

Records Management Policy

A division of Hunter Valley Training Company Pty Ltd
PO Box 559 Maitland NSW 2320
ABN 45 002 226 619
T 02 4932 4184 F 02 4932 0158
huntervtec@hvtc.com.au NC 90179



Purpose:

This policy sets out to establish a records management system in accordance with relevant legislative and national regulatory requirements, standards and best practices to ensure that records are properly created, managed and maintained.

Relevant RTO Standards:
SNRs 3.2, 3.3, 3.4, 3.6 and 7.5

Relevant GTO Standards:
Standards 4.0 and 4.1

Scope:

This policy applies to all HVTC Directors and staff. This policy applies to all HVTC business records, including electronic and physical records. It includes records which are created, collected, processed, used, sentenced, stored and disposed of.

Relevant legislation / regulation

1. State Records Act 1998 (NSW) and the State Records Amendment Act 2005 (NSW) – in relation to HVTC's status as Not for Profit entity including State Records Authority Standards <http://www.records.nsw.gov.au/recordkeeping/recordkeeping>
2. VET Quality Framework: Standards for Registered Training Organisations
3. VET Quality Framework: Data Provision Requirements
4. Apprenticeship and Traineeship Act 2001 and Apprenticeship and Traineeship Regulation 2010

Responsibilities:

1. Chief Executive Officer
Chief Executive Officer is responsible for compliance with the requirements of the State Records Act 1998 (NSW) and the State Records Amendment Act 2005 (NSW). This includes delegated operational responsibility for the implementation of the policy and for ongoing management of the records management system.
2. Managers
Managers are responsible for developing, monitoring and reviewing HVTC records management policy, procedures and standards and guidelines for the creation, management storage and disposal of HVTC records. This will be undertaken in accordance with legislative and national regulatory requirements. Staff will be trained to utilise the procedure accordingly, and respond as and when required.
3. Staff (employees)
Staff are required to "make and keep full and accurate records of business activities" (State Records Act 1998). Staff must:
 - make records to support the conduct of their business activities
 - not destroy records without authority from their Manager
 - handle records with care and respect in a sensible manner to avoid damaging records with a view to prolonging their life span
 - ensure that records regardless of format are captured in line with the Records Management Procedure
 - not relinquish control of any records to any third party organisations without the express knowledge and permission of the HR department
 - maintain the confidentiality of records in accordance with the Code of Conduct Policy, Privacy Policy and Learner Equity Policy Privacy Act 1988 and NSW Privacy And Personal Information Protection Act 1998

Document Owner:

RTO Manager

Policy:

All staff are obliged to create full and accurate records that adequately document the official business activities of HVTC in which they take part, and to ensure that information processing systems that support business activities create appropriate records as part of supporting those activities.

All staff must not alienate, relinquish control over, damage, alter or destroy HVTC records.

Access to HVTC records will be in accordance with relevant legislation and HVTC Privacy Policy. All staff are responsible for keeping full and accurate records ensuring compliance with external recordkeeping standards and internal practice.

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All records will be stored appropriately to allow for their retrieval, use and preservation whilst maintaining their security, privacy and confidentiality. Electronic records will be stored in an HVTC corporate information system and will be backed up systematically. Physical records will be housed on-site or archived at a secure storage facility.

Definitions:

Records management – the discipline and organisational function of managing records to meet operational business needs, accountability requirements and student expectations.

Business Activity – all functions, processes, activities and transactions of an organisation and its employees.

Documents – structured units of recorded information, published or unpublished, in hard copy or electronic form, and managed as discrete units in information systems.

Staff (employees) – all persons employed by HVTC.

Related Documents:

- Record Keeping and Archiving Procedure
- RTO Administration Procedure
- Learner Equity Policy
- Code of Professional Conduct Policy
- Privacy Policy
- Communications and Information Technology Policy
- Quality Policy

Signed:

Sharon Smith
CEO

Approved by Board of Directors: 22nd June 2017

Due consideration has been given to legislation that may have been pertinent in the development of this policy. The relevant components have been incorporated and are again considered when conducting the policy review process.