



# Policies and Procedures Manual

First Door Training and Development Pty. Ltd.

Policy and Procedure Manual established January 2013

# CONTENTS

# Page

## Purpose and Core Objectives of First Door

1. Purpose and Core Objectives	3
--------------------------------	---

## First Door Governance

2. Continuous Improvement	4
3. Data Collection, Analysis and Actions	5
4. Insurance	6
5. Interactions with Registering Body	7
6. Internal Audits	8
7. Legislation	9
8. Organisational Chart and Duty Statements	10
9. Risk Management	11

## First Door Operations

10. Advertising and Marketing	12
11. Complaints	13
12. Financial Management	15
13. Issuing AQF Qualifications and Statements of Attainments	16
14. Ongoing Communication	17
15. Partnerships	18
16. Quality Training and Assessment	19
17. Record Keeping	20
18. Register of Documents	21
19. Training Package Transition and Expiry	22
20. Training Resources	23
21. Version Control	24

## First Door Management and Staff

22. Competent First Door Staff	25
23. Induction of First Door Staff and Partners	26
24. Ongoing Development and Monitoring	27

## First Door Students

25. Enrolment Process	28
26. Access and Equity	29
27. Confidentiality	30
Privacy Policy	31
28. National Unique Student Identifier	32
29. Recognition of AQF Qualifications and Statements of Attainment	33
30. Recognition of Prior Learning	34
31. Student Assessments	35
32. Student Information	37
33. Student Engagement	38
34. Student Support Services	39

# 1. PURPOSE AND CORE OBJECTIVES

## Competitive advantage as an outstanding learning organisation

To maintain a competitive advantage over other training organisations by developing a positive company culture of professional ethical integrity and operating as an outstanding learning organisation.

First Door listens to the feedback, problems and needs that both the student and the student's industry are experiencing relating to training and development. First Door invests in continuous improvement and addressing industry training needs, remaining innovative in this process.

*Measured by:*

- the customer's engagement in learning and their satisfaction and recommendations of First Door to others
- learners successful assessment and capability in the workplace
- First Door and its team members displaying ethical conduct at all times
- having a collaborative environment with continued adaptability, growth and learning within the organisation and its team members
- active evaluation and continuous improvement processes
- First Door's unrivaled reputation and continued demand for student enrolments

First Door recruits and maintains passionate, motivated team members that share the same vision and objectives to provide learners with quality learning experiences and constructive assessment processes.

*Measured by:*

- the positive culture, energy and commitment of the First Door team
- commitment to maintaining time frames and quality in training delivery and assessment
- the continued growth and success of the company First Door Training and Development

First Door provides training that upskills and empowers students to create learning environments within their workplace. First Door training sets a new benchmark in workplace competency so that employer's preference for their employee's training is First Door Training and Development.

*Measured by:*

- referrals by organisation's management for their employee's to use First Door
- the learner's workplace competency is monitored by the First Door mentor and positive feedback is received from the learner's workplace supervisor/manager
- establishment of active educational leaders and mentors in the workplace

## Developing capability in students

Each learner is supported by a First Door mentor to develop their professional capability, knowledge and skills.

To provide students with innovative resources and learning environments that result in learner engagement and active workplace learning experiences.

First Door's social media encourages conversations between students and between students and mentor.

*Measured by:*

- positive feedback from students
- active engagement in social media and learning activities, and successful course completion
- the student's workplace capability

- referrals to First Door and a reputation as a leading training provider

## 2. CONTINUOUS IMPROVEMENT

First Door uses the continuous improvement process to better our performance. In this process, we examine what we do, why we do it and how it can be or needs to be changed to produce a better result.

### Continuous Improvement Policy

Established January 2013, reviewed April 2013

It is the responsibility of the Directors to promote awareness and encourage use of the organisations continuous improvement system and processes.

Ongoing continuous improvement opportunities can be unplanned and occur as often as they are identified and required. We strive to continually provide training services that produce competent and confident workers.

First Door will make use of formative, summative and post training evaluation methods to establish student's improvement in knowledge, skills and behaviour. First Door training will be reviewed and continuously improved for best practice.

Improvements are made to relevant areas of First Door operations on the basis of the data collected. Records are kept of changes made. These records are reviewed at Internal Audits to ensure consistent implementation. The following processes will be verified:

- Check if amendments affect other management systems
- Communicate throughout the organisation details of the amendments
- Actively engage staff in continuously improving the system and the implementation process
- Evaluate professional development needs for any staff requiring new skills or knowledge
- Elicit and analyse stakeholder's feedback about the organisation's overall performance
- Carry out a trial run of the amendment to test its effectiveness and cause of results
- Conduct regular and systematic reviews of key data

### Developing VET Knowledge for Trainers & Assessors

First Door will develop the knowledge of their trainers and assessors through industry panels, professional development activities and through relevant partnerships.

### Ensuring Industry Currency for Trainers & Assessors

First Door both values and ensures that their trainers and assessors have industry currency. We prioritise effort to keep abreast with the relevant industry sectors current trends, problems and training needs through an Industry Connections Panel. First Door trainers and assessors are regularly immersed within industry workplaces through ongoing student mentoring in the workplace. It is a long-term goal to also investigate operating a small, outdoor based kindergarten service to be used in conjunction with First Door training.

### Ensuring Ongoing Competence for Trainers & Assessors

First Door will use student evaluation and performance appraisals to gauge competence. Trainers and assessors will also attend professional development courses and have peer assessments completed by colleagues.

### 3. DATA COLLECTION, ANALYSIS AND ACTIONS

#### Data Collection, Analysis and Actions Policy

Established January 2013, reviewed April 2013

First Door collects data on a regular basis in order to inform the processes of:

- Compilation of First Door's Quality Indicators
- Improvements to all aspects of training
- Professional development of staff
- Improvements to assessment

Continuous improvement information and data include:

- National tools for the collection of data (Quality Indicators)
- Interviewing students regularly
- Obtaining written feedback from students and clients through surveys/questionnaires
- Obtaining written feedback from trainers and assessors
- Obtaining feedback from employers following work placements or practical activities of students
- Analysis of the root cause of complaints and appeals and their resolutions
- Training and assessment outcomes
- Consultation with learners, enterprise clients, industry organisations and licensing bodies
- Records of staff/planning meetings and agreed actions
- Internal audit reports, organisational self-assessments
- Staff performance appraisal reports
- Staff professional development
- Research from the Internet, magazines, journal and papers

The data is analysed for relevance to possible improvements to:

- Assessment items and methodology
- Selection of competencies in qualifications
- Appropriateness of training methods
- The need for staff professional development

Continuous improvement focus areas include:

- Training and assessment services
- Training and assessment tools and instruments
- Facilities, equipment and resources
- Policies and procedures
- Management/operational systems
- Strategic/business plans
- Staff performance, competencies and professional development
- Partnership agreements

Ongoing continuous improvement opportunities can be unplanned and occur as often as they are identified and required. We strive to continually provide training services that produce competent and confident workers. Improvements are made to relevant areas of First Door operations on the basis of the data collected. Records are kept of changes made and reviewed at Internal Audits.

