



Records Management Policy

Approved by: RTO Administrator

Revision: 1.1

Revision Date: 07-05-2017

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DTW Designs (Qld) Pty Ltd
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Purpose

DTW Designs (Qld) Pty Ltd 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 DTW Designs (Qld) Pty Ltd maintains a systematic, compliant approach to the effective management of all records.

Policy Statement

DTW Designs (Qld) Pty Ltd 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.

Definitions

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*.

Policy Principles

Records

Records on operations include:

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.

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.

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.

Electronic Records

- a) DTW Designs (Qld) Pty Ltd Student Management System (SMS) is backed up daily, at the COB daily or on completion of data entry.
- b) All DTW Designs (Qld) Pty Ltd documents, emails are saved to the system network (server), which is backed up at the COB daily and.
- 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.

Paper-based Records

- a) Paper Records are stored in secure/lockable cabinets for a period of not less than 60 months.
- b) Paper Records can be destroyed after five (5) years.

DTW Designs (Qld) Pty Ltd Responsibilities

The Director DTW Designs (Qld) Pty Ltd is responsible for ensuring compliance with this policy.

Data entry and records management is carried out by the Finance 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.

Access and Equity

DTW Designs (Qld) Pty Ltd access and equity policy applies to student access to their own personal records. (See Access and Equity Policy)

Monitoring and Improvement

All records management practices are monitored by the Director DTW Designs (Qld) Pty Ltd and areas for improvement identified and acted upon. (See Continuous Improvement Policy)