Title: Customer Records
Document Number: MQPR 10-1
Custodian: Executive Services Office Manager

Purpose

- To ensure that MADEC maintains and manages records of all registered Job Seekers as per contract agreement
- To ensure that MADEC maintains records of all students
- To define methods used to identify, maintain and record results of services delivered
- To describe the process for producing, recording and reporting issuance of certificates to students
- To describe the process for post service, additional service and replacement of statements and certificates
- To ensure that people with disability are provided assistance and support enabling them to enjoy the same basic rights and opportunities generally available to all working Australians.

Scope

- All client registrations in MADEC.
- Applies to employment consultants, teaching staff members, students, Job Seekers and employers.

References

- Australian Quality Training Framework 2010 Essential Standards for Continuing Registration
- Disability Services Standards and Key Performance Indicators 2003, Evidence Guidelines
- Disability Employment Services (July) 2007
- Job Services Australia Quality Framework 2010
- Job Services Australia Performance Management Advice
- Job Services Australia Quality Assessment Instructions Measure 1 JSA Provider Capability
- Job Services Australia Quality Assessment Instructions Measure 2 Service Delivery
- Job Services Australia Quality Assessment Instructions Measure 3 Engagement
- Job Services Australia Quality Assessment Instructions Measure 4 Client Experience
- ISO 9001:2008 Standard 4.2.4 – Control of Records
- ISO 9001:2008 Standard 7 – Product Realization

DEEWR Contract References (DES Guidelines)

- Break in Employment Guidelines
- Change in Employment (Participants who Voluntarily Change Employment) Guidelines
- Contact Guidelines
- Criminal Records Checks for activities where they are a requirement for Participants Guidelines
- Direct Registration Guidelines
- Job Placement and Job Placement Fee Guidelines
- Job Seeker Classification Instrument Guidelines
- Ongoing Support Guidelines
- Outcome Guidelines
- Permanent Address Guidelines
- Work Experience Activities for DES Guidelines
Definitions

Employment Services

Centrelink - means the Commonwealth Services Delivery Agency established under the Commonwealth Services Delivery Agency Act 1997.

Disability Employment Services (DES) – provides eligible people with disability to have access to individually tailored services that provide capacity building, training, work experience and other interventions to help participants obtain sustainable employment.

The objective of DES is to help individuals with disability, injury or health condition to secure and maintain sustainable employment. DES increases the focus on the needs of the most disadvantaged job seekers and achieves greater social inclusion. DES boosts employment participation and the productive capacity of the workforce, address Skills Shortage areas and better meet the needs of employers.

This includes two distinct demand-driven programs:

- Disability Management Service – for job seekers with disability, injury or health condition who require the assistance of a disability employment service (and who may require irregular or occasional support) but are not expected to need regular long-term support in the workplace, and
- Employment Support Service – for job seekers with permanent disability and with an assessed need for long-term regular Ongoing Support in the workplace to retain their job.

Most DES participants will be able to exit as independent workers once a 26-week outcome has been achieved. For those who require Ongoing Support to retain their job, three support options are available:

- Flexible Ongoing Support – available in both Programs: Disability Management Service and Employment Support Service
- Moderate Ongoing Support – available in Employment Support Service only

Disability Employment Services Code of Practice – reflects the Australian Government’s expectations of how MADEC will interact with job seekers, employers and each other. Together with the Service Guarantee they form part of the performance framework and ensures each job seeker receives a high-quality service

Disability Employment Services Service Guarantees – specifies the level of service each client can expect to receive. Together with the Code of Practice they form part of the performance framework and ensures each job seeker receives a high-quality service.

Disability Services Act (1986) – provides the legal framework for the disability open employment services employment assistance.

DES Eligibility Criteria – is determined by Job Capacity Assessment providers. A job seeker is referred to the DES programme if they have a permanent or likely to be permanent disability and have a reduced capacity for communication, learning or mobility and require support for more than six months after placement in employment and/or require specialist assistance to build capacity in order to meet participation requirements.

