



RECORDS MANAGEMENT POLICY

DGT Employment and Training Operating Principles

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DISCLAIMER

DGT Employment and Training has made every effort to ensure that the information in this resource, at the time of publication aligns to current Standards for Registered Training Organisations (RTOs) 2015. The information in this resource will be routinely reviewed as part of continuous improvement activities incorporate any necessary amendments.

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AIM:

To demonstrate records management procedures within Toowoomba Regional Group Apprenticeship Company Pty Limited trading as DGT Employment and Training are in accordance with relevant regulatory and legislative requirements.

These guidelines are applicable to all staff involved in the access, storage and disposal of records pertaining to all company activities.

OBJECTIVES

- Ensure records are accessible, useable, authentic and accurate to enable well informed and proper judgements
- Provide documentation/information to support policy and decision making
- Ensure security and protection from misuse through unauthorised access, modification, damage, and/or disclosure.
- Ensure compliance with regulatory and company requirements and standards.
- Provide records of all company operations to support ongoing business activities.
- Provide protection and support in litigation

DEFINITIONS

Record Management

- The discipline and organisation function of managing records to meet operational business needs, accountability requirements, and community expectations.
- The management of records from creation to disposition, which may include transfer, destruction, or retention as archives.

Records

Records are defined as any information in any form, including data in computer systems, created, received and/or maintained in the transaction of business and kept as evidence of such activity

Records can be classified as:

- New files to be coded and categorised.
- Active files, which will be accessed, retrieved, acted upon, and stored again.
- Inactive files which will be transferred to archive storage locations for prosperity or purged according to the relevant retention policies.

Appraisal

The process of evaluating which records need to be developed and identifying retention periods in order to meet business needs regulatory requirements and organisational accountability. Management is responsible for identifying records of continuing value to DGT and those records that can be disposed of immediately. The criteria used in appraising records may include but not limited to:-

- | | | |
|------------------------------------|---------------------------------------|------------------|
| • Administrative use | • Legal requirements | • Research value |
| • Evidence of rights or obligation | • Financial or audit requirements | |
| • Policy or precedent value | • Intrinsic interest or display value | |

Retention Periods

"In relation to a record" means the period for which the record must be kept in accordance with government standards, contractual requirements and/or company policy before it may be destroyed.

Personal Information

Personal information is information or an opinion, whether true or not, about an individual whose identity is apparent, or can be reasonably ascertained from the information or opinion.

Sensitive Information

Sensitive information is information about an individual's racial or ethnic origin, political opinions, membership of a political association, religious beliefs or affiliations, philosophical beliefs, membership of a professional or trade association, membership of a trade union, sexual preferences or practices, criminal record, or health information. This list is not exhaustive and should encompass all aspects of current anti-discrimination, privacy and human rights legislation.

Responsibilities

All staff are personally accountable for the correct management of records (including electronic records) generated in the course of their duties or under their direct control. Staff who have access to records of a confidential nature are instructed as to their rights and obligations when dealing with such matters.

Position descriptions, procedures, signing authorities and/or work instructions identify personnel responsible for developing, filing, storing and disposing of records associated with the various activities undertaken by DGT.

Personnel need to be aware of any regulatory and/or company requirements concerning record management e.g.

- records creation and format
- records destruction
- accessibility
- records as evidence
- custody of records
- records retention
- control over access

Unauthorised alteration, removal, distribution, destruction or neglect is prohibited.

Company staff will not make records available to clients, Australian Apprentices and/or interested stakeholders for review and/or evaluation without prior approval from the Chief Executive Officer (CEO). Clients of DGT will be granted access, upon request to their personal records once approval is granted by the CEO.

Storage and security

Records are stored in environments to protect them from damage, abuse, loss or alteration and maintained in a manner to be readily retrievable and to ensure future legibility and identification.

Confidential Records

- Electronic - protected by password.
- Hard copy – locked in fireproof cabinets, safe, designated filing cabinets or archiving room.

All electronic records are backed up daily by an external IT provider.

Records will be transferred to longer-term storage locations when appropriate and will be suitably contained, labelled and stored in a manner that continues to protect their condition, identification and future accessibility.

Archiving

Records that are no longer required for current use, but are deemed for permanent retention because of their evidential or informational value are to be archived.

Disposal of Records

Obsolete records must be disposed of in a manner that does not allow reproduction of information once the records have been destroyed.

Records not required by regulatory or company requirements:

- Hard copy records exceeding the retention period containing sensitive or personal information will be placed in the locked shredder bin for disposal.
- Electronically stored records containing sensitive or personal information will be deleted from the server, hard drive and/or recycle bin.
- Records, which do not contain sensitive or personal information and are no longer required for administrative use will be recycled where possible.

