

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 ASQA requirements:
<https://www.asqa.gov.au/rto/responsibilities/complying-asqa-requirements>

This Policy and Procedure supports the Standards for RTOs 2015:

- ▶ Standard 1.9
- ▶ Standard 1.10
- ▶ Standard 2.2
- ▶ Standard 2.3
- ▶ Standard 3.4
- ▶ Standard 3.6
- ▶ Standard 6.5.

2. Policy

1. This Policy and Procedure version is effective as of March 2022.
2. For the purposes of this Policy and Procedure "St John RTO Stakeholders" refers to the First Aid Training Services Administration team, the Customer Experience team, the Marketing Programs team and other relevant departments in St John Ambulance.
3. St John RTO Stakeholders will inform their staff of the requirements of this RTO Policy and Procedure.
4. St John RTO Stakeholders will adhere to this Policy and Procedure at all times.
5. St John RTO has two types of VET Participant Training and Assessment records:
 - ▶ Learning Management System (LMS) electronic records
 - ▶ Paper based records.
6. St John RTO will:

- ▶ Store records in electronic format through the St John RTO LMS indefinitely
 - ▶ Provide access and confidentiality to participants records
 - ▶ Have processes in place in the event of ceasing operation.
7. St John RTO will sample its paper-based assessment records for the purposes of systematic internal audit procedure.
8. St John RTO Stakeholders will:
- ▶ **Conduct** compliance activities as detailed in the annual RTO Compliance Calendar
 - ▶ **Store** evidence of their ongoing compliance
 - ▶ **Provide** evidence of their compliance for the purposes of internal, external audits and on request.
9. 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. 10 Compliance with Standards for RTOs 2015
 - ▶ St John RTO Policy and Procedure No. 12 Issuing AQF Certification
 - ▶ St John RTO Policy and Procedure No. 15 Pre-enrolment and Enrolment
 - ▶ St John RTO Policy and Procedure No. 17 Complaints and Appeals
 - ▶ St John RTO Policy and Procedure No. 19 Reporting Obligations.
10. St John RTO Stakeholders may have written Workplace Instructions in place to supplement this Policy and Procedure.

Policy Administration		
Directorate:		Responsible Manager:
Communications & Brand		Head of First Aid Quality
Risk Rating:	Review Cycle:	Review Next Due:
High	Annual	March 2023
Compliance References:		
Statutory:	Standards for RTOs 2015	
Industry	Vocational Education and Training	
St John Ambulance:	RTO	
Quality Management System:		
Document Location	G:\04. RTO Compliance\2021-22\RTO Policies and Procedures	
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
5	Annual review by RTO Stakeholders	<ol style="list-style-type: none"> 1. New format 2. Section 5 reduced 3. Procedure simplified and sampling reduced. 4. Section 6 added 5. Effective as of 1.11.2017
6	Review and Update	Updated to reflect current process