

Dear [REDACTED]

I refer to your application under section 30 of the *Freedom of Information Act 2016* (the Act) received by the Canberra Institute of Technology (CIT) on 22 January 2018 in which you sought access to:

Documents providing for the implementation of ASQA's general direction on the secure retention requirements for assessment items including RPL assessment evidence used for decision making by CIT.

I am an Information Officer appointed by the CIT CEO under section 18 to deal with access applications made under Part 5 of the Act. CIT was required to provide you with a decision on your access application by Tuesday 20 February 2018.

The information that you have requested is outlined in the CIT Assessment Policy that is available on the CIT website.

Principle 3.2 of the policy states:

All assessment, including that conducted by Skills Recognition, in nationally recognised VET programs undertaken at CIT will be conducted in accordance with the principles of assessment and the rules of evidence as required by the Standards for Registered Training Organisations (RTOs) 2015 and as set out in training packages.

Principle 3.14 of the policy states:

All student assessment items and records will be kept in accordance with all relevant legislation and policies as listed below.

It is this direction that guides the implementation of ASQA's general direction on the secure retention requirements of assessment items at CIT. As the information is publically available I have decided to refuse to deal with your application under section 43 1(d) and section 45 (a) of the Act.

### Ombudsman Review

My decision on your access request is a reviewable decision as identified in Schedule 3 of the Act. You have the right to seek Ombudsman review of this outcome under section 73 of the Act within 20 working days from the day that my decision is published on CIT's disclosure log, or a longer period allowed by the Ombudsman.

If you wish to request a review of my decision you may write to the Ombudsman at:

The ACT Ombudsman  
GPO Box 442  
Canberra ACT 2601  
email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)

### ACT Civil and Administrative Tribunal

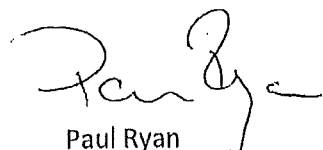
Under section 84 of the Act, if a decision is made under section 82 (1) on an Ombudsman review, you may apply to the ACAT for review of the Ombudsman decision.

Further information may be obtained from the ACAT at:

ACT Civil and Administrative Tribunal  
Level 4, 1 Moore Street  
GPO BOX 370  
Canberra City ACT 2601  
Phone: 02 62071740  
[www.acat.act.gov.au](http://www.acat.act.gov.au)

If you have any queries concerning CIT's processing of your request, or would like further information, please contact me directly on 6207 4955.

Yours sincerely



Paul Ryan  
Information Officer  
Canberra Institute of Technology  
19 February 2018

## FREEDOM OF INFORMATION (FOI) REQUEST

Canberra Institute of Technology  
officeofthechiefexecutive@cit.act.edu.au

My reference: FOICIT20180122

Date: 22 January 2018

Name of applicant: [REDACTED]

Address: [REDACTED]

Telephone: NO calls entertained. Email at: [REDACTED]

### Purpose

*1. This application has been made in the spirit (and letter of course) of section 6 with special reference to paragraphs 'c', 'd', and 'g' of the section as well as Schedule 2, section 2.1 of the FOI Act 2016.*

2. The specific purpose of this FOI request is to determine 'if CIT staff are in breach of the FOI Act 1989 and Australian Skills Quality Authority's General Direction made under section 28(1) of the National VET Regulator Act 2011 on the retention requirements for completed student assessment items including the RPL assessment documentation including interview templates.

### Background

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

#### Information Requested

1. I would like to access **document(s)** containing provisions of the FOI Act 1989 and other administrative law relied upon, referred to, and used by Mr Ryan in considering my FOI requests, FOICIT20171127 and FOICIT20171211 to be NOT under the FOI Act 1989.
2. I would like to access **documents providing for the implementation of ASQA's general direction on the secure retention requirements** of assessment items including RPL assessment evidence used for decision making by CIT. A copy of the direction has been attached.
3. I would like to access the policy document, as described under section 23(2) of the *Freedom of Information Act 2016*, which provides the information on the following.
  1. The classification (including security classification) of **records** especially assessment records, with a particular reference to the assessment evidence collected and recorded on interview templates, interview notes and other notes gathered through face to face competency assessments and conversations by assessors for making a determination of RPL applications **in line with the ASQA DIRECTION**.
  2. Processes, roles and responsibilities of all CIT staff including teaching staff on:
    - a. methods/processes of care and handling of assessment/interview records
    - b. duration of retention of assessment/interview records and location: how long to keep these records and where: files and filing cabinets, online records management system/database
    - c. destruction of records: who will destroy assessment/interview record when and how

d. authorisation for destruction: who will authorise the destruction of the original assessment evidence record and how."

