

Training and Assessment Policy and Procedure

Purpose

The purpose of this policy and procedure is to outline the approach taken by Sarry Institute to deliver high quality training and assessment to its students.

This policy aligns closely to Standard 1 from the Standards for RTOs and ensures the strategies and practices used in relation to training and assessment are responsive to industry and student needs and meet the requirements of the qualifications and courses provided.

This policy also addresses Standards 6, and 8 from the National Code 2018.

Principles of Assessment means assessment decisions are based on the principles of fairness, flexibility, validity and reliability, which definitions of each of these as outlined below¹:

Fairness

The individual learner's needs are considered in the assessment process.

Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.

The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

Flexibility

Assessment is flexible to the individual learner by:

- reflecting the learner's needs;
- assessing competencies held by the learner no matter how or where they have been acquired; and
- drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

Validity

Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:

- assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
- assessment of knowledge and skills is integrated with their practical application;
- assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and

http://www.asqa.gov.au/verve/ resources/Users Guide to the Standards for Registered Training Organisations RTOs 2015.pdf

¹ Definitions quoted from Australian Skills Quality Authority. *User's Guide to the Standards for RTOs 2015. Accessed on December 8, 2014, from*



judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

Reliability

Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Reasonable adjustment means a modification made to the learning environment, training or assessment methods used to enable students with a disability to access and participate in training on the same basis as those without a disability. The adjustment must be 'reasonable' in that it must not impose unjustifiable hardship on the person or the RTO.

Recognition of Prior Learning or RPL means an assessment process that assesses the competency(s) of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package of VET accredited courses. For definitions of formal, non-formal and informal learning, refer to the definitions in ASQA's User's Guide for the Standards for Registered Training Organisations 2015².

RTO means Registered Training Organisation

Rules of Evidence means that the evidence on which an assessment decision is based is valid, sufficient, authentic and current, with definitions for each as outlined below: 3

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgment to be made of a learner's competency
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Policy

1. Delivery of quality training

- Sarry Institute provides quality training to its students for all Courses. This means:
 - Providing an appropriate amount of training for each Course to ensure effective outcomes for students in line with industry expectations, Training Package or VET Accredited Course requirements, and AQF requirements.
 - Providing suitable educational and support services sufficient to meet the numbers of students enrolled with the RTO.

http://www.asqa.gov.au/verve/ resources/Users Guide to the Standards for Registered Training Organisations RTOs 2015.pdf

Definitions quoted from ASQA as above.

² Definitions quoted from Australian Skills Quality Authority (ASQA). User's Guide to the Standards for RTOs 2015. Accessed on December 8, 2014, from



- Providing training resources that are accessible to students regardless of their location or mode of delivery.
- Ensuring there are sufficient numbers of skilled trainers and assessors who are appropriately
 qualified and experienced in line with the Standards (Clause 1.13-1.25) and the RTO's Skilled
 Trainers and Assessors Policy and Procedures, who are able to deliver the Courses on the RTO's
 scope to the number of students enrolled with the RTO.
- Identifying the support that each individual student needs prior to their commencement or enrolment with the RTO (whichever is first) and providing access to the educational and support services necessary to meet these needs and Course outcomes.

2. Training and Assessment Strategies and industry consultation

- Sarry Institute engages effectively with industry on each of the Courses it develops and/or delivers and uses industry feedback and input to contribute to the way in which a Course is delivered and structured.
- A comprehensive Training and Assessment Strategy is developed and implemented for each Course on Sarry Institute's Scope of Registration. Training and Assessment Strategies are developed in consultation with industry and meet the requirements of the training package or VET Accredited Course.
- Training and Assessment Strategies are reviewed annually to ensure they remain current and reflect the current needs of industry.
- Training and Assessment Strategies are designed to be detailed so as to ensure that they can be used as the road-map to the delivery of each course, in conjunction with Sarry Institute's policies and procedures.
- Trainers and assessors are provided with the Training and Assessment Strategy for each Course they train and/or assess to ensure consistency and compliance with the requirements

3. Suitable and sufficient resources

 Sarry Institute ensures it has access to suitable resources, facilities and equipment to deliver all Courses on its Scope of Registration. This includes access to a sufficient number of qualified trainers and assessors, relevant training rooms, learning aids, machinery, tools, workplaces or simulated workplace environments that appropriately reflect a workplace that a student is likely to work in once qualified.

