


<p>Aged & Community Services Association of NSW & ACT</p> <p>PROCEDURE FOR COURSE RECORD MANAGEMENT – NATIONALLY ACCREDITED COURSES</p>		<p>LC 50LD</p>  <p>Aged & Community Services Association of NSW & ACT Incorporated</p> <p>ABN: 13 737 853 254</p>
<p>Section(s) Revised: New Reviewed: 15/07/08</p>		<p>Page: 1 of 5</p>
<p>Authorised By: Learning & Development Manager</p>	<p>Issued To: Learning & Centre Staff</p>	

1. Overview

The Australian Qualification Framework requires that records for nationally accredited course courses and participant records are maintained in such a manner that:

- they are secure and privacy and confidentiality are protected
- they provide sufficient evidence of competence to support the awarding of certificates for qualifications and statements of attainment for units of competence
- participants records of attainment of units of competence and qualifications are retained for a period of 30 years.
- participants have timely access to current and accurate records of their participation and progress (AQTF 2007 Standard 2: Element 2.5)
- participants learning needs are recoded and communicated (AQTF 2007 Standard 2: Element 2.4)

This policy relates to the following **Conditions of Registration**:

- Condition 3. Compliance with legislation (in particular National Privacy Principles)
- Condition 6. Certification and issuing of qualifications and Statements of Attainment

Also refer to LC40LD Privacy Policy

2. Definitions


Personal information

Personal information is any information or opinion about an identifiable person. This includes records containing your name, address, sex, etc

http://www.lawlink.nsw.gov.au/lawlink/privacynsw/ll_pnsw.nsf/pages/PNSW_03_ppipact#b

National privacy principles (NPP)

The National Privacy Principles are the base line privacy standards which ACS needs to comply with in relation to the recording, storing and retention of personal information.

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<p>Section(s) Revised: New Reviewed: 15/07/08</p>		<p>Page: 2 of 5</p>
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The NPPs apply to the collection of personal information by an organisation for inclusion in a record or a generally available publication, but apart from this, the NPPs only apply to personal information an organisation has collected that it holds in a record.

2. Procedure

Pre enrolment:

2.1 Learning Centre administration must enter the following when notified that the course is scheduled

2.1.1 in iMIS and in the course spreadsheet:

- i) Course name
- ii) Course number – course numbers are coded to indicate:
 - the year in which a course was held
 - Course start date

2.2 Enrolment

2.2.1 Registration form (FLC82) received by post, email or fax


2.2.2 **Learning Centre administration** enters participant registration details into iMIS.

2.2.2.1 Ensure that all identified special requirements or language and literacy/numeracy needs are noted and reported to the RTO Coordinator.

2.2.2.2 Set up a course folder with a:

- iii) course file checklist **Form FLC20**
- iv) full list of current registrants for the course (roster)
- v) label identifying:
 - a. Course number
 - b. Course location
 - c. Date course commenced
- vi) plastic sleeve for each participant identifying:
 - a. Participant ID number
 - b. Participant Name (this must be the legal name of the participant)
 - c. Date of registration
 - d. Participant current address
- vii) copy of **Form FLC 91a** Facility Documentation Checklist (ACS File Copy)

2.2.2.3 Place participant registration forms in the individual participant sleeve and store in secure location for the duration of the course

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<p>Section(s) Revised: New Reviewed: 15/07/08</p>		<p>Page: 3 of 5</p>
<p>Authorised By: Learning & Development Manager</p>	<p>Issued To: Learning & Centre Staff</p>	

2.2.3 RTO Coordinator:

2.2.3.1 Records any special needs identified for the participant in the course file and notifies the relevant trainer (record of correspondence to be retained in participant sleeve)

2.2.3.2 Commences **Form FLC91b** to monitor course information as it is received.

2.2.3.3 If course documents are not received in accordance with course requirements throughout the course follow up with the trainer or member organisation as appropriate.

2.2.3.4 For off site training: at the end of course check **Form FLC 91a Facility Documentation Checklist** (from the training site) against the information received

2.2.3.5 Follow up with facility regarding any outstanding information required for the course and participant files

2.2.3.6 Check that all participant files contain:


- i. Registration form
- ii. Completed orientation checklist
- iii. Evidence of competency
- iv. Any relevant correspondence regarding special needs, RPL, credit transfer etc

2.2.3.7 Forwards information to Administration Assistant throughout the course to update each participants records in iMIS including:

- i. units of competency achieved
- ii. withdrawal
- iii. recognition of RPL and credit transfer
- iv. change of personal details eg address, name change.

2.2.3.8 Audits 20% of participant records for competency. Sample may include:

- i. Participant/s with lower attendance rate
- ii. Participant with special need
- iii. Participants who have applied for credit transfer (if applicable)
- iv. Participants who has applied for RPL (if applicable)

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<p>Section(s) Revised: New Reviewed: 15/07/08</p>		<p>Page: 4 of 5</p>
<p>Authorised By: Learning & Development Manager</p>	<p>Issued To: Learning & Centre Staff</p>	

- v. The remainder of the sample to be a random sample selected by the RTO coordinator

2.2.3.9 Audits participant records for:

- i. Attendance rate to ensure that 80% attendance requirement is met (if applicable)
- ii. Sufficient evidence to support the awarding of competence in all relevant units of competency, or the awarding of RPL

2.2.3.10 On completion of course:


- i. collate a list of participants and the competencies achieved and forward to the RTO approved person to authorise the issuance of certificates (also refer to **LC10LD Issuance of Qualifications Policy** and **LC11LD Procedure for Issuance of Certificates**)
- ii. follow up of relevant documentation forward the course file to Learning Centre Administration Assistant for issuance of certificates and for filing.

2.2.4 **Learning Centre Administration Assistant**

- 2.2.4.1 Print off certificates as authorised by the RTO Coordinator (**Form FLC 97**)
- 2.2.4.2 Check the participant and course files to ensure that all documents are filed correctly
- 2.2.4.3 Place participant files in locked drawer and file by participant ID number
- 2.2.4.4 File course files by job number in the secure filing cabinet.
- 2.2.4.5 Keep filing cabinet locked when not in use.

2.3 Retention, archiving and disposal of course and participant files:

- 2.3.1.1 All files containing personal information are to be filed securely for 30 years:
 - i. After 10 years, course and participant files to be archived and stored in archive boxes labelled with year and number.
 - ii. A list of archived documents in each box to be retained electronically and in hard copy.
 - iii. Boxes to be marked with year to be disposed of.
- 2.3.1.2 After 30 years the records are to be disposed of in the secure bin and destroyed by the contractor.

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2.4 Job numbers by year:

- 1999 EU
- 2000 EU
- 2001 EI and ET
- 2002 EL
- 2003 LC
- 2004 LD
- 2005 LF and ML
- 2006 LG
- 2007 EC
- 2008 EB and ERTO
- EUMA is across every year (therefore, EUMA files need to have close date).