

Management of RTO
Policy, Procedures, Forms and Registers

| POLICY | |
|---------------------------|---|
| Purpose | <p>ATAR Design is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (2015). As such, ATAR Design is required to have effective governance and administration arrangements in place.</p> <p>ATAR Design is committed to providing best practice, professional products and services to its clients and acknowledges it can only success in this with effective and efficient business planning and management.</p> |
| Standard reference | 1.3, 1.22, 1.24, 5.1, 5.2, 5.3, 5.4, 7.1, 7.2, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4 |
| Who is responsible | <p>ATAR Design Responsibilities</p> <p>The CEO of ATAR Design is responsible for:</p> <ul style="list-style-type: none"> • Ensuring compliance with this policy; • The development and implementation of the strategic planning process; • Ensuring that business operations comply with the Standards for RTOs (2015) and other national regulation, guidelines, policies and compliance instruments for RTOs; • Monitoring systems in place to identify risks and the impact of identified risks; adopt appropriate controls to manage those risks and delegate responsibility for them. <p>Legislation</p> <p>Legislation and legislated instruments relevant to this policy include:</p> <ul style="list-style-type: none"> • Standards for Registered Training Organisations (2015) • Financial Viability Risk Assessment Requirements 2011 • Data Provision Requirements 2012 • Student Identifier Act 2014 • Corporations Act |
| Review date | Every 12 months |
| Definitions | <p>The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.</p> <p>Audit means an audit or compliance audit undertaken by the VET Regulator.</p> <p>Data Provision Requirements are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.</p> |

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Educational and support services may include, but are not limited to:

- Pre-enrolment materials;
- Study support and study skills programs;
- Language, literacy and numeracy (LLN) programs or referrals to these programs;
- Equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- Learning resource centres;
- Mediation services or referrals to these services;
- Flexible scheduling and delivery of training and assessment;
- Counselling services or referrals to these services;
- Information and communications technology (ICT) support;
- Learning materials in alternative formats, for example, in large print;
- Learning and assessment programs contextualised to the workplace; and
- Any other services that the RTO considers necessary to support learners to achieve competency.

Operations of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- Both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- Provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

VET Quality Framework comprises:

- The Standards for Registered Training Organisations
- The Australian Qualifications Framework
- The Fit and Proper Person Requirements
- The Financial Viability Risk Assessment Requirements
- The Data Provision Requirements

VET Regulator means:

- The National VET Regulator; and
- A body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State

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Policy

ATAR Design will ensure that it maintains sound and ethical operations enabling its ongoing profitability and growth. ATAR Design is committed to ensuring successful strategic planning and management of the business, including the management of training and assessment activities and business developments.

The CEO of ATAR Design is the designated responsible person for the RTO, having sufficient authority to ensure the RTO complies with the Standards for RTOs across all of its operations and scope of registration at all times.

To this end, has in place effective:

- Business management systems and practices;
- Financial management systems and practices;
- Compliance management systems and practices; and
- Risk management systems and practices

Policy principles

Business Management

- The strategic and operational business plan will be developed/reviewed, monitored and maintained against all areas of operations at least every year.
- Business plans will incorporate ATAR Designs full scope of registration and scale of operations.
- Business planning is undertaken to determine the major goals, objectives and key performance indicators (KPIs) regarding ATAR Design training and assessment services, and to identify risks, relevant strategies and resources needed to achieve identified goals and objectives.
- ATAR Design consults with relevant stakeholders and clients for input into strategic and business planning.
- Business planning meetings occur annually, in alignment with annual financial planning.
- An annual SWOT (strengths, opportunities, weaknesses and threats) analysis is undertaken in preparation for business planning process. Key areas of analysis include, but are not limited to:
 - Industry and environmental changes;
 - VET sector changes and reform;
 - RTO Compliance;
 - Changing needs and future demands from industry and clients;
 - Business growth and development;
 - Marketing and advertising;
 - Staff and human resources (including contract trainers and assessors);
 - Training and assessment resources and materials;
 - Type of training services provided, including delivery modes and methods;
 - Type of client support services provided;
 - Premises and facilities;
 - Equipment and resources;
 - Training packages – including changes and transitions;
 - Industry Skills gaps or shortages;
 - Funding opportunities and changes.
- Identified goals and objects will be supported by a marketing strategy to promote the RTOs operations, products and services.

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- ATAR Design ensures that marketing and advertising is in accordance with Standards for RTOs (2015) and ATAR Design Marketing policy. (See Marketing Policy)

Financial Management

- ATAR Design conducts financial management planning on an annual basis, in accordance with the Australian Financial year time period.
- Financial Management is implemented through ATAR Design Financial Management Policy. (See Financial Management Policy)

Compliance Management

ATAR Design ensures it complies with all RTO compliance requirements across all operations and scope of registration, including where services are being delivered on its behalf by third party providers.

