

Unit 42: Maintain Learner Records

Unit code: Y/601/8338

QCF Level 3 : Specialist

Credit value: 3

Guided learning hours: 12

Unit aim

This unit provides the knowledge, understanding and skills needed to maintain learner records. It requires demonstration of competence in collecting and inputting data, maintaining the safety and security of records and sharing information with those authorised to receive it.

Unit introduction

Learners that are responsible for maintaining pupil records across all age ranges will benefit from completing this unit. It applies to learners working with all age ranges and learners will need the opportunity to engage in record keeping within the setting to complete this unit successfully.

Learners will begin by developing their understanding of the policies and procedures for maintaining records according to organisational policy for national and/or centre-based external and/or internal tests and examinations as well as a broad range of other information some of which constitutes the education record of pupils. They will demonstrate their ability to maintain records with an accuracy that is consistent with the policies and practices of the setting and relevant to the age range and needs of pupils.

On completion of this unit learners will be able to maintain the safety and security of pupil records and have the ability to share the information held with those authorised to receive it and within the boundaries of their role and responsibilities.

Learning outcomes and assessment criteria

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

On completion of this unit a learner should:

Learning outcomes	Assessment criteria
<p>1 Understand the organisational policy and procedures for maintaining learner records</p>	<p>1.1 Explain the organisational policy for maintaining learner records</p> <p>1.2 Explain own role in maintaining learner records and how this relates to the roles of others in the setting</p> <p>1.3 Explain with examples the difference between different types of information</p> <p>1.4 Explain the importance of: updating records on a regular basis and checking the validity and reliability of information</p> <p>1.5 Describe with examples the sorts of information which may indicate potential problems with individual learners and what action to take in response to these</p>
<p>2 Be able to maintain learner records</p>	<p>2.1 Obtain the information needed to update learner records from valid and reliable sources</p> <p>2.2 Check information for completeness, relevance and validity</p> <p>2.3 Raise any concerns about the information with the relevant people</p> <p>2.4 Update learner records at agreed time intervals</p> <p>2.5 Ensure that learner records are accurate, complete and up to date</p> <p>2.6 Maintain confidentiality according to organisational and legal requirements</p>
<p>3 Be able to maintain the safety and security of learner records</p>	<p>3.1 Return learner records promptly to the correct place after use</p> <p>3.2 Comply with organisational procedures for storage and security of learner records</p> <p>3.3 Report actual or potential breaches to the security of learner records to the appropriate person</p>

Learning outcomes	Assessment criteria
4 Be able to share information with those authorised to receive it	4.1 Explain the importance of information sharing, how it can help and the dangers of not doing so 4.2 Explain how the Data Protection Act can be a tool to enable and encourage information sharing 4.3 Assess the relevance and status of information 4.4 Comply with legal and organisational requirements for information sharing

Unit content

1 **Understand the organisational policy and procedures for maintaining learner records**

Pupil records: types eg according to policy of setting, legal requirements, data transfer at key stages, Educational Record, Child Protection Records

Own role in maintaining pupil records: factors eg conform to organisational and national requirements, own responsibilities, job descriptions, professional standards, requirements

Information: types eg academic records, subject specific, personal, reports, Record of Achievement, examination results, performance table, results, awarding bodies, Individual Education Plans, special educational needs, medical conditions, attendance, school meals, extra-curricular activities

Explain the importance of: updating records eg frequency, up-to-date information, point of reference, informing future learning, care, intervention; checking the validity and reliability of information eg accuracy, ethical cultural considerations, verify sources, integrity of data, evidence base, interpretation of marking schemes, awarding body requirements

Potential problems with individual pupils and what action to take in response to these: types eg under achievement, failure to reach expected levels of achievement, comparisons, negative trends, application of results, limitations, conclusions, poor attendance, child protection issues

2 **Be able to maintain learner records**

Update pupil records from valid and reliable sources: sources eg self-assessment records, peer assessment, parent, teachers, other professionals

Check information: checklist eg requirements, appropriate, evidence base, interpretation of marking schemes, awarding body requirements, standards

Concerns: sources eg evidence base, appropriate, sensitivity, empathy, confidentiality, disclosure, consent

Update pupil records at agreed time intervals: frequency eg timeframes according to need, key stage, end of year, examinations, weekly, daily

Ensure pupil records are accurate, complete and up to date: quantitative eg using specialist software, statistical techniques, grades, marks, percentages; qualitative, eg interpreting transcripts, sources of error, bias, checklist, comments

Maintain confidentiality: importance eg data protection, ethical considerations, appropriate procedures for reporting and sharing information

3 **Be able to maintain the safety and security of learner records**

Return pupil records: ways eg location, secure storage, filing, mechanisms for filing, ICT

Storage and security of pupil records: procedures eg policy of the setting, confidentiality, access, labelling, recovery

Report breaches to security of pupil records to the appropriate person: ways eg policy of the setting, requirements, responsible person, awareness, reflect, acting within own role and responsibility

4 **Be able to share information with those authorised to receive it**

Importance of information sharing: reasons eg purpose, understanding, common knowledge base, audience, relevant, supporting learning, special educational needs, wellbeing, care

Data Protection Act as a tool to enable and encourage information sharing: ways eg requirement, guidelines, roles and responsibilities, information transfer, appropriate audiences, relevant, up to date, subject of the information may see it on request, disclosure

Assess the relevance and status of information: methods of collection eg free description, snapshot, narrative, time sample, event sample, participatory, non-participatory, checklist; evidence eg photographs, examples of children's work, transcripts of conversations, Statement of Special Education Need, Parenting Order, guardian

Comply with legal and organisational requirements: requirements eg compliance, regulation, national, local policies, policies of the setting, levels of security, electronic communication, roles and responsibilities, educational record, information transfer, appropriate audiences, communication, child protection, disclosure

Essential guidance for tutors

Delivery

The knowledge and understanding for this unit will be put into practice in a school setting. Tutor input and learner activities, including the learner's own research into policies and procedures for the maintenance of pupil records should play a major role in delivery. Learners should be encouraged to discuss how pupil records are created, updated and maintained with professionals in school settings, how sensitive information is managed, how records are organised and how the learner may support these.

