

POLICY

Participant file management			
Standard 2	STD 2 Clause 2.1 – 2.2	Policy No.	RTO.S2-POL-004
		Related Procedure No.	RTO.S2-PRO-004
Policy Owner			
Scope	This policy applies to clients, participants and employees of Risk Management Training Solutions and its associated entities.		
Date of approval	21.10.19	Review Date	21.10.21
Change Control	Reviewed as part of continuous improvement		
Version No.	1.1		
Related Policies	Continuous improvement and Quality Assurance Policy Internal Audit Policy Complaints and Appeals Policy Privacy Policy Managing Participant Personal Information		

1. Overview

The purpose of this policy is to:

- Set out the framework under which Risk Management Training Solutions (RMTS) official VET records and documents are accurately created, managed and archived;
- Ensure that appropriate governance, resources and structures exist to enable the responsible and systematic management of records and documents;
- Outline the responsibilities of staff and provide an authorised and controlled system;
- Ensure the operation of a secure, permanent and reliable system for recording and storing of VET records.

Risk Management Training Solutions will ensure that it complies with the principles of record management as required by the Standards for Registered Training Organisations (RTOs) 2015 and will:



- Ensure cooperation with Australian Skills Quality Authority (ASQA) in the retention, archiving, retrieval and transfer of records consistent with its compliance requirements;
- Ensure compliance and effective management in line with ASQA General Directions for the retention of participant assessment items
- Issue Qualifications and Statements of Attainment according to the AQF Qualifications Issuance Policy.

2. Policy

- 2.1 RMST will develop and implement a strategy for the management of each Participant File for each Training Product in its scope of registration for which it has participants enrolled.
- 2.2 Participant Files will be kept accurate, ethical, with logical order, and be accessible to all stakeholders within the guidelines of privacy and confidentiality requirements.
- 2.3 Stakeholders in this instance includes: the participant, the participant's trainer, administrative support staff, Compliance, Senior Management, external auditing bodies e.g. ASQA for compliance with Standards for RTOs 2015.
- 2.4 Participant Files will be kept, set up with consistent structure throughout RMST which allows for easy retrieval of information.
- 2.5 Each participant file will have a Participant File Checklist to document, track, and audit the completion of the file.
- 2.6 An individual Participant File must be kept for each participant in each program.
- 2.7 Administration staff will be responsible for the initial setting up, compiling, and checking of participant files.
- 2.8 Training staff will be responsible for recording all training and delivery contact with their participants in individual learner notes, training reports and all assessment items (including Recognition of Prior Learning (RPL) and Credit Transfer (CT)) in the individual participant's file.
- 2.9 Monitoring audits of the Participant Files will be conducted periodically by Compliance in line with the Compliance Management Calendar.

3. References

Standards for Registered Training Organisations (RTOs) 2015
Standard 2 – Clause 2.1 – 2.2