

# Total Management and Training (TMT)

## Operations Manual

<b>Records Management Procedures</b>	Section No :	3.6
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### 1. PURPOSE

This procedure is to record how Total Management and Training (TMT) maintains records of program development, program delivery, clients, human and physical resources, and financial and management activities.

### 2. SCOPE

This procedure applies to all documents, including the policies and procedures included in this Manual.

### 3. REFERENCE DOCUMENTS

Standards for Registered Training Organisations (RTOs) 2015

### 4. DEFINITIONS

Nil

### 5. RESPONSIBILITIES

The Chief Executive Officer has direct responsibility and authority for the Organisation's record keeping policies and procedures, and will review these procedures with other senior staff members and administrative/operational staff to ensure record keeping procedures are maintained, implemented and continually reviewed.

All new and amended documents shall be approved by the Operations Manager before publication or implementation and version control.

The Operations Manager shall monitor the records management procedures to ensure that amended documents are correctly identified and the latest versions are included in all manuals, student information and other relevant documentation.

### 6. PROCEDURES

Record management procedures are set out below.

#### 6.1 Strategic Management Data

TMT collects, develops and maintains strategic management and planning data and information appropriate to the business functions and operations.

This information is recorded and managed for the purpose of:

- RTO self-assessment appropriate to the Vet Quality Framework
- the Organisation's financial and business viability
- quality assurance

These records form an integral part of the business operations and functions, and include but are not restricted to:

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- business planning documents
- dissemination of information to staff, clients and other stakeholders
- Federal and State/Territory legislation and regulatory requirements
- financial reports and cash flows
- assets and products
- management systems and procedures
- training outcomes
- the scope of registration
- assessment outcomes
- disseminating and confirming information about internal audits
- minutes of meetings and memos (eg emails) relating to procedural or policy changes

### 6.2 Trainee / Participant Data

The collection of trainee / participant data may include:

- enrolment details including accurate course/qualification and unit/module titles and codes
- start and completion dates
- record of information provided to the client eg. Handbook, training plans, courseware/texts
- accurate and up to date client attendance and participation
- documentation of RPL
- assessment plans identifying the tools and tasks related to each/clustered units of competency
- up-to-date individual trainee/participant progress clearly showing units completed at any time
- documentation of the evidence used to assess competency
- record of feedback to trainee / participant
- examples of assessment outcome
- records of any assessment appeals
- records of any complaints/grievances
- accurate and up-to-date training monitoring dates and assessment schedules
- all certificates and statements upfront and additional fee, payment and refund policies
- student tuition guarantees
- any client fees paid (receipts) and any refunds given
- advertised training and assessment products
- information provided to trainee / participant at the time of inquiry, enrolment and induction
- training and assessment plans, timetables and schedules
- assessment tasks for each qualification/course
- advertisements, marketing and promotional material

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- offers and confirmation of course placement
- signed confirmation of the trainee/participant's acceptance of offer, receipt of trainee / participant handbook, terms and conditions of enrolment, attendance records, receipt of courseware, training and assessment plans, timetables, monitoring and assessment schedules
- signed confirmation of trainee/participant's knowledge and acceptance of the assessment process
- signed confirmation of the trainee/participant's knowledge and acceptance of the RPL process
- feedback and evaluation information regarding
  - enrolment and induction procedures
  - training delivery
  - courseware
  - support
  - products
  - training and assessment assistance
  - assessment tasks, tools and processes

### 6.3 Contact Records

Trainer/Assessors are responsible for the marking and recording of trainee/participant contact on required documentation.

All contact records and all other relevant forms are monitored and checked by the Administration Team.

### 6.4 Retention of Trainee/Participant Records

Trainee/participant records are established in hard copy and/or electronic format. The information collected includes:

- Personal details - recorded and entered at the time of enrolment and confirmed at induction / orientation.
- Course or qualification details - recorded and entered at the time of enrolment and confirmed at induction / orientation.
- Fees paid - recorded and receipted at the time of payment.
- Progress / grades - recorded on hard copy by trainers/assessors. Transferred to electronic data files by the Administration Team.
- Attendance - recorded daily on class rolls, where required, by trainers/assessors. Transferred to electronic data files by the Administration Team.
- All records of trainee/participant results and assessments shall be retained in accordance with regulatory requirements

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- Where specific qualification or course retention requirements are additional to the VET Quality Framework then those requirements will be recorded in the Training and Assessment Strategy.

### 6.5 Personnel Records

All employees and contractors are required to submit and have their verified résumé and copies of their qualifications retained. Records are confidential and will not be released to any other party unless required under legislation or other regulatory process.

A detailed statement is also available on Employee Privacy and Records in the Personnel Handbook.

