



## **POLICY: RECORDS MANAGEMENT**

<b>POLICY NUMBER:</b>	ADM014	<b>VERSION:</b>	7.2
<b>DATE ADOPTED:</b>	10 March 2012	<b>DATE LAST REVIEWED:</b>	30 June 2025
<b>DATE OF NEXT REVIEW:</b>	30 June 2026	<b>REVIEW FREQUENCY:</b>	One Year
<b>AUTHORISED BY:</b>	Principal Executive Officer	<b>REVIEWED BY:</b>	Deputy Principal
<b>RESPONSIBLE FOR REVIEW:</b>	Principal Executive Officer, Deputy Principal		
<b>DOCUMENT MANAGEMENT:</b>	U:/Policies and Procedures		
<b>COMMUNICATION</b>	All relevant staff will be automatically notified by email when the reviewed policy has been authorised		

### **1. REGULATIONS**

- HESF: 1.5.7; 7.3
- ESOS: Part 3 Section 21
- National Code 2018: 7.7
- Standards for RTOs 2015: 3.4, 3.6, 6.5, 8.1(f)

### **2. LEGISLATION OR OTHER REQUIREMENTS**

- Tertiary Education Quality and Standards Agency Act 2011
- The Education Services for Overseas Students (ESOS) Act 2000
- Standards for Registered Training Organisations 2015
- Privacy and Personal Information Protection Act 1998
- Privacy Act 1988

### **3. OTHER POLICIES**

- Privacy Policy
- External Reporting Responsibilities Policy
- Archiving Policy
- Course Credit Policy

### **4. FORMS AND OTHER DOCUMENTS**

Archiving boxes



## 5. KEY WORDS (META DATA)

Records Management Policy, Student Records, Privacy Policy, privacy, access to student records, Privacy Act

## 6. DEFINITIONS

**\*Securely retain:** To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites, or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible.

## 7. POLICY INFORMATION

### 7.1 INTRODUCTION

IIBT is required to create, manage, maintain, retrieve, transfer, and dispose of records as an integral part of its operations. IIBT is committed to implementing best practice in its records management practices and systems so that records created provide a reliable and accurate account of business decisions and actions.

IIBT staff with clearly demarcated record-keeping responsibilities will capture, create, and maintain records using endorsed record-keeping systems.

IIBT will employ appropriate access and security mechanisms to protect the integrity of its records. All records will be protected against unauthorised access, alteration, deletion, or loss. IIBT will abide by the National Privacy Principles. Student information is not disclosed to anyone outside the institute without the student's consent. Student records are confidential and available to the student only and on request.

However, Information provided by the students to the Institute may be made available to the Commonwealth and State Agencies and the manager of the TPS. IIBT is required under Section 19 of the ESOS Act to notify DHA about certain changes to the student enrolment and any breach of a Student Visa condition relating to attendance or academic performance as applicable.

### 7.2 SCOPE

This policy applies to all relevant IIBT staff.

### 7.3 PROCEDURES

- IIBT will create and maintain records for all of its areas of operation, including:
  - Financial transactions, inclusive of student payments and refunds



- Student personal information, inclusive of names, addresses, phone numbers and any other details prescribed by regulations.
  - Staff records, inclusive of certified copies of qualifications
  - Teaching and learning activities.
  - Records of results
  - Student administration and services
  - Requests to transfer to another provider.
  - RPL or course credit requests and assessments.
  - Issued AQF certification documentation.
  - Complaints and Appeals.
  - Records required for external reporting obligations and statutory requirements.
  - Records of meetings
  - Public Liability Insurance
  - Company records, inclusive of partnerships and contracts
  - Compliance and governance records
- The policy covers information and records in all formats including documents, email, voice messages, memoranda, minutes, audio-visual materials and business system data. The policy also covers all business applications used to create, manage and store information and records including the official records management systems, email, websites, social media applications.
  - Records will be created at the time of, or as soon as practicably possible after, the event they relate to in the required format (paper-based, in the accounting system or in the records management database)
  - All electronic records will be backed up and maintained at least weekly and stored at an offsite location.
  - IIBT will maintain clear job descriptions stipulating record-keeping duties/requirements and lines of authorisation.
  - Only IIBT staff directly involved with the organisational areas concerned for fulfilment of their business duties will have access to stored records.
  - Electronic records will be password protected, or stored in designated secure access drives, and confidential paper-based records will be placed in lockable filing cabinets to safeguard against unauthorised access, alteration, deletion or loss.



