


RBIT-P&P for RRAM

	RBIT Policy for Record Retention and Reports Archiving Management POL17_02-22_27.2 PRO17_02-22_27.4	Policy Endorsed by Ferne Robinson, PAO/PD Policy Approved by Dr. Michelle Lee, CEO Approval Date: 23 rd Feb, 2017 Next Review Date: Dec, 2018
Dynamic Management Group Pty Ltd t/a Royal Brisbane Institute of Technology, National RTO Provider No: 30807, CRICOS Provider Code: 02370B		
Policy Statement: <p>Royal Brisbane Institute of Technology and Royal Brisbane international College (hereinafter referred to as RBIT/RBIC) has recognised the importance of Record Retention and Reports Archiving Management.</p> <p>This Record Retention and Reports Archiving Management Policy acknowledges RBIT's Legal obligations under State and Federal legislation to ensure that RBIT/RBIC complies with Commonwealth, State and Territory legislation and ASQA regulatory records retention obligations, archiving, retrieval and transfer of records requirements relevant to its operations.</p>		
Purpose: <p>The purpose of this Record Retention and Reports Archiving Management (RRAM) is to establish standards for the creation, maintenance and retain legal destruction of records, keep regulatory systematic reporting records and effective archives management of RBIT/RBIC.</p> <p>This RRAM Policy support the quality assurance framework needed for effective records and archive management at RBIT/RBIC. This policy provides advice to RBIT/RBIC employees on the creation and use of Institution records, and sets standards for classifying, managing and storing those records. It therefore provides a framework for the Total Management System (TMS) – an archive management system of operational information and data records, it consistent with the Total Quality Management (TQM) needs and complete the Systematic Monitoring Ongoing Compliance (SMOC) process.</p>		
Execution: <p>RBIT/RBIC Personnel have a responsibility to implement and excrete the RRAM Policy. RBIT/RBIC Personnel and Students must apply RRAM in operational practice. The PAO/PD/OCM, administrative officer and registrar are delegated RBIT/RBIC Administrative Operational Compliance Officers must work according to NVR, SRTO, ESOS, CRICO, National Code and regulatory compliance Standards; responsible to govern RBIT/RBIC daily operations to meet ASQA compliance standards; implement the RBIT/RBIC Policy and Procedures, SOPs and fully comply with all legislation and principals as outlined in this Policy.</p> <p>This RRAM policy applies to RBIT/RBIC operation practice, institution has a substantial volume of records relating to its staff, trainers, students, assessors, teaching, assessment, finances and relevant activities. In order to efficiently conduct its operation, the storage, retrieval and management of these information effectively. A good record keeping program is fundamental to RBIT/RBIC's commitment to administrative transparency and accountability. It enables the Institute to account for decisions and actions by providing essential evidence in the form of records, reports and ensures the preservation of the collective memory of institutional operation. This RRAM policy seeks to ensure that RBIT/RBIC's operation is sufficiently documented through the creation of records that are then archiving managed in accordance with the ASQA compliance standards.</p>		
Quality Management Focus: <p>RBIT has developed the SMOC and Quality Assurance for Continue Improvement and Correction Action Plan (QACICA) to govern the quality service best practice standards to meet the ASQA compliance enquiries. RBIT/RBIC has generated an Operational Corrective Action Plan (OCAP) a living tool to record the Corrective schedule, action, and effective corrective outcome. We commitment to providing a quality service, continue validate training and assessment also a focus on continuous improvement needs. We value feedback from students, trainer, staff, employers, and relevant stakeholders for incorporation into future programs.</p>		

1. Scope and Definitions

Scope of Policy

This RRAM Policy applies to all RBIT/RBIC issued documents recording details of students' academic information and qualification attainments.

The Terminology

when used in this AAQI policy have the meaning set out below:

AAQI: AQF Award Qualification Issuance

AQF: Australian Qualifications Framework.

ASQA: Australian Skills Quality Authority

AQF recognised VET qualification: A vocational education and training qualification located at levels 1, 2, 3, 4, 5 or 8 in the Australian Qualifications Framework.

Australian Graduation Statement: A supplementary statement to the Testamur and Record of Results that provides information to enhance understanding of the qualification by students, employers, industry, professional associations and internationally.

Appraisal: the process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.

Archive: the whole corporate document of records of continuing value of an organisation or individual.

Archives: those records that are appraised as having continuing value.

Business activity: SMT term covering all the functions, processes, activities and transactions of an organisation and its employees.

Disposal: a range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from record keeping systems. They may also include the migration or transmission of records between record keeping systems, and the transfer of custody or ownership of records.

Electronic records: records communicated and maintained by means of electronic equipment.

Evidence: information that tends to prove a fact. Not limited to the legal sense of the term.