To ensure consistent implementation verify the following:

- Check if amendments affect other management systems
- Communicate throughout the organisation details of the amendments
- Evaluate professional development needs for any staff requiring new skills or knowledge
- Elicit and analyse stakeholder's feedback about the organisation's overall performance
- Carry out a trial run of the amendment to test its effectiveness and cause of results
- Conduct regular and systematic reviews of key data
- Actively engage staff in continuously improving the system and the implementation process

## 4. INSURANCE

### Insurance Policy

Established January 2013, reviewed April 2013

First Door will maintain current public liability insurance to the sum of twenty million dollars, as required for operation of a Registered Training Organisation.

## 5. INTERACTIONS WITH REGISTERING BODY

### Interactions with Registering Body Policy

Established January 2013, reviewed April 2013

First Door's Executive Office (EO) ensures that First Door's operation complies with the AQTF by:

- maintaining responsibility for day to day operations of First Door
- meeting regularly with First Door staff to keep informed of those operations
- a commitment to staying informed of all matters regarding First Door's RTO status
- managing the continuous improvement process including the Internal Audit process.

Interactions with the registering body are managed by First Door EO.

First Door has agreed to the "Conditions of Registration" contractual agreement which has been signed by the EO of First Door. First Door will cooperate with the Registering Body in:

- The conduct of internal and external audits
- Providing accurate and timely data for compilation of the Quality Indicators for First Door
- Providing data about significant changes to First Door staff

First Door recognizes that it must provide returns of its student records of attainment of units of competency and VET qualifications to the national VET Regulator on a regular basis.

First Door will report the data via e-mail and the returns will be stored electronically.



## 6. INTERNAL AUDITS

### Internal Audits Policy

Established January 2013, reviewed April 2013

An internal review or audit will be conducted for each qualification/vocational area at least once each year. The review is written into the organisation's calendar to occur in early November each year, following the first year of trading.

It will include reviews, comparisons and evaluations of the assessment processes, tools and evidence contributing to judgments at least annually in each vocational training area. The review/audit will include plans for the transition to new or revised Training Package in accordance with the Transition Requirements and Maintaining Scope of Registration Policy.

It is recommended that a balanced view is taken and consultation with the following takes place:

- Trainers of the qualification or course in the vocational training area
- Clients from a qualification or course in the vocational training area
- Industry

Outcomes of the internal audit, incorporating audit documentation, non-compliance reports and action plans will be provided to RTO's Chief Executive Officer (CEO) for review and sign off. Evidence (e.g. meeting minutes, memos, and written statements) indicating the involvement by the CEO in the audit process is to be documented and maintained.

First Door may conduct additional internal audits within the prescribed twelve-month period at the discretion of the CEO.

### Internal Audits Procedure

Internal audits are conducted to determine if systems in place at First Door are being implemented and working to help First Door to achieve the business objectives.

An audit team consists of one or more people with the necessary skills and knowledge to carry out the audit. When conducting internal audits, RTO personnel will complete the internal audit checklist and report by collecting objective evidence. They will use the following processes to ensure that the stated policies and procedures of First Door are being circulated, understood and implemented consistently throughout First Door and that these procedures are compliant with the AQTF:

- examining documents and systems such as policies and procedures, continuous improvement activities, student resources, relevant components of business plans, trainer/assessor qualifications
- examining records of actual training conducted
- perusing a sample of student files
- analysing resources for delivery and assessment required by the relevant Training Package or course, including assessment tools
- holding interviews with management, trainers/assessors, learners, employers
- observing processes such as assessment and learning activities
- looking at facilities and observing training and assessment activities

First Door Management reviews internal audit reports, progress on any rectification and ongoing compliance with the AQTF. First Door CEO will read, review and sign the completed report and act on any opportunities for improvement.



## 7. LEGISLATION

### Legislation Policy

Established January 2013, reviewed April 2013

First Door complies with the relevant requirements of the following Acts:

- Training and Employment Act (2000), e.g. vocational placement
- Occupational Safety and Health Act 1984.
- Anti-discrimination Act (1991)
- Privacy Act (2001)
- Child Protection Act
- Copyright Act

The relevant Trainers and other staff members are informed by the delegated person if the above legislation affects their job.

## 8. ORGANISATIONAL CHART & DUTY STATEMENTS

### FIRST DOOR TRAINING & DEVELOPMENT PTY LTD

#### CINDY DONALD

Director

Cindy has over twenty years of extensive experience in business management and has achieved Diplomas in Business Management and Hospitality (Operations). Cindy is also experienced as a trainer and assessor in the hospitality sector. Throughout her career, Cindy's passion has been training and developing people to bring about the best possible results for the business and the individuals. She is also qualified with a Bachelor of Training and Development, and Certificate IV in Training and Assessment.

##### Cindy's key responsibilities:

- administration including financial and student management
- compliance of our operations as a Registered Training Organisation as required by the Australian Skills Quality Authority
- the continuous improvement of our operating policies and procedures
- development and evaluation of the Management training portfolio

#### ANDREA ISITT

Director

Andrea's career has been focused on promoting learning and development with people of all ages. She was the founder and Director of the franchised Company 'The Learning Years Ltd' that promoted parents as first teachers. Andrea has several years of experience working in the Early Childhood and Education and Care sector and she has a Diploma in Children's Services. Andrea is qualified with a Certificate IV in Training and Assessment, and a Bachelor of Training and Development. She has over twenty years of experience in training and developing staff, teams and businesses.

