

# HRD-Document retention and results release

## Document retention and results release information and advice to learners and employers

### Purpose/explanation

This advice note summarises HRD's protocols in relation to:

- entitlement to access learner assessment documents
- retaining and releasing learner assessment tasks
- protocols for issuing testamurs and releasing results.

How documents are handled and results released will conform to the *HRD-Privacy statement*.

### Related documents

*HRD-Issuing qualifications policy*

*HRD-Privacy statement*

*HRD-Refund policy*

ASQA General Direction—Retention requirements for completed student assessment items

### Definitions

Assessment task	Assessment task refers to any or all of: written research assignment, written theory test ("exam") or workplace practical assessment; and includes any contributing documents submitted by a learner as part of the assessment.
Client	The client is the employer of a learner. Training is conducted on behalf of the client; the learner is a participant in that training.
Evidence	The student's written answers or submitted supporting documents or other evidence
Learner	The student, apprentice or trainee who participates in training or a training and assessment event.
Results	Results includes (but is not limited to) the: <ul style="list-style-type: none"> <li>a) numeric/alphanumeric score achieved at an assessment – not including the learner's written answers or submitted evidence.</li> <li>b) competent or not yet competent assessment decisions.</li> <li>c) overall competency outcome for a unit of competency.</li> </ul>
Workplace practical assessment (WPA)	Workplace practical assessment is assessment conducted in the learner's workplace or in a simulated training environment as the final confirmation of competence in a unit of competency.

# PROTOCOLS

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## Document retention

1. Learner assessment tasks submitted for assessment of competence become the property of HRD Integrated Services on their receipt by HRD.

Assessment documents are archived when the course, unit of competency or learning module is complete and once a result is recorded.

2. Under the *ASQA General Direction—Retention requirements for completed student assessment items*, HRD is required to retain for 6 months from the date of assessment those assessment documents used to determine competence.

The Federal and Victorian rail regulators place no assessment document retention requirements on the RTO delivering training and assessment.

HRD retains copies of training materials relating to delivery of each course or qualification as evidence of content delivered.

3. HRD Integrated Services may elect to retain original copies of learner assessment tasks or scanned copies of original documents for up to 7 years. HRD recommends that employers re-train and/or re-assess employees within this 7 year window to confirm that competence is maintained.

However, learner assessment documents may be disposed of at any time after the mandatory ASQA General direction for document retention period expires.

4. Archived copies of learner assessment tasks are generally not made available except when HRD is under legal obligation to do so or in extenuating circumstances. Documents may be temporarily released to learners but will not be accessible to employers.

An administrative charge will be levied for retrieving archived documents.

## Results

5. HRD Integrated Services provides an official Statement of Results to the learner on satisfactory completion of all course or qualification training and assessment requirements, and provided all enrolment conditions and eligibility criteria have been met.

HRD may, at its discretion, release results or provide a letter of course completion in cases where there are outstanding assessment tasks, unmet enrolment obligations or fees owing.

An unofficial record of results can be provided at any stage during a course on request of the learner or the Client, provided there are no outstanding fees or other encumbrances.

6. For privacy reasons, access to a learner's results is granted only to the learner themselves. Release to a client or other third party requires the written consent of the learner (except where HRD has a legal obligation to release results).
7. HRD does not retrospectively issue results to employers. Clients and/or employers should approach individual employees for current results or to obtain past training records.

**RTO operations advice**  
**HRD-Document retention and results release**

**Issuing testamurs**

8. HRD issues an original printed testamur (Certificate or Statement of Attainment) to the learner, generally within 30 days of course completion and provided eligibility criteria are met. An electronic copy may also be issued.

Upon request (and with the learner's permission), HRD may simultaneously issue an electronic copy of the testamur to the Client.

Re-issue of a testamur or Statement of Results can only occur on application by the learner. Re-issue attracts an administrative fee.