DES Eligible Job Seeker – is a person who is not employed and has been specified as an eligible worker following assessment by a job capacity assessment (JCA) provider for the purposes of the DES programme.

DES Eligible Worker – is a person who is employed and has been specified as an eligible worker following assessment by a job capacity assessment (JCA) provider for the purposes of the DES programme.
DES Eligible School Leaver – means a participant who meets the eligibility requirements for and eligible school leaver in accordance with DEEWR guidelines.

DES Job Capacity Assessment – means a holistic assessment of a participant’s participation barriers and current work capacity, undertaken by a Job Capacity Assessment provider.

DES Job in Jeopardy Participant – means a participant who meets the eligibility requirements for a Job in Jeopardy participant according to DEEWR Guidelines.

DES Non-vocational Barriers – means the range of barriers that can prevent a person from obtaining and sustaining employment or education or from undertaking further skills development, other than Vocational Barriers.

DES Vocational Barriers – means a lack of appropriate training, skills or qualifications for employment.

DES Ongoing Support – means the DES program services a participant may receive while they are in employment, unsubsidised self-employment, an apprenticeship or a traineeship after a 26 week employment outcome or job in jeopardy outcome until they exit.

DES Ongoing Support Assessment (OSA) – means an assessment by an Ongoing Support Assessor as to a participant’s need for ongoing support. In both Programs: Disability Management Service and Employment Support Service, ongoing support in the workplace is available for as long as the participant is assessed by an OSA Assessor as requiring it. OSA assessors independently assesses the ongoing support needs of participants to determine whether ongoing support is required and which level will best suit the needs of the participant and employer.

DES Participant – is an eligible job seeker and an eligible worker.

DES Special Class Client – means a Disability Management Service participant who meets the eligibility requirements of a class of persons determined by DEEWR to be a Special Class Client in accordance with DEEWR guidelines.

Disability Services Act (1986) – provides the legal framework for the disability employment network employment assistance.

Eligible Job Seeker - means a person to whom Employment Services are provided, or have been provided, by MADEC.

Employment Services - means the services described and set out in the Employment Services Contract.

Employment Services Records - means those Documents referred to the Employment Services Contract which are the property of the Commonwealth.


National Privacy Principle - means any of the National Privacy Principles 7 to 10 (inclusive) set out in Schedule 3 of the Privacy Act 1988.

Personal Information - means information or an opinion (including information or an opinion forming part of a database) whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion.
Records – in the Employment Services Contract includes documents, information and data stored by any means and all copies and extracts of the same.

Sensitive Personal Information - means Personal Information about a person that relates to the person’s racial or ethnic origin, political opinions, membership of a political association, religious beliefs or affiliations, philosophical beliefs, membership of a professional or trade association, membership of a trade union, sexual preferences or practices, or criminal record, that is also Personal Information, or health information about an individual.

Community College Services
Course Attendance Record Sheet – is used to record attendance at a course or training package level and used in conjunction with a participant assessment log and or training plan. This document is a quality controlled document.

MADEC Sealed Accredited Certificates – are issued to provide evidence of completion of a qualification.

Participation Certificate – is issued to provide evidence of participation in a hobby or interest type of course.

Participant Assessment Log – is used to record student progress from commencement to completion for an individual student enrolled in units of competency, used in conjunction with a course or training package attendance sheet. This document is a quality controlled document.

Record – is a document stating results achieved or providing evidence of activities performed.

Risk Management - is the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

Statement of Attainment – may be issued in the vocational education and training sector and is defined by the National Quality Council as follows:
A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s).

Summative Assessment – is a form of assessment used to make judgements as to whether or not the student has achieved the desired outcome or group of outcomes or elements of competency, and used as part of the final assessment result.

Training Package – is a nationally endorsed, integrated set of competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

Training Plan – is a documented program of training and assessment required for an apprenticeship/traineeship training contract. It is developed by an RTO in consultation with the parties to the contract as the basis for training and assessing a person undertaking an apprenticeship or traineeship.