##### Andrea's key responsibilities:

- business development including marketing and public relations
- design and development of training resources
- Human Resource management
- evaluation processes and continuous improvement of our training practices
- development and evaluation of The Early Childhood Education and Care training portfolio

## 9. RISK MANAGEMENT

Risk management involves the identification, analysis and evaluation of an RTO's risk of compliance with the AQTF standards and the development of cost effective strategies to treat those risks. First Door Directors are responsible for final assessment and management of risks associated with all aspects of First Door's operations, including that as an RTO. Evidence (e.g. meeting minutes, memos, and written statements) indicating the involvement by the Directors in the processes is to be documented and maintained.

First Door will develop a risk identification register to manage risks against First Door's compliance with the AQTF standards and regularly revisit those risks to ensure they are at an acceptable level.

### Risk Assessment Policy

Established January 2013, reviewed April 2013

Regular risk assessments are conducted to identify any potential hazards and risks that might affect the delivery of high quality training.

The risk assessment process will identify priorities, threats, measure and monitor factors, events and practices that may affect the effectiveness and economic status of First Door's operations.

First Door has a three pronged approach to its risk identification and management procedure:

1. The conduct of risk assessments and risk analysis and the subsequent development of risk management plans and inherent risk reduction strategies
2. The conduct of spot checks against identified areas of risk, and
3. The conduct of annual internal audits.

Risk assessment will take into consideration macro and micro issues, including:

- AQTF compliance risks
- RTO Policies and Procedures aligned to the AQTF
- Deployment of RTO Policies and Procedures in the workplace
- Continuous improvement
- Financial risks
- Increase or decrease in staff, students
- Increase in complaints/appeals
- Additional qualification/courses on scope
- Funding agreements
- Partnership agreements
- Contractual obligations
- Occupational safety and health
- Training and assessment environments

Risk assessment will occur during:

- Annual strategic planning processes
- Development of new training packages and/or accredited courses
- Annual auditing processes
- Specific events that require a risk assessment

Recommendations are satisfactorily followed up and results documented for presentation at regular management meetings, including strategic planning meetings. Reviews and improvements can take place more frequently as required.

Outcomes of all activities, including documentation, reports and action plans will be provided to First Door's Directors for review and as a basis for improvement.

## 10. ADVERTISING AND MARKETING

### Advertising and Marketing Policy

Established January 2013, reviewed April 2013

All advertising and marketing material referencing VET, will be certified that:

- the content of courses that include VET qualifications, clearly identifying the VET qualification and including the Nationally Recognised Training logo
- all VET qualifications advertised are within First Door's scope of registration
- if First Door offers any accredited VET courses First Door will ensure that it has written permission to offer the course from the course owner
- if First Door advertises VET qualifications that it is seeking registration for, it clearly identifies that in the advertising, e.g. through a disclaimer '... this course is subject to registration and will only proceed once First Door is registered'
- it is current, accurate and ethical

# 11. COMPLAINTS

## Complaints Policy

Established January 2013, reviewed April 2013

Complaints arise when a client is not satisfied with an aspect of our services and requests action to be taken to resolve the matter. Appeals arise when a client is not satisfied with a decision that we have made on assessment.

Any complaint or appeal must be considered in a transparent, objective and unbiased manner. The process incorporates the principles of natural justice and procedural fairness.

Any person wishing to make a complaint against First Door concerning its conduct as an RTO, whether a complaint, appeal or other matter, shall have access to the complaints/appeal flow. All formal complaints will be heard and decided within fifteen working days of the receipt of the written complaint by First Door. A 'Register of Complaints' which documents all formal complaints and their resolution will be kept. Any substantiated complaints will be reviewed as part of the continuous improvement procedure.

## Complaints or Appeals Procedure

### Informal Complaints

The person should first discuss their concerns with their Trainer/Assessor, or other staff member they feel comfortable with. If the matter is satisfactorily resolved during initial discussions no action is required.

The Trainer/Assessor should make a note of the person's concern on the Enrolment Form, or similar document, so the feedback is kept and reviewed. Where a person is dissatisfied with the outcome of the complaint they may then complain to First Door's EO, who will make a decision and record the outcome of the complaint.

### Formal Complaints and Appeals

First Door will provide the complainant with access to an independent qualified assessor or panel who will:

- provide the complainant with the complaints/appeals form and instruct to complete details of their issue
- the complaint and its outcome shall be recorded in writing
- on receipt of a formal complaint First Door CEO shall convene an independent panel to hear the complaint; this shall be the 'complaint committee'
- the complaint committee shall not have had previous involvement with the complaint and should include representatives of:
  - First Door
  - an independent person
- review their competency report / assessment / evaluation
- interview the appellant – the appellant will be allowed advocacy rights and will be provided with an opportunity to formally put their case
- the complaint committee will make a decision on the complaint
- where appropriate, provide the complainant with an opportunity for re-assessment
- provide a written statement, including reasons for the decision, to the complainant within five working days of making its decision.
- the appeal and subsequent outcomes will be recorded in detail and maintained on file by the RTO
- if necessary, the circumstances and information surrounding the issue is investigated to the level warranted by its severity.

The root cause of the complaint/appeal will be included in the continuous improvement cycle of the relevant standard/s.

## Unsettled Complaints or Appeals

If the issue is not satisfactorily settled the client should be advised of the formal Complaints and Appeals Procedure.

A non-refundable fee (to be determined) per module or competency standard whichever is applicable, will be charged for all assessment appeals. First Door may waive this fee in special circumstances.

By entering into the appeal procedure, the appellant agrees that the decision of the independent assessor / panel will be final and that the appellant will take no further action.

## Confidentiality

Confidentiality is maintained and anonymity preserved where requested. Complainants/appellants are informed where this may limit the extent to which their complaint/appeal can be investigated.

## Records

All complaints and appeals are documented in writing and recorded on the register.

## Monitoring and Improvements

All complaints and appeals are used for continuous improvement processes. Follow-up actions may include:

- Ask for feedback from the client to determine whether they were satisfied with the way the complaint or appeal was handled
- Change the practice that led to the complaint/appeal and at a later date review the improvement to see that it is working
- Review records of complaints and appeals to see whether there are specific issues (or staff or services) that are being targeted, and whether the complaints and appeals are being resolved in a timely matter

## 12. FINANCIAL MANAGEMENT

### Financial Management Policy

Established January 2013, reviewed April 2013

First Door ensures it follows stringent Financial Management guidelines to protect both First Door and the students. An up to date Fee Schedule is available to all students, prior to enrolment, detailing all fees relating to enrolment and ongoing study.