ESOS: Education Services for Overseas Students

QACICA: Quality Assurance for Continue Improvement and Correction Action Plan

OCAP: Operational Corrective Action Plan

RBIT/RBIC: Royal Brisbane Institute of Technology and Royal Brisbane International College

RTO: Registered Training Organisations

SMS: Student Management System

Information systems: organised collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.

Record keeping: making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.

Record keeping systems: information systems which capture, maintain and provide access to records over time.

Records: records information in any form including data in computer systems, created or retrieved and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

SMOC: Systematic Monitoring Ongoing Compliance

Testamur: The official certification document that confirms that a qualification has been awarded to an individual.

USI: Unique Student Identifier

Unit of competency: a single component of a qualification, or a stand-alone unit, that has been accredited by the same process as for a whole AQF qualification. Also known as a module, subject, or accredited unit.

VET: Vocational Education and Training

2. Policy

All Institute records are subject to the National Vocational Education and Training Regulator Act 2011, the Privacy and Personal Information Protection Act 1998 (QLD), correspondence reporting with ASQA, DIBP, PRISMS. Under RBIT Records, Regulatory Reporting, and Archive Management Policy, PAO as the chief executive of the RBIT/RBIC operation, has a duty to ensure this policy complies with the requirement of the Act and regulations and all the operational staff must work according to the regulatory compliance standards to manage the institutional practice. This RRAM policy applies to RBIT/RBIC operation practice, RBIT/RBIC Personnel must work according to RTO compliance standards as below listed, the retain records of AQF certification documentation issued for a period of 30 years, and provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.:

Standard 1 to record and retain assessment evidence.

Clause 2.4 RBIT/RBIC staff must record sufficient strategies and resources to systematically monitor any services delivered on its behalf, and ensure that the services delivered comply with these Standards at all times

Clause 3.1-3.4 Records of all AQF certification documentation issued by RTOs must be kept for 30 years

Clause 3.5 record the providing credit on the basis of a qualification, statement of attainment or record of results and authenticated VET transcripts issued by the Registrar. and SMS Records, ensure to demonstrate that records have been stored correctly in your student management system

Clause 3.6 allows learners to access a single online record of their VET achievements

Standard 5 Student Management System Records

Standard 6 Complaints and appeals are recorded

Clause 8.1 the RTO cooperates with the VET Regulator

- a. by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration in the conduct of audits and the monitoring of its operations
- b. by providing quality/performance indicator data and providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring
- c. by providing information about significant changes to its ownership within 90 calendar days of the change occurring, and in the retention, archiving, retrieval and transfer of records.

Clause 8.2: The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator

- a. Archive all the business registration records e.g. Australian Securities and investment Commission (ASIC); and organisations that are fully or partially owned entities of the Institute
- b. information records demonstrating that the organisation satisfies the Financial Viability Risk Assessment Requirements. The information demonstrating relevant people associated with the organisation satisfy the Fit and Proper Person Requirements
- c. information on strategies, resources and other materials used to conduct training and assessment
- d. documents demonstrating trainer and assessor credentials and information about delivery operations such as modes, venues, funding, student types and activity conducted
- e. evidence about record management systems and public liability insurance coverage records
- f. the names of current or past students, who may be surveyed about satisfaction levels, and any other information required to demonstrate compliance with the VET Quality Framework
- g. Provide sufficient evidence about record management systems and total VET Activities data
- h. ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:
by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services, and in the conduct of audits and the monitoring of its operations.
- i. to providing requested records and transfer sufficient digital records to ASQA (Clause 8.1 and 8.2)
- j. cooperate with ASQA in undertaking audits and in retaining and providing records or other information

Clause 8.3: record notify ASQA regarding third party agreements

Clause 8.4: record make an annual declaration on compliance with the Standards

Clause 8.5-6: record the comply with all relevant legislative and regulatory requirements

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DIBP Ongoing Reporting: The Best practice in implementing Standard 10.2 could be to provide a generic step-by-step guide on course progress, intervention and reporting.

AVETMISS Data Collection and Reporting: RBIT will provide the Data Collection outcome to meet the The National VET Provider Collection Data Requirements Policy Requirements in collecting and reporting RBIT/RBIC nationally recognised training to the National VET Provider Collection managed by the National Centre for Vocational Education Research.

ASQA Annual Reporting:

FEB	CRICOS – ARC – AVETMISS Report	ASIC	Current & Company Extract
MAR	TPS Levey – PEO Annual Declaration	ATO	Financial Records
JUN	Quality Indicator – Stakeholder Survey	ACPET	Summary Self-assessment declaration

RBIT/RBIC's Personnel need to record and archive reports into the H drive, all student data and information retain in the RBIT Student Management System (SMS), Student Learning Records in the Learning Management System (LMS), Student electronic CV records in the electronic Portfolio Management System (PMS), Study Resources records in the Resources Management System (RMS), Industrial Consultation records in the Industrial Consultation Management System (ICS) and all the operational relevant documents must upload to Total Management System (TMS).

