

**Disposal Schedule  
for  
Training and Assessment  
Records of Government Training  
Organisations**

**Disposal Authorisation No. 2135**

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## **FUNCTIONS and ACTIVITIES**

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**INTRODUCTION****Archives legislation**

The *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Tasmanian Archive & Heritage Office.

**Schedule elements and arrangement**

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

- **Reference**

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive & Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

- **Disposal classes**

The groups of records that document, and are derived from, the performance of the functions and activities are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

- **Status**

All disposal classes have either 'PERMANENT' or 'TEMPORARY' status. Records identified as 'PERMANENT' are those that will be transferred to the Archives Office to be retained as State archives. 'TEMPORARY' records are those that can be destroyed under the authority of this schedule.

- **Disposal action**

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained before it can be destroyed under this authorisation.

**Review of the schedule**

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim. Reviews may also be initiated by the Tasmanian Archive & Heritage Office.

**Contacts**

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive & Heritage Office, 91 Murray Street, Hobart, email [gisu@education.tas.gov.au](mailto:gisu@education.tas.gov.au), phone 03 6165 5581

**TASMANIAN ARCHIVE & HERITAGE OFFICE**

**DISPOSAL AUTHORISATION No. 2135**

**Title:** Disposal Schedule for Training Delivery and Assessment Records of Government Registered Training organisations.

**Authorisation:**

Under Section 20 (2) (b) of the *Archives Act 1983*, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham  
State Archivist

**Document Development History**  
**Build Status**

<b>Version</b>	<b>Date</b>	<b>Author</b>	<b>Reason</b>	<b>Sections</b>
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<b>Section Title</b>	<b>Section Number</b>	<b>Amendment Summary</b>
All	All	Document imported into new template

## **INTERPRETATION**

### **Definitions**

**Permanent records** are those that will be transferred to the Tasmanian Archive & Heritage Office to be retained as State Archives. The *Archives Act 1983* establishes 25 years as the maximum required timeframe for the transfer of permanent records to the Tasmanian Archive & Heritage Office unless an extension of time has been approved by the State Archivist.

**Temporary records** are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

### **Coverage**

This schedule covers training records of Government Registered Training Organisations.

This schedule **does not cover pre-1960 records**. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive & Heritage Office procedures for unscheduled records.

### **Preservation of records**

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

### **Permanent records**

All disposal classes of records identified as having 'PERMANENT' status in this schedule should be transferred to the Archives Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive & Heritage Office for earlier transfer of particular groups of records and the Tasmanian Archive & Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive & Heritage Office.

### **Temporary records**

All records identified as having 'TEMPORARY' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes following the expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to '**after action completed**' which means after completion of the transaction to which the records relate. The disposal action '**destroy when reference ceases**' authorises the destruction of records when all business needs to refer to the records have ceased.

## **Destruction of records**

The destruction method chosen for records authorised for destruction in this schedule should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure. The following issues should be considered before destruction of any documents.

## **Right to Information**

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

## **Personal Information Protection**

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

## **Other investigations or inquiries**

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

## **Records relating to indigenous people**

Key recommendations of the Bringing Them Home Report 1997 relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive & Heritage Office.

## **Native title**

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

## **Registration of destruction**

Central to the accountability process built into the disposal schedules is the requirement that agencies maintain a *Register of Records Destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request.

The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Tasmanian Archive & Heritage Office website.

