

# RECORDS MANAGEMENT POLICY AND PROCEDURE

## 1. Purpose

Success Resources International Pty Ltd (SRI) 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 SRI maintains a systematic, compliant approach to the effective management of all records.

## 2. Policy Statement

SRI is committed to implementing effective and efficient records 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) Client Enrolments and personal details;
- b) Client 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) 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) SRI Student Management System, VETTRAK, (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry and an external off-site back up is run on a weekly basis.
- b) All SRI 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**

- a) Paper Records are stored in secure/lockable cabinets for a period of not less than 12 months.

### **5. SRI Responsibilities**

The Directors of SRI are responsible for ensuring compliance with this policy.

Data entry and records management is carried out by Administration Officer's, in accordance with the Duty Statement.

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 RTO Database and then held on the Electronic Student Training File.

Assessments results are entered in the RTO Database and held on the Electronic Student Training File.

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

Client Induction Checklist and receipt for course payment will be held in the Students file.

## 6. Access and Equity

SRI's 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 Directors of SRI and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

### **PROCEDURE**

**Course Records and Files** Course files are used to record, organise and manage a course event.

#### Step 1: Creating courses records

SRI Admin	1.1	<p>Obtain a '<b>SRI Course Sheet</b>',</p> <p>Place '<b>SRI Course Sheet</b>' on the inside cover of the plastic sleeve.</p> <p>Complete "<b>SRI Course Sheet</b>" with all relevant information.</p> <p>Create a course file in accordance with the checklist.</p> <p>Forms are filed in the course file progressively under the appropriate tab</p> <ul style="list-style-type: none"> <li>➤ TAS – Training and assessment strategy</li> <li>➤ Course outline</li> <li>➤ Student enrolments list &amp; attendance sheets</li> <li>➤ Course evaluations</li> <li>➤ Trainer evaluations</li> <li>➤ Venue bookings where applicable</li> <li>➤ Course marketing if applicable</li> <li>➤ Miscellaneous</li> </ul> <p>Store course file in (server 2016 ≥ SRI ALL ACCREDITED COURSE ≥ choose course)</p>
SRI Admin	1.2	<p><b>Create Course in SMS VETTRAK :</b></p> <p>Ensure course is created in SMS. If not, create a new course.</p> <p>Create a course occurrence (new date for the occurrence of the course) in SMS.</p>
	1.3	<p>Upon receipt of <u>information</u> regarding the course:</p> <ul style="list-style-type: none"> <li>➤ Retrieve the Course File.</li> <li>➤ Make note relevant detail in course file.</li> <li>➤ Make relevant notes in SMS.</li> </ul> <p>Upon receipt of <u>documentation</u> regarding the course:</p> <ul style="list-style-type: none"> <li>➤ Process the relevant documentation in accordance with procedures; (e.g. See Evaluation procedures, See Training delivery procedure regarding 'Attendance records')</li> <li>➤ Make note of relevant information in course file.</li> <li>➤ Store documentation on course file.</li> </ul> <p>Store course file in filing cabinet / scan into student file</p>

## Step 2: Updating course details

<b>SRI Admin</b>	2.1	<p>Upon receipt of <u>information</u> regarding the course:</p> <ul style="list-style-type: none"> <li>➤ Retrieve the Course File.</li> <li>➤ Make note relevant detail in course file.</li> <li>➤ Make relevant notes in SMS.</li> </ul> <p>Upon receipt of <u>documentation</u> regarding the course:</p> <ul style="list-style-type: none"> <li>➤ Process the relevant documentation in accordance with procedures; (e.g. See Evaluation procedures, See Training delivery procedure regarding 'Attendance records')</li> <li>➤ Make note of relevant information in course file.</li> <li>➤ Store documentation on course file.</li> <li>➤ Store course file on computer (server 2016 ≥SRI ALL ACCREDITED COURSE≥CERT IV COURSES)</li> </ul>
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**Student Records and Files** Client files are used to record, organise and manage client enrolments, progression and completion

## Step 1: Creating student records

<b>SRI Admin</b>	1.1	<p><b>Create Student File :</b></p> <p>Obtain and complete '<b>SRI Track Sheet</b>',</p> <p>Complete '<b>SRI Track Sheet</b>' with all relevant information</p> <p>Place '<b>SRI Track Sheet</b>' on the inside plastic sleeve.</p> <p>Create a <b>Student File</b> in accordance with the checklist.</p> <p>Create <b>Student File</b> (if workplace based learner).</p> <p>Forms are filed in the file progressively under the appropriate tab</p> <ul style="list-style-type: none"> <li>➤ Enrolment form/s</li> <li>➤ TPO – Training Plan Outline</li> <li>➤ Invoices &amp; Payments</li> <li>➤ Correspondence</li> <li>➤ Assessments</li> <li>➤ Certification</li> <li>➤ Induction</li> <li>➤ Training journal</li> <li>➤ Miscellaneous</li> </ul> <p>Store <b>Student File</b> in filing cabinet.</p> <p>Provide <b>Student File</b> to allocated Trainer / Assessor.</p>
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## Step 2: Updating student details

<b>SRI Admin</b>	2.1	<p>Upon receipt of <u>information</u> regarding the client:</p> <ul style="list-style-type: none"> <li>➤ Retrieve the <b>Student File</b>.</li> <li>➤ Make note of relevant detail in <b>Student File</b>.</li> <li>➤ Make relevant notes in SMS.</li> </ul> <p>Upon receipt of <u>documentation</u> regarding the course:</p> <ul style="list-style-type: none"> <li>➤ Process the relevant documentation in accordance with procedures; (e.g. See Evaluation procedures, See Training delivery procedure regarding 'Attendance records')</li> <li>➤ Make note of relevant information in <b>Student File</b>.</li> <li>➤ Store documentation on <b>Student File</b>.</li> </ul> <p>Store <b>Student File</b> in filing cabinet.</p>
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**Corporate Client Records and File** Corporate Client files are used to record, organise and manage Corporate client services.

