



Record Management Policy and Procedure

Record Management

Policy Version Details			
Version Identifier	Last Updated	Author	Approved By
v1.0 December 2016	10 December 2016	Training Manager	CEO

Statutory and regulatory compliance

- Standards for RTOs 2015
 - Clause 1.2
 - Clause 1.3
 - Clause 1.7
 - Clause 1.8
 - Clause 1.13
 - Clause 2.1
 - Clause 3.4
- National Code 2007 Standards 2.1, 2.2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13, 14
- ESOS Act 2000 Section 19(1) and Section 21
- ESOS Regulations 2001 Regulation 3.04
- ESOS Act 2000 Section 21
- ESOS Regulations 2001, Regulation 3.01

Related Policies

- Records Management
- Learner Support and Welfare Services

Related Documents

- Complete record audit checklist
- Spot record audit checklist
- Record of interview (record audit)

Policy

All records will be audited on a regular basis. Record audits are conducted by the Records Management Officer .. There are two types of record audit, complete record audits and spot record audits. The dates of record audits will be determined by the OSAN Management Committee and listed in the annual continuous improvement schedule ..

Procedures

Record samples

For both complete record audits and spot record audits, a sample of at least 10% of each record type must be checked. If there are ten or fewer records of a particular type, then all of the records must be checked.

Complete record audits

All record types are checked during each complete record audit. The Information and Records Management Officer records in the complete record audit checklist information about the records which have been checked.



Record Management Policy and Procedure

Spot record audits

The CEO will identify the record types to be checked in the spot record audit. The spot record audit operates in the same way as the complete audit, but only the record types designated by the CEO are checked. The Information and Records Management Officer will complete a spot audit checklist for the record types checked.

The record audit checklist

A complete record audit checklist will be produced at the completion of each complete records audit and a spot record audit checklist at the end of each spot audit. For each record audit exercise, the CEO will designate the date by which the record audit checklist must be completed and submitted.

Attributes of records to be checked

Records will be checked for completion, accuracy, currency, consistency, thoroughness, correct and accurate filing and consistency of format.

Staff interviews

Staff with responsibility for records will be interviewed by the Information and records management officer after every spot check of records for which they are responsible and after every six-monthly complete records audit. Details of the interview will be recorded in a staff record of interview and submitted by the Information and records management officer to the CEO, along with the record audit checklist.

Review of the record audit checklist by the CEO

The CEO will review the record audit checklist (the complete record audit checklist after each complete record audit and the spot record audit checklist after each spot record audit) and issue instructions for improvements to information and records management as necessary. Instructions might include changes to the position descriptions of staff responsible for information and records management, improvements to records management policies and procedures, improvements to the content and format of records, improvements to the processes of disseminating information to staff about information and records management, counselling of staff regarding their responsibilities for information and record management.

Records to be checked

All of OSAN's record types will be checked at each complete record audit and a sample at each spot audit, as designated by the CEO.



Record Management Policy and Procedure
