



Public Record Office Standard

PROS 13/03

Authority

Retention & Disposal Authority for Records of the Adult Multicultural Education Services (AMES)

Version 2013

13/03

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Under section 12 of the Public Records Act 1973, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting public offices to apply those standards to records under their control. Officers in charge of public offices are responsible under section 13 of the *Act* for carrying out, with the advice and assistance of the Keeper, a program of records management in accordance with the standards established under section 12 of the *Act*.

1 Introduction

1.1 Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*.

The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

1.2 Context of this Authority

1.2.1 Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

1.2.2 Disposal of records identified in the Authority

Disposal of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

1.2.3 Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody

1.2.4 The Crimes (Document Destruction) Act 2006

It is an offence under *The Crimes (Document Destruction) Act 2006* for individuals or organisations to destroy documents that they know are reasonably likely to be required in a future legal proceeding, with the intention of keeping the documents out of evidence. Destroying records however in accordance with a valid Authority is lawful as long as the requirements under the *Crimes (Document Destruction) Act 2006* are met.

PROV strongly advises that all agencies familiarise themselves with the requirements under the *Crimes (Document Destruction) Act 2006* and *Evidence (Document Unavailability) Act 2006*, and PROV's *Advice to Agencies 18: Crimes (Document Destruction) Act 2006: Implications for government recordkeeping*.

1.2.5 Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

1.3 Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

1.4 Explanation of Authority Headings

CLASS NUMBER

The class number or entry reference number provides citation and ease of reference.

DESCRIPTION

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

STATUS

This entry provides the archival status of each class - either permanent or temporary.

CUSTODY

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [Signed]

Name: Catherine Scarth

Date: 03/06/2013

Position: CEO

3 Establishment of Standard

Pursuant to Section 12 of the *Public Records Act* 1973, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to the records of the Adult Multicultural Education Services (AMES).

This standard as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

[Signed]


Justine Heazlewood
Director & Keeper of Public Records

Date of Issue: 12/06/2013

4 Further Information

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

Public Record Office Victoria

 (03) 9348 5600

e-mail: agency.queries@prov.vic.gov.au

web: www.prov.vic.gov.au

5 Table of Functions

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6 Retention & Disposal Authority