4. Assessment principles

- Sarry Institute has an assessment system that ensures assessment:
 - Is conducted in accordance with the Rules of Evidence and the Principles of Assessment.
 - Is conducted in line with the requirements of the relevant Training Package or VET Accredited Course.
 - Requires the student to demonstrate all of the skills and knowledge outlined in the components of the relevant unit of competency or module.



- Requires the student to demonstrate the ability to perform tasks in a variety of situations, adapt to different contexts and environments and perform tasks to an appropriate level expected by a workplace.
- Considers' the students' dimensions of competency when making all assessment decisions.
- To ensure no students are disadvantaged, where required assessors will make Reasonable Adjustments to assessment tasks or processes to accommodate individual needs and record these adjustments.
- Sarry Institute has a plan for, and implements, systematic validation of assessment practices and judgments. Refer to the Assessment Validation Policy & Procedure for further information.

5. Assessment documentation

- Assessment documentation has been developed for all units of competency or modules in each Course. These documents include:
 - Detailed instructions to the student about the tasks they must complete
 - Benchmark answers and decision making rules for the assessor
 - Recording tools for the assessor
 - Mapping documents showing how the assessment tasks relate to the requirements of the unit of competency or module.
- In some cases, Sarry Institute may have grouped units of competency or modules together to form a cluster/subject. In this case, assessment requirements may relate to a group of units rather than one unit, however this will be made clear in the assessment task instructions, in the Training & Assessment Strategy and in course information provided to students.

6. Submission, feedback and re-assessment

- Students must submit each task with a completed and signed Assessment Task Cover Sheet within timelines specified in the assessment instructions.
- Written and theoretical tasks will be assessed within 4 weeks of submission. Each task will be marked
 as Satisfactory or Not Satisfactory. A unit or module will be marked as Competent once all tasks for
 the unit or module have been marked as Satisfactory.
- Students have up to three attempts per assessment task. Where a task is marked as Not Satisfactory, the student will be provided with feedback and be given the opportunity to resubmit/re-attempt the task.
- Where a student exhausts their attempts at re-assessment, the student will be required to re-enrol in the unit or module, participate in further training and undertake the whole assessment again.
- Students will receive detailed feedback for each task either in written or verbal form from their assessor.

7. Assessment appeals

• Students have the right to make an appeal against an assessment decision by following the Complaints and Appeals Policy and Procedure.



8. Recognition of Prior Learning (RPL)

- Recognition of Prior Learning is available for all Courses and all students are offered the opportunity to participate in RPL upon enrolment.
- A streamlined RPL process has been developed which requires the student to make a selfassessment of their skills, participate in an interview with an assessor, provide documentary evidence and demonstrate practical skills where relevant.

9. Student plagiarism, cheating and collusion

 Students are expected to complete all assessments ethically: without plagiarism, collusion or cheating. Any students suspected of unethical behaviour will be managed through the disciplinary procedures which may require the student to attend disciplinary meetings, submit their assessment again, or for repeated acts may be asked to withdraw from the course.

10. Arrangements with third parties to deliver training and assessment

Any third party delivering training and assessment services on behalf of Sarry Institute are required to
deliver them in line with Sarry Institute's policies and procedures. Refer to the *Third Party Agreements*Policy and Procedures for further detail. Where the third party is an education agent, the Education
Agents Policy and Procedures should be followed.

11. Record keeping

Sarry Institute will comply with the requirements of ASQA's General Direction: Retention requirements
for completed assessment requirements available at
https://www.asqa.gov.au/sites/g/files/net2166/f/GENERAL_DIRECTION_Retention_requirements_for_completed_student_assessment_items.pdf. This means that assessments and all corresponding
evidence will be kept on file for at least 6 months after the assessment decision has been made.

