

Policy

AMA RTO has an effective administrative and records management system in place

Purpose

The purpose of this policy and procedure is to maintain a system that ensures records relating to AMA RTO are accurate, have integrity, are current, are retrievable, are identified, stored, maintained and disposed of appropriately.

AMA RTO will retain client records of attainment of units of competency and qualifications for a period of 30 Years.

Scope

To cover all staff involved in the development, implementation, maintenance, storage and disposal of documents and records which are the property of AMA RTO

Responsibility

The CEO will have overall responsibility for the implementation of this procedure and for establishing, monitoring and maintaining controls for quality records.

Records maintenance is the responsibility of the RTO CEO and RTO Training Manager.

1. AMA RTO will ensure that:

- All records and documents are appropriate identifiable and show version control
- Changes to documents and records are carried out under the authorisation of the appropriate staff member and before distribution to other staff members
- Superseded documents are identified as being obsolete, and all appropriate documents are reviewed on the due date
- Policies and procedures and forms are maintained on the appropriate registers
- Confidential records remain confidential
- Access is provided to students of their personal records
- Records are securely stored, and backup of electronic records is carried out

2. Administrative Records

AMA RTO will ensure that all records are stored in a suitable environment so that appropriate records are retrievable, and are in a safe place to avoid damage or loss. Verified staff qualifications will also be kept on file and archived appropriately.

3. Records Maintenance

AMA RTO is committed to keeping accurate and confidential records in relation to its clients and the activities conducted on their behalf. All records are maintained through a combination of manual and computer based systems designed to ensure it can provide detailed and timely information to its clients.

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Only authorised personnel at AMA RTO can access client records. Authorised personnel will maintain the confidentiality of client records.

4. Personal Details

During the enrolment process personal details of students are recorded (ie. Name and address) on an internal database. All personal and financial details are kept confidential.

No details provided to AMA RTO. are sold or otherwise released to a mailing list or other organisation without the express permission of the individual concerned, in writing.

All confidential information provided to AMA RTO will be safeguarded by –

Not disclosing any personal information on clients to a third party, unless required by law or without the written consent of the client.

5. Archiving of Student Results and Information

Assessment records are a permanent account of achievement of performance and all records relating to training programs/programs conducted by AMA RTO are maintained as follows -

As an RTO we are required to keep sufficient records associated with Student Results for a period of thirty (30) years from the date of their issue. This will ensure that an award will be re-issued to the student.

In addition AMA RTO will retain the following student information for a period of thirty (30) years;

- Student Enrolment Form (Confirming student details, courses details and reporting requirements);
- Student Identification/eligibility (Confirming that the student is an Australian Citizen).

All Student Results are backed up electronically and are kept offsite or in a fireproof location.

Individual assessment records are retained for six (6) months post completion of the course. For those students who receive VTG funding, assessment documents (EoP) is retained for two (2) years post completion of the course. Participant results will only be released for legal, educational or individual participant purposes or their authorised client, requirements as necessary.

Trainer/assessors will complete all required program assessment documents on students as completed throughout their study program. These records will be updated as soon as practical after completion of assessment.

Records to the electronic records which will be kept at the premises of the RTO to ensure up to date information is available on participants and authorised clients on request

All other administrative, legal, contractual documentation will be electronically archived and should AMA RTO cease business, these records will be forwarded to the registering body in the State of registration.

Results of assessment will be recorded correctly and accurately and used for the issue of Statements of Attainment or the appropriate Awards.

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All paper documents will be destroyed securely and appropriately, as per the Public Records Act, after the timeframes listed above have elapsed.

6. Attendance Registers or Rolls

All attendance registers or rolls are maintained by trainer/assessors so that they record each participant's attendance or otherwise and is dated and signed by the trainer/assessor.

The attendance registers or rolls are sorted according to date, year and program and to be archived by AMA RTO.

7. Access to Personal Records

If a client makes application to obtain access to their personal records they must do so in writing and provide this written application to AMA RTO who will ensure the personal records are provided within seven (7) working days from the date of the application.

If a client wishes to allow a third party to access their personal records, they must make application in writing on Form "Release of Information to a Third Party". AMA RTO will provide the information requested within fourteen (14) days from the receipt of the application.

8. Staff Records

AMA RTO reserves the right to verify qualifications presented by prospective staff by checking with the issuing body and/or contacting referees nominated by the applicant. Individual staff files are maintained. These contain records and/or copies of:

- Application for employment including contact details
- Verified qualifications and résumé
- Record of discussions in process of verifying qualification (where relevant)
- Signed employment contract and induction checklist
- Declaration of having read, understood and agreeing to abide by the Policies and Procedures of AMA RTO
- Records of performance review
- Evidence of participation in professional development activities

9. Records Retained for Audit

The following records shall be kept and maintained for each registration period and are subject to audit:

- Copy of previous audit report and corrective action plan
- Policies, Procedures and supporting documents
- Version Control Log
- Meeting Minutes
- Course Review Reports
- Industry Consultation Surveys
- Student Surveys
- Trainer Services
- Risk Assessment
- RTO Self-assessment

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- Training and Assessment Strategies
- Sample of Training Plans
- Sample of Student Files
- Sample of Trainer Files
- Validation and Moderation Activities
- Assessment tools and records
- All RPL records
- Current Staff Handbook
- Current Student Handbook
- Complaints and Appeals and their outcomes
- Management Review Reports
- Current Marketing Materials
- Samples of completed assessments
- Organisation Position Descriptions
- Evidence of staff professional development
- Evidence of student participation

Supporting Documents

AMA RTO documentation which supports the implementation of this policy & procedure includes:

- Financial Budget

Document History

Revision	Date	Description of modifications
2.0	January 2016	Original.

Document Details

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