



## INFORMATION & RECORD MANAGEMENT POLICY

**Purpose** The purpose of the information and record management policy is to establish a framework for the coordination and management of information and records. The Australian Indigenous Leadership Centre (AILC) is committed to maintaining record management procedures that meet organisational needs as well as accountability and legal requirements.

The benefits of the policy will be reliable information and records that are well described, stored in known locations and are easily accessible. To this end, the information and record management policy will allow employees and relevant individuals to access information in a timely and efficient manner. Additionally, the information and record management procedures will ensure retainment of AILC's "corporate memory" through sound record keeping practices and accurate capturing of information to meet legal, evidential and accountability requirements.

**Policy** AILC's information and records are a corporate asset, imperative for ongoing operations and are invaluable in providing evidence of decisions, transactions and activities.

There is an expectation that AILC will abide by The Australian Charities and Not-for-profit organisations Commission Act 2012 and The Standards for Registered Training Organisations 2015 in keeping records for appropriate durations, and is committed to implementing and maintaining accurate and reliable records to meet this obligation.

AILC will implement fit-for-purpose information and records management practices and systems to ensure the creation, maintenance and protection of records. All information and records management practices in AILC are to be in accordance with this policy and its supporting procedures.

This policy and procedure applies to administration, records management, and record retention of all records and details collected and maintained for training and assessment services delivered by Line Management.

The RTO has effective administration and records management systems in place to secure the accuracy, integrity and currency of records, to keep documentation up to date, and to safeguard any confidential information obtained by the RTO, individuals or organisations acting on its behalf.

**Scope** This policy applies to AILC staff and contractors, to all aspects of the agency's business and all organisational information created and received. It covers



information and records in all formats including documents, email, voice messages, memoranda, minutes, audio-visual materials and business system data. All staff are responsible for the creation and management of information and records as defined by this policy. Additional responsibilities are listed below.

**CEO** The CEO is ultimately responsible for the management of information and records within the agency. The CEO has authorised this policy. The CEO promotes compliance with this policy, delegates responsibility for the operational planning and running of information and records management to the Quality and Compliance Manager and ensures the agency's information and records program is adequately resourced.

**Management** Senior executive officers/managers are responsible for the visible support of, and adherence to, this policy by promoting a culture of compliant information and records management within the organisation and contributing to the development of strategic documents such as the information and records management framework and strategy. The Quality and Compliance Manager is responsible for the version control of AILC's records.

**Legislation** Under The Australian Charities and Not-for-Profits Commission (ACNC) the AILC must keep financial and operational records for a duration of seven years until the transactions, operations or acts covered by the records are completed. For more information please see [Australian Charities and Not-for-profits Commission Act 2012, No. 168](#)

Under The Australian Skills Quality Authority (ASQA) the AILC is required to retain records of qualifications and statements of attainment issued for thirty years. Students have the right to request copies of their documentation and certification at any given time. For more information please see [Users' Guide to the Standards for Registered Training Organisations \(RTOs\) 2015](#)

## Procedure

### Creation and maintenance of information and records

AILC's primary information and records management system is the electronic document system known as GroupShare (X:). All incoming paper records received should be converted to digital format and saved into the GroupShare (X:) drive under the appropriate folder or subfolder.

Each program area has a folder. In each of the folders for a program area, create subfolders to match the activity for that program area. Files are to be named in a manner that they are easily located and accessible.



Files that do not require version controlling are to be created and saved under the relevant folder on GroupShare (X:) with a clear indication of the subject followed by the date. For example:

- DRAFT1.BOARDMINUTES.23SEP16
- PROPOSAL.CRMC.20SEP16

### **RTO Records**

All records relating to administration, training delivery and assessment services are maintained appropriately. This includes but is not limited to:

- All records of delivery and assessment arrangements
- Staff records
- Student records
- Student Management System
- Records to ensure compliance against standards
- Finance records

### **Retention of Student Records and assessments**

The RTO is required to ensure that all records of training and assessment are securely maintained for the duration of the student's enrolment and a further 6 months post completion or cancellation of the student's enrolment. These files will be archived as per the archive procedure in this policy.

The RTO will maintain all student records for currently enrolled, completed and withdrawn students (in electronic copy) while a student is enrolled with the RTO. From time to time hard copy (paper based) records will be scanned and saved in PDF format on the X:drive and in our student management system 'JobReady'. Paper records will be securely disposed of in secure document disposal bins.

Each individual student file should include the following:

- Enrolment Information
- Audit Checklist
- Assessment tracker
- All assessment tasks including outcome for the assessment

Copies of student certifications are kept on the X: drive under each course and listed on the Qualifications register.



Electronic records for all students will be retained for a period of thirty (30) years. Electronic records are maintained in a manner that if required, they are transferrable to ASQA, in line with regulatory requirements.

### **Qualifications Register**

All qualifications issued by the AILC are saved under the Qualifications register. Signed copies of the student certification are saved according to which course the student undertook. E.g. 10412NAT\_Cairns\_16May\_24June. Under each course folder there are copies of downloaded certificates, signed certificates and student completion letters. Certificate information is data entered into AILC Qualification register spreadsheet. The following details are recorded:

- Name
- Qualification name
- Qualification code
- Location
- Certificate number
- SOA/ FQ
- Trainer/student support
- Issue date
- Re issue date

### **Storage and Disposal**

Student records and results are stored securely on the AILC's server that is backed up daily and on our student management system 'JobReady'

All other documentation is stored securely on the AILC's server and archived on an external hard drive in a secure location.

All paper based documentation is disposed of securely in secure document disposal bins once they have been saved in PDF folder on the server and/or in the student Management system.

### **Privacy and Student access**

The AILC will not disclose personal information to third parties, except as required under the AQTF Standards for RTOs, Government Contracts or by law.

Access to student's personal records is available upon written request allowing 14 days' notice to [enquiries@ailc.org.au](mailto:enquiries@ailc.org.au). Access will be granted once student identity is confirmed.

### **Version control**



All documents are to be version controlled by the Quality and Compliance Manager. When a new document is created, it must be adequately controlled in line with external auditing processes. To version control a document, the final version of a novel document must be sent to the Quality and Compliance Manager for their record and management.

### **Archiving**

In addition to version control, archiving is the responsibility of the Quality and Compliance Manager. Files are archived in line with regulatory requirements and located on an external drive held by the Quality and Compliance manager. Files are checked quarterly (every three months) and archived in line with ACNC and ASQA requirements.

### **Review**

The information and record management policy and procedures will be revised and updated annually. The next review date is 1<sup>st</sup> December 2017.

### **Authorisation**

The information and record management policy and procedure has been approved by the Chief Executive Officer of the Australian Indigenous Leadership Centre.

Version	Created/reviewed	Changes	By whom
1	2014	Created	Rachelle Towart
2	29/08/2016	Amended and Updated	Ashleigh Rhind
3	01/03/2017	Logo amended	Kat Prgomet