### Step 1: Creating corporate client records

<b>SRI Admin</b>	1.1	<p><b>Create Corporate Client File :</b></p> <p>Obtain a '<b>Corporate Client File Checklist</b>', plastic sleeve and <b>Corporate Client File</b> tabs</p> <p>Place '<b>Corporate Client File Checklist</b>' on the inside cover of the manila folder.</p> <p>Complete '<b>Corporate Client File Checklist</b>' with all relevant information.</p> <p>Create a <b>Corporate Client File</b> in accordance with the checklist.</p> <p>Forms are filed in the file progressively under the appropriate tab</p> <ul style="list-style-type: none"> <li>➤ Agreement / Contract</li> <li>➤ Discovery Notes</li> <li>➤ Financials</li> <li>➤ Correspondence</li> <li>➤ Client feedback</li> <li>➤ Miscellaneous</li> </ul> <p>Store <b>Corporate Client File</b> in filing cabinet.</p>
<b>SRI Admin</b>	1.2	<p><b>Create Corporate Client record in SMS :</b></p> <p>Ensure <b>Corporate Client</b> is created in SMS. If not, create a new <b>Corporate Client</b>.</p>

### Step 2: Updating corporate client records

<b>SRI Admin</b>	2.1	<p>Upon receipt of information regarding the <b>Corporate Client</b>:</p> <ul style="list-style-type: none"> <li>➤ Retrieve the <b>Corporate Client</b> File.</li> <li>➤ Make note of relevant detail in file.</li> <li>➤ Make relevant notes in SMS.</li> <li>➤ Upon receipt of documentation regarding the <b>Corporate Client</b>:</li> <li>➤ Make note of relevant information in file.</li> </ul> <p>Store documentation on file.</p> <p>Store file in filing cabinet.</p>
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## Staff Records And File

### Step 1: Creating staff records

<b>SRI Admin</b>	1.1	<p><b>Create Staff File :</b></p> <p>Obtain a '<b>Staff File Checklist</b>', plastic sleeve and <b>Staff File</b> tabs</p> <p>Place '<b>Staff File Checklist</b>' on the inside cover of the plastic sleeve folder.</p> <p>Complete '<b>Staff File Checklist</b>' with all relevant information.</p> <p>Create a <b>Staff File</b> in accordance with the checklist.</p> <p>Forms are filed in the file progressively under the appropriate tab</p> <ul style="list-style-type: none"> <li>➤ Employment offer / Contract</li> <li>➤ CV / Resume</li> <li>➤ Qualifications &amp; checks</li> <li>➤ Profession development /training</li> <li>➤ Performance management</li> <li>➤ Induction</li> <li>➤ Direct supervision</li> <li>➤ Payroll / Leave forms</li> <li>➤ Insurances</li> <li>➤ Miscellaneous</li> </ul> <p>Create new staff member in SMS.</p> <p>Provide <b>Staff File</b> to Director for processing and secure storage.</p>
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<b>Directors</b>	1.2	<p>Ensure <b>Staff member</b> has been created in SMS.</p> <p>Add relevant confidential documentation to <b>Staff File</b>.</p> <p>Store <b>Staff File</b> securely.</p>
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## Step 2: Updating staff records

<b>Directors</b>	2.1	<p>Upon receipt of <u>information</u> regarding the <b>Staff member</b>:</p> <ul style="list-style-type: none"> <li>➤ Retrieve the <b>Staff File</b>.</li> <li>➤ Make note of relevant detail in file.</li> <li>➤ Make relevant notes in SMS.</li> </ul> <p>Upon receipt of <u>documentation</u> regarding the <b>Staff member</b>:</p> <ul style="list-style-type: none"> <li>➤ Process documentation as appropriate.</li> <li>➤ Make note of relevant information in file.</li> <li>➤ Store documentation on file.</li> </ul> <p>Store <b>Staff File</b> securely.</p>
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## Archiving Records

### Step 1: Archiving records

<b>SRI Admin</b>	1.1	<p>Every three (3) months, identify the Clients that have either :</p> <ul style="list-style-type: none"> <li>➤ completed their training / assessment more than six (6) months ago'; or</li> <li>➤ whose enrolment has expired.</li> </ul> <p>Every three (3) months, identify Courses that have been completed within the last three (3) months.</p> <p>Obtain the '<b>Student Files</b>' and '<b>Course files</b>' from student scan files / filing cabinets.</p> <p>Ensure :</p> <ul style="list-style-type: none"> <li>➤ Like records are stored with like records (ie all client records together, all course records together etc.)</li> <li>➤ Files/records are kept in alphabetical order.</li> </ul>
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