**Records Management Policy**

# Purpose

Insert org name is committed to providing quality training and community programs and activities. This Policy ensures that insert org name maintains a systematic, compliant approach to the effective management of all records.

# Policy Statement

Insert org name is committed to implementing effective and efficient records management processes for business, compliance and all training and assessment records and documentation, in accordance with legislative and regulatory requirements..

These records will be made available to any regulatory department for auditing purposes upon request.

# Policy Principles

## Records

Records on operations include:

### Training and Assessment Records

1. Client Enrolments and personal details;
2. Client progress, training and assessment activities and outcomes;
3. Evidence of Participation
4. Corporate/client relations;
5. Complaints and appeals;
6. Issuing of (ACFE) certification;
7. ACFE training delivery;
8. Recognition;
9. Client fees;
10. Refunds.

### Compliance Records

1. Continuous improvement activities and systems;
2. Validation and Evaluation plan, activities and outcomes; *verification of pre-accredited courses are detailed in the ACFE Pre-Accredited Quality Framework (for the A-frame).*
3. Quality Indicators;
4. Audit.

### Business Records

1. Business planning processes;
2. Financial management records;
3. Staff records; including selection, induction; professional development, performance review;
4. Third party Partnership arrangements;
5. Marketing and advertising approvals;
6. Legislative and regulatory requirements;
7. Workplace health and safety.

##  Electronic Records

1. Insert org name Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry. Stored off-site overnight
2. All insert org name. documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally
3. Electronic Records will be uploaded to relevant reporting databases in accordance with the reporting requirements
4. Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines
5. Access and controls are managed through the Manager/Coordinator and Administration Officer through passwords and log in details

## Paper-based Records

1. Paper records are stored in secure/lockable cabinets for a period of not less than 12 months.
2. Paper records are archived annually, for additional information see Student Data Management Policy.

## Insert org name Responsibilities

The Manager/Coordinator; insert org name is responsible for ensuring compliance with this policy.

Data entry and records management is carried out by Manager/Coordinator;, in accordance with the Duty [Statement](file:///C%3A%5CUsers%5CJames%5CAppData%5CLocal%5CTemp%5CDocuments%5CJob%20Description%20Statements.doc).

All staff are responsible for ensuring compliance with privacy and confidentiality of records, including non-disclosure of computer logins and passwords.

All records may not be changed such that they do not reflect what actually occurred.

# Access and Equity

Insert org name access and equity policy applies to student access to their own personal records. (see Access and Equity Policy – insert org name – Responsibilities *(section))*

# Monitoring and Improvement

All records management practices are monitored by the Manager/Coordinator; insert org name and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

In the event that a record is amended, EO approval is sought, the rationale behind the amendments is provided with any impact of change and/or risk is noted.

**Related Documents**

ACFE Pre-accredited Quality Framework – (ACFE A-Frame)

Continuous Improvement Policy

Quality Indicator Guidelines

|  |  |  |  |
| --- | --- | --- | --- |
| Policy/Procedure name | Records Management  | Version | 1 |
| Policy number | Insert Policy Number | Date developed | Insert Month/Date |
| Drafted by  | Manager/Coordinator | Approved by CoM | Insert Month/Date |
| Responsible person | Manager/Coordinator | Scheduled review date | Insert Month/Date |
| Policy Area | Operational |