12. Feedback and improvements

 Sarry Institute collects feedback about its training and assessment practices and systems from students, trainers/assessors and industry. Feedback will be collected regularly, collated and analysed in order to bring about effective improvements. Refer to the *Quality Assurance Policy & Procedures* for further details.

Procedures

Procedure		Responsibility
A.	Session plans and supporting materials	Trainer/Assessor
•	Sessions are to be delivered using the <u>approved</u> session plan for the topic/unit / module.	
•	Session plans are a summary of the content and activities to be covered in each session and refer the trainer to relevant parts of learning and assessment materials to be covered.	
•	They will often be supported by other resources such as PowerPoints,	



Procedure		Responsibility
	handouts, textbooks etc. Supporting materials will be outlined on the plan.	
•	Session plans ensure that what should be covered in a session is covered. Trainers are able to adjust session content to suit the needs of the group where required.	
•	Trainers should provide feedback for improvement to session content and materials.	
В.	Session delivery	Trainer/Assessor
•	All sessions are to be delivered according to the approved session plans.	
•	The trainer should set up the class-room to suit the requirements of the session.	
•	All students should sign the Attendance Roll.	
•	The trainer should ensure all details on the roll are correct and all students have signed, and then sign it at the bottom.	
•	Trainers should collect session feedback as required according to the <i>Quality Assurance Procedures</i> on Feedback and Surveys.	
•	Students may require individual support during, before and after classes. This should be documented accordingly	
•	The completed attendance roll should be provided to the head office for data entry within one week.	
C.	Simulated workplace environments	Trainer/Assessor
•	Simulated workplace environments to be used in class should be set up to accurately reflect a real working environment as closely as possible.	
•	Information on how this is to be set up should be outlined in the TAS.	
•	Simulated environments should be used during training so that students have the opportunity to practice skills using appropriate facilities and equipment that might normally be used in a workplace.	
•	Assessments may occur in a simulated environment where outlined in the assessment materials and where allowed and suitable by the Training Package or VET Accredited Course.	

1. Student support

Procedure		Responsibility
	A. Assessing individual needs	Administration Team
	Application or Enrolment Forms are to be reviewed to identify if the student has indicated they require any additional support on the form.	



Pro	cedure	Responsibility
•	Individual needs may also be identified verbally during initial enquiry, entry /pre-training interviews or other.	
•	Where individual support needs have been identified this to be referred to the Director of Studies or Trainer.	
•	The Director of Studies or Trainer will further discuss the needs with the student to identify how the RTO can support the student. An individual support plan may be developed to assist the student through the course. Or, the student may be referred to an external service for support before enrolment – this might be to English language courses, employment support, lower level or more suitable qualifications delivered by other providers.	
•	A student may not be offered a place for enrolment if the RTO is not able to support the student in the course.	
•	An LLN assessment may be conducted to identify the level of support required.	
В.	Language, literacy and numeracy assessments	Trainer/Assessor
•	Students may be required to complete an LLN assessment as part of the enrolment process. This will be conducted during the enrolment process and before a place in the course is offered.	
•	There is a different LLN assessment for each course.	
•	The trainer/assessor should use the LLN Marking Guide to assess the test.	
•	The outcome will be used to identify the current level of LLN skills the student has and the support required for the course. An individual support plan may be developed to outline the support required for the student.	
C.	Individual support plans	Trainer/Assessor
•	For students that have had individual support requirements identified, an Individual Support Plan will be developed which will outline the strategies used to provide the student with additional support over and above what is normally offered in the course.	
•	This may include:	
	 Additional one-on-one support from the trainer/assessor. 	
	 Assigning of a mentor/coach that is able to provide additional support in the workplace and who works closely with the student and the trainer/assessor. 	
	 Adjustments to the way training resources are accessed or provided. 	
	 Adjustments to the way assessments are to be conducted or extra time for assessments. 	
	 Additional online support 	