ATAR Design ensures it complies with the VET quality Framework, including the following:

- Standards for Registered Training Organisations (2015)
<https://www.legislation.gov.au/Details/F2014L01377>
- Australian Qualifications Framework (AQF)
<http://www.aqf.edu.au/>
- Financial Viability Risk Assessment Requirements 2011
<https://www.legislation.gov.au/Details/F2011L01405>
- Data Provision Requirements 2012
<https://www.legislation.gov.au/Details/F2013C00497>
- Training Packages
<https://training.gov.au/Home/Tga>
- National Reporting for RTO:
Total VET Activity
<http://www.industry.gov.au/skills/NationalReportingforRTOs/Pages/default.aspx>
Quality Indicator reporting (including Learning Questionnaires, Employer Questionnaires and Competency Completion (CCOS)
<http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html>
- Unique Student Identifier (USI)
<http://www.usi.gov.au/Pages/default.aspx>
<https://www.legislation.gov.au/Details/C2014A00036>

ATAR Design ensures that (in accordance with Standard 7.1 of the Standards for RTOs 2015) its executive officers or high managerial agent:

- Are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
- Meet each of the relevant criteria specified in the Fit and Proper Person requirements of Schedule 3 of the Standards for RTOs 2015.

ATAR Design ensures operations of the RTO are quality assured, and in accordance with Standard 2.2 of the Standards for RTOs 2015:

- Systematically monitors training and assessment strategies and practices to ensure ongoing compliance; and
- Systematically evaluates and uses the outcomes of the evaluations to continually improve the RTOs training and assessment strategies and practices.

POLICY

Quality assurance practices include, but are not limited to, the implementation of ATAR Design:

- Evaluation and Feedback Policy; and
- Audit Policy; and
- Continuous Improvement Policy; and
- Validation Policy; and
- Partnership Policy.

ATAR Design ensures it maintains insurance cover to protect it from possible litigation, including:

- Public Liability;
- Professional Indemnity;
- Workers Compensation;
- Building and Contents;
- CEOs.

ATAR Design ensures it cooperates with VET Regulator at all times, including:

- By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- During the conduct of audits and the monitoring of the RTO's operations;
- By providing quality/performance indicator data;
- By providing information about substantial changes to its operation or any event that would significantly affect the RTO's ability to comply with the Standards for RTOs (2015) within 90 days of the change occurring; and
- By providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- In the retention, archiving, retrieval and transfer of records.

ATAR Design ensures that any third party delivering services on its behalf is required under writing agreement to cooperate with the VET regulator:

- By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- In the conduct of audits and the monitoring of its operations.

ATAR Design will notify the VET regulator:

- Of any written agreement entered into with a third party for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- Within 30 calendar days of the agreement coming to an end.

ATAR Design provides an annual declaration on compliance with the Standards for RTOs (2015) to the VET regulator and in particular whether it:

- Currently meets the requirements of the Standards for RTOs (2015) for all AQF certification documentation it has issued in the previous 12 months; and
- Has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards fir RTOs (2015).

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ATAR Design will comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. (See Legislation Compliance Policy)

ATAR Design informs staff and clients of any changes to legislative and regulatory requirements that affect the services delivered.

ATAR Design ensures it has, for all of its scope and consistent with its training and assessment strategies, sufficient:

- Trainers and assessors to deliver the training and assessment;
- Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- Facilities, whether physical or virtual and equipment to accommodate and support the number of learners undertaking the training and assessment.

Risk Management

- ATAR Design takes a risk management approach when managing the RTO business and compliance.
- Risk management is the process of identifying risks, analysing, prioritising and either eliminating, reducing, protecting or insuring against risk.
- Risk management processes include, but are not limited to:
 - Internal audits;
 - Audits of third party providers;
 - Validation;
 - Complaints;
 - Appeals;
 - Feedback and evaluation;
 - SWOT analysis;
 - Financial reviews
 - Business planning;
 - Industry consultation.
 - Risk management outcomes feed into continuous improvement processes. (See Continuous Improvement Policy)

Records management

Records Management

All processes relative to management of the RTO are documented and maintained in accordance with the Records Management Policy. (See Records Management Policy)