A Training Budget is prepared as part of the annual strategic planning process. The budget, both training revenue and expenditure, is monitored closely throughout the year to maintain a sustainable RTO.

### Fee Protection and Refunds

All fees paid in advance are protected. We guarantee the company's sound financial position and safeguard all payments made in advance until the student's successful conclusion of units to the value of the advanced payment. First Door guarantees that they have the capacity to deliver the courses offered. If First Door has to cancel the course a full refund will be given, including all administration fees.

Payments made in advance are identified as a liability until the successful conclusion of units to the value of the advanced payment, where it is then identified as an income.

If a student provides one week notice to cancel prior to the course starting date, they will receive a full refund less the non-refundable enrolment fee.

Cancellations after the course has begun will be dealt with on a case by case basis to ensure that First Door has done everything within its ability to assist the student in completing the course.

### Certificate of Accounts

A qualified accountant must certify First Door's financial accounts to Australian Accounting Standards at least annually. The report will be made available to the registering body on request.

### External Reporting Requirements

When requested, First Door must provide the state registering body with a full audit report from a qualified independent accountant with membership of the Certified Practicing Accountants Australia (CPA) or, Institute of Chartered Accountants of Australia or National Institute of Accountants.



## 13. ISSUING AQF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

**Issuing AQF Qualifications & Statements of Attainment Policy** Established January 2013, reviewed April 2013

First Door will issue AQF qualifications and Statements of Attainment within 21 days of course completion.

All qualifications and Statements of Attainment issued by First Door will comply with standards outlined in the Australian Qualifications Framework (AQF) Implementations Handbook, latest Edition.

First Door will only issue AQF qualifications and Statements of Attainment within its scope of registration that certify the achievement of qualifications or industry/enterprise competency standards from nationally endorsed Training Packages or qualifications, competency standards or modules from accredited VET courses.

First Door will ensure that, where the language used for delivery and assessment of the qualification is other than English, that language is noted on the qualification or statement of attainment.

All qualifications and statements of attainment issued by First Door will be recorded in the 'Register of Qualifications Issued'.

### Use of National and State Logos

First Door uses the Nationally Recognised Training logo in accordance with the Nationally Recognised Training Logo Specifications on all AQF qualifications and Statements of Attainment issued within First Door's scope of registration. Where the Nationally Recognised Training logo is used in advertising or other materials, it is also in accordance with specifications.

### Issuing Replacement Certificates

First Door will issue replacement certificates subject to receipt of a Statutory Declaration, stating previous enrolled name and address and current name and address and the reason for the replacement. There is a re-issue fee which can be found in the Fee Schedule.

## 14. ONGOING COMMUNICATION

Effective communication within our organisation and with stakeholders is recognised as central to First Door's success. Regular meetings are held with key stakeholders to review company performance and progress, to identify, review and evaluate improvement ideas and to plan improvements.

Other informal communication methods are also used throughout First Door. Where possible minutes, notes, emails, diary notes are used to follow up on issues and close out items. Documentation should be kept on the server or in a relevant file to ensure ease of access.

## 15. PARTNERSHIPS

### Partnerships Policy

Established January 2013, reviewed April 2013

Where First Door engages or is engaged by another organisation for VET assessment, training and/or certification services, it has a written agreement with the other organisation. First Door shall implement written agreements for training and assessment services provided on First Door's behalf. All agreements will be kept in a 'Register of Partnerships' and a copy of the agreement to the other organisation.

Within such arrangements, First Door has a role in formulating and completing the agreement and meeting and specifying how each party to the agreement will discharge its responsibilities for compliance to the ATQF Standards for Registered Training Organisations.

### Partnership Procedure

Written agreements with other organisations will include the following:

- the name and address of both organisations
- the name of the chief executive officer (CEO) of both organisations
- the name and contact details of the primary contact at the other organisation
- the program offered, including the relevant Training Package qualification or accredited course including code and the units of competency or modules, including the code and title
- a list of services offered by the other organisation, e.g. training and/or assessment
- a statement outlining the level of service offered, e.g. 'First Door as RTO, will provide all training and assessment staff'
- a statement acknowledging that First Door is always responsible for training, assessment and certificates issued in its name
- a verified copy of First Door's Certificate of Registration and Scope Certificate
- signatures of the CEOs of both organisations
- dates for the period of the agreement
- fees related to the agreement

The designated person will enter the details of the agreement on the 'Register of Partnerships' and ensure the other organisation has a copy of the agreement and understands its responsibilities.

## 16. QUALITY TRAINING AND ASSESSMENT

### Training and Assessment Strategies Policy

Established January 2013, reviewed April 2013

Training and assessment strategies will be developed as a minimum, for each qualification, course or unit/module it intends to place on its scope that is delivered and assessed.

These strategies will be developed in consultation with industry and will be validated through the internal review procedures. Details of the consultation will be kept to enable demonstration of it taking place.

These strategies will reflect the requirements of the relevant Training Package and will identify target groups.

Consultation with industry will provide:

- The need for the training and assessment
- Development of the training concept
- Determining the AQF level
- Support for the course

The strategies will contain information on First Door staff, facilities, equipment, training and assessment materials required to provide the training and/or assessment services within its scope of registration and scale of operations to accommodate client numbers, client needs, delivery methods and assessment requirements.

The strategies will be provided to all trainers and assessors conducting a particular course. The strategies will be reviewed upon responses from clients/ students as part of continuous improvement.

# 17. RECORD KEEPING

## Record Keeping Policy

Established January 2013, reviewed April 2013

Registers and documentation are held at a central location and records are maintained of:

- student enrolments
- industry consultation
- staff profiles detailing qualifications and industry experience
- fees paid and refunds given
- continuous improvement activities
- training and assessment strategies
- complaints and appeals
- all documentation necessary to develop, implement and maintain First Door quality systems

Records of results, qualifications and Statements of Attainment for students currently enrolled are stored in individual student files at a central location. Electronic files are kept up to date and backed up regularly, with the backup copy being kept in another place or in a fireproof and flood-proof safe.