4. Given the modifications noted in para 6 of the previous section in the Policy document, all documents requested under FOI must be provided with all its document properties including the changes and time and date stamp.

**Providing the requested information**

A copy of these documents be mailed to the above address as well as scanned and emailed to [REDACTED]

**Fee waiver**

For any and all pages above 50 allowed under the Act, I seek waiver of the processing fees and charges in accordance with section 107 of the 2016 Act on the grounds of:

Personal Affairs

Public Interest

Financial Hardship

Other grounds (please describe below)

Signature:

P.S.

A message for the college director [REDACTED] to follow through on her commitment of 20 October 2017 and respond to all lies and wrongdoings of the BTA officials. This will be a standard paragraph in my communication with CIT until a satisfactory response is received.



Dear [REDACTED]

I refer to your application under section 30 of the *Freedom of Information Act 2016* (the Act) received by the Canberra Institute of Technology (CIT) on 22 January 2018 in which you sought access to:

1. Provisions of the FOI Act 1989 and other administrative law relied upon, referred to, and used by Mr Ryan in considering my FOI requests, FOICIT20171127 and FOICIT20171211 to be NOT under the FOI Act 1989.

2. Documents providing for the implementation of ASQA's general direction on the secure retention requirements for assessment items including RPL assessment evidence used for decision making by CIT.

3. Policy documents, as described under section 23(2) of the *Freedom of Information Act 2016*, which provides the information on the following.

1. The classification (including security classification) of **records** especially assessment records, with a particular reference to the assessment evidence collected and recorded on interview templates, interview notes and other notes gathered through face to face competency assessments and conversations by assessors for making a determination of RPL applications **in line with the ASQA DIRECTION.**
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  - a. methods/processes of care and handling of assessment/interview records
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  - c. destruction of records: who will destroy assessment/interview record when and how
  - d. authorisation for destruction: who will authorise the destruction of the original assessment evidence record and how."

I am an Information Officer appointed by the CIT CEO under section 18 to deal with access applications made under Part 5 of the Act.

Further to my response of 13 February 2018, and in light of the Ombudsman's review, I have reconsidered the scope of your application made on 22 January 2018 and identified additional information that I consider falls within your request. Under section 36 (2) I have decided to make a further decision in relation to the additional information under section 35 of the Act.

I will address each of your requests in order. In relation to:

1. The *Freedom of Information Act 1989* was used in the decisions of the request received by [REDACTED] on 27 November 2017 and 12 December 2017. The Act is publically available.

2. In relation to ASQA's general direction on the secure retention requirements for assessment items including RPL assessment evidence used for decision making by CIT I have identified four documents that are detailed in the attached schedule. I have decided to release all documents to you in full.

3. Records management is covered in the CIT Records Management Policy and Procedures which has previously been provided to you. Disposal Schedules are used by CIT when records are created in the Corporate Recordkeeping System (CRS) HPE Content Manager. These schedules are considered by the Territory Records Advisory Council prior to approval by the Director of Territory Records and their implementation by agencies.

CIT also relies on the ACT Government Standard and Guidelines for Records, Information and Data that is publically available at <https://www.territoryrecords.act.gov.au/standards>

Principle 6: Retain Principle specifically deals with ensuring destruction of records, information and data is managed appropriately.

Records Disposal Schedules are found on the ACT Government Legislation website. The specific schedule used to classify Student Records is: Territory Records (Disposal Schedule Student Management Records) NI2016-568.

### **Ombudsman Review**

My decision on your access request is a reviewable decision as identified in Schedule 3 of the Act. You have the right to seek Ombudsman review of this outcome under section 73 of the Act within 20 working days from the day that my decision is published on CIT's disclosure log, or a longer period allowed by the Ombudsman.

If you wish to request a review of my decision you may write to the Ombudsman at:



The ACT Ombudsman  
GPO Box 442  
Canberra ACT 2601  
email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)

**ACT Civil and Administrative Tribunal**

Under section 84 of the Act, if a decision is made under section 82 (1) on an Ombudsman review, you may apply to the ACAT for review of the Ombudsman decision.