<p><b>01.00.0</b></p>	<p><b>REGISTERED TRAINING AND/OR ASSESSMENT</b></p> <p>The function of managing the provision of training delivery and the conduct of assessments for the issue of nationally recognised qualifications as a Registered Training Organisation (RTO) under the Australian policy and regulatory framework.</p> <p><i>See DA2157—for common administrative records related to the operation of the agency including staff development training provided for agency staff.</i></p>	
<p><b>01.01.00</b></p>	<p><b>Acquisition</b></p> <p>The process of gaining ownership of learning and assessment materials required for training delivery and conducting assessments through purchase, requisition or licensed use.</p> <p><i>See DA2157 for the acquisition of equipment and stores and technology applications required to support training delivery and assessment.</i></p> <p><i>See 01.25.00 for the development of training courses and support materials for training delivery and assessment.</i></p>	
<p><b>01.01.01</b></p>	<p>Records relating to the acquisition and/or licensed use of learning and assessment materials.</p> <p>These may include:</p> <ul style="list-style-type: none"> <li>• training packages</li> <li>• learning support materials</li> <li>• assessment guides</li> <li>• student logs</li> <li>• teaching plans</li> <li>• implementation plans</li> <li>• student resources</li> <li>• teacher resources</li> </ul>	<p><b>TEMPORARY</b>                  Destroy 7 days after date of purchase or expiry of the licence</p>
<p><b>01.02.00</b></p>	<p><b>Advice</b></p> <p>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</p> <p><i>See 01.22.00 for advice and opinions given or received in the formulation of policy.</i></p> <p><i>See 01.12.00 for counselling and guidance provided to individual clients.</i></p>	
<p><b>01.02.01</b></p>	<p>Records relating to the provision or receipt of general advice relating to training and assessment. Includes the provision of advice to prospective clients relating to:</p> <ul style="list-style-type: none"> <li>• enrolment and orientation procedures</li> <li>• course information</li> <li>• fees and charges</li> </ul> <p>Records may include:</p> <ul style="list-style-type: none"> <li>• course guides</li> <li>• information brochures and leaflets</li> <li>• correspondence</li> </ul>	<p><b>TEMPORARY</b>                  Destroy 2 years after action completed</p>



<b>01.03.00</b>	<p><b>Agreements</b> The processes associated with the establishment, maintenance, review and negotiation of agreements including contracts.</p> <p><i>See 01.10.00 for agreements to conduct training and/or assessments on behalf of another organisation.</i></p> <p><i>See 01.11.00 for agreements for the performance of work or provision of services by an external contractor.</i></p> <p><i>See 01.17.00 for agreements to conduct training and/or assessment in partnership with another organisation.</i></p>	
01.03.01	Records relating to the establishment, maintenance and review of agreements and contracts.	TEMPORARY Destroy 7 years after expiry, completion or termination.
01.03.02	Register of agreements	PERMANENT
<b>01.04.00</b>	<p><b>Appeals</b> The activities involved in the process of appeals against decisions.</p> <p><i>See 01.16.00 for the handling and resolution of client grievances.</i></p>	
01.04.01	Records relating to appeals made by the organisation against registration decisions.	TEMPORARY Destroy 7 years after action completed
01.04.02	<p>Records relating to appeals made by clients including copies of outcome reports. May include appeals relating to:</p> <ul style="list-style-type: none"> <li>• course exclusions</li> <li>• results</li> <li>• assessments</li> <li>• harassment</li> <li>• discrimination</li> </ul>	TEMPORARY Destroy 7 years after the appeal outcome is finalised or when the client has reached 25 years of age, whichever is the latter.
<b>01.05.00</b>	<p><b>Assessment</b> The processes involved in collecting evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed competency standards or the learning outcomes of an accredited course. Includes results of assessments.</p> <p><i>See 01.25.00 for the development of assessment materials.</i></p> <p><i>See 01.28.00 for training delivery</i></p>	
01.05.01	Records documenting validation of the assessment process conducted in conjunction with other Registered Training Organisations (RTOs). Includes samples of assessment instruments and assessment evidence used in the validation process.	TEMPORARY Destroy 2 years after registration audit is completed.