Monitoring and Improvement

All processes relative to management of the RTO are monitored by the CEO and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

| PROCEDURE | | |
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| Step | Who | Procedure |
| 1 Compliance with VET Regulations and Policies | CEO | Kept abreast of compliance requirements and VET Reform changes which impact on RTO Operations. These include (but are not limited to): <ul style="list-style-type: none"> Standards for RTOs 2015; The Australian Qualifications Framework (AWF); Financial Viability Risk Assessment Requirements 2011 Data Provision Requirements 2012; Training Packages; Total VET Activity Reporting requirements; and Student Identifier Act; As changes are identified, strategize the process for implementation of the new requirements in a timely manner. |
| | CEO | Provide an annual declaration on compliance to VET Regulator. |
| | CEO | Ensure Internal Audit Policy and Procedures are implemented on an annual basis at minimum. |
| | CEO | Ensure that ATAR Design cooperates with External Audits (See Audit Policy and Procedures). |
| | CEO | Ensure third party providers are monitored and audited regularly to ensure compliance across Standards for RTOs 2015. |
| | CEO | ATAR Design provides accurate, relevant and up-to-date information to clients and prospective clients, prior to enrolment or commencement of training and assessment, regarding their training and assessment options so that they may make informed choices regarding their learning needs. |
| | CEO | ATAR Design maintains an up-to-date website with full client information Course flyers have been developed for each training product and are available to all current and prospective clients. |

PROCEDURE

| Step | Who | Procedure |
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| | CEO | <p>All information provided to current and prospective clients:</p> <ul style="list-style-type: none"> • Marketing accurately represent the services being provided and training products on scope of registration; • Makes reference to another person or organisation only if that person or organisation has given consent; • Includes the NRT logo only in accordance with the conditions of use specified in Schedule 4 of the Standards for RTOs 2015; • Makes clear where a third party is recruiting prospective learners for the RTO on its behalf; • Distinguishes where the delivery of training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party provider; • Distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification from any other training or assessment delivered by the RTO; • Only advertises non-current training products while they remain on the scope of registration; • Only markets or advertises licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised; |
| | CEO | <p>ATAR Design does NOT guarantee that:</p> <ul style="list-style-type: none"> • A client will successfully complete a training product; • A training product can be completed in a manner which does not meet the requirements of the learning and assessment strategy and training package; • A client will obtain a particular employment outcome where this is outside the control of ATAR Design. <p>Information may be provided to current and prospective clients students in (but not limited to) (See Marketing Policy):</p> <ul style="list-style-type: none"> • Website • Policies and Procedures relevant to the student and located in the student handbook • Marketing Flyer • Course Information pack • Student handbook • Course confirmation letters • Learning materials • Assessment resources • Training Journals • Log books |

PROCEDURE

| Step | Who | Procedure |
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| | CEO | <p>Client information includes – ATAR Design provides clear information</p> <p>Prior to enrolment or the commencement of training and assessment, whichever comes first, ATAR Design provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with ATAR Design and at a minimum information provided to clients and prospective clients will include, but is not limited to:</p> <ul style="list-style-type: none"> • RTO code; • Course outcomes and pathways; • Training products offered; including services, course content and vocational outcomes, as per scope of registration; • Full code, title and currency of training product, as published in the national register; • Estimated duration of the course; • Expected course location; • Training and assessment arrangement, including modes of delivery available; • Enrolment and selection processes; • Name and contact details for third party providers; • Work placement arrangements (as relevant); • Workplace suitability • Obligations to the client, including quality assurance; • Certification; • Fees and charges, including deposits, payment options and obligations (specifically under VET Student Loans or other government subsidy and financial support arrangements [as applicable] and exemptions (where applicable); • Refund policy and processes; • Provision for language, literacy and numeracy assistance and support; • Educational and support services; • Legislative and occupational licensing requirements (as relevant), Industry licences or regulated outcomes (relevant to course offerings); • Flexible learning and assessment options; • Appeals and complaints procedures; • Recognition of prior learning and Credit transfer arrangements; • Participant responsibilities and expected standards of behaviour; • Third party provider obligations and assurances; • Materials and resources to be provided by the client. • any requirements ATAR Design requires the learner to meet to enter and successfully complete their chosen training product, and • any materials and equipment that the learner must provide, and • Information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services (if applicable). • RTO obligations, student obligations, Third party obligations and employer obligations (if applicable) |