Further information may be obtained from the ACAT at:

ACT Civil and Administrative Tribunal  
Level 4, 1 Moore Street  
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Canberra City ACT 2601  
Phone: 02 62071740  
[www.acat.act.gov.au](http://www.acat.act.gov.au)

If you have any queries concerning CIT's processing of your request, or would like further information, please contact me directly on 6207 4955.

Yours sincerely



Paul Ryan  
Information Officer  
Canberra Institute of Technology  
13 April 2018



## Freedom of Information Request Schedule

Name	What are the parameters of the Request					File no.
	<p>1. I would like to access <b>document(s)</b> containing provisions of the FOI Act 1989 and other administrative law relied upon, referred to, and used in considering my FOI requests, FOICIT20171127 and FOICIT20171211 to be NOT under the FOI Act 1989.</p> <p>2. I would like to access <b>documents providing for the implementation of ASQA’s general direction on the secure retention requirements</b> of assessment items including RPL assessment evidence used for decision making by CIT. A copy of the direction has been attached.</p> <p>3. I would like to access the policy document, as described under section 23(2) of the <i>Freedom of Information Act 2016</i>, which provides the information on the following.</p> <p>1. The classification (including security classification) of <b>records</b> especially assessment records, with a particular reference to the assessment evidence collected and recorded on interview templates, interview notes and other notes gathered through face to face competency assessments and conversations by assessors for making a determination of RPL applications <b>in line with the ASQA DIRECTION</b>.</p> <p>2. Processes, roles and responsibilities of all CIT staff including teaching staff on:</p> <p>a. methods/processes of care and handling of assessment/interview records</p> <p>b. duration of retention of assessment/interview records and location: how long to keep these records and where: files and filing cabinets, online records management system/database</p> <p>c. destruction of records: who will destroy assessment/interview record when and how</p> <p>d. authorisation for destruction: who will authorise the destruction of the original assessment evidence record and how.”</p>					CIT2018-006
Ref No.	No of pages	Description	Date	Status	Reason for exemption	Online Release status
1.	1	Student Records Checklist – August Mock Audit	29/6/2016	Release		release
2.	3	Standards for RTOs 2015 – Staff Intranet Page	July 2016	Release		Release
3.	3	Administrative Procedures - Staff Intranet Page	July 2016	Release		Release
4.	5	CIT Newsfeed – Retaining Student Assessments	16/11/2016	Release		Release





## Student Records Checklist– August Mock Audit

Student Name		CIT Number	
Program Name		Program Code	
		National ID	
Handbook Entry (WEB)	<input type="checkbox"/> Attached		

Enrolment Form (completed and signed)	<input type="checkbox"/> Attached <input type="checkbox"/> Not applicable
Student Type	<input type="checkbox"/> General <input type="checkbox"/> Apprentice <input type="checkbox"/> Trainee <input type="checkbox"/> Skilled Capital <input type="checkbox"/> International <input type="checkbox"/> Other
Certified Copies of Entry Requirements	<input type="checkbox"/> Attached <input type="checkbox"/> Not applicable
LLN Assessment	<input type="checkbox"/> Attached
Interview Record (if applicable, eg: User Choice)	<input type="checkbox"/> Attached <input type="checkbox"/> Other (Verbal etc) <input type="checkbox"/> Not applicable
Training Plan (TP)	<input type="checkbox"/> Attached <input type="checkbox"/> Not applicable
Variations to enrolment/TP (details)	<input type="checkbox"/> Attached <input type="checkbox"/> Not applicable
Skills Recognition Application, including outcome and evidence	<input type="checkbox"/> Application attached <input type="checkbox"/> Evidence attached <input type="checkbox"/> Not applicable
Additional Student Support if provided (eg: individual tuition, extensions etc) Include all communications eg: email/eLearn	<input type="checkbox"/> Attached <input type="checkbox"/> Not applicable
<u>All completed assessment items</u> for APPRENTICE, SKILLED CAPITAL, TRAINEE - for every enrolled or completed unit of competency since student commenced program of study at CIT	<input type="checkbox"/> Attached
<u>All completed assessment items</u> for GENERAL or INTERNATIONAL Student - for 201610 enrolled/completed units of competency	<input type="checkbox"/> General Student Assessments Attached <input type="checkbox"/> International Student Assessments Attached
Compliance Report or Student Progress Report	<input type="checkbox"/> Attached

INTERNATIONAL STUDENT	<input type="checkbox"/> Yes
International Handbook Entry	<input type="checkbox"/> Attached
International Student Schedule SWRE012	<input type="checkbox"/> Attached
IELTS Results (from ISU) & any other relevant docs	<input type="checkbox"/> Attached

### NOTES:



[Home](#)[Support](#)[CIT Teaching & Learning](#)[Standards for RTOs 2015](#)

## Standards for RTOs 2015

### Standards for Registered Training Organisations (RTOs) 2015

As a Registered Training Organisation, CIT is required to comply with the *Standards for Registered Training Organisation (RTOs) 2015* which are regulated by the Australian Skills Quality Authority (ASQA).

