



QA-POL-0032 – AIICT Records Management Policy

1. Purpose

This policy is provided on behalf of the RTO, Everthought College of Construction (ECOC) trading as Australian Institute of ICT (AIICT), for AIICT as a shared commitment to providing quality training and assessment products and services in accordance with the Standards for Registered Training Organisations 2015 (SRTOs). This Policy ensures that AIICT maintains a systematic, compliant approach to the effective management of all records.

2. Policy Statement

AIICT 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.

3. Definitions

- a. The following words and expressions have the following specific meaning, as in the [Standards for Registered Training Organisations \(RTOs\) 2015](#).

Record means a written, printed, or electronic document providing evidence that activities have been performed.

Student Identifier has the meaning given in the [Student Identifiers Act 2014](#)

4. Policy Principles

4.1 Records

Records on operations include:

4.2 Training and Assessment Records

- a) Student Enrolments and personal details;
- b) Student progress, training and assessment activities and outcomes;
- c) Corporate/student relations;
- d) Complaints and appeals;
- e) Issuing of certification documentation;
- f) Total VET Activity;
- g) Training Delivery;
- h) Recognition;

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- i) Student fees;
- j) Refunds.

4.3 Compliance Records

- a) Continuous improvement activities and systems;
- b) Training and assessment strategies;
- c) Validation plan, activities and outcomes;
- d) Industry consultation;
- e) Training and assessment resources;
- f) Quality Indicators;
- g) Evaluation;
- h) Audit.

4.4 Business Records

- a) Business planning processes;
- b) Financial management records;
- c) RTO compliance and auditing;
- d) Staff records; including selection, induction; professional development, performance review;
- e) Third party Partnership arrangements;
- f) Marketing and advertising approvals;
- g) Legislative and regulatory requirements;
- h) Workplace health and safety.

4.5 Electronic Records

- a) AIICT Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry.
- b) All AIICT documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally.
- c) Electronic Records will be uploaded to relevant reporting databases in accordance with the reporting requirements.
- d) Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines.
- e) Staff are not to save student/student records and information to external hard drives or USB without the permission of their manager.
- f) Student records will be retained at AIICT.
- g) Student can request access to their records from AIICT.

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4.6 Paper-based Records

- a) Paper Records are stored in secure/lockable cabinets for a period of not less than 12 months.
- b) Paper records are archived annually, for an additional four (4) years in secure storage facilities.
- c) Paper Records can be destroyed after five (5) years.

5. AIICT Responsibilities

The AIICT Training Manager is responsible for ensuring compliance with this policy.

Data entry and records management is carried out by Student Support Officer and Administration team, in accordance with Duty Statements.

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

Enrolments are entered into the Student Database and then held on the Student Training File.

Assessments results are entered in the Student Database and the paper copy will be held on the Student Training File.

Qualifications and Statements of Attainment will be issued in accordance with the Issuing of Qualifications Policy. Copies of all Qualifications and Statements of Attainment issued will be stored inside the Student Database.

Student Induction Checklist and receipt for course payment will be held in the Students file, the SMS and the Financial Management database.

6. Access and Equity

AIICT access and equity policy applies to student access to their own personal records. (See [Access and Equity Policy](#))

7. Monitoring and Improvement

All records management practices are monitored by the AIICT Training Manager and areas for improvement identified and acted upon.

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