01.05.02	<p>Records documenting the assessment of individuals <u>not</u> included in 01.05.01. These may include:</p> <ul style="list-style-type: none"> <li>• assessment tools</li> <li>• assessment checklists</li> <li>• assessment reports</li> <li>• evidence submitted by clients</li> <li>• assessment reviews</li> <li>• client assessment records (books)</li> <li>• photographic evidence</li> <li>• video evidence</li> </ul> <p><i>See 01.05.03 for assessment results.</i></p>	<p>TEMPORARY Destroy following completion of assessment or return to client</p>
01.05.03	<p>Records of assessment results of individuals. These may include:</p> <ul style="list-style-type: none"> <li>• result details contained in database/register</li> <li>• lists of results (where no other record of results exists)</li> <li>• copies of qualifications (where no other record of results exists)</li> <li>• copies of statements of attainment (where no other record of results exists)</li> </ul> <p><i>See 01.05.01 and 01.05.02 for records documenting the assessment process.</i></p>	<p>PERMANENT</p>
01.05.04	<p>Records relating to administrative arrangements for assessment which may include:</p> <ul style="list-style-type: none"> <li>• venue bookings</li> <li>• equipment bookings</li> <li>• timetabling</li> <li>• notices of assessment</li> </ul>	<p>TEMPORARY Destroy when reference ceases</p>
01.05.05	<p>Records relating to requests for the issue or replacement of qualifications and statements of attainment.</p>	<p>TEMPORARY Destroy when reference ceases</p>
<b>01.06.00</b>	<p><b>Audit</b> The activities associated with officially checking records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance and quality assurance audits.  <i>See 01.09.00 for records relating to breaches of compliance</i></p>	
01.06.01	<p>Records documenting internal and external audits relating to compliance with assessment and training standards.</p>	<p>TEMPORARY Destroy 3 years after action completed or following next registration audit whichever is the latter.</p>
<b>01.07.00</b>	<p><b>Ceremonies</b> The activities associated with arranging and managing a formal act performed for a special occasion.</p>	
01.07.01	<p>Records relating to the conduct of ceremonies for the presentation of qualifications and statements of attainment.</p>	<p>TEMPORARY Destroy 1 year after action completed.</p>

<b>01.08.00</b>	<p><b>Committees</b></p> <p>The activities associated with the management of committees and task forces (internal and external, private, local, state, Commonwealth etc.) that relate to the training and assessment function. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc. See 01.20.00 for <b>ad-hoc</b> meetings and forums that are not considered committees.</p> <p>See DA2157 for committees relating to common functions such as strategic management and occupational health and safety.</p>	
01.08.01	<p>Records of internal committees and external committees where the agency has the administrative or secretariat role including VET management group, industry advisory committees, assessment committees etc.</p> <p>These may include:</p> <ul style="list-style-type: none"> <li>• final versions of minutes</li> <li>• agenda papers</li> <li>• reports</li> <li>• submissions</li> </ul>	PERMANENT
01.08.02	<p>Records of external committees where the organisation does not have the administrative or secretariat role. Includes:</p> <ul style="list-style-type: none"> <li>• final versions of minutes</li> <li>• agenda papers</li> <li>• reports</li> <li>• submissions</li> </ul>	<p>TEMPORARY</p> <p>Destroy 3 years after action completed or following next registration audit whichever is the latter</p>
01.08.03	<p>Records relating to the establishment of committees including the appointment of members where the organisation has the administrative or secretariat role.</p>	PERMANENT
01.08.04	<p>Records relating to the establishment of committees including the appointment of members for committees not included in 01.08.03</p>	<p>TEMPORARY</p> <p>Destroy 2 years after action completed</p>
01.08.05	<p>Records relating to the conduct and administration of committees including:</p> <ul style="list-style-type: none"> <li>• notices of meetings</li> <li>• correspondence</li> </ul> <p>See 01.08.01 and 01.08.02 for minutes and agendas.</p>	<p>TEMPORARY</p> <p>Destroy 2 years after action completed.</p>
<b>01.09.00</b>	<p><b>Compliance</b></p> <p>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series and Australian Quality Training Framework (AQTF) standards.</p> <p>See 01.06.00 for the audit of compliance against Australian Quality Training Framework (AQTF) standards.</p>	
01.09.01	<p>Records relating to registration under the Australian Quality Training Framework (AQTF) standards for Registered Training Organisations (RTOs). These records may include:</p> <ul style="list-style-type: none"> <li>• self assessments</li> <li>• applications for registration</li> <li>• certificate of registration</li> <li>• re-registration application</li> <li>• extensions to scope of registration</li> <li>• notices of changes</li> </ul>	<p>TEMPORARY</p> <p>Destroy when superseded or when reference ceases.</p>
01.09.02	<p>Records relating to major breaches of compliance with registration requirements resulting in suspension or cancellation of registration</p>	<p>TEMPORARY</p> <p>Destroy 7 years after suspension or cancellation of registration.</p>
01.09.03	<p>Records relating to minor breaches of compliance with registration requirements that do not result in suspension or cancellation of registration.</p>	<p>TEMPORARY</p> <p>Destroy 3 years after action completed.</p>