All records are stored for retention, archiving and retrieval in accordance with AQTF. First Door will retain all student records securely, detailing attainment of unit competencies and qualifications for a period of 30 years.

Progress of students is kept in a student AVETMISS database. The data recorded on the database may be printed out for the student's records. All records are kept confidential.

Records held may include the following information:

- Training / employment identification number
- Personal details, e.g. address, phone numbers, etc.
- Personal requests for training/ notes from discussions / counseling / advice, (if applicable)
- Letters and other items of communication
- Copies of Skills Recognition applications together with all presented evidence and details of outcomes, letters of advice, etc.
- Course / Training Inquiry Form / enrolment information
- Receipt of payment
- Copies (scanned or photo) of completion certificates / qualification / Statement of Attainment issued
- Assignments and other evidence e.g. work samples, photographs, videos, etc.
- Oral question sheets, written assessments
- Practical assessment checklists
- Copies of current licenses / accreditation, etc. (if applicable)
- Disciplinary actions (if applicable)
- Reports; Actions taken
- Copies of outcomes advice to client / participant
- Grievances lodged (if applicable)
- Copies of outcomes advice to client / participant
- Assessment Appeals lodged (if applicable)
- Copies of outcomes advice to client / participant

## 18. REGISTER OF DOCUMENTS

A 'Register of Documents' is maintained which records all documents, e.g.

- The Quality Manual
- Student information guides
- All other documents used in First Door's activities as an RTO

This register includes issue and amendment status. The designated person reviews all documents before adding them to the register. All staff have access to the materials related to their position.

## 19. TRAINING PACKAGE TRANSITION AND EXPIRY

### Training Package Transition & Expiry Policy

Established January 2013, reviewed April 2013

It is the responsibility of each vocational area within First Door to plan for the transition to new / revised Training Packages as they are endorsed.

Where possible, students in existing/expiring courses/qualifications will be “transitioned” to the new versions of those qualifications.

When this is not possible, no new students will be enrolled in the expiring qualification after 12 months from the publication date of the new training package. Generally, the students enrolling in the qualification after the Training package publication date will enrol in the new Training Package qualifications.



## 20. TRAINING RESOURCES

### Training Resources Policy

Established January 2013, reviewed April 2013

#### Facilities

The qualifications on scope are suitable for delivery in a traditional classroom environment and workplace mentoring is encouraged. First Door has use of a dedicated training room and is also able to provide training at a client's own premises.

#### Training and Assessment Material

First Door prefers to design their own training and assessment resources, however it reserves the right to purchase relevant and accredited training material. Typically resources developed for each course unit include:

- Digital or printed comprehensive student theory book
- Workbook for workplace practice activity/ assessment including a student assessment guide
- PowerPoint presentation, including use of relevant video and images
- Facilitator resources, including: training program and copies of the relevant competency standard, sample answers for activities and assessment plan including an assessment guide

First Door staff have access to all relevant resources as outlined in the relevant learning and assessment strategy.

If, for whatever reason, First Door cannot maintain the relevant resources to deliver the course, First Door will attempt to provide students with alternative opportunities to complete the course and the related qualification. First Door retains the right to cancel the course if it is unable to meet requirements.

