

Retention and Disposal Authority for Records of the Accredited Training Function

Authority number: PROS 16/01



PROS 16/01

**Retention and Disposal Authority for Records of
the Accredited Training Function**

Issued Date: 24/02/2016

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Retention and Disposal Authority for Records of the Accredited Training Function

Authority number: PROS 16/01

Retention and Disposal Authority for Records of the Accredited Training Function

Retention and Disposal Authority No	PROS 16/01
Scope	This RDA authorises the disposal of records relating to accredited training which leads to a formal qualification such as a Certificate, Diploma or Advanced Diploma delivered by a registered training organisation (RTO). This RDA can be used by all public offices.
Status	Issued by Keeper
Issue Date	24/02/2016

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List of Functions and Activities covered

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Introduction

Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

Context of this Authority

Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

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Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

Explanation of Authority Headings

Class Number

The class number or entry reference number provides citation and ease of reference.

Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

Status

This entry provides the archival status of each class - either permanent or temporary.

Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2). The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*

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Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Public Offices, all. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked prior to that date.

[Signed]

Justine Heazlewood, Keeper of Public Records

Date of Issue: 24/02/2016

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No	Function/Activity	Description	Status	Disposal Action
1	Accredited Training	<p>The management of training which leads to a formal qualification such as a Certificate, Diploma or Advanced Diploma delivered by a registered training organisation (RTO) and which align to the Australian Qualifications Framework (AQF).</p> <p><i>See Retention and Disposal Authority for Records of the Non-Accredited Training Function for non-accredited training which does not result in the awarding of an AQF qualification.</i></p> <p><i>See Retention and Disposal Authority for Higher and Further Education Functions for training delivered by the Higher Education sector.</i></p>		
1.1		<p>Records documenting:</p> <ul style="list-style-type: none"> • the accreditation and re-accreditation of training courses. Includes accrediting body evaluation reports and appeals. • the registration and enrolment of students; • assessment outcomes for students. Includes final and interim results and qualification certificates and statements; • formal student grievances where allegations of misconduct by the training organisation have been proven, including those presented to a panel. Includes investigation and resolution processes. 	Temporary	Destroy 30 years after action completed.

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<i>Accredited Training</i>				
1.2	Temporary - 7 yrs	<p>Records documenting:</p> <ul style="list-style-type: none"> • the agency's accreditation as an approved Registered Training Organisation (RTO) and its compliance with standards for RTOs. Includes accrediting body audit and evaluation records; • final high-level strategies and operational plans supporting the development, delivery and continuous improvement of accredited courses. Includes strategies and plans relating to training assessment, course delivery, course program data collection and analysis and client services. • master sets of material and resources developed for training course delivery. Includes programs, lecture notes, hand-outs, audio-visual and online training material; • attendance at training courses; • the development of approved methods of assessment for accredited training courses. Includes drafts and records of testing and validation; • formal student grievances where the allegations 	Temporary	Destroy 7 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>Accredited Training</i>				
		<p style="text-align: center;">of RTO misconduct cannot be proven, including those presented to a panel;</p> <ul style="list-style-type: none"> • misconduct and grievance allegations against students. 		
1.3	Temporary - 2 yrs	<p>Records documenting:</p> <ul style="list-style-type: none"> • items submitted by students for assessment, such as examination papers and written assignments; • the evaluation of training courses, such as surveys completed by course participants; • the administrative arrangements for courses, including catering, venue bookings and hiring of equipment. 	Temporary	Destroy 2 years after action completed.