<b>01.10.00</b>	<p><b>Consultancy Services</b></p> <p>The activities involved in providing services to organisations on a fee for service basis. Includes the negotiation of fees, preparing quotations, developing criteria, determining service needs and administrative arrangements. Also includes training delivery and assessments conducted on behalf of another organisation.</p> <p><i>See 01.17.00 for training delivery and/or assessment conducted in partnership with another organisation.</i></p> <p><i>See 01.03.02 for register of agreements.</i></p>	
<b>01.10.01</b>	<p>Records relating to the provision of consultancy services to clients.</p> <p>Records may include:</p> <ul style="list-style-type: none"> <li>• agreements</li> <li>• memorandum of understanding</li> <li>• correspondence</li> <li>• vocational placement agreements</li> <li>• progress reports</li> <li>• contact notes</li> </ul>	<p><b>TEMPORARY</b></p> <p>Destroy 7 years after expiry, completion or termination of consultancy.</p>
<b>01.11.00</b>	<p><b>Contracting-Out</b></p> <p>The activities involved in arranging, procuring and managing the performance of work or the provision of services by external parties for the provision of training and assessment services.</p> <p><i>See 01.17.00 for training delivery and/or assessment conducted in partnership with another organisation.</i></p> <p><i>See 01.03.02 for register of agreements.</i></p>	
<b>01.11.01</b>	<p>Records relating to the arrangements for, and the management of, training and/or assessment services by external parties.</p> <p>Records may include:</p> <ul style="list-style-type: none"> <li>• agreements</li> <li>• memorandum of understanding</li> <li>• correspondence</li> <li>• vocational placement agreements</li> <li>• progress reports</li> <li>• contact notes</li> </ul>	<p><b>TEMPORARY</b></p> <p>Destroy 7 years after expiry, completion or termination of agreements.</p>
<b>01.12.00</b>	<p><b>Counselling</b></p> <p>The activities association with giving guidance or advice to individual clients for various reasons including disciplinary issues, access and equity, support services, etc.</p>	
<b>01.12.01</b>	<p>Records relating to counselling provided to individual clients.</p>	<p><b>TEMPORARY</b></p> <p>Destroy 7 years after action completed or when the client has reached 25 years of age, whichever is the latter.</p>
<b>01.13.00</b>	<p><b>Enrolment</b></p> <p>The activities associated with the enrolment and participation of agency staff or clients in training programs/courses and/or for the assessment of competencies. Includes the maintenance of personal details and the payment of fees.</p> <p><i>See 01.12.00 for advice to prospective clients relating to enrolment procedures.02.01.00 etc.</i></p>	
<b>01.13.01</b>	<p>Records documenting enrolment in training and/or assessments.</p> <p>These may include:</p> <ul style="list-style-type: none"> <li>• enrolment details</li> <li>• personal details</li> <li>• certified attendance lists</li> <li>• enrolment forms (where no other record of enrolment exists)</li> </ul>	<p><b>PERMANENT</b></p>