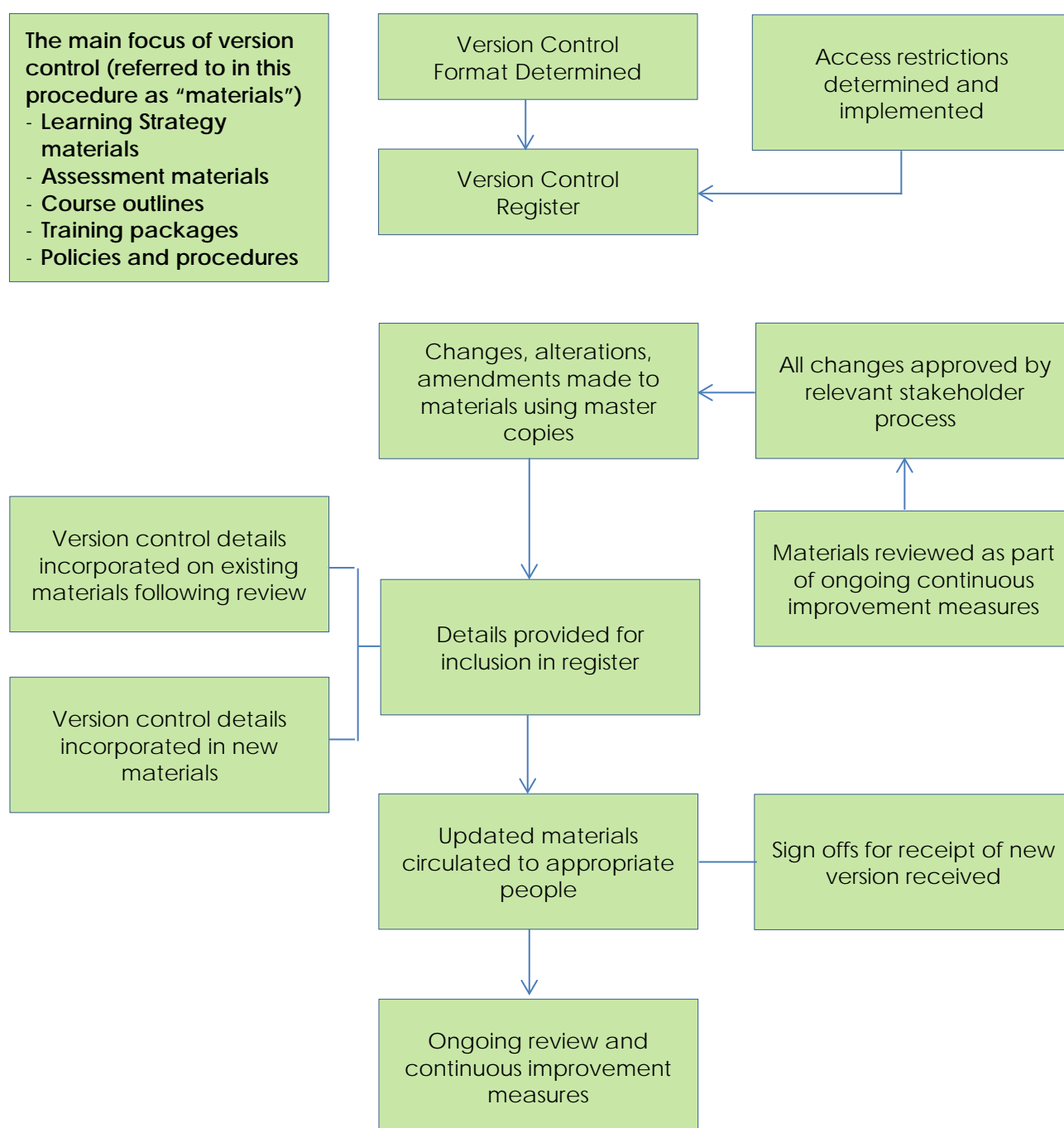
## 21. VERSION CONTROL

### Version Control and Records Management Policy

Established January 2013, reviewed April 2013

First Door has effective administrative and records management systems in place to secure the accuracy, integrity and currency of records, to keep documentation up to date, and to safeguard any confidential information obtained by First Door, individuals or organisations acting on its behalf.

The following flow path shows First Door's version control procedure.



## 22. COMPETENT FIRST DOOR STAFF

### Competent First Door Staff Policy

Established January 2013, reviewed April 2013

First Door employs industry experienced facilitators to provide training and assessment relating to the scope of delivery. First Door will ensure that all staff delivering and/or assessing VET will meet the requirements (of the relevant Training Package or course) before beginning delivery and/or assessment.

Office staff are employed to provide administrative support to the training and assessment services and to ensure compliance with the requirements of the AQTF.

Recruitment of staff will be guided by the following principles:

- All prospective staff will be made aware during recruitment that they will undergo a VET and First Door induction process if employed by First Door.
- Any Trainer recruited to deliver and assess a particular qualification will either meet the requirements of the relevant Training Package or course or have the ability to meet this standard before commencing the delivery and assessment of the qualification.
- All staff will be monitored in regard to their performance in delivering and assessing vocational education and training.

Position description (including selection criteria) reflecting the organisational structure and business goals of First Door are devised, reviewed and amended if necessary by the Directors in consultation with appropriate personnel.

Delegation of responsibilities, as well as the promotion and lateral movement of staff is undertaken by First Door's Directors who ensure personnel are adequately qualified skilled and experienced to perform the work allocated to them.

## 23. INDUCTION OF FIRST DOOR STAFF & PARTNERS

The induction procedure will be conducting according to the Induction checklist and include an introduction to the:

- The vision, mission, values and objectives of First Door
- VET quality systems operating within First Door
- VET courses in First Door
- roles and responsibilities of an RTO under the AQTF
- information on relevant legislation and related rights and responsibilities
- information for staff about legislation and its impact on the way they work
- information for students that describes how legislation affects their participation in education and training
- human resource requirements for VET
- professional development roles and responsibilities for staff and First Door
- relevant policies and procedures of First Door relating to VET
- relevant Training Packages
- training and assessing resources
- requirements of competency-based training and assessment
- requirements for Apprenticeships/Traineeships (if applicable)
- access and equity policy and staff responsibilities in regard to access and equity
- occupational safety and health induction
- plans for conducting internal audits to identify any potential breaches of legislation

## 24. ONGOING DEVELOPMENT AND MONITORING

### Ongoing Development & Monitoring Policy

Established January 2013, reviewed April 2013

Professional development is about the importance of assisting VET facilitators to maintain and enhance their vocational skills over time. This learning may take place in one of the following categories:

- Formal structured training and professional development
- Non-formal learning (i.e. in-house training)
- Informal learning resulting from networks, mentoring, industry journals, websites, working with other trainers, hobby or leisure activities.

Recording plans and progress for vocational skills professional development is an important and ongoing responsibility of First Door.

## 25. ENROLMENT PROCESS

### Enrolment Policy

Established January 2013, reviewed April 2013

We provide clear information on the qualifications / courses that we offer. This includes the training and learning outcomes; any required skills or knowledge as well as any additional training pathways.

Our enrolment process requires potential students to complete an enrolment form and provide as much relevant information as possible to ensure we provide training to suit their needs. All information collected is kept confidential and subject to our Privacy Policy.

Before and during course enrolment we provide students access to our student handbook to ensure all learners are aware and understand the information contained in both.

We will at any time welcome questions relating to the student handbook and training /assessment requirements to ensure clarity.

### Course Information

Specific course information is provided on our website for all of courses we currently offer. We are happy to discuss and clarify any questions people may have regarding this information.

## 26. ACCESS AND EQUITY

### Access and Equity Policy

Established January 2013, reviewed April 2013

First Door is committed to access and equity in the provision of training and related services and accordingly to improving people's chances of getting into and succeeding in vocational education, training and employment. As a RTO, First Door accepts the challenge of ensuring that training and related opportunities extend to all members of our diverse community.

First Door personnel are aware and committed to the principles of access and equity. Access and equity issues are addressed during staff induction and during staff meetings and professional development activities. Access and equity is addressed within the First Door's Code of Practice. The Code of Practices is openly communicated to all training participants and training and assessment staff.

First Door endeavours to eliminate, so far as is possible, discrimination against persons on the ground of gender; marital status or pregnancy; family responsibility or family status; race; religious or political conviction; impairment; age; sexual harassment and racial harassment in the workplace and / or in its training facilities.

First Door promotes recognition and acceptance within the community of the equality of men and women; and all races and of all persons regardless of their religious or political convictions or their impairments or ages.



## 27. CONFIDENTIALITY

Information about a student, except as required by law or as required under the Standards for Registered Training Organisations, is not disclosed without the student's written permission and that of their parent or guardian if the student is under 18 years of age. Where a student consents to disclosure of information, this consent is kept on the register.

Students have access to their personal records when requested.

People external to First Door who act on its behalf, e.g. on complaints committees or technical experts in internal audits, are made aware of these procedures before they begin work for First Door.

## Privacy Policy

Established January 2013, reviewed April 2013

First Door Training and Development Pty Ltd is committed to providing each student with the best possible customer service experience. First Door Training and Development Pty Ltd is bound by the Privacy Act 1988 (Crh), which sets out a number of principles concerning the privacy of individuals.

### Collection of your personal information

There are many aspects of the website which can be viewed without providing personal information, however, for access to future *First Door Training and Development Pty Ltd* customer support features students are required to submit personally identifiable information. This may include but not limited to a unique username and password, or provide sensitive information in the recovery of your lost password.

