



Records Management Policy

1. Scope

This Policy ensures that AIST remains compliant with the requirements for issuing; storing and providing access to records.

2. Purpose

Registered Training Providers issuing Certificates or Statements of Attainment under the Australian Qualifications Framework are responsible for maintaining and operating a secure, permanent and reliable system for recording and storing records. The records management policy is to ensure compliance and effective management of all records.

3. Procedure

3.1 Records

To conform to quality assurance requirements, all records will be stored and archived according to this procedure.

3.1.1 Electronic Records

To conform to quality assurance requirements, all AIST RTO records will be stored and archived according to records management procedures:

Electronic:

- a) RTO Training Database is to be backed up to the AIST RTO System network at the COB daily or on completion of data entry.
- b) AIST RTO system network to be backed up at the COB weekly and stored externally to the secure FTP site.
- c) Electronic Records will be uploaded in accordance with the Guidelines
- d) Quality Indicator Reports are to be uploaded in accordance with the AQTF Quality Indicator Guidelines.

Paper:

- a) Paper Records (Student Training File) to be stored in a secure/lockable cabinet within the Administration area for a period of not less than 12 months on completion of Training or Assessment.
- b) Paper Records are then to be archived for annually for an additional 12 months to a secure off-site storage.
- c) Paper Records can be destroyed after 2 years.

4. Data Entry Processes

Data entry and records management is carried out by the Administration officer, in accordance with the Duty Statement.

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.

Clients may request access to their file by completing an Access Authorisation Form and having this approved by the Principal or Compliance Officer.