### 6.6 Security of Records

TMT controls access to confidential data by:

- Maintaining and securing confidential files separately from general files
- Ensuring confidential files are only accessed by nominated persons
- TMT monitors and maintains electronic records through delegated password access
- Electronic records are backed up each day onto portable hard drives and stored off site
- Hard copy confidential files are stored in locked filing cabinets or secure location such as a compactus system in a lockable room
- Files are reviewed every 12 months for currency and in preparation for archiving
- All other records are held for a minimum of 7 years
- Records eligible and approved for destruction shall be destroyed under confidential conditions

### 6.7 Archiving and Destruction

Student hard records will be electronically archived indefinitely prior to their destruction.

The destruction of files will be undertaken 6 months after the completion of the prior year for the years preceding that one. (e.g. July 2015 will destroy 2013 files). This will occur using the TMT F3.6-1 File Cull Checklist.

### 6.8 Access to information by trainee/participants

TMT allows trainee/participants access to their individual trainee/participant file on an as-requested basis. Notice must be given in writing in advance and a representative of TMT is required to be present whilst the individual is perusing their individual file.

Under no circumstances are files to be removed from the TMT office, except as required by legal/regulatory authorities (eg law enforcement requests).

The Operations Manager must approve all applications for copies of trainee/participant information.

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### 6.9 Access to information by a Third Party

Formal written approval from the individual whose file is to be accessed must be received allowing a third party access to his/her records. A representative of TMT must be present and must verify permission, prior to any access being given.

Under no circumstances are files to be removed from the TMT office, except as required by legal/regulatory authorities (eg law enforcement requests).

### 6.10 Analysis of Data

Analysis of data and statistics may be gathered formally and informally, from both past and current information for future input to strategic planning processes and to support improvement of the organisation.

Inputs to support the improvement process includes data derived from:

- Product performance
- Service delivery
- Finance
- Internal audits and self-assessments
- Trainer/assessor feedback

Statistical records are kept and may be maintained in the following areas to allow management to monitor the organisation's performance:

- Numbers of attendees in each course/module and client contact hours
- Number of courses/modules delivered and completion dates
- Trainee/participant feedback (hard or soft data)
- Trainer's input and feedback
- Assessment validation
- Internal auditing and review
- Opportunity for Improvement reports
- Trainer's performance
- Financial results

Statistical records are obtained from the client database and reports are generated as required.

Statistical records on product quality are obtained by evaluation feedback from clients, trainers and staff.

Records of assessment reviews are obtained by evaluation through the Assessment Moderation/Validation Procedure.

Records on VQF compliance are obtained from internal audits.

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### 6.11 Document Control

Documents required by TMT are controlled to provide evidence of conformity requirements and to ensure effective operations.

All documents and records must be legible, readily identifiable and retrievable.

Correct, relevant versions of applicable documents must be available at points of use, to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose. This covers all documents regardless of whether they are in hard copy form or electronic form.

#### Definitions of Authority and Responsibility

The document control process is owned by the Operations Manager who has the authority and responsibility for the review, amendment, approval, distribution and security of documents. This function may then be delegated to specific Document Controllers for responsibility of documents within their area of control.

The Operations Manager is responsible for ensuring electronic records are backed up at appropriate intervals and copies maintained in a secure and confidential location off site.

#### Version Control

The key controls are the date of issue/review and version number. The manner in which these are displayed on the document may vary, however must be included.

When any document is reviewed and amended, the number should be updated (V1, V2, V3, etc.)

#### Key to Document Types

Each document type has a 2-3 character abbreviation used to identify the type of document:

**TMT** Policy and Procedure (combination of workflow tasks and rules)

**TMT-F** Form Template (including contracts and checklists)

**TMT-SWP** Work Instructions (step by step instructions for a person to carry out a work task)

**TMT-HB** Handbook (also functions as a policy document)

**TMT-TAS** Training and Assessment Strategy

**TMT-SP** Session Plan

**TMT-PP** Presentation (eg PowerPoint)

**TMT-TN** Trainers Notes and Background Information

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- TMT-CN** Participants Course Notes
- TMT-AV** Assessment Validation / Alignment (mapping)
- TMT-AI** Assessment Instrument
- TMT-MG** Marking Guide
- TMT-FG** Facilitator's Guide
- TMT-PS** Printing Specification
- TMT-HO** Handout

### 6.12 Master Copies

Master copies shall be maintained electronically and backed up as per record management procedures.

### 6.13 Review of Documents

Documents shall be reviewed or amended when required by the procedure, policy or document, as required by an Opportunity for Improvement or as part of a scheduled audit to meet the standards of the VET Quality Framework.

For documents within the TMT Manual, the TMT Management System Software shall identify the review date, where required.

For course materials, documents and processes, the changes will be contained within the Opportunity for Improvement Register.

### 6.14 Record of Current Documents

The TMT Management System Software shall be used to record information of the latest version of all controlled documents.

## 7. DOCUMENTATION

TMT F3.6-1 File Culling Checklist