Each CIT staff member needs to be aware of the Standards which apply to all aspects of operation at CIT.

The Standards were amended in May 2017 to update the qualification requirements for trainers and assessors.

- [Standards for Registered Training Organisations \(RTOs\) 2015 \(PDF 550Kb\)](#)
- [Standards for RTOs Amendment 2017 \(PDF 522Kb\)](#)
- [ASQA's web version of the User Guide to the Standards for RTOs 2015](#)
- [ASQA's PDF version of the User Guide to the Standards for RTOs 2015 \(PDF 2.5Mb\)](#)
- [ASQA's FAQs relating to the Standards](#)
- [ASQA's website](#)

### Applying the Standards at CIT

The information and links below access to CIT's forms and processes that directly relate to training and assessment requirements within the Standards.

Please click on the plus/minus sign to expand/collapse information about each topic.

<b>The Trainer Skills Matrix (TSM)</b>	<b>+</b>
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<b>Mapping</b>	<b>+</b>
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<b>Assessments and Teacher Guide</b>	<b>+</b>
<b>Training and Assessment Strategy</b>	<b>+</b>
<b>Subject Guide</b>	<b>+</b>
<b>Learning Resources</b>	<b>+</b>
<b>Industry Engagement</b>	<b>+</b>
<b>Validation</b>	<b>+</b>
<b>Quality Assurance including PRI</b>	<b>+</b>
<b>Skills Recognition</b>	<b>+</b>
<b>Student Records</b>	<b>-</b>

The Standards for RTOs 2015 require CIT to ensure that we are storing student records, such as student assessments and student interactions appropriately. From the beginning of Semester 2 2016, teaching areas are asked to store student records by the individual student within each Department. This can be either paper based; through eLearn; or, if you have received training, through TRIM. It is also important to ensure that these are stored centrally (if paper based) within the Department areas.

You may find the [Student Records Checklist](#) useful in storing and managing student records within your team.

If you have any further questions about the administration of student records please contact Education Quality staff on 74114 or 73477 for assistance.

<b>Learner Transition</b>	<b>+</b>
<b>Marketing and Promoting Qualifications and Competencies</b>	<b>+</b>
<b>Previous Audits</b>	<b>+</b>



**Contact Information**

**Please note:** The above timeframes and processes specified are for whole of CIT purposes. Colleges may impose earlier timeframes and additional steps within processes to meet College/Department needs. Please contact your Head of Department or Director to confirm timeframes and processes within your relevant areas.

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## Canberra Institute of Technology

### Staff Information Site

[Home](#)[Support](#)[CIT Teaching & Learning](#)[Education Resources](#)[Assessment](#)[in CIT](#)[Administrative procedures](#)

## Administrative procedures

See also: Principle 10 – Administrative Procedures, [CIT Assessment Policy](#)

### What assessment administrative procedures do teachers need to implement?

#### Record keeping and entering results

Teachers need to keep accurate records of students' assessments and results, and need to note the following points:

- Record keeping must ensure that information kept is **secure and confidential**.
- Roll books showing attendance of students and their assessment results need to comply with [Roll Procedures](#) and [Rolls Policy \(Record of Attendance and Assessment\)](#).
- When **entering final results** on CIT's student information management system, Banner, you need to do so with another colleague to ensure results are entered correctly. You cannot update final results once they have been entered and rolled into academic history in Banner. An exception to this is when you entered a positive grade that should have been a negative grade. You need to contact Banner Assist to immediately update this result according to the instructions given under '[update of results](#)'.

#### Results codes:

It is very important to use the correct final result codes. These are clearly listed and explained in Attachment A – [CIT Result Codes from the CIT Assessment Policy](#) (last page).

#### Retaining assessment records

There are strict requirements around retaining assessment records.