Training Program – is a program (also known as learning program), developed by an RTO, that meets the training and assessment requirements of a qualification from a Training Package, one or more designated units of competency, or an accredited course. The training program may specify such matters as essential and elective units, the sequence and timing of training and assessments, and the resources required. It may form part of a training and assessment strategy.
Valid Unit of Competency Enrolment – is the recording of a customer enrolment when the customer has paid or has been exempted from payment of compulsory fees associated with undertaking a particular unit of competency in the reference year and has participated in or has been engaged in the learning process associated with the enrolment.

Acronyms

AQTF  –  Australian Quality Training Framework
DES  –  Disability Employment Services
DEEWR  –  Department of Education, Employment and Workplace Relations
DSS  –  Disability Services Standards
FaHCSIA  –  Department of Families, Housing, Community Services and Indigenous Affairs
JSA  –  Job Services Australia
RTO  –  Registered Training Organisation
VRQA   –  Victorian Registration and Qualifications Authority

Procedure

Employment Services (including Disability Employment Services)

Privacy and Access

A1 MADEC staff members shall protect the privacy of Job Seeker’s personal information.

A2 Employment Consultants shall create and maintain full and accurate records of the conduct of Services including Participant Services Records.

A3 Participant Services Records includes documents, information and data stored by any means and all copies and extracts of the same about a Participant that are directly created for the purposes of providing the Services.

A4 Job Seekers and Employers are allowed access to documents that contain their own Personal Information except where it contains

A4.1 Information about another person

A4.2 Medical/psychiatric records (other than those actually supplied by the Job Seeker or Employer)

A4.3 Psychological reports

A4.4 Information provided by other third parties.

Retention and Archive

B1 Employment Consultants shall hold Job Seeker records for 13 consecutive weeks after an exit occurs to ensure continuity of service if the Job Seeker is returned within this time.

B2 Site Managers/Team Leaders shall check each Job Seeker record that has remained exited after 13 consecutive weeks to ensure that there is no further action required by the site.
B3 Site Managers/Team Leaders authorising that the exited Job Seeker’s records can be archived shall ensure that the client file is forwarded to the Employment Services Development Manager by secure internal mail.

B4 The Employment Services Development Manager is responsible for archiving Job Seeker records and auditing those files where an outcome claim has been lodged prior to archiving.

B5 Records where there is potential for any legal action shall be retained until the matter is resolved.

Guidelines

C1 Employment Consultants shall refer to MADEC’s work instruction regarding Managing Client Information.

C2 All staff members shall refer to MADEC Quality Procedure MQPR 2-1 Suggestions and Complaints.

C3 Employment Consultants, Team Leaders and Site Managers shall comply with DEEWR Guidelines regarding

- C3.1 Records Management Instructions
- C3.2 Documentary Evidence Guidelines for Claims for Payment
- C3.3 Risk Assessment for Work Experience Activities
- C3.4 Incident Management and Reporting for Work Experience Activities
- C3.5 Activity Management Recording Work Experience Hours of Attendance
- C3.6 Criminal Records Check for Activities
- C3.7 Transfer
- C3.8 Exits

DES Specific Guidelines

C10 Disability Employment Services managers, team leaders and staff are responsible for complying with DEEWR contract requirements and DES Guidelines for

- C10.1 Break in Employment Guidelines
- C10.2 Change in Employment (Participants who Voluntarily Change Employment) Guidelines
- C10.3 Contact Guidelines
- C10.4 Criminal Records Checks for activities where they are a requirement for Participants Guidelines
- C10.5 Direct Registration Guidelines
- C10.6 Exits Guidelines
- C10.7 Job Placement and Job Placement Fee Guidelines
- C10.8 Job Seeker Classification Instrument Guidelines
- C10.9 Ongoing Support Guidelines
- C10.10 Outcome Guidelines
- C10.11 Permanent Address Guidelines
- C10.13 Transfer Guidelines
- C10.14 Work Experience Activities for DES Guidelines.