### Sharing of student personal information

We may occasionally hire other companies to provide services on our behalf, including but not limited to handling customer support enquiries, processing transactions or customer freight shipping. Those companies will be permitted to obtain only the personal information they need to deliver the service. *First Door Training and Development Pty Ltd* takes reasonable steps to ensure that these organisations are bound by confidentiality and privacy obligations in relation to the protection of your personal information.

### Use of student personal information

For each visitor to reach the site, we expressly collect the following non-personally identifiable information, including but not limited to browser type, version and language, operating system, pages viewed while browsing the site, page access times and referring website address. This collected information is used solely internally for the purpose of gauging visitor traffic, trends and delivering personalized content to you while you are at this Site.

From time to time, we may use customer information for new, unanticipated uses not previously disclosed in our privacy notice. If our information practices change at some time in the future we will use for these new purposes only, data collected from the time of the policy change forward will adhere to our updated practices.

### Changes to this privacy policy

*First Door Training and Development Pty Ltd* reserves the right to make amendments to this Privacy Policy at any time. If any persons have objections to the Privacy Policy, they should not access or use the Site.

### Accessing personal information

A person has a right to access their personal information, subject to exceptions allowed by law. People are advised to contact us if they wish to access their information. The request may be required in writing for security reasons. *First Door Training and Development Pty Ltd* reserves the right to charge a fee for searching for, and providing access to, personal information on a per request basis.

## 28. NATIONAL UNIQUE STUDENT IDENTIFIER

First Door is aware of the requirement for all RTO's to implement the Unique Student Identifier by 1 January 2014. First Door is working with their Student Management Software provider, Wise.NET, to ensure it will be compliant by 1 January 2014.

Wise.NET's contact details are as follows:

Company name: Wise.NET  
Product name: Wise.NET  
Contact person: Mary Kyriacou, Operations Manager /  
Alister Smith, Development and Innovation Manager  
Email address: mary@mywisenet.com.au /  
alister@mywisenet.com.au  
Physical address: Level 9, Victoria Street, Melbourne VIC 3000  
Telephone Number: 1300 365 384

## 29. RECOGNITION OF AQF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

### Recognition of Qualifications Policy

Established January 2013, reviewed April 2013

First Door recognises the Australian Qualifications Framework Qualifications and Statements of Attainment issued by other Nationally Recognised Training Organisations. This ensures the mutual acceptance throughout Australia of AQF Qualifications and Statements of Attainment.

First Door will seek verification of the certification from the relevant RTO where there is some ambiguity.

Upon enrolment, the Trainer shall make students aware that any existing AQF qualifications or statements of attainment they possess will be recognised by First Door. If a student presents an AQF qualification or statement to the Trainer, the Trainer will take a copy and verify the authenticity of the qualification or statement. The verified copy of the qualification or statement is placed in the student's file. Once the qualification or statement is verified, the Trainer will give the student exemption for the units of competency or modules identified in the qualification or statement and update the student's records accordingly.

## 30. RECOGNITION OF PRIOR LEARNING

### Recognition of Prior Learning Policy

Established January 2013, reviewed April 2013

All students shall have access to, and will be offered Recognition of Prior Learning (RPL). Evidence of RPL can be provided through informal education, life and workplace experience and voluntary roles.

Upon enrolment First Door shall make students aware of First Door's RPL policy. Trainers will remind students of this policy and provide opportunities to engage in the RPL process.

When approached by a student seeking RPL, First Door will:

- provide the student with copies of an RPL Application Form
- provide the student with information about the types of evidence that can be used to support an RPL application and any assessment required
- make a prompt decision and notify students of the outcome of the RPL process
- update the student's records if RPL is granted

In developing the assessment for RPL for each qualification, First Door will ensure:

- compliance with the assessment guidelines from the relevant Training Package or accredited course
- assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
- assessment complies with the principles of competency-based assessment (i.e. assessment is valid, reliable, flexible and fair) and informs the student of the context and purpose of the assessment
- the rules of evidence (valid, sufficient, current and authentic) guide the collection of evidence to support the principles of validity and reliability.
- there is a focus on the recognition of knowledge and skills to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment
- timely and appropriate feedback is given to students
- assessment complies with First Door's access and equity policy

## 31. STUDENT ASSESSMENTS

### Assessment Policy

Established January 2013, reviewed April 2013

In developing the assessment (including RPL) for each qualification, First Door will ensure:

- compliance with the assessment guidelines from the relevant Training Package or accredited course
- assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
- assessment complies with the principles of competency-based assessment (i.e. assessment is valid, reliable, flexible and fair) and informs the student of the context and purpose of the assessment
- the rules of evidence (valid, sufficient, current and authentic) guide the collection of evidence to support the principles of validity and reliability.
- there is a focus on the application of knowledge and skills to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment
- timely and appropriate feedback is given to students
- assessment complies with First Door's access and equity policy

All students have access to one reassessment or to appeal.

### Student Standards

Students are required to ensure all work they submit for assessment is their own work. Students confirm the authenticity of work submitted as being their own as part of the terms and conditions of enrolment. To ensure all students receive equal opportunities and gain the maximum from their time with us, these rules apply to all enrolled students.

You are required to maintain minimum standards of etiquette and courtesy with all stakeholders in your learning, and during your online discussions and attendance at workshops.