PROCEDURE

| Step | Who | Procedure |
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| | | <ul style="list-style-type: none"> Client support; Course resource requirements (additional or supplied). |
| | CEO | Educational and support services may include, but are not limited to: <ul style="list-style-type: none"> Pre-enrolment materials; Study support and study skills programs; Language, literacy and numeracy (LLN) programs or referrals to these programs; Equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity; Learning resource centres; Mediation services or referrals to these services; Flexible scheduling and delivery of training and assessment; Counselling services or referrals to these services; Information and communications technology (ICT) support; Learning materials in alternative formats, for example, in large print; Learning and assessment programs contextualised to the workplace; and Any other services that the RTO considers necessary to support learners to achieve competency. |
| | CEO | Information to Clients Each of the following areas of information can be found in a variety of documents and publications made available to students and prospective students. |
| | CEO | Course Information pack <ul style="list-style-type: none"> Code, title, currency of training product Duration Location and mode of delivery Support services reference Work placement requirements (if applicable) Required minimum work hours |
| | CEO | Pre training review <ul style="list-style-type: none"> Providing advice to the prospective student about the training product appropriate to meeting their needs, taking into account the individuals existing skills and competencies. LLN testing – meeting the required predetermined ACSF level (refer to information pack and LLN testing predetermined levels) The outcomes of the pre training review and LLN testing will determine entry into the qualification before a learner enrolment can be confirmed. |
| | CEO | RTOs obligations <ul style="list-style-type: none"> Quality of the training and assessment in compliance with the Standards for the issuance of AQF certification documentation. Informing learner as soon as practicable any changes to agreed services (third party arrangements or change in ownership, closure of the RTO) – see Changes to agreed services/ training contract in this policy |

PROCEDURE

| Step | Who | Procedure |
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| | CEO | Learner's rights <ul style="list-style-type: none"> Complaints and appeals process. If the RTO closes or ceases to deliver any part of training product (and associated refunds). Closure of RTO or cessation of delivery of any part of the training product. Rights as a consumer |
| | CEO | Learner's obligations <ul style="list-style-type: none"> Any requirements that ATAR Design require the student to meet to enter and successfully complete their chosen training product Any materials/equipment that the student must provide If training and assessment is to be conducted in the workplace then prior to enrolment a workplace agreement is signed by the employer and ATAR Design representative. A checklist for required resources and equipment is provided as part of the agreement ensuring all required resources are available prior to the commencement of the training and assessment and enrolment. The trainer/assessor will conduct an assessment of the required resources prior to commencement of training and assessment which forms the basis of the training contract |
| | CEO | Government funding applications <p>If applicable, understanding that their qualification/s is being subsidised by the relevant state government or body. The understanding that enrolling in a qualification/s may affect their future training options and eligibility for further subsidised training by the relevant state government or body.</p> |

PROCEDURE

| Step | Who | Procedure |
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| | CEO | <p>Review process – RTOs obligations ATAR Design systematically monitors its practices to ensure ongoing compliance. That is, information provided to students is systematically monitored to ensure it is accurate and up-to-date ensuring responsibility for the quality of training in compliance with these Standards</p> <p>Changes to agreed services/ training contract Where there are any changes to agreed services, ATAR Design will advise clients as soon as practicable (including any changes in relation to a new third party arrangement, a change in ownership or changes to existing third party arrangements or if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in</p> <p>When changes to agreed services/training contract occur ATAR Design will:</p> <ul style="list-style-type: none"> • Notify the enrolled learner within 30 days of any changes to existing third party arrangements • Notify the enrolled learner within 30 days any changes in relation to a new third party arrangement • Notify the enrolled learner within 30 days a change in ownership or upper managerial agent • Notify the enrolled learner within 30 days if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in <p>All correspondence will be in the form of:</p> <ul style="list-style-type: none"> • Email • Letter via mail • Website message will be placed on the website within 48 hours advising of the changes made |
| | CEO | <p>Inform and Protect Learners Where ATAR Design collects fees from the individual learner, either directly or through a third party, ATAR Design provides or directs the learner to information prior to enrolment of the commencement of training and assessment, whichever comes first, specifying:</p> <ul style="list-style-type: none"> • Fees are collected in accordance with the Fees processes. (See Financial Management Policy). • All relevant fee information including: <ul style="list-style-type: none"> – fees that must be paid to ATAR Design, and – payment terms and conditions including deposits and refunds – the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies – the learner’s right to obtain a refund for services not provided by ATAR Design in the event the: <ul style="list-style-type: none"> • arrangement is terminated early, or |

PROCEDURE

| Step | Who | Procedure |
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| | | <ul style="list-style-type: none"> • ATAR Design fails to provide the agreed services. |
| | CEO | <p>Enrolment of Individual Clients</p> <p>Enrolment into training programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with the Access & Equity Policy.</p> <p>Enrolments are subject to but not limited to:</p> <ul style="list-style-type: none"> • Availability of places in the training program, • Based on the maximum number of clients who can be accommodated under the particular circumstances (e.g. safety, capacity of training venue, type of course, learning structures etc. within program) • Meeting the entry requirement for the enrolled training product • Venue assessment for suitability for training and assessment including but not limited to the enrolled learner workplace |

PROCEDURE

| Step | Who | Procedure |
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DELIVERY SITES REGISTER

| Location | Venue Name and Address | Contact Name | Phone No. | Email | Room Capacity | Equipment Available / Supplied |
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