

# Records Management Policy

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## Overview

ATI is committed to ensure that there is an effective records management system that ensures there are reliable and accurate records of the RTOs operations. ATI aims to have accurate and timely information to inform best practice.

ATI is committed to ensure that records and data are managed to ensure they are;

- Recognisable, and easily accessed; yet protected
- Reliable; and accurate
- Retained for at least the minimum required time frame
- Private and only accessed by those with a legal need and the student themselves or their authorised delegate

## Background

This policy and procedure has been developed as part of Advanced Training Institute's Quality Management System, which includes a set of policies and procedures to ensure the organisation complies with the Standards for Registered Training Organisations 2015.

## Definition

### SNR Definitions

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

Data means information collected about aspects of the RTOs performance and operations

**AVETMISS:** The Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) provides a national framework for the consistent collection and dissemination of vocational education and training (VET) information throughout Australia

## Scope

This policy is applicable to the full scope of Advanced Training Institute's registration and all activities it undertakes as a Registered Training Organisation.

## Policy

- The Administration team is delegated responsibility to ensure that overall the RTO's Records are managed effectively and with the utmost integrity.
- All student information and records will be systematically recorded and information stored in the Student Management System (SMS) and on file.
- The VETtrak database is used by ATI to provide AVETMISS compliant data as requested by the regulator and other vested parties as approved with the VET Quality Framework.
- The CEO will ensure that the records management system allows for the return of its student records of attainment of units of competence and qualifications to the National VET regulator as requested and as determined by the National VET regulator.
- The administration team will ensure that ATI adheres to the requirements of the Data Provision Requirements (DPR) as directed by either the Training Manager, the Quality & Compliance Manager and or the CEO.
- The administration team will report to CEO on a regular basis that the Records Management Policy & Procedure is being followed and will make suggestions for improvement when necessary.

# Records Management Policy

- ATI staff are to refer to the ATI Records and Data Schedule when creating, recording and retrieving records. This schedule details the activities to be recorded, how they should be retained and for how long.
- The CEO shall approve appropriate disposal practices.
- The ATI Server containing records and data and will be backed up on a regular basis as per the Back UP Schedule.
- This policy and procedure will be reviewed at least annually to continually improve the RTO's operations ensuring compliance with the SNR and its successors.

## Procedure

Action	Responsible
Ensure this Policy and the Records and Data Schedule are given at Induction to Administration Team, and they are provided with sufficient guidance and support to administer the Policy & Procedure	CEO Training Manager / Quality & Compliance Manager
Regular back up of ATI Server and SMS	Administration Team
Student Files	Administration Team
Trainer Files	Training Manager / Quality & Compliance Manager
Records Secured	Administration Team
Continuous Improvement Review	Quality & Compliance Manager / CEO

## Student Files

Student Files will contain the following information and records

- Enrolment Form
- Pre enrolment review
- Language literacy and numeracy test (LLN)
- Orientation Record
- USI authority declaration
- Proof of Identity
- Training plan
- Time table
- Assessment Records
- Attendance Records
- Work Placement Agreement
- Copy of testamur

## Trainer / Assessor File

The Training Manager and Quality & Compliance Manager are responsible for maintaining the Trainer File. The Trainer Files must contain the following information.

- Trainer/Assessor Skills Matrix – signed by trainer/assessor
- Trainer/Assessor qualifications – verified by RTO or otherwise certified
- Vocational qualifications – verified by RTO or otherwise certified
- CV, current and signed by trainer/assessor
- Evidence of Professional Development activities – verified and/or signed by trainer/assessor
- Position description
- Employment contract/agreement
- Police Check
- Work With Children Check
- Induction record

# Records Management Policy

## Management of Student Records if operations cease

A provider must advise ASQA via ASQAnet if ATI elects to cease to operate as a RTO. ATI must co-operate with ASQA in the transfer of all student records in a manner that is approved by ASQA.

## Minimum retention period of student assessments and results

ATI will retain:

- All completed assessments for a minimum of six (6) months after the student has completed their course.
- All completed assessments required/requested must be made available to participate in assessment validation process.
- Sufficient student details to allow for a reprinting of the students award for a minimum period of 30 years after the issuing of the initial award
- Sufficient records to comply with any relevant state funding contracts where they may apply

## Program Files

A Learning and Assessment program folder is to be established for each course on scope. The Training Manager and Quality & Compliance Manager will be responsible for ensuring the information is accurate, fit for purpose and complies with training package requirements and records are accurate and secure.

## ATI Server

The Administration team is responsible for ensuring that the RTO information is saved on the Server in an appropriately organised way, is backed up and accessible.

- Server is backed up and a copy is stored off site, the offsite copy is managed by the CEO
- Server is backed up every night via external drive in this case Dropbox backup

## Standards for Registered Training Organisations 2015

Schedule 5 8. RTOs will:	a) b) c)	maintain registers of all statements of attainments issued; retain records of statements of attainment issued for a period of 30 years; provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.
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## Related Documents

Records and Data Schedule  
Student Files  
Trainer/Assessor Files  
VETtrak  
Unique Student Identifier

## Change History

Version	Approval Date	Approved by	Change	
4	March 2015	CEO	Delegate	
3	October 2014	CEO	Compliance	As per SRTOs 2015
2	28 August 2014	Omar	Compliance	Corrective action, & As per New Standards
1	30 August 2012	Omar		As per the SNR 2012