Learners should be encouraged to think about their own role in maintaining pupil records. Learners could be engaged in researching different ways of presenting information that measures progress, suitable software packages for example and be encouraged to discuss with other learners the different types of information that may need to be recorded and share examples from their workplace that could vary according to the different age ranges of children and young people. This could be delivered as a group activity so that learners can share their understanding of the importance of updating records on a regular basis and checking the validity and reliability of information. An interesting discussion about how learners recognise when the records or data held inform a concern or a potential problem, and how they decide how they will react in such a situation, should be prompted by the tutor. Case studies may be a useful source of material to support this activity. Learners could also be presented with a case study/studies to discuss how they would record the special needs of specific pupils and how this information could be shared to ensure that all colleagues were informed about their needs and those of pupils at risk. Case studies could also be used to enable learners to make sound judgements about raising any concerns about the information they receive and hold with the relevant people.

Developing a template or checklist of tasks that learners could refer to as a toolkit for obtaining the information they need to update pupil records, check their reliability, completeness, relevance and validity would be a useful exercise. This could be expressed on a timeline that enables learners to consider how they secure records are updated at agreed time intervals so that they are always kept up to date and complete.

Elements of maintaining confidentiality and the safety and security of pupils' records may need to be taught, although learners should be encouraged to share the systems they use to ensure learner records are returned promptly to the correct place after use, stored securely and the systems used for reporting breaches of security to develop a shared understanding of the importance of these elements in maintaining the integrity of pupil records.

A further taught element will be the legal and organisational requirements for information sharing and the Data Protection Act, not simply as a statutory policy to inform procedures but also how it can act as a tool to enable and encourage information sharing. Discussion about these issues will develop learner understanding of the relevance and status of information and it can be appropriately shared.

Assessment

Assessment criteria 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.3, 4.3 and 4.4 must be assessed in the workplace.

Suggested assessment activities

As part of this unit learners will need to model the actions necessary to secure the effective maintenance of pupil records. It is therefore essential that learners are assessed in the workplace where they may demonstrate the appropriate behaviours. This unit could be assessed through tasks supported by other evidence (for example witness testimony taken from a professional development record/file) if it contributes specifically to the assessment requirements. Tasks would need careful sequencing to ensure that they are completed in a way that not only complies with the policies and procedures of the setting but also in an appropriate chronological order to reflect the learner's ability to maintain appropriate levels of security, as well as collect and distribute information in relation to tests or examinations and personal or sensitive information for example.

The importance of 'order' means that learning outcome 1 must be met before learners use their knowledge to demonstrate the ability to put their understanding in to practice. Learners will need the opportunity to explain organisational policy and procedures for maintaining pupil records. Therefore this learning outcome could be assessed in discussion supported by written evidence in which the individual sets these out in their own words for a target audience which could be for colleagues, teachers or other professionals who work within the setting. Some elements of learning outcome 1 could be evidenced by witness statements and others could take the form of PowerPoint presentations or briefing notes.

Learning outcomes 2, 3 and 4 require learners to demonstrate, discuss and explain how they have maintained pupil records with integrity. Evidence could take the form of a calendar that catalogues the actions learners took and the timeframes in which they were undertaken to secure accuracy and currency as well as how records were kept safe and secure. Learners could provide a security checklist that evidences their ability to recognise potential breaches in the security of pupil records and informs how they then report their concerns to the appropriate person. Evidence could also be supplemented with a storyboard that catalogues their contribution to maintaining the records and how and why they raised concerns about an individual or group of individuals within a framework of confidentiality. The storyboard could also be used to explain the importance of sharing information and the potential dangers of not doing so. Learners could present case studies from their experience in the setting to illustrate how they have used the Data Protection Act to enable information to be shared, how they reached decisions about the information that was to be shared and how this was managed within legal and organisational requirements. Narrative in the form of witness statements about how they demonstrated their ability to maintain pupil records could also be submitted as evidence.

Essential resources

Learners will need access to appropriate pupil records and data.

Indicative resource materials

Textbooks

Hryniewicz B – *Teaching Assistants: The Complete Handbook, 2nd Edition* (Adamson Publishing, 2007) ISBN 9780948543029

Kamen T – *Teaching Assistant's Handbook* (Hodder Arnold, 2 Rev Edition, 2008) ISBN 9780340959381

Morgan J – *How to Be a Successful Teaching Assistant* (Continuum International Publishing Group Ltd, 2007) ISBN 9780826493286

Websites

Various websites are available with assessment-related content, some of which will depend on the specific sector, market and organisation. An indicative range of general websites is given below.

www.bis.gov.uk	Department for Business Innovation and Skills
www.cipd.co.uk	Chartered Institute of Personnel and Development
www.edexcel.com	Edexcel
www.education.gov.uk	Department for Education
www.ento.org.uk	ENTO
www.gtce.org.uk	General Teaching Council of England
www.ico.gov.uk	Information Commissioners Office
www.tda.gov.uk	The Training and Development Agency for Schools
www.teachernet.gov.uk	Teachernet