- Roll books need to be kept for seven years using rolls from Banner, or for online students, appropriate documents showing participation and grade results from eLearn.
- Program Review and Improvement records including assessment tools, need to be kept for 10 years after the assessment is undertaken.
- Student assessment items need to be retained according to Principle 10 of the Assessment Policy
- In case of an appeal or review of an assessment decision, there must be sufficient summary information retained for third parties to examine and make a judgment in the case.

## Assessment procedures

This one-page flow chart on assessment procedures is helpful:

- [Assessment Procedures](#)

## Skills Recognition and assessment procedures

You can keep up to date with these policies, procedures and resources by visiting:

- [Skills Recognition](#)

## Excellent resources

See the [Teacher Toolkit \(including AUDIT requirements\)](#) found on the [Teacher Education Lounge](#). You can enrol in the 'Teacher Education Lounge' eLearn 'course' yourself and then access the **Toolkit** which consists of a number of online 'books'.

## Other Systems

[IT Self Service](#)

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## Listing News

### Retaining Student Assessments

*Section: Teaching and Learning*

*Published: 16 November 2016*

#### Retaining Student Assessments

Just a reminder to teachers to retain completed student assessment items for at least six months (life of qualification for apprentices, trainees and skilled capital students).

As detailed in the attached *ASQA General Direction: Retention requirements for completed student assessment items*, teachers need to retain

- Master copies of all assessment tools including the teacher guide for each tool and the subject guide (also retain all versions of updated assessment tools)
- All completed assessment items for every student in the past six months or at least sufficient evidence of the assessment decision.

ASQA advises in the General Direction:

*The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and 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.***

Please note from this paragraph, that just a checklist is not sufficient; you will need enough evidence to demonstrate how you made your assessment decision.

Please contact Education Services with any queries: Anita Wesney, Craig Roxburgh or Elizabeth Tomaras.

## **Download File Attachment**

*Approved by: Carolyn Grayson, Deputy Chief Executive*

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### **Other Systems**

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Page last updated on Monday, 15 June, 2015 8:40 AM



## Retention requirements for completed student assessment items

This is a general direction made under section 28(1) of the *National Vocational Education and Training Regulator Act 2011* (Cth) (the Act). This general direction was first in effect from **22 June 2012**. This version is as amended on **20 February 2013**.

A general direction may be given by the Australian Skills Quality Authority (ASQA), as the National Vocational Education and Training (VET) Regulator, on the way in which providers must comply with the VET Quality Framework and other conditions defined in the Act.

It is a condition of registration that an ASQA registered training organisation (RTO) must comply with any such general directions.

### Purpose

This general direction provides guidance to ASQA RTOs on retaining evidence demonstrating the validity of their judgement of students' competence.

ASQA will seek evidence consistent with this general direction at audit.

### Terms and definitions

#### Assessment

- The process of 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 by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of an accredited course.

### **Assessment tools**

- Assessment tools include the following components—context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules).

This term also takes in the administration, recording and reporting requirements, and may address a cluster of competencies as applicable for holistic assessment.

### **Completed student assessment items**

- The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and 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.

### **RTO**

- ASQA registered training organisation

### **RPL**

- Recognition of prior learning

### **Securely retain:**

- To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible. Records may be in hard copy or electronic format.

## **Principles underpinning the general direction**

- Standard 1.8 of the *Standards for Registered Training Organisations (RTOs) 2015*, requires an RTO to provide quality training and assessment services across all of its operations.
- Among other things, this means that assessment (including recognition of prior learning) must:
  1. meet the requirements of the relevant training package or accredited course, and
  2. be conducted in accordance with the principles of assessment and the rules of evidence, and
  3. meet workplace and, where relevant, regulatory requirements.

- While the examination of **assessment tools** at audit will determine whether an RTO has a plan in place to ensure the valid assessment of students, only the review of completed student assessment items will confirm the extent to which those plans have been implemented.

Therefore, ASQA will generally examine a sample of **completed student assessment items** at all audits except initial registration audits.

## Retention requirements

An RTO is required to **securely retain**, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, as per the definition above, for a period of six months from the date on which the judgement of competence for the student was made

### Note:

Other record-keeping requirements may apply if an RTO participates in some training and assessment activities. For example, where training and assessment is conducted under a government-funded agreement or contract, RTOs must consider the record-keeping requirements of that agreement or contract.

Qualifications, courses or units of competency that lead to regulated/licensed outcomes may also impose specific records retention requirements. RTOs should refer to specific regulatory requirements relating to that delivery area to ensure compliance.