- Corporate records must not be maintained in email folders, shared folders, personal drives or external storage media as these lack the necessary functionality to protect business information and records over time.
- Student contact details and other details prescribed by regulations will be confirmed with enrolled students every 6 months and records updated accordingly. Updating of records will also be actioned upon receipt of advice of change.
- IIBT will retain sufficient records so as to effect replacement of certification documentation upon student request.
- Designated IIBT staff will ensure that all records are updated, maintained, and stored in an accurate manner that facilitates ease of access and retrieval.
- Storage of records must be under conditions that accord with:
  - a) the length of time they must be kept.
  - b) nature of the record content (e.g., personal, confidential, or sensitive information).
  - c) format of the record or the medium it is kept on.
- Records of all requests from overseas students for a release, RPL or course credit thereof must be maintained for two years after the student ceases to be an accepted student.
- Records of written agreement, receipts of payment made by students under the written agreement must be maintained for two years after the student ceases to be an accepted student.
- The Institute keeps all other student records for two years after the student ceases to be a student based on the following procedure:
  - For Inactive students, the student file containing students' Cover Sheets and Matrix for each Unit of Competency are stored alphabetically by Administration in a filing cabinet which is separate to all active students' files and archived for 2 years after the student has completed or withdrawn from the course. Copies of some student work may be kept for Assessment Validation/Moderation purposes. Trainers are urged to select and provide samples of students' assessment to the institute.
  - When the student completes or withdraws from the course the Administration makes an entry on their Outlook Calendar to remind Administration, two years from the date of ceasing of the course, to destroy the hard copy student personal file. The Administration brings every reminder to the PEO's attention. PEO authorises the destruction of the material and assigns the appropriate staff to shred and destroy the material. Students' records are destroyed 2 years after student has withdrawn from the course. Records relating to assessment outcomes are retained for a period of 30 years.
  - The Administration Manager keeps the key of the filing cabinet to ensure secure storage of the documents and records. The Administration Manager provides access to Administration staff to archive the student's file.



- Designated IIBT staff will maintain a 'Version Control Log' of all documents that are directly related to IIBT areas of operation so that only the latest versions of documents are circulated and in use.
- Sensitive and confidential records will be disposed of in a secure and permanent manner, for example, paper shredding. Disposal will only take place when records are no longer needed after the requisite retention duration required by business or government has elapsed. Short term records can be destroyed in the normal course of business.
- Students can request forms verbally or in writing from Administration, or they can access these forms directly through their Website. Students are allocated passwords to access resources. Staff and students can access Library resources.
- Students' records are confidential and available to the student only and on request. Students must request their student records from the PEO in writing including their full name, date of birth and signature. The PEO is the only person who can authorise revealing the information to the student after checking the student identity with our database.
- IIBT ensures at all times that information regarding students and staff is not disclosed to a third party without the written consent of the student or staff number. Students sign a statement of understanding that their personal information may be made available to Commonwealth and State Agencies and the manager of the TPS.

Important note: No official certificates (e.g. statements of attainment, certificates of graduation) will be released to a student on completion of any Unit of Competency/Course until the student has paid all outstanding fees in full.

#### **7.4 RECORDS RETAINED FOR AUDIT**

The following records shall be kept and maintained for each registration period:

- Policies and procedures
- Training and assessment strategies
- Assessment policies, tools and records
- All RPL and credit transfer records
- Complaints and Appeals and their outcomes
- Evidence of Continuous Improvement/Quality Assurance
- Samples of completed assessments
- Evidence of staff internal professional development and assessment validation
- Evidence of student participation as per contractual and prescribed requirements
- Any other relevant documents.

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**END OF DOCUMENT**

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