

Policy Classification: RTO – ACE Program	Version 1.0:	04.07.2025
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ACE Record Keeping Policy and Procedure

Purpose:

This Policy and Procedure is developed to ensure that SGSCC English meet the record keeping requirements set out in the ACE Contract Conditions.

Policy:

SGSCC English must maintain records of all Funded Training and for all student enrolled in Funded Training for a period of **3 years** from the later of:

- (a) The completion of each Funded Unit/Module
- (b) The issue of a qualification; or
- (c) A student’s exit from the Funded Training.

Record must be valid, readily accessible, current, sufficient, authentic and capable of verification by the Department. These records must be provided to the Department within a reasonable time on request.

Any records or evidence required under the ACE Contract must be promptly provided to the Department on its request.

Procedures:

Evidence must be maintained in SGSCC English’s records includes any documents identified in the ACE Contract within the following example box:

Examples of records		
Records required for:	Evidence Type	
Training Activity		
1	Attendance	<ul style="list-style-type: none"> Class rolls with dates and signatures confirming attendance. Online course attendance records. Phone logs and emails in relation to attendance or training, assessments and other training activities submitted.
2	Learning resources	<ul style="list-style-type: none"> Copies of learning materials/resources supplied to the student, structured learning guides or navigation tools.

Examples of records		
Records required for:	Evidence Type	
		<ul style="list-style-type: none"> Records of acknowledgement of receipt of learning materials/resources by the student.
3	Support	<ul style="list-style-type: none"> Record of support provided to the student, including primary evidence of support provided, a log and/or file notes in connection with the support provided.
4	Withdrawn outcome	<ul style="list-style-type: none"> Notification of withdrawal by student (e.g. email from student) Staff Declaration (see Appendix D of Activity Schedule)
5	Participated (in relation to a Funded Unit/Module)	<ul style="list-style-type: none"> Documented evidence that the student has interacted and participated in the Funded Unit/Module with a trainer/assessor or student/learner management system in a manner that exceeds induction, mere attendance or accessing training materials
Assessment:		
1	Workplace relevance	<ul style="list-style-type: none"> Documents that demonstrate how the assessment meets the requirements of the relevant Training Package and standard of performance required in that particular workplace
2	Assessment plan	<p>Assessment plan documentation that outlines:</p> <ul style="list-style-type: none"> the Funded Units/Modules the standard of performance/criteria required by the Funded Units/Modules in the workplace; and the assessment strategies/tools/tasks to be used
3	Completed assessments	<ul style="list-style-type: none"> Completed assessment documentation (e.g. strategies/tools/tasks) for each Funded Unit/Module for the student, including the evidence used to support assessment outcomes.
4	Assessment progress and/or outcomes for each	<p>A summary record of assessment progress and/or outcomes for each Funded Unit/Module that includes:</p> <ul style="list-style-type: none"> the name and signature of the student.

Examples of records		
Records required for:		Evidence Type
	Funded Unit/Module	<ul style="list-style-type: none"> the name of the Funded Unit/Module and its identifier (National Code). the actual result which must be consistent with assessment grading (e.g. Competency Achieved/Pass or Competency Not Achieved/Fail). the type of evidence used in the assessment. an assessment record that supports the student's activity in the Funded Unit/Module. the date of the assessment. the name and signature of the assessor. evidence of participation in Funded Training by the student; and the date of participation in Funded Training.
Qualifications and Recognition:		
1	Credentials issued	<ul style="list-style-type: none"> Certified copies of credentials issued
2	Completion details	<ul style="list-style-type: none"> Records of outcomes of Qualifications, Part Qualifications or Pathway Training (if applicable) delivered.
3	Recognition of Prior Learning	<p>Records in support of the granting of Recognition of Prior Learning including:</p> <ul style="list-style-type: none"> record of observation of workplace performance, demonstration, simulation records from third parties, e.g., reports from workplace supervisors, references from past and/or present employers, testimonials from clients challenge tests on elements work samples collected and/or documented
Other record keeping requirements:		
1	Electronic signatures	Electronic signatures may be used or accepted by the ACE Provider if the ACE Provider has evidence:

Examples of records		
Records required for:	Evidence Type	
		<p>(a) that the signature can be properly attributed to the individual that is alleged to have signed; and</p> <p>(b) that the individual applied the signature electronically.</p> <p>This electronic audit trail may be confirmed, for example, through email correspondence. For assessors, a declaration may be applied to the document which states that the assessor applied the signature based on their own determination regarding competence in the task or Funded Unit/Module.</p>
2	Record keeping for online delivery	Where Funded Training is delivered via online delivery and where, for instance an attendance sheet is not marked, the ACE Provider's online delivery platform must be capable of capturing the details of a student's engagement and Participation in Funded Training. For example, if required the ACE Provider would be able to supply the Department with a report of when, what times and for what Funded Unit/Module a student logged onto the online delivery platform to undertake online learning and/or to complete an assessment task(s).
3	Record keeping for delivery by correspondence	Where Funded Training is delivered via correspondence and where, for instance an attendance sheet is not marked, the ACE Provider must retain phone logs, emails, copies of assessments and any other training activities submitted by the student.