



# Document and Data Control Policy 006

## 1. Purpose

Australian Paramedical College 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 Australian Paramedical College maintains a systematic, compliant approach to effective document and data control and record management.

## 2. Policy Statement

Australian Paramedical College is committed to implementing effective and efficient records management processes for all documents and data collected and collated inclusive of business, compliance and training and assessment records and/or documentation, and in accordance with legislative and regulatory requirements.

## 3. 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*

## 4. Policy Principles

### 4.1 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



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## 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. Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry.
- b. All documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally.
- 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.

## Required Paper-based Records (where not electronic)

- a. Paper records are stored in secure/lockable cabinets for a period of not less than 12 months.
- b. Paper records are archived annually, for an additional four (4) years at a secure off-site storage facility.
- c. Paper records can be destroyed after five (5) years.

\*Note: not inclusive of student, financial or audit records



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## 5. Responsibilities

The CEO of the Australian Paramedical College and/or noted delegates under the direction of the CEO have the responsibility for ensuring compliance with this policy.

## 6. Data entry and records

Data entry and records management is carried out by employees, in accordance with the relevant role statements and reviews are conducted in accordance with the Quality Practice Internal Review Schedule

Enrolments are entered in the Australian Paramedical Database held in the Student Training File and the RTO database.

Assessments results are entered in the RTO Database along with evidence.

Qualifications and Statements of Attainment will be issued in accordance with the Issuance of Qualifications Policy (see Issuance of Qualifications Policy 008)

Australian Paramedical College will, using the Power Pro Student Management System:

- Maintain a register of all AQF qualifications issued
- Retain records of all AQF certification documentation for a period of 30 years; and
- Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator

## 7. Access and Equity

Australian Paramedical College access and equity policy applies to students who wish access to their own personal records. (See Access and Equity Policy 017)

## 8. Privacy and Confidentiality

All staff are responsible for ensuring compliance with privacy and confidentiality of records, documents and data including non-disclosure of computer logins and passwords. (see Privacy Policy 010 and Code of Practice 001)

## 9. Monitoring and Continuous Improvement

All record, document and data control management practices are monitored by the Australian Paramedical College Leadership Coordinators (senior managers) under the direct delegation of the CEO.

Areas for improvement identified across business or via the Quality Practice internal review process are documented in the Continuous Improvement Register for action. (See Continuous Improvement Policy 026)



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## 10. Quality Practice, Quality Systems and Management

The Australian Paramedical College Quality Practice Management Policy further clarifies information pertaining to processes and systems for the quality management of documents, records, and data. (see Quality Practice Management Policy 007)