Community College Services
Student Records

D1 At enrolment students are requested to identify if they have been a previous student and if so the original identification number is applied. New students are issued a unique identification number. Confirmation of enrolment occurs at enrolment.

D2 Hard copy files of enrolment forms are kept by year and course including any name or address changes, withdrawal or variations, enrolment status, RPL and credit transfer applications, and refund requests by the Community College Manager.

D3 A daily back up of the VETTRAK computer system is the responsibility of the Information Technology Manager. Disks/back up tapes are stored securely and kept off site.

D4 Teaching staff members shall ensure that class lists and attendance rolls are securely kept at MADEC and not taken off site.

D5 The Community College Manager shall ensure that student record information is accurate and relevant teaching staff members are provided with student record information to validate enrolments.

D6 Students are responsible to inform MADEC of changes to their personal or enrolment details.

D7 Teaching staff members are responsible to submit student records to the Records Officer once a unit has been completed by each student (not wait for all units to be completed)

D7.1 Ensure they use the current version of the MADEC attendance roll as per the Quality Document Status Register and as published on the Intranet

D7.2 Maintain in-process and final assessment records for each student

D7.3 Ensure that student results accurately reflect achievement against the documented assessment criteria

D7.4 Record final assessment results in the appropriate format

D7.5 Entering completed results and forward results of units or competencies as soon as practicable after completion date to the Community College Manager (or delegate) for validation.

D8 The Community College Manager is responsible to ensure that student results are entered onto the VETTRAK student records system.

Participant Assessment Log and Student Outcome Form

E1 Teaching staff members are to document on the Participant Assessment Log all required details of student progress from unit of competency commencement to completion in a timely manner.

E2 Following completion of each unit of competency teaching staff members must record the result on the Student Outcome Form.

E3 Teaching staff members must sign the Participant Assessment Log and Student Outcome Form at time of each unit of competency completion.

E4 Teaching staff members must submit to the Records Officer all results of each unit or competencies completed by each student immediately, and not wait until all units are completed.
Course or Training Package Attendance Record Sheet

F1 A Class Attendance Record Sheet must be maintained for all students in courses where a Participant Assessment Log is maintained.

F2 Teaching staff members must use the Attendance Record Sheet to record attendance.

F3 At the completion of the course Attendance Record Sheets are to be stored with files together with the Participant Assessment Log and Student Outcome Form.

F4 Teaching staff members must sign the Class Attendance Record Sheet.

Class Attendance Record Sheet

G1 A Class Attendance Record Sheet is to be used to record attendance for unit of competency based attendance.

G2 Teaching staff members must use the Class Attendance Record Sheet to document all necessary student and attendance details.

G3 At the completion of the class the Class Attendance Record Sheets are to be stored in folders with the other Class Attendance Record Sheets for that course.

Training Plan for Apprentices/Trainees (Australian Apprenticeships)

H1 A Training Plan must be maintained for all Australian apprenticeship students whether training occurs in the workplace or off-the-job. Information on training plans must provide evidence that OTTE services standards have been met.

H2 It is not necessary to maintain an attendance record for these students unless attendance occurs at MADEC. The monitoring visits forms and training logs replaces the requirement to have a Class Attendance Record Sheet.

H3 Where training is workplace based at the completion of each unit of competency the employer must sign the Training Plan. Where the training is conducted at MADEC employers must sign the training plan at the conclusion of the training plan.

H4 At the completion of the training, Training Plans are to be stored in folders as per the procedures below.

Storage and Access

I1 Class Attendance Record Sheets, Participant Assessment Logs and Student Outcome Forms are to be kept together in a secure place as determined by the Community College Manager in course based folders and are not to be removed for any purpose. If it is necessary to remove record sheets for operational purposes they must be returned to the folder as soon as is practicable.

