainingCollegeArchiving.aspx>

Within the database the following classification for files/documents can be found;

- AQTF COMPLIANCE - Previous Compliance Audit
- STAFF - All Previous Employees
- STUDENT FILE- All Completed Student Files
- STUDENT SERVICES - Contracts
- STUDENT SERVICES - Handbooks/Guides
- STUDENT SERVICES - Refunds/Finance
- WORKSHOP REGISTERS – 12M Old Workshop Registers
- EMPLOYER DOCUMENTS – Student File

Candidate Files require a plastic file bag. If file is too large tape bags together.

Procedure

Ordering Supplies

1. Orders for archiving supplies including **Recall archiving boxes, barcodes and zip-lock archiving bags** are to be sent to the delegated Student Services team member with the monthly stationery order for each site.
2. As barcodes will now be coded against each state, it is important that you order these individually for each office and do not share them with other sites.

Preparation

1. Assemble an archive box and affix your Recall barcode to it for files to be archived from your office.
2. Monthly, collate all candidate files that require archiving and record on the Training College Archiving Database <http://intranet.abclearningcentres.com.au/TrainingCollegeArchiving.aspx>
3. Record the candidate/file name on the Archive Record Cover Sheet and retain with the box.

Entering File Characteristics

1. Go to the Training College Archiving Database:
<http://intranet.abclearningcentres.com.au/TrainingCollegeArchiving.aspx>
2. Record an entry by clicking the 'New' button on the lower left of screen.
3. Enter details into each of the mandatory fields.
 - Location: Select State from drop down list.
 - File Type: Select type from drop down list. Most files will be recorded as 'STUDENT FILE – All Completed Student Files'.
 - Course: Select Course from drop down list.
 - Student: Type the name of the candidate, e.g. SURNAME First name.
 - D.O.B: Type the candidate's date of birth.

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- Year of Record: Select the current year.
- Recall Barcode: Type the 11 digit barcode number including all letters and numerals without spaces.
- File Status: Select Status from drop down list. Most files will be recorded as 'File at Recall'.

Training College File Archiving

Archives
- Please select a Training College Archiving - Search / Filter

Archive Information
NOTE: all empty fields will be automatically filled in once the record is saved.

Location: QLD

File Type: STUDENT FILE - All Completed Student Files

Retention Period: [Empty]

Course: CHC60208, Advanced Diploma of Childrens' Services

Student: TEST Student

D.O.B: 1/01/1980

Year of Record: 2010

Scheduled Date of Destruction: [Empty]

Recall Barcode Number: R222222222

File Status: File at Recall

Comments: [Empty]

New Edit Save Delete Cancel

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Sending boxes to Recall

Once you have filled a box with archived files and recorded each in the database, place the completed Archive Record Cover Sheet in the top of the box and contact goodstart@childcaretraining.com.au to arrange collection of the files from your office.

Retrieving files from Recall

Only Student Services can authorise the retrieval of an archived file. Please contact the Student Services team by email with your request. Standard time for file retrieval is 2-3 working days.

Record Retention

The Department of Education and Training (Qld) have provided the following guidelines on the retention of candidate results and assessment records.

The Training and Employment Recognition Council has approved a framework that provides Registered Training Organisations (RTOs) with the Council's requirements for retention of candidate results and assessment records to demonstrate compliance at audit.

This is the framework that the Department of Education and Training auditors will use when auditing trainee/apprentice 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.

Item	Description	Period and number to be retained
Candidate results	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.	Keep 100% for 30 years as per condition 6 of the AQTF Essential Standards for Registration.
Qualifications/statements of attainment issued	A record of qualifications/statements of attainment issued to each individual candidate 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 candidate must also be retained.	Keep 100% for 30 years.

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<p>Assessment instruments/tools/procedures and assessors' marking guides/criteria/observation checklist</p> <p>(This refers to the master copy)</p>	<p>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.</p> <p>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.</p>	<p>Keep a master copy of all versions of assessment instruments/tools/procedures used for seven years following the last date of use.</p> <p>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.</p>
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Item	Description	Period and number to be retained
<p>Completed assessment items (This refers to the candidate's completed work and includes evidence collected for RPL purposes.)</p> <p>*The appeal period is determined by the RTO. However the RTO must inform candidates of the appeal period.</p> <p>** A cohort is any grouping of similar candidates 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 candidates enrolled within a 12 month period.</p>	<p>During the appeal period* 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.</p> <p>If possible, the completed assessment items must be retained until the expiry of the RTO's 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.</p> <p>After the appeal period* 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.</p> <p>If possible, the completed assessment items must be retained. If it is impossible to keep all completed assessment items, the assessor's</p>	<p>During the appeal period* 100% of records must be retained until the expiration of the RTO's appeal period.</p> <p>After the appeal period* For each unit of competency delivered by the RTO, keep all candidate assessment evidence for each selected candidate 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 candidates as follows:</p> <ul style="list-style-type: none"> • Every candidate - when cohort comprises 1 to 10 candidates • 10% or 10 (whichever is greater) when cohort comprises over 10 candidates <p>The sample of candidate records retained should be representative of the standard of the RTO's records for that cohort.</p> <p>NOTE: Additional retention periods and conditions may be imposed by contractual or</p>

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	<p>observation checklists or similar documents must be retained, along with evidence (e.g. photographic or video evidence) of the completed work.</p> <p>The retained evidence must have enough detail to demonstrate the assessor's judgement of the candidate's performance against the standard required. Clear benchmark criteria against which the candidate's performance was measured must be included in the evidence. The assessment tool must include a summary of feedback given to the candidate, the name of the assessor and the date of the assessment.</p> <p>If no checklist is used, the complete assessment item itself must be retained.</p>	<p>regulatory requirements.</p>
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