Records are not to be destroyed or disposed of until the defined minimum retention period has passed. (Refer Appendix 1 of this policy.)

APPENDIX 1

Regulatory/Company Requirement	Record	Retention Period (if applicable)
Quality Management System Compliance	<ul style="list-style-type: none"> Australian Skills Quality Authority (ASQA) National Standards for Group Training Organisations 2017 Standards for Registered Training Organisations 2015 	
Australian Taxation Office	<p>Business records</p> <ul style="list-style-type: none"> after they are prepared, obtained or the transactions completed (whichever occurs later), and in English, or in a form that tax officers can access and understand in order to determine your tax liability <p>Business Records</p> <ul style="list-style-type: none"> Sales Records Purchase / Expense Records Employees and Contractors Motor Vehicle Expenses Capital Assets Assets – Leased or on Hire Purchased Year End Records 	<p>DGT will retain business records for a period of seven (7) years as per Business Queensland 'Basic record keeping requirements' as per link below</p> <p>https://www.business.qld.gov.au/running-business/finances-cash-flow/records/requirements</p> <p>Five (5) years is indicated by the ATO In some cases longer. Refer to the link below</p> <p>https://www.ato.gov.au/Business/Managing-your-small-business-records/Records-required-by-law/</p>
Australian Securities and Investments Commission (ASIC)	<p>Financial records can include:</p> <ul style="list-style-type: none"> invoices receipts cheques books of prime entry working papers and other financial documents. 	<p>Seven (7) years</p> <p>Refer to link below</p> <p>https://asic.gov.au/for-business/running-a-company/company-officeholder-duties/what-books-and-records-should-my-company-keep/</p>

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Regulatory/Company Requirement	Record	Retention Period (if applicable)
	Insurance policies and related documentation	
Fair Work Ombudsman	Time and wages records <ul style="list-style-type: none"> • Employee details • Pay • Hours of work • Leave • Superannuation contributions • Individual flexibility agreements • Guarantee of annual earnings • Ending employment • Transfer of business • Training Contract & training plan (supporting evidence for wages paid) 	Seven (7) years Refer to link below https://www.fairwork.gov.au/pay/pay-slips-and-record-keeping/record-keeping
WorkCover Qld Workers Compensation and Rehabilitation Act	Workers Compensation Claims Self-Insurance Scheme Claims Compensation Claims – Adults Compensation Claims - Minor	Seven (7) years after settlement of claim Retain for 50 years after settlement of claim Seven (7) years after settlement of claim Retain until claimant reaches the age of 25 years or seven (7) years after settlement of claim, whichever is later

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Regulatory/Company Requirement	Record	Retention Period (if applicable)
Work Health and Safety	<ul style="list-style-type: none"> workplace incidents risk register and management plan names of key WHS people (e.g. WHS representative, Trained Safety Advisor (TSA), first aid attendant) chemical storage records first aid incident register workplace assessments Material Safety Data Sheets (MSDS) White Card Assessments 	<p>Seven (7) years as per link below https://www.business.qld.gov.au/running-business/finances-cash-flow/records/requirements</p> <p>For a period of at least five (5) years</p>
QLeave Portable Long Service Leave	<ul style="list-style-type: none"> QLeave 	<p>6 years from last entry – refer link below https://www.qleave.qld.gov.au/building-and-construction/employers/employer-obligations/book-keeping-requirements</p>
VET Quality Framework	<ul style="list-style-type: none"> Student Results Qualifications/Statement of Attainment 	30 years
Department of Justice and Attorney General	<ul style="list-style-type: none"> CPCCCOHS1001A Construction White Card Induction Card Register All eligibility and identification documents 	5 Years
CSQ Contracts	<ul style="list-style-type: none"> Completed Assessment items Assessment instruments and assessors' marking guides/criteria/ observation checklists 	Contract period plus six (6) years

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Regulatory/Company Requirement	Record	Retention Period (if applicable)
Department of Transport and Main Roads	TM Level 2 and TC/All records of assessment including enrolment forms, written and oral knowledge papers, assessment summaries	Not less than five (5) years
Special Programs	Access Program	Seven (7) years
QLD Government PQS Contracts	<ul style="list-style-type: none"> • All documents, records and information relating to the contract • Training Record • Training Plan • Eligibility for priority population • Completed assessment items • Enrolments • Class rolls • Assessment instruments and assessors' marking guides/criteria and observation checklists • Workplace visits 	Term of the PQS Agreement and for a period of six (6) years from date of termination or expiration

VERSION CONTROL LOG

Version Number	Summary of Change	Date of approval
1.0	Initial publication	
10.0	Continuous improvement version control	20.08.2021