I2 Training Plans for Apprentices/Trainees are to be kept in Australian Apprenticeship folders. If it is necessary to remove record sheets for operational purposes they must be returned to the folder as soon as is practicable.
I3 All documentation shall be made available to the Community College Manager, the Executive Services Office Manager and external auditors for audit or data control purposes (also refer MQPR 2-4 and MQPR 2-3).

I4 Where requested, students will be provided with access to their personal records, in accordance with the requirements of the Privacy Act, and to have any incorrect details rectified.

I5 Students wishing to gain access to information regarding their progress in a course, in which they are enrolled, should make this request directly to their Trainer, who will provide them with details.

I6 Students wishing to gain access to details of their records, other than for progress reports, are required to apply in writing to the Manager, Community College, detailing their request. No record will be made available without suitable photo ID (e.g. passport, drivers license) to verify applicants identity.

Statements of Results

J1 The Community College Manager is responsible to ensure that MADEC produce the appropriate Statements of Results and distributed to teaching staff members for verification where requested.

J2 Teaching staff members verify that Statements of Results are complete and accurate and return these for either correction or final processing to the Community College Manager.

J3 A designated responsible staff member posts Statements of Results to MADEC students, when requested.

Statements of Attainment

K1 The Community College Manager is responsible to ensure that MADEC issue, record and record AQF Qualifications and Statements of Attainment that

K1.1 Meet AQF requirements including national codes
K1.2 Identify the units of competency from Training Packages or competencies from accredited courses that the student has attained and
K1.3 Identify MADEC by its national provider number.

Issuing Certificates

L1 The Community College Manager is responsible to

L1.1 Determine those students eligible for a certificate
L1.2 Verify and validate that the student’s enrolment and assessment information within the VETTRAK student record system
L1.3 Check and ensure that the student has no outstanding debts
L1.4 Produce certificates within the VETTRAK system using document production
L1.5 Authorise and sign certificates
L1.6 Ensure that the delegated responsible staff member makes a copy of the completed and signed certificate and files them in the student hard copy file and forwards and posts the completed original certificate to the student.

Withholding Certificates

M1 The Community College will withhold any certificate where the student has a status of finance, invoice or payment by instalment debt.

M3 The delegated responsible staff member sends a certificate withheld letter to those students who have had their certificate withheld due to outstanding debts to MADEC.

M2 These certificates are filed with the delegated responsible staff member until the student has paid all debts at which time the certificate will be posted to the student.

Replacement Requests

N1 A customer may request replacement of a certificate. Duplicates of certificates and statements of attainment area issued upon confirmation of the applicant's details and payment of an administration fee will apply.

N2 Duplicates of MADEC-Sealed accredited certificates are issued on presentation of a proof of identity and payment of an administration fee will apply.

N3 The Community College Manager will authorise any request for a replacement certificates or statements of attainment.

N4 The delegated responsible staff member will

   N4.1 Produce the documents clearly marking them as duplicate / re-issued certificate or statement of attainment
   N4.2 Advise the applicant when the document is ready
   N4.3 Files the request centrally in the department.

Records Management

O1 The Community College Manager or delegated responsible staff member shall ensure the integrity, accuracy and currency of student records that include but are not limited to

   O1.1 Secure storage, including back up of electronic records
   O1.2 Retention, archiving and retrieval of student results and transfer, consistent with AQTF and contractual requirements of various state registry bodies
   O1.3 Retention, archiving, retrieval and transfer of all other records consistent with contractual, legal and AQTF and contractual requirements of various state registry bodies
   O1.4 Compliance with external reporting requirements (i.e. the Australian Vocational Education and Training Management Information Statistical Standard - AVETMISS)
   O1.5 Safeguarding any confidential information obtained by MADEC and committees, individuals or organisations acting on its behalf
O1.6 Ensuring that, except as required under the Standards for Registered Training Organisations or by law, information about a client is not disclosed to a third party without written consent of the client.

O1.7 Access by clients to their personal records.