01.13.02	<p>Records supporting the process of enrolment in training and/or assessment. These may include:</p> <ul style="list-style-type: none"> <li>• enrolment forms</li> <li>• daily roll books</li> </ul> <p><i>See 01.13.01 where these are the only record of enrolment.</i></p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
01.13.03	<p>Records relating to the determination of fees and charges for training and assessment.</p> <p><i>See DA2157 - for financial transactions relating to the payment or refund of fees.</i></p>	<p>TEMPORARY Destroy 7 years after action completed.</p>
<b>01.14.00</b>	<p><b>Enquiries</b> The activities associated with the handling of requests for information about training delivery and assessment by staff and the general public or another organisation.</p> <p><i>See 01.02.00 for general advice to prospective clients.</i></p> <p><i>See 01.12.00 for specific counselling given to individual clients</i></p>	
01.14.01	<p>Records relating to enquiries requesting routine information.</p>	<p>TEMPORARY Destroy when reference ceases</p>
<b>01.15.00</b>	<p><b>Evaluation</b> The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.</p>	
01.15.01	<p>Records relating to the evaluation of learning and assessment materials including training packages, accredited courses, assessment resources and support materials.</p> <p><i>See 01.01.00 for the acquisition of learning and assessment materials.</i></p>	<p>TEMPORARY Destroy after next registration audit.</p>
<b>01.16.00</b>	<p><b>Grievances</b> The activities associated with the handling and resolution of grievances made by clients. Includes handling grievances over perceived discrimination, or exclusion from a course, course results and/or assessment or those arising over peers or trainers. Also includes grievances regarding the provision of access to training opportunities.</p> <p><i>See DA2157 for grievances made by agency personnel.</i></p> <p><i>See 01.04.00 for appeals against decisions.</i></p>	
01.16.01	<p>Records relating to grievances made by clients.</p>	<p>TEMPORARY Destroy 7 years after resolution or when client has reached 25 years of age, whichever is the latter.</p>
<b>01.17.00</b>	<p><b>Joint Ventures</b> The activities involved in managing joint ventures or partnerships between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations. Includes training delivery.</p> <p><i>See 01.10.00 for training delivery and/or assessments conducted on behalf of another organisation.</i></p> <p><i>See 01.11.00 for training and/or assessment services provided by an external service provider.</i></p> <p><i>See 01.18.00 for other collaboration between organisations not considered joint ventures.</i></p>	
01.17.01	<p>Records relating to the management of joint ventures or partnerships, including the establishment, maintenance and review of joint venture agreements and contracts.</p>	<p>TEMPORARY Destroy 7 years after termination of arrangement.</p>

<b>01.18.00</b>	<b>Liaison</b> The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.  <i>See 01.02.00 for formal advice.</i>  <i>See 01.17.00 for collaboration between organisations that involves contracts, joint contributions of time and/or funding.</i>	
01.18.01	Records relating to contact with national bodies, professional associations, industry bodies, private sector organisations, government agencies and community groups regarding training deliver and/or assessment. Includes membership of industry and professional bodies and collaborating on projects that are not joint ventures.	TEMPORARY Destroy after next registration audit.
<b>01.19.00</b>	<b>Marketing</b> The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.	
01.19.01	Records relating to the marketing and promotion of training and assessment services including advertising and participation in exhibitions.  <i>See DA2157 for the preparation and distribution of publications.</i>	TEMPORARY Destroy after next registration audit.
<b>01.20.00</b>	<b>Meetings</b> The activities associated with <b>ad-hoc</b> gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of training and assessment. Includes administrative arrangements, agenda, taking of minutes, etc.  <i>See 01.08.00 for the meetings of committees and task forces.</i>	
01.20.01	Records of <b>ad-hoc</b> meetings which may include the master set of: <ul style="list-style-type: none"> <li>• agenda papers</li> <li>• minutes</li> <li>• briefing papers</li> <li>• discussion papers</li> <li>• administrative arrangements</li> </ul>	TEMPORARY Destroy 2 years after action completed.
<b>01.21.00</b>	<b>Planning</b> The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.  <i>See DA2157 for overall planning to achieve corporate objectives.</i>	
01.21.01	Records relating to the development, maintenance and review of business plans for the provision and management of training delivery and assessment.  <i>See 01.28.01 for training plans and session plans.</i>	TEMPORARY Destroy 3 years after plan is superseded.
<b>01.22.00</b>	<b>Policy</b> The activities associated with developing and establishment decisions, directions and precedents, which act as a reference for future decision making, as the basis from which the organisation’s operating procedures are determined.	
01.22.01	Records illustrating the development of policy and documenting policy decisions and the establishment of precedents. Includes the final policy document.	PERMANENT