RBIT-TQM included the SMS-LMS-PMS-RMS-ICS Integration, these tools support the VET operational needs for govern the systematic monitoring ongoing compliance. State and Commonwealth legislation and International Standards establish the conditions and standards by which records and archival management in the RBIT/RBIC will be guided. All RBIT/RBIC personnel must comply with the regulatory standards and implement this RRAM policy.

The PAO/GM/OCM and Registrar are delegated fit person responsible to govern the quality of record, and report archiving management outcome for RBIT/RBIC to meet the ASQA Compliance Standards. To conduct the Quality record retention and report achieving appraisal for the accuracy and accountability.

3. Procedure

Step	Procedure	Responsible Person
1.Implementation	Overall responsibility for records management rests with the CEO. As Chief Executive Officer the CEO/PEO has ultimate responsibility to ensure that the RBIT/RBIC complies with the legislation and standards.	CEO
	Overall operational responsibility for records management rests with the PAO/PD. As Principal Executive Officer the APO/PD has ultimate responsibility to ensure that the RBIT/RBIC complies with the legislation and standards.	PD/PAO APAO
	SMT are responsible for implementing and maintaining sound record keeping practices within their respective administrative units. SMT must ensure that records are created, maintained and stored in accordance with the standards outlined in this RRAM policy, and that no records are destroyed except as authorised by the Retention and Disposal Schedule or Normal Administrative Practice.	SMT ADO/REG
		All Staff

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	<p>Record keeping is not the province of archivists, records managers or systems administrators alone, but is an essential role of all employees. Every member of staff is responsible for making and keeping such records as may be necessary to fully and accurately record the functions, activities, transactions, operations, policies, decisions, procedures, affairs, administration and management of the RBIT/RBIC.</p> <p>Staff members are to follow authorised procedures in carrying out records management functions, and must observe security, privacy and confidentiality requirements at all times, in accordance with the RBIT/RBIC's Privacy Statement.</p> <p>Staff members are to handle records sensibly and with care and respect so as to avoid damage to the records and prolong their life-span. Smoking, eating and drinking should not occur near or in records storage areas.</p>	
2. Creation of Records	<p>In accordance with this RRAM policy, all staff are required to create full and accurate data records which adequately document the business activities in which they take part. Records should be full and accurate to the extent necessary to:</p> <ul style="list-style-type: none"> • facilitate action by employees, at any level, and by their successors; • make possible a proper scrutiny of the conduct of businesses by anyone authorised to undertake such scrutiny; • protect the financial, legal and other rights of the organisation, its clients and any other people affected by its actions and decisions. 	All Staff Students
3. Control of Records	<p>Version control RBIT/RBIC Headers and Footers must be used to include document information. File names must include the date (YYYYMMDD), Corporate name (RBIT), department abbreviation (REG/MKT/STC), descriptive name and version number, for example, “20170217_RBIT_Staff-Handbook_v16.8-2” or “20170217_RBIT_REG_Trainer Portflilio_v.1.1</p> <p>Earlier versions (i.e. drafts) of a document may be deleted once the previous versions are no longer needed for future records. Drafts must not be disposed of are those that document significant decisions, reasons and actions and contain important information that is not contained in the final form of the record. This applies to both paper and electronic drafts.</p> <p>Electronic documents have the same status as paper documents. Both electronic and paper documents are bound by the same legislative requirements and are subject to the same degree of confidentiality and care. The New version must upload to the TMS and the older versions of documents must be moved to TMS archive folders for permanent storage.</p>	All Staff

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	<p>Corporate Document Style Guide RBIT Corporate Document Style, where possible existing templates and master documents should be used</p> <ol style="list-style-type: none"> Times New Roman font for all s and headings Document headings can be from 12 to 16 point Body text at 12-point black or dark blue <p>Security Records must be made accessible to authorised users. Officers of the RBIT/RBIC enacting the normal course of their duties must have access to relevant records of the RBIT/RBIC.</p> <p>Personal information about staff and students of the RBIT/RBIC must be secured within all levels of RBIT/RBIC records. For further details on handling personal information refer to the RBIT/RBIC Privacy Statement</p> <p>Storage Records should be stored in conditions that are clean and secure, with low risk of damage from fire, water, dampness, mould, insects and rodents. They should also be kept away from direct sunlight and other sources of light and heat. The storage area should be well ventilated and ideally maintained at a stable temperature and humidity.</p> <p>Records in non-paper formats such as photographs, maps or computer disks require specialised storage conditions and handling process that take account of their specific physical and chemical properties. Irrespective of format, records of continuing value require higher quality storage and handling to preserve them for as long as that value exists.</p> <p>Electronic records that contain evidence of official transactions should be backed up and migrated to new systems or transferred to off-line storage such as CD-ROM for longer-term retention. Strategies should be developed to ensure that these records remain accessible and useable in all future generations of software, for the entire period of their retention.</p>	
4. Audit and Review	<p>All record systems may be subject to audit and review to ensure compliance with legislative requirements and with the requirement of this policy.</p> <p>To accommodate changes in legislation, technologies, programs and resources available to the RBIT/RBIC website and this policy is to be reviewed on a biennial basis.</p> <p>Disposal and Destruction of Records Staff may only destroy or dispose of records in accordance with the RBIT/RBIC's Retention and Disposal Schedule or in accordance with Normal Administrative Practice</p>	PAO APAO REG