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.0.0	<p>EDUCATION AND TRAINING</p> <p>The provision of tuition, literacy and vocational training to enable students from culturally and linguistically diverse (CALD) backgrounds to gain a sufficient level of skill for the purposes of employment, further study and/or engagement with the community.</p> <p>Adult Multicultural Education Services (AMES) conducts a range of Commonwealth and State government funded and privately run (user pays) courses, delivering a range of accredited curricula and training programs, including the Adult Migrant English Program (AMEP), the Language, Literacy & Numeracy Program (LLNP) and the Social Enterprise Training program.</p> <p>AMES vocational training programs include non-apprenticeship trade courses and trainee and non-trainee courses. Students are classed as trainees if their participation is in conjunction with an apprenticeship or employment based requirement and non-trainee participants are those that do the course with no employment related requirement.</p> <p>Also includes English Language Intensive Courses for Overseas Students (ELICOS).</p>		
1.1.0	<p>Registration and Compliance</p> <p>The accreditation of the agency as a Registered Training Organisation (RTO) and ensuring the agency's compliance with standards for Registered Training Organisations in the provision of training and education.</p> <p>Includes the accreditation of staff involved in the delivery of training or who perform assessment activities, in accordance with the standards.</p>		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.1.1	Records documenting the agency's accreditation as an approved Registered Training Organisation and its compliance with standards for Registered Training Organisations. Includes records of audits undertaken as part of the quality assurance process used to monitor the agency's compliance with the standards.	Temporary Destroy 7 years after accreditation has concluded/expired.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.1.2	Records documenting a trainer's accreditation and compliance with the standards for Registered Training Organisations.	Temporary Destroy 7 years after next accreditation or termination of accreditation.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.2.0	Curriculum Development The development and review of training courses delivered by the agency. AMES does not create its own curriculum for most of its accredited curricula and training programs but complies with curriculum in accordance with the Australian Quality Training Framework (AQTF), Victorian Regulations and Qualifications Authority (VRQA) requirements and government funding sources contractual obligations. AMES International division does create its own curriculum based on National Training programmes and, in some cases, it is modified to suit the AMES students that the training programme is aimed at.		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.1	<p>Records documenting the development, review and accreditation of curriculum for training courses.</p> <p>Includes records documenting the development and review of courses and modules available to international students participating in the ELICOS program.</p>	<p>Temporary Destroy 30 years after the curriculum has been superseded or withdrawn from use.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
1.2.2	<p>Records that facilitate the development and review of curriculum. Includes reference materials and other inputs such as working papers and course proposals. Also includes unapproved curriculum.</p>	<p>Temporary Destroy 2 years after administrative use has concluded.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
1.3.0	<p>Course Management The delivery of classes and the provision of relevant information, tools and resources to enable teachers to conduct classes. Includes course evaluation and the administrative arrangements for the delivery of classes.</p>		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3.1	Records documenting the arrangements for course delivery and the work programs managed by teachers. Includes lesson plans, teacher timetables, venue rosters, teaching loads/allocations, delivery instructions and assessment grids used to record overall student progress and to assess student needs.	Temporary Destroy 2 years after delivery of course is completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.3.2	Completed student satisfaction surveys. Includes local (Australian) and International student surveys.	Temporary Destroy 2 years after survey completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.0	Management of Students The management of students enrolled in courses. Includes the management of grievances and complaints.		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.4.1	<p>Records documenting the enrolment of students into education and training programs, undertaken by the agency or undertaken by other education providers on behalf of the agency. Includes records documenting student withdrawals, transfers or deferments. Also includes records relating to enrolment such as certificates, other academic results, work placement agreements, correspondence and details of family assistance such as child care.</p> <p>[For records documenting the enrolment of international students into the English Language Intensive Courses for Overseas Students (ELICOS) program, see class 1.4.2]</p>	<p>Temporary Destroy 7 years after student separation.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
1.4.2	<p>Records documenting the application, enrolment and progress of international students into the English Language Intensive Courses for Overseas Students (ELICOS) program. Includes confirmation of identity such as a copy of a Passport, as well as placement interviews and correspondence.</p>	<p>Temporary Destroy 2 years after student separation.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.4.3	Records documenting attendance at courses, including ELICOS courses. Includes class rolls.	Temporary Destroy 7 years after semester/term ends.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.4	Records documenting grievances brought against a student where the grievance is unproven or where the grievance is substantiated but disciplinary action is not incurred.	Temporary Destroy 7 years following date of decision.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.5	Records documenting grievances brought against a student where the grievance is proven and disciplinary action is incurred.	Temporary Destroy 15 years following date of decision.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.4.6	Appointment booking diaries for student meetings with vocational counsellors	Temporary Destroy 7 years after date of last diary entry.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.7	Records documenting the participation of AMES students in the Social Enterprise Training Scheme. Students participate in AMES Social Enterprise businesses in order to gain employment skills through experience. AMES owns a number of small businesses, including a café, where students may be placed in order to gain practical experience in workplaces.	Temporary Destroy 7 years after student separation from the program.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.4.8	Records documenting the participation of clients in the Parents Returning to Earnings (PRTE) program. The PRTE program is an initiative which provides grants for parents to gain necessary education and skills through participating in accredited courses such as AMES education programs.	Temporary Destroy 7 years after client separation from the program.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.5.0	Assessment and Processing of Results The recording of student results for training courses.		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.5.1	Master records of student results for courses, including ELICOS. Includes final and interim results. Also includes Final Student Achievement Summary (SAS) reports.	Temporary Destroy 30 years after student separation.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.5.2	Interim Student Achievement Summary (SAS) reports generated to allow checking of results by teachers and other staff.	Temporary Destroy 7 years after semester/term ends.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.5.3	Student assessment submissions and examination papers for courses. Includes completed tests, essays and assessments conducted throughout the course.	Temporary Destroy 1 year after semester/term ends.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.6.0	Graduation The conferring of certificates, awards or qualification on students who have met the criteria required to graduate from training courses.		
