

Records Management Policy

1. Purpose

The Australian Institute of Commerce and Technology 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 The Australian Institute of Commerce and Technology maintains a systematic, compliant approach to the effective management of all records.

2. Policy Statement

The Australian Institute of Commerce and Technology 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) The Australian Institute of Commerce and Technology Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry.
- b) All The Australian Institute of Commerce and Technology 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.
- b) Paper records are archived annually, for an additional four (4) years at a secure off-site storage facility.
- c) Paper Records can be destroyed after five (5) years.

5. The Australian Institute of Commerce and Technology Responsibilities

The Director of The Australian Institute of Commerce and Technology is responsible for ensuring compliance with this policy.

Data entry and records management is carried out by Senior Office Administrator, 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 Student Training File.

Assessments results are entered in the RTO Database and the paper copy will be held on the 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

The Australian Institute of Commerce and Technology 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 The Australian Institute of Commerce and Technology and areas for improvement identified and acted upon. (See Continuous Improvement Policy)