

Policy No. 22

Records Management

1. Policy Objective

The objective of the Records Management Policy and Procedure for St John Ambulance Western Australia Ltd (St John) Registered Training Organisation (RTO) No. 0392 is to ensure that St John RTO has a robust and secure Records Management System in place; in order to meet RTO regulatory, compliance and quality requirements.

The St John RTO Records Management Policy and Procedure will outline the provision of required documentation and the storage of records for the purpose of:

- ▶ Providing evidence of compliance to Legislation and Standards for RTOs 2015;
- ▶ Protecting the records of participants activity and competencies; and
- ▶ Complying with VET reporting requirements of the TAC Records Management Guidelines.

<http://www.tac.wa.gov.au/SiteCollectionDocuments/Registration%20-%20Guide%20-%20TAC%20Guideline%20on%20Records%20Management%20V01-15.pdf>

This Policy and Procedure supports the Standards for RTOs 2015:

- ▶ Standard 1.9;
- ▶ Standard 1.10;
- ▶ Standard 2.1;
- ▶ Standard 2.2; and
- ▶ Standard 6.5.

2. Policy

1. St John RTO will have a robust and secure electronic Record Management System in the St John RTO Learning Management System (LMS) in place for its participants training records.
2. St John RTO Records Management will comprise of:
 - ▶ Training and Assessment, Participant and Appeals records;
 - ▶ Arrangements for records storage; and
 - ▶ Arrangements for record sampling.
3. St John RTO will make electronic St John RTO LMS Records Management arrangements for:
 - ▶ Training and assessment records;
 - ▶ Participant records; and
 - ▶ Records of complaints and appeals.

4. St John RTO will:
 - ▶ Store records in electronic format through the St John RTO LMS indefinitely;
 - ▶ Provide access and confidentiality to participants records; and
 - ▶ Have processes in place in the event of ceasing operation.
5. For auditing and validation and moderation purposes St John RTO will:
 - ▶ Gather statistically valid samples of participant records from each St John RTO Stakeholder;
 - ▶ Validate samples submitted; and
 - ▶ Safe keep samples.
6. St John RTO will collect a statistically valid sample by:
 - ▶ Selecting three (3) full participant training records per month/per stakeholder/per training product delivered; and
 - ▶ Randomly selecting the files as per Random File Generator Arrangements.
7. St John will select statistically valid samples randomly by selecting the course participant names from the LMS Sessions (attendance records) as follows:
 - ▶ January and July – Participants listed on the Course Attendance Sheet under the first three (3) even numbers (for example: 2, 4 and 6);
 - ▶ February and August – Participants listed on the Course Attendance Sheet under the last three (3) odd numbers (for example: 15, 17 and 19);
 - ▶ March and September – Participants listed on the Course Attendance Sheet under every third number (for example: 3, 6 and 9);
 - ▶ April and October - Participants listed on the Course Attendance Sheet under the last three (3) numbers (for example: 11, 12 and 13);
 - ▶ May and November – Participants listed on the Course Attendance Sheet under the first three (3) odd numbers (for example: 1, 3 and 5); and
 - ▶ June and December – Participants listed on the Course Attendance Sheet under the last three (3) even numbers (for example: 16, 18 and 20).
8. This Policy and Procedure is to be read in conjunction with:
 - ▶ **St John RTO Policy and Procedure No. 7 Validation and Moderation;**
 - ▶ **St John RTO Policy and Procedure No. 12 Issuing AQF Certification;**
 - ▶ **St John RTO Policy and Procedure No. 17 Complaints and Appeals;** and
 - ▶ **St John RTO Policy and Procedure No. 19 Reporting Obligations.**
9. St John RTO Stakeholders may have written Workplace Instructions in place to supplement this Policy and Procedure.

Policy Administration		
Directorate:		Responsible Manager:
Community Services		Executive Manager Education Services
Risk Rating:	Review Cycle:	Review Next Due:
High	Annual	July 2017
Compliance References:		
Statutory:	Standards for RTOs 2015	
Industry	Vocational Education and Training	
St John Ambulance:	RTO	
Quality Management System:		
Version:	Decision Reference:	Synopsis:
1	Document Created	VET Reform and Standards for RTOs 2015
2	Document Amended	St John RTO Stakeholder Feedback provided on 30/6/2015
3	Document Amended	Record Sampling electronic submission only
4	Changes to Numbers in Documents Related Updated Spelling/Formatting and Included References to LMS	Following Review of Compliance Documentation Introduction of St John LMS