<b>01.23.00</b>	<b>Procedures</b> Standard methods of operating laid down by an organisation according to formulated policy	
01.23.01	Records documenting the development and review of Quality Management System Procedures to ensure quality training and assessments	PERMANENT
01.23.02	Copies of instructions and procedures issued by another organisation or regulatory body. These may include: <ul style="list-style-type: none"> <li>• manuals</li> <li>• guidelines</li> <li>• circulars</li> </ul>	TEMPORARY Destroy when reference ceases
<b>01.24.00</b>	<b>Reporting</b> The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies) and to provide formal statements or findings of the results of the examination or investigation.	
01.24.01	Records relating to the provision of reports to comply with internal (Quality Management System) and external reporting requirements. These may include: <ul style="list-style-type: none"> <li>• Letters of Completion,</li> <li>• Management Review Reports</li> <li>• Customer Feedback.</li> <li>• Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) reports.</li> </ul>	TEMPORARY Destroy 3 years after action completed or after next registration audit, whichever is the latter.
<b>01.25.00</b>	<b>Resource Development</b> The activities associated with the development of training courses and support materials for training delivery and assessment. These may include: <ul style="list-style-type: none"> <li>• training programs</li> <li>• support materials</li> <li>• assessment materials</li> </ul> <p><i>See 01.01.00 for the acquisition of learning and assessment materials through purchase or requisition.</i></p>	
01.25.01	Records relating to the development of resources including the organisation's involvement in or contribution to resources.	TEMPORARY Retain for the period of duration of the scope of the qualification, or until the next registration audit, whichever is the latter.
<b>01.26.00</b>	<b>Reviewing</b> The activities involved in re-evaluating or re-examining products and processes.  <i>See 01.22.00 for review of policies and 01.23.00 for the review of procedures</i>	
01.26.01	Records relating to reviews of training delivery and assessment including the collection and analysis of stakeholder and client feedback.	TEMPORARY Destroy after next registration audit.
<b>01.27.00</b>	<b>Risk Management</b> The process of involving the identification of risks and the implementation of appropriate practices and procedures that will reduce the risk arising from an incident.	
01.27.01	Records relating to the development and documentation of procedures to identify and manage risks, including risks related to compliance with the standards for Registered Training Organisations (RTOs)	TEMPORARY Destroy 7 years after action completed.

<b>01.28.00</b>	<p><b>Training Delivery</b> The processes involved in the delivery of training.</p> <p><i>See 01.05.00 for Assessment</i></p>	
01.28.01	<p>Records documenting training delivery. These may include:</p> <ul style="list-style-type: none"> <li>• delivery and assessment strategies</li> <li>• training plans</li> <li>• session plans</li> <li>• training materials</li> </ul> <p><i>See 01.05.00 for the assessment process</i></p>	<p>TEMPORARY Destroy 5 years after last use.</p>
01.28.02	<p>Records relating to administrative arrangements for training delivery which may include:</p> <ul style="list-style-type: none"> <li>• training delivery personnel</li> <li>• venue bookings</li> <li>• equipment bookings</li> <li>• timetabling</li> <li>• training notices</li> </ul>	<p>TEMPORARY Destroy when reference ceases.</p>



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