

STES

RTO Policy & Procedure – Records Management – Document Control

Purpose	The purpose of this Policy & Procedure (P&P) is to ensure RTO documentation is created and managed systematically, and that all records relevant to its operations as an RTO are maintained.
Scope	The documents created by STES relate to all areas of the business including: <ul style="list-style-type: none"> • business documents; • training & assessment documents; and • student information and records.
Definition	The term 'document' covers all written material whether it is in hard copy or electronic format that is created on behalf of the RTO. This includes, but is not limited to: <ul style="list-style-type: none"> • word documents; • spread sheets; • PowerPoint presentations; and • electronic mail.
Inputs	<p>Standard 1 - The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.</p> <p>1.8. The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):</p> <p>b) is conducted in accordance with the Principles of Assessment and the Rules of Evidence.</p>
Requirement	The Standards For RTOs – 2015 do not specify how RTO documentation is to be managed, however there is a requirement that assessment is conducted in accordance with the Principles of Assessment which states evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment. This requires RTOs to demonstrate how they maintain version control over their Assessment instruments.



<p>Reference Documentation</p>	<p>Other reference documentation which relates to this Policy & Procedure includes:</p>	
<p>Tools & Templates</p>	<p>This P&P is supported by the Tools & Templates identified at each stage in the process.</p>	
<p>Policy</p>	<p>All STES documentation is to be managed systematically in accordance with the RTO Document Control & Style Guide.</p> <p>Appearance</p> <p>All STES documents are to be consistent in appearance; drafted in accordance with the STES Style & Document Control Guide.</p> <p>At a minimum each document must include:</p> <ul style="list-style-type: none"> • The STES Logo in the Header • The electronic file name, including the version number, and page number in the footer; • Controlled documents are to be identified in accordance with the Style Guide and include the date printed in the footer <p>Version Control</p> <p>Version control of documents provides an audit trail through the development of the document and its use. All controlled documents are to have version numbers in their file name. Version numbers are preferred, but not essential for uncontrolled documents.</p> <p>Currency</p> <p>Hard copy and electronic format documentation is to be reviewed regularly to ensure the accuracy, integrity and currency.</p> <p>Access</p> <p>Access to documentation is to be controlled in accordance with legislative requirements and the purpose of the document.</p> <p>Intellectual Property</p> <p>Any documents created for, or on behalf of the RTO will be deemed to be the RTO's intellectual property.</p> <p>Archive / Destruction</p> <p>All obsolete hard copy and electronic format documents will be archived or discarded in accordance with the legislative requirements as specified in the STES Style & Document Control Guide.</p>	
<p>Creating a new electronic format document</p> <p>Output:</p>	<p>All new electronic format documents are to be created in accordance with the standard STES Document.</p> <p>New RTO documents.</p>	<p>Tools & Templates</p>



Responsibility:	All staff	
Templates	<p>To assist with maintaining the look and feel of the RTO's documents there are standardised templates for the following types of documents in the STES master folder:</p> <ul style="list-style-type: none"> • Word documents • Excel workbooks • PowerPoint presentations <p>There are also suites of specific templates available in each of the Business Process folders in STES master folder.</p> <p>If the document is likely to be used repeatedly consider saving it as a template.</p> <p>All templates to be identified and saved in the same format. RTO TEMPLATE – filename - version number.</p> <p>How are templates to be saved on the RTO Student Management System?</p>	<p>Tools & Templates</p> <ul style="list-style-type: none"> • <i>STES Templates</i>
Output:	New RTO documents.	
Responsibility:	All staff	
Version control	All documents are to be version controlled in accordance with the standard STES Document.	Tools & Templates
Output:	New RTO documents.	
Responsibility:	All staff	
Backups	<p>STES master folder documents are to be backed up daily / weekly on password protected external hard drives. These hard drives are to be kept at premises other than the RTO offices stored in a secure, fireproof safe.</p>	Tools & Templates
Output:	Backed up files	
Responsibility:	Administration Officer	



<p>Reviewing and amending documents</p> <p>Output:</p> <p>Responsibility:</p>	<p>As part of the STES Continuous Improvement policy all documentation is to be reviewed regularly to ensure the accuracy, integrity and currency.</p> <p>New versions of the document are to be saved after each amendment in accordance with the standard STES Document.</p> <p>Revised documents.</p> <p>All staff</p>	<p>Tools & Templates</p>
<p>Archiving</p> <p>Output:</p> <p>Responsibility:</p>	<p>Each business process area will have an archive folder for the retention of superseded versions that are no longer active. The archive folder creates an audit trail of improvements from version to version.</p> <p>The only versions of a document that should reside outside the archive file are the currently release version and the version being worked on.</p> <p>Previous hardcopy documents are to be disposed of in a way that is appropriate to nature of the information contained.</p> <p>Revised documents.</p> <p>All staff</p>	<p>Tools & Templates</p>
<p>Document control checks</p> <p>Output:</p> <p>Responsibility:</p>	<p>Random checks of documents in circulation will be conducted on a regular basis to ensure the currency of the document.</p> <p>Checked documents</p> <p>CEO/Training Manager/Lead Trainer</p>	<p>Tools & Templates</p>
<p>Key Performance Indicator:</p>	<p>The effectiveness of this P&P is to be measured by:</p> <ul style="list-style-type: none">• The consistency of formatting in STES documentation;• The currency of the documents in use.	