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	<p>The Retention and Disposal Schedule provides a listing of routine administration, personnel, accounting, student and property records across the RBIT/RBIC. It complies with legislation in each state or territory in which QLD has a presence and should be accepted as the minimum retention period for records.</p> <p>Where records are scheduled for destruction this should be undertaken by methods appropriate to the confidentiality status of the records. All RBIT/RBIC's records approved and eligible for destruction must be destroyed under confidential conditions, unless the material is widely published. If staff are uncertain of the status of a record, it should be treated it as confidential and destroyed under confidential conditions.</p> <p>Records stored on magnetic media such as floppy disks must be destroyed by reformatting at least once.</p> <p>Deleting files from magnetic media is not sufficient to ensure the destruction of the records. Backup copies of the records must also be destroyed.</p> <p>Records held on optical media, such as rewritable disks, must be destroyed by cutting or crushing.</p>	
5. Queries	The Administrative Officer and Registrar are responsible in the first instance for any queries relating to Record Retention and Reports Archiving, and for escalating any unresolved operational issues to the PD/PAO/APAO and SMT for the further action.	REG APAO PAO/GM
6. Records Retention	<p>PAO/GM/REG must ensure ALL correspondence and communication evidence including file notes and documentation must be kept on the student's file. The file must be maintained and kept up to date. And ensure all the Student Study Record the Printed Testamur/Statement of Attainment and Record of Results on RBIT Student Portfolio and RBIT-SMS for Access anytime.</p> <ul style="list-style-type: none"> a) CEO/PAO responsible for all the TMS records, PAO/APAO must ensure all the operational records and report all up-to-date b) Administration Officer responsible for all Student, Agent and Staff Portfolios, the Soft copy in SMS, H drive and TMS and Hard copy in the RBIT/RBIC Archiving Room c) Admin Officer responsible for continue update the PMS, RMS, INS and Student Service Records. d) Registrar responsible for all Trainer, Student's and Training & Assessment Portfolios must be recorded, the records retention - Soft copy in SMS, LMS, RMS, H, Q drive and TMS; the Hard copy in RBIT Archiving Room e) Registrar responsible for all Student's Records of Testamurs, Statements of Attainment (Award) issued must be kept for 30 years. 	PAO/GM REG ADO

4. References-Related Regulations

Related Regulation	Hyperlink Reference
AQF	www.aqf.edu.au
NVR – RTO 2015	https://www.legislation.gov.au/Details/F2014L01377
Standards for Registered Training Organisations (RTOs) 2015	https://www.asqa.gov.au/Users_Guide_to_the_Standards_for_Registered_Training_Organisation
ESOS Act 2000 (QLD)	https://www.usi.gov.au/system/files/documents/usi-factsheet-student-information-for-usi_2.pdf
National Code	http://www.teqsa.gov.au/sites/default/files/National_Code_2007_pdf.pdf
CRICOS	http://cricos.education.gov.au/
Vocational Education, Training and Employment Act 2000 (QLD)	https://www.legislation.qld.gov.au/LEGISLTN/REPEALED/V/VocEdTrEmA00_140630.pdf
Copyright Act 1968 (Commonwealth)	https://www.legislation.gov.au/Details/C2014C00291
Privacy Act 1988	https://www.oaic.gov.au/privacy-law/privacy-act/
ASQA	https://www.asqa.gov.au/

5. Supporting Documentation

Related Regulation	Hyperlink Reference
Student Information on the Unique Student Identifier (USI)	https://www.usi.gov.au/system/files/documents/usi-factsheet-student-information-for-usi_2.pdf
Users' Guide Standards for Registered Training Organisations (RTOs) 2015	https://www.asqa.gov.au/Users_Guide_to_the_Standards_for_Registered_Training_Organisation
Staff Hand Book	http://www.rbit.qld.edu.au/compliance/StaffSOP
Staff Master TGA Guide	http://www.rbit.qld.edu.au/compliance/StaffSOP
Divisional SOPs	http://www.rbit.qld.edu.au/compliance/StaffSOP
Staff Induction	http://www.rbit.qld.edu.au/compliance/StaffSOP