

# Records Management Policy

## 1. Purpose

All-Ways Training Services (AWTS) is committed to providing quality training and assessment products and services in accordance with the Standards for Registered Training Organisations (SRTOs 2015). This Policy ensures that AWTS maintains a systematic, compliant approach to the effective management of all records.

## 2. Policy Statement

AWTS is committed to implementing effective and efficient record management processes for business, compliance and all training and assessment records and documentation, in accordance with legislative and regulatory requirements.

## 3. Definitions

### 3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

**Record** means a written, printed, or electronic document providing evidence that activities have been performed.

**Student Identifier** has the meaning given in the *Student Identifiers Act 2014*

## 4. Policy Principles

### 4.1 Records

Records on operations include:

#### 4.1.1 Training and Assessment Records

- a) Student enrolments and personal details;
- b) Student progress, training and assessment activities and outcomes;
- c) Corporate/client relations;
- d) Complaints and appeals;
- e) Issuing of certification documentation;
- f) Total VET activity;
- g) Training delivery;
- h) Recognition;
- i) Student/client fees;
- j) Refunds.

#### 4.1.2 Compliance Records

- a) Continuous improvement activities and systems;
- b) Training and assessment strategies;

- c) Validation plan, activities and outcomes;
- d) Industry consultation;
- e) Training and assessment resources;
- f) Quality Indicators;
- g) Evaluation;
- h) Audit.

#### **4.1.3 Business Records**

- a) Business planning processes;
- b) Financial management records;
- c) RTO compliance and auditing;
- d) Staff records; including selection, induction, professional development, performance review;
- e) Third party Partnership arrangements;
- f) Marketing and advertising approvals;
- g) Legislative and regulatory requirements;
- h) Workplace health and safety.

#### **4.2 Electronic Records**

- a) AWTS' Student Management System (SMS) is backed up on a daily basis, at the close of business (COB) or on completion of data entry.
- b) All AWTS documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally.
- c) Electronic records will be uploaded to relevant reporting databases in accordance with the reporting requirements.
- d) Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines.

#### **4.3 Paper-based Records**

##### **4.3.1 For Financial Records**

- a) Paper records are stored in a locked office for a period of not less than 12 months.
- b) Paper records are archived annually, for an additional four (4) years.
- c) Paper records for financial purposes can be destroyed after five (5) years.

##### **4.3.2 For Student Assessment Records**

- a) All completed student assessment items will be retained for 6 months from date of course in a secure/lockable cabinet.
- b) After 6 months the student assessment result is retained digitally (competent/not yet competent only) and paper records disposed of securely.

### **5. AWTS Responsibilities**

The Director AWTS is responsible for ensuring compliance with this policy. Data entry and records management is carried out by Administration.

All staff are responsible for ensuring compliance with privacy and confidentiality of records, including non-disclosure of computer logins and passwords.

Enrolments are entered into the SMS, then held on the Course File, see 4.3.2 of this policy.

Assessments results are entered in the SMS and the paper copy will be held on the Course File.

Qualifications and Statements of Attainment will be issued in accordance with the Issuing Certification Policy. Copies of all Qualifications and Statements of Attainment issued will be stored inside the SMS.

## **6. Access and Equity**

AWTS' Access and Equity Policy applies to student access to their own personal records. (See Access and Equity Policy)

## **7. Monitoring and Improvement**

All records management practices are monitored by the Director AWTS and areas for improvement identified and acted upon (see Continuous Improvement Policy).