O2 The records and documentation referred to in this procedure represent the minimum mandatory standards that must be observed in all areas of MADEC. The forms that are referred to by this procedure must be used without adjustment or variation (also refer MQPR 2-4).

O3 Additional records that meet specific operational needs are to be maintained at the discretion of Managers.

Quality Records

P1 Quality records

P1.1 Are documents stating results achieved or providing evidence of activities performed.

P1.2 Are used to support effective and efficient operation of processes in MADEC.

P1.3 Are established and maintained to provide evidence of conformity to requirements and of the effective operation of MADEC’s quality management system.

P1.4 May be in the form of any type of media such as hard copy or electronic media.

P2 Staff members are responsible for

P2.1 Storing, indexing and filing records.

P2.2 Maintaining legible records.

P2.3 Readily identifying, accessing and retrieving records.

P2.4 Keeping a suitable environment to protect records from damage, deterioration or loss.

P3 Custodians of records are responsible for

P3.1 Collecting and make available for evaluation for an agreed period in accordance with legislative and governmental guidelines.

P3.2 Controlling retention time and disposition in accordance with legislative and governmental guidelines.

P3.2.1 The Finance Manager is responsible to keep finance records for seven years.

P3.2.2 The Community College Manager is responsible to keep

P3.2.2.1 Electronic copies of student records

P3.2.2.2 Hard copies of student records for two years
P3.2.3 Site Managers and Team Leaders are responsible to ensure that Participant Activity Records including electronic records other than those on DEEWR information systems are retained for seven years after the last claim or cessation of activity.

P3.3 Controlling the distribution of record information

P4 The Executive Services Office Manager is responsible for maintaining the Quality Records Section described in the Quality Document Status Register (also refer MQPR 2-4).

Records

Assessment Records
Certificates
Completed Cancellation and Refund Forms
Completed Class Attendance Record Sheet
Completed Enrolment Forms
Completed Course or Training Package Attendance Record Sheet
Completed Student Progress Record Sheet
Completed Training Plan for Apprentices and Trainees
Duplicate Certificates
Hard Copy Student Files
Job Search Records
Statements of Attainment
Statements of Results
VETTRAK Records

Associated Quality Documents

Access to Client File Folder Request Form
Aged Care Student Outcomes Form
ATTP Book Loan
ATTP Cancellation Process for Trainers
ATTP Completion Process for Trainers
ATTP Request for Statement of attainment
ATTP Summary of Non Visit Contacts
ATTP Trainee Outcome Form
ATTP Training Plan Template
Caller Log Sheet
DES Contact Notes
DES EAP Template
DES Employment Tracking Record
DES Employment Verification Form
Education Verification
Employability Skills Workshop Referral
Employment Verification
ESD UWEP Activity Record of Participation
Group Outcome Form
IAM System Access Request
Intranet Electronic Case Notes User Guide
Job Seeker Course Attendance Role
Jobseeker’s Confirmation of Employment
MADEC Class Attendance Roll
Privacy Notice
Request for Replacement Certificate
STEP ERS Attendance Sheet – Pre Employment
STEP ERS Employment Placement Outcomes
STEP ERS Employment Verification Form
STEP ERS Mentoring Summary Sheet
STEP ERS Participant Advice Form - Commencement
STEP ERS Participant Program Advice Form
Unit Outcome Form
Work Experience Activity Time Sheet
Work Experience Participant Diary

**Associated Work Instructions**

DES Employment Assistance Plan
Managing Client Information
NHLIS Maintaining a Record of NHLIS Press Advertising
NHLIS Recording National Harvest Guide Distribution
Vacancy Placement Management
Workplace Modification Application Part 1 of 3 - Job Access Secure Site
Workplace Modification Application Part 2 of 3 - Lodging Workplace Modification
Workplace Modification Application Part 3 of 3 - Previously Lodged Workplace Modification

**Authority**
General Manager Operations

**Reviewed By**
Custodian of this Procedure