

# RTO Participant Records Procedure

Version: 1

Issued: 19/06/2017

Doc #: RTOPRO09

Authorised by: RTO Manager



## 1. Purpose

All due professional care and respect will be given to the confidentiality of Vocational Education and Training information acquired during the operation of Four Wheel Drive Victoria (herein referred to as FWDV) as a Registered Training Organisation and staff members will ensure conformity to all relevant privacy legislation.

Participant records comprise all information relating to individual participants in all forms including hard copy and electronic records. FWDV only collects information from a participant which is relevant to their training, progress and course delivery. All training and assessment achievements are recorded.

## 2. Compliance Referencing

FWDV is bound by the *Privacy Act 1988* and *Information Privacy Act 2000* and has adopted the *Information Privacy Principles* contained in privacy laws as the minimum standards in relation to handling personal information in the provision of its services.

Standards for RTOs 2015; Standard 3 and 4

## 3. Storage of Information

The RTO Manager is responsible for management of all FWDV participant records. All participants' enrolment details and evidence of participation, are recorded either manually or electronically and stored in an individual participant file. Results of assessments are entered and stored similarly on both records.

All participant evidence is scanned onto FWDV secure server. Electronic results are entered into the participant management system, maintained on a secure server which is backed up on a daily basis and are to be accessible for up to 30 years.

A participant record may include the following:

- Enrolment form
- Attendance records
- Assessment tasks
- RPL application where applicable
- Statement of Attainment/Certificate
- Proof of identification

## 4. Management of Participant Records

The RTO Manager and Administration staff manage participant records and information. Access to participant records and electronic systems used by FWDV and external bodies is restricted to these positions.

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## 5. Security

Participant records are stored securely in accordance with the *Public Records Act 1973* and *Information Privacy Principle 4*.

**Hard-copy participant records:** Stored in secure filing cabinet in-house.

**Electronic participant records:** Standard procedures are applied to ensure the security of data held on computers.

These include, but are not limited to:

- Established security access levels
- User identification and password codes
- Cyclical changes to passwords
- Established frequencies for backup of data

## 6. Archiving

All participant records will be archived electronically and kept for the prescribed period. No participant records are deleted before this time, in line with any Service Agreement and Standards for Registered Training Organisations (RTOs) 2015 requirements.

Hard-copy participant records older than 12 months are stored electronically on server. Any interim hard-copy files which have not yet been scanned into storage on server are held securely on the premises. All records are accessible for audit purposes.

## 7. Release of Participant Information

FWDV does not release any participant enrolment details or results to any party, including employers, without the consent of the participant.

Information will only be released in accordance with an authorisation signed by a participant. The signed authorisation shall be retained on the participant's file.

Participants are entitled to access any information on their personal and training records in accordance with Privacy Legislation and *Information Privacy Principles 5-7*. Applications for release of information should be made in writing to the RTO Manager on the Request for Copies of VET Information form.

Participants must allow ten working days for the requested information to be supplied.

## 8. Related Documents

- Enrolment form
- Attendance records
- Assessment tasks
- RPL Application
- Request for Copies of VET Information form
- Statement of Attainment