1.6.1	Records documenting the registration of all students to be awarded their certificate or qualification in a course.	Temporary Destroy 30 years after student graduation.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.0.0	<p>SETTLEMENT SERVICES</p> <p>The provision of settlement services to newly-arrived refugees and those released from immigration detention. Settlement services are only available to refugees - those that are recognised by the UNHCR and the Australian Government as being eligible for refugee status. Voluntary migrants - those who voluntarily leave their country and enter Australia through normal migration channels - are ineligible for this assistance.</p> <p>Services include airport reception, assistance finding accommodation, assistance with immediate health issues, assistance linking in with the social security system as well as the community and enrolment in English classes.</p> <p>AMES delivers some of these services until the clients (refugees) achieve their key settlement outcomes, which include settlement in long term accommodation, all school age children are enrolled and attending school and clients have gained understanding of critical messages of the orientation program and are able to independently access services.</p>		
2.1.0	<p>Humanitarian Settlement Scheme Administration</p> <p>The administration of the Humanitarian Settlement Scheme (HSS). The HSS is a Commonwealth Department of Immigration and Citizenship initiative that is partnered with AMES to deliver settlement services and assistance to newly arrived refugees and refugees recently released from immigration detention.</p>		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.1	Records documenting the provision of assistance through the Humanitarian Settlement Scheme. Records include case management plans and records relating to care coordination, referrals, accommodation and counselling, education assistance and community orientation activities.	Temporary Retain until the end of the Department of Immigration and Citizenship (DIAC) contract, or client separation, whichever is later.	Hold in Agency or APROSS until retention conditions are met. Records are then to be forwarded to the custody of DIAC. Electronic records should be maintained in readable format pending destruction.
2.2.0	Volunteer Tutor Program Management The Volunteer Tutor Program (VTP) is a Commonwealth Government funded service made available to refugees entering the community. Volunteer tutors meet with refugees in their home or appropriate community location once a week and provide assistance with English, making community contacts and generally understanding Australian society.		
2.2.1	Records documenting an individual's participation in the volunteer tutor program. Includes client profile, records of any grievances and a Home Environment Checklist.	Temporary Destroy 10 years after separation from the program.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.0.0	EMPLOYMENT SERVICES The provision of employment services to assist clients in finding sustainable employment by providing personalised assistance, including job searches and employment-focused activities. Also includes the provision of services to help interested clients start their own businesses.		
3.1.0	Job seeker services The provision of services to job seekers registered through Centrelink. These Commonwealth Government funded services include job search assistance, job matching to candidates, training in work skills and application skills.		
3.1.1	Records documenting the provision of employment services to clients actively seeking employment. Includes records of client resume preparation, assessments, Employment Pathway Plans and copies of evidence to support claims and payments.	Temporary Destroy 7 years after client moves in to paid employment.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.2	Records documenting the matching of clients to vacancies sourced through an employer.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.1.3	Records documenting the provision of limited assistance to clients who qualify for limited access to employment services, such as the use of computers and phones to assist with their job search activities. These clients do not have access to AMES consultants or the services offered by the consultants. Records include the registration form.	Temporary Destroy 6 months after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.1.4	Records documenting a client's request to transfer to another employment provider. Includes records of approval or rejection of the request.	Temporary Destroy 3 years after date of decision.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.5	Records documenting the psychological assessment of a client. A psychological assessment can be requested by the client or they may be referred for an assessment by agency staff to assist in addressing any non vocational barriers in obtaining employment. Includes the records of referral and the assessment.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.1.6	Records documenting complaints, compliments and/or suggestions regarding staff or services provided. Includes working papers for review of suggestions and complaint handling resolution.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.2.0	Management of the New Enterprise Incentive Scheme The management of the New Enterprise Incentive Scheme (NEIS) which is a Commonwealth government funded scheme available for people who are thinking about starting their own small businesses. It provides business training, a 12 month allowance and advice and support.		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.1	Records documenting an individual's participation in the New Enterprise Incentive Scheme. Includes records relating to client eligibility, enrolment in the scheme and client progress. Also includes submitted course work and business plans which are the result of the training provided and are used to assess the viability of the business proposal.	Temporary Destroy 7 years after client's separation from the scheme.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.2.2	Interim client achievement summary reports, generated to allow checking of results by teachers and other staff.	Temporary Destroy 7 years after semester/term ends.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.2.3	Records documenting attendance at courses in the New Enterprise Incentive Scheme. Includes class rolls.	Temporary Destroy 7 years after semester/term ends.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.4	Completed New Enterprise Incentive Scheme satisfaction surveys.	Temporary Destroy 2 years after survey completed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

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