Procedure		Responsibility
	Linking with additional resources in the community	
D. •	Orientation Provide an orientation on the first day of the course to international students about adjusting to life and study. The orientation will include as a minimum the	Student Support Services Officer
	following information:	
	 Support services within Sarry Institute available including services to assist students to meet course progress and attendance requirements Include details of services that can be provided e.g. one to one support from trainer, study groups, 	
	 Welfare-related support services (no cost and where the student is referred to an external service, there is no cost for the referral), including that these services are provided at no cost Include detail as access to a counsellor contracted by organisation, referral to external services – list services. 	
	 Contact details for Sarry Institute's point of contact for support 	
	 Details of legal services that students may access 	
	 Information about and contact details for emergency and health services 	
	 Facilities and resources available on campus 	
	 Complaints and appeals processes; and 	
	 Information on visa conditions relating to course progress and attendance. 	
•	Remind students that the information provided at orientation is included in the Student Handbook.	
•	Where a student commences their course after the first day of orientation, provide the student with a one to one orientation.	
E.	Ongoing support	Student Support
•	Provide ongoing support services to students as required and as per the services indicated in the orientation.	Services Officer
•	Update details of support staff if contact details change.	

2. Reasonable adjustments

Pro	ocedure	Responsibility
A.	Making Reasonable Adjustments	Trainer/Assessor
•	Reasonable Adjustments may be required to training and/or assessment methods for students with a disability to provide them with the same educational opportunities as everyone else.	
•	Assessors can refer to this guide for further information about how and when to make reasonable adjustments	



Procedure	Responsibility
https://www.velgtraining.com/library/files/Reasonable%20Adjustment.pdf	
 When determining whether an adjustment is reasonable, consider the information in the above mentioned guide and refer to the Disability Standard for Education 2005. https://education.gov.au/disability-standards-education 	
Where a reasonable adjustment is made to assessment, this should be documented in the Assessment Record Tool.	

3. Conducting assessments

Procedure		Responsibility
A.	Preparing for assessment	Trainer/Assessor
•	Requirements of assessment for each unit/module/cluster are outlined for the student in the Assessment Task Booklet and instructions are provided for assessors in the relevant Marking Guide.	
•	Ensure students are advised of the assessment requirements at the start of the unit/ module/ cluster and they show their agreement by signing the Assessment Plan.	
•	Ensure students are advised of relevant due dates for each assessment task if applicable.	
•	Reasonable Adjustments required should be recorded on the plan where relevant.	
В.	Assess written work and provide feedback	Trainer/Assessor
•	Each written Assessment Task should be submitted by the student with a signed and completed Assessment Task Cover Sheet. Students can use the one cover sheet to submit multiple tasks.	
•	Students should be advised to keep a copy of their written work as it will not be returned to them and they are responsible for providing a new copy if an assessment goes missing in the post.	
•	Submitted assessment tasks should be assessed within 4 weeks of it being received.	
•	Provide students with detailed written feedback on the Assessment Task Cover Sheet. A copy of the cover sheet will be kept on the student's file with the assessment tasks, and the original cover sheet will be returned to the student.	
•	Assessors may use additional verbal questioning to fill gaps in written tasks where they deem it necessary to determine competence. This will be recorded in the Assessment Record Tool.	
C.	Assess practical tasks	Trainer/Assessor



