



Records Management and Data Reporting Policy

Organisation: Australian Leading Institute of Technology (ALIT) **RTO Code:** 45156

Quality Area: 4 – Governance **Standard:** RTO Standards 2025 – Standards 3 & 7 / ESOS National Code Standards 3 & 7 **Document Owner:** CEO / Compliance Officer **Review Cycle:** Annual **Version:** 1.0

Effective Date: April 2026

1. Purpose

This policy establishes ALIT's requirements for creating, storing, maintaining, reporting, and protecting records in a manner that supports regulatory compliance, audit readiness, learner rights, and organisational accountability.

2. Scope

Applies to all staff who create, use, manage, or have access to ALIT records — including learner files, assessment records, financial records, staff records, and compliance documentation.

3. Policy Statement

ALIT is committed to accurate, secure, and accessible records management. Good records are the foundation of a compliant RTO and protect the rights of learners to receive recognition of their achievements. ALIT complies with all data reporting obligations under the RTO Standards 2025, the ESOS Act, the Privacy Act 1988, and applicable state/territory records legislation.

4. Learner Records

4.1 Records to be Maintained

For each enrolled learner, ALIT maintains a complete learner file that includes:

- Enrolment form and signed student agreement
- Certified copies of identity and prerequisite documents
- CoE (international learners) and visa documentation
- LLND assessment results (where conducted)
- RPL/CT applications and outcomes
- Attendance records per unit per session
- Assessment submissions, completed tools, and competency decisions
- Academic progress records and intervention plans (where applicable)
- Complaints or appeals lodged and outcomes
- Individual Support Plan (where developed)
- Credit transfer and qualification completion records
- Certificate and transcript issuance records

4.2 Retention Periods

Record Type	Minimum Retention Period
Completed learner files (all records above)	30 years
Assessment records	7 years
Complaints and appeals	5 years
Financial records (fees, refunds)	7 years



Record Type	Minimum Retention Period
Trainer and assessor records	Duration of employment + 7 years
PRISMS / DoHA reporting records	7 years

Where state/territory legislation requires a longer retention period, the longer period applies.

5. Student Management System

- ALIT uses an approved Student Management System (SMS) for recording enrolment, attendance, results, and qualifications
- Data entered into the SMS must be accurate, complete, and entered within 5 business days of the relevant activity
- Access to the SMS is restricted to authorised staff; access levels are assigned by role
- The SMS is backed up daily; backup integrity is tested quarterly
- Any SMS outage or data loss must be reported to the CEO and Compliance Officer immediately

6. AVETMISS Reporting

- ALIT collects and reports AVETMISS-compliant data for all domestically funded enrolments as required by NCVER
- AVETMISS data is validated using NCVER's AVS tool before submission
- Annual AVETMISS submission is completed by 31 January for the prior calendar year (or as required by the relevant funding body)
- AVETMISS data errors identified during validation are corrected before submission

7. CRICOS / PRISMS Reporting

For international learners, ALIT maintains and reports via PRISMS:

- CoE creation, amendment, and cancellation
- Commencement and completion of study
- Attendance and course progress updates
- Change of visa status or student suspension/cancellation
- All PRISMS reporting is completed within the timeframes specified in the ESOS Act and National Code

8. Privacy and Data Security

ALIT complies with the Privacy Act 1988 and the Australian Privacy Principles (APPs):

- Personal information is collected only for lawful purposes and with the learner's knowledge
- Learners have the right to access their personal records and request corrections
- Personal information is not disclosed to third parties without consent, except as required by law (e.g., DoHA reporting, ASQA audit)
- Staff must not access learner or personnel records without a legitimate work reason
- Any suspected data breach must be reported to the Compliance Officer within 24 hours; reportable breaches are notified to the Office of the Australian Information Commissioner (OAIC) within 30 days

9. Digital Recordkeeping (2025 Audit Readiness)

- All records must be stored in a format that is secure, accessible, and retrievable for ASQA audit at any time
- Digital records must be stored in named, logically organised folder structures within ALIT's approved document management system
- Scanned documents must be legible and stored as PDF/A format where possible
- Paper records are digitised within 10 business days and the original retained in secure storage



- ALIT conducts an annual digital records audit to verify completeness, accuracy, and accessibility of learner files

10. Roles and Responsibilities

Role	Responsibility
CEO	Approve records management policy; ensure data security investment
Compliance Officer	Maintain records management system; conduct annual records audit; manage AVETMISS submission
Enrolment / Admin Staff	Create and maintain complete learner files; enter SMS data accurately
Trainers	Submit attendance and assessment records within required timeframes
IT / Operations	Maintain SMS; manage backups; respond to data security incidents

11. Related Documents

- Policy: Digital Recordkeeping
- Policy: Leadership and Governance
- Policy: Continuous Improvement System (CIS)
- Policy: Enrolment and Admissions
- Policy: Fees, Refunds and Financial Management
- ALIT Privacy Policy

12. Review and Approval

Version	Date	Approved By	Changes
1.0	April 2026	CEO, ALIT	Initial issue