Procedure		Responsibility
•	Practical tasks may be assessed during classes and/or visits. Instructions for completing tasks will be outlined in the relevant <i>Assessment Task Booklet</i> .	
•	A record of the observations made during the assessment should be recorded in the Assessment Record Tool. During a visit, feedback can be documented on the Workplace Visit Form.	
•	A student should be given a verbal summary of the feedback and asked to sign the Assessment Record Tool to confirm they have received their outcome.	
D.	Recording outcomes	Trainer/Assessor
•	Record the outcome of the assessment task on the Assessment Outcome Page in the Assessment Record Tool.	
•	Each task should be given an outcome of either Satisfactory or Not Satisfactory.	
•	A student will receive a Competent outcome once all the tasks for a unit have received a Satisfactory outcome.	
•	A Not Yet Competent outcome will be recorded against a unit where either:	
	 All tasks have been assessed and some or all have been marked as Not Satisfactory, or 	
	 Only some tasks have been submitted even if they have all been marked as Satisfactory. 	
E.	Re-submission	Trainer/Assessor
•	Students have up to three attempts per assessment task to achieve a Satisfactory outcome.	
•	Resubmission outcomes should follow the same process for feedback and recording as outlined above.	
•	If a student has attempted a task three times but hasn't achieved a Satisfactory outcome after the third attempt, the student must re-enrol in the unit or module and undertake further	

4. Recognition of Prior Learning

Procedure	Responsibility
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A. Discuss RPL and provide self-assessment

- Ensure all students are aware that they may apply for RPL.
- Upon receiving a student enquiry about RPL discuss prior learning that may relate to the units in the program they are enrolling in considering formal, non-formal and informal learning as described below:
 - formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree)
 - non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in house professional development programs conducted by a business), and
 - informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).⁴
- Based on discussions make a recommendation based on the candidates prior learning, however students can make their own decision about whether or not to proceed.
- If students still want to proceed provide them with the RPL Self-assessment.

B. Candidate completes self-assessment

- The candidate completes an initial self-assessment against the units/qualification they are seeking RPL for using the instructions included in the tool. This self-assessment process will help them decide whether RPL is a suitable pathway.
- Ensure RPL candidate has the contact details of a trainer/assessor to consult in relation to their Self-assessment if needed.
- The RPL candidate should then return the completed self-assessment along with the RPL Application Form (which is included in the Self-assessment), a copy of their CV and any certified copies of relevant qualifications back to Sarry Institute.

Administration Officer

RPL candidate

Administration Officer

RPL candidate

⁴ Definition taken from the <u>User's Guide to the Standards for Registered Training Organisations (2015)</u>: http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/appendices/appendix-1/appendix-1.html



C. Assessor reviews self-assessment

- Assessor
- Review the self-assessment checklists to determine if the candidate is suitable
 to proceed with the RPL process and record these discussions in the RPL
 Assessor Record (under Self-Assessment Review and Discussion). This will
 include contacting the candidate to discuss the following:
 - Their work experience and anything of interest in their CV (for example, has the candidate worked in a different number of job roles, have they worked in a number of different workplaces, or the same one, professional development experiences, etc.).
 - The items they ticked/did not tick in their self-assessments.
 - The items listed in their evidence brainstorm (for example, will these add value to their application, or will you see evidence of their work when they complete the assigned tasks?).
 - The third party person who is it, how long have they known the candidate in a professional capacity, etc.
 - Decide on the candidates suitability for RPL and:
 - If eligible indicate those units which the candidate can proceed with RPL for in the RPL Assessor Record (Assessment Outcome Summary) and the RPL Third Party Report.
 - If the candidate's work experience, skills and knowledge do not accurately reflect the requirements of the qualification or units therein, the candidate, provide the candidate with information about formal training opportunities for this qualification. The candidate can then make a decision as to whether they would like to enrol in the course.

Administration Officer

D. Application fee and enrolment processed

- If eligible provide the candidate with:
 - Written agreement
 - Invoice for RPL assessment including adjusted payment plan
 - RPL Evidence Tool
 - RPL Third Party Report (with units indicated by the Assessor)
- Once the written agreement and application fee is received, process enrolment in accordance with Processing enrolments procedure from the Student Administration Policy & Procedures.



E.	Initial support call	Assessor
•	Contact the candidate to discuss:	
	 How to work through the RPL Evidence Tool 	
	 Arrangements for workplace observations (where applicable) including: 	
	 Consulting with the candidate's workplace supervisor to ensure that workplace visits are scheduled appropriately 	
	 Ensuring that the workplace has access to required equipment and resources 	
F.	Gather Evidence of RPL	
•	The candidate completes and submits the RPL Evidence Tool and RPL Third Party Report if relevant (is able to seek support and guidance from Assessor as required).	Candidate & Assessor
•	Gather other evidence as required which may require:	Assessor
	 visiting the candidate's workplace to observe completion of practical tasks (where applicable) 	
	 completing verbal questioning (either over the phone, Skype or other video conference tool, or in person). 	



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G.	Conduct assessment of each unit of competency	Assessor
•	Review the information supplied by the student each unit of competency using the submitted RPL Evidence Tool and ensure the RPL Third Party Report and record outcomes in the RPL Assessor Record.	
•	Where necessary:	
	 Contact the contact the third party person to discuss anything that requires further clarification. 	
	 Contact the candidate's professional referees to discuss the candidate's workplace competency (where required). 	
	 Ensure outcomes are summarised the Assessment Outcome Summary in the RPL Assessor Record. 	
•	Make gap training arrangements if required.	
•	On completion of assessment, the following items must be returned to the candidate's file for archiving:	
	 RPL Assessor Record 	
	 RPL Self-assessment 	
	 RPL Evidence Tool and all evidence submitted 	
	 RPL Third Party Report. 	
•	Issue the candidate with a qualification or statement of attainment where competencies have been achieved.	
Н.	Gather feedback	Assessor
•	Feedback is collected from each RPL candidate using the RPL Candidate Feedback Survey to be collected in line with the Feedback Procedures in <i>Quality Assurance Policy & Procedures</i> .	

5. Plagiarism, cheating and collusion

Procedure		Responsibility
A.	Dealing with academic misconduct	Trainer/Assessor
•	Where a trainer/assessor believes there to be an incident of academic misconduct involving plagiarism, cheating, and/or collusion, they should report this to the Director of Studies along with reasons for allegation. Reasons may include:	
	 Similarity between student responses 	
	 Use of un-referenced source materials 	
	 Copying of other students work 	



Procedure	Responsibility
Copy of material from the internet or textbooks	
The Director of Studies and Trainer/Assessor will then address this w student by asking them to respond to the allegation and provide explanation.	
The Director of Studies and Trainer/Assessor will then make a decision the steps to be taken. This may include:	about
 Requiring the student to resubmit the assessment 	
 Using an alternative form of assessment to determine the stu- understanding 	udent's
Where a student has repeated serious allegations of academic misco they may be given special or altered conditions for their assessment tas serious cases they may be asked to withdraw from the course.	

6. Breaches of the Student Code of Conduct

Procedure		Responsibility
A.	Dealing with non-academic/general misconduct	Trainer/Assessor
•	Where a staff member is either informed of or witnesses a student in breach of the Student Code of Conduct raise the concern with the student directly (if appropriate) or ask the Trainer/Assessor or Director of Studies to raise the concern with the student.	
•	Where a student is unable or unwilling to redress the problem, invite them to attend a disciplinary action meeting with parties of their choice and any other parties involved in the incident.	
•	Ensure written invitation and all records of interactions are stored In the student file.	
•	Where behavior continues or a student fails to participate in disciplinary actions, notify the CEO.	
•	The CEO may decide the student's enrolment poses an unfair, unsafe or high risk situation and decide to withdraw the student from their course.	
•	Record details of the actions taken and decisions made in the students file.	
•	Notify the student/s promptly in writing of all decisions and ensure they are aware of their right to appeal the decision.	

7. Records of assessment

Refer SRTOs: Clause 1.8

Procedure	Responsibility
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Procedure		Responsibility
A.	Keep records of assessment	Trainer/Assessor
•	Records of assessment, including all assessment tools, completed tasks and assessment evidence for a unit, will be kept for a period of at least six (6) months from the time the judgement of competence was made.	
•	Records will be kept securely in the following way:	
	 Stored in student files in a locked filing cabinet. 	