These standards include but are not restricted to:

- Use of appropriate language in all forms of communication
- Students must not copy work or breach plagiarism standards

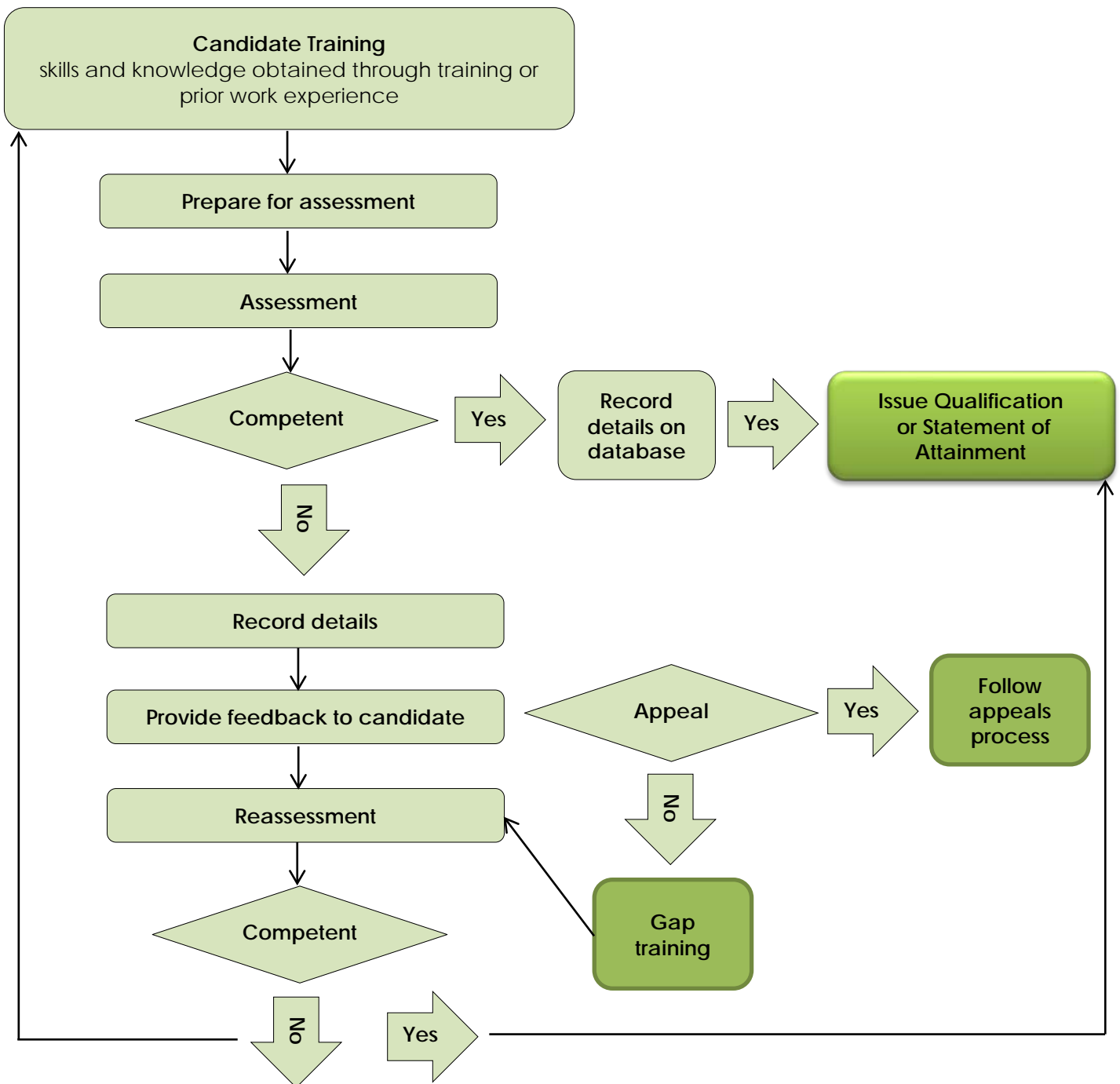
Consequences for breaching these standards may result in the student's enrolment being terminated and a statement of attainment issued for any units completed to date.

Any person who has had their enrolment suspended or terminated has the right of appeal through our appeals process.

### Training and Assessment Standards

First Door staff have the appropriate qualifications and experience to deliver the training and assess competence relevant to the training products offered. Assessment will meet the National Assessment Principles (including Recognition of Prior Learning).

## Assessment Overview





## 32. STUDENT INFORMATION

### Student Information Policy

Established January 2013, reviewed April 2013

First Door will provide student information and induction to each student before enrolment for a course.

This will include:

- student selection, enrolment and induction/orientation procedures
- course information, including content and vocational outcomes
- fees and charges, including refund policy, issuance of replacement qualification testamurs, and exemptions
- provision for language, literacy and numeracy assistance
- student support, welfare and guidance services
- flexible learning and assessment procedures
- appeals and complaints procedures
- staff responsibilities for access and equity
- recognition of Prior Learning (RPL) arrangements
- recognition of AQF qualifications and statements of attainment issued by other RTOs.

This and further information is found in the student enrolment resources. Students will have access to their progress towards and achievement of competencies. This is provided within our learning management system or students can request this information by phone or email.

## 33. STUDENT ENGAGEMENT

### Employer Contribution to Student Learning

First Door will meet with the student's workplace director/manager to familiarise them with First Door's training and assessment practices. First Door will establish appropriate training supervisor/s for each student as they will form an important part of the assessment and evaluation processes. First Door will communicate with these supervisors, directors and or managers on a regular basis to ensure student progress and development.

Regular workplace mentoring will be undertaken, in a manner which suits the student's circumstances, which will also lead to effective monitoring of training and assessment.

### Course Extension

First Door will not be obliged under any circumstances to extend the period of a student's enrolment if the student has not completed the course in the allocated time, however every effort will be made to keep the student engaged and assist them in completing the course.

## 34. STUDENT SUPPORT SERVICES

### Student Support Services Policy

Established January 2013, reviewed April 2013

#### Supporting Student Individual Needs

A comprehensive enrolment process will establish individual student needs. Once a student's needs are identified a First Door Student Needs process will be undertaken.

Each time a student receives a new unit they will receive a follow up communication to ensure understanding of unit content and requirements.

Attendance at monthly workshops is highly encouraged to ensure student interaction with industry colleagues and opportunities to put theory into practice.

Regular workplace mentoring will be undertaken, in a manner which suits the student's circumstances, which will lead to effective monitoring of training and assessment. First Door will undertake workplace mentoring at least once every two months.

First Door will monitor student progress through our student management systems and will mentor students if disengagement is occurring.

We will endeavour to provide information and guidance to all learners. Information provided during enrolment will be used as a base to determine student support services. This includes but is not limited to:

- Learning pathways and possible RPL opportunities
- Provision for special learning needs including Language, Literacy and Numeracy

#### Language, Literacy and Numeracy (LLN)

First Door is committed to ensuring accessibility to all prospective students for the training courses we provide.

We also recognise that at times language and literacy problems may restrict a person from achieving the competencies required for particular courses or programs.

First Door will make every effort to assess a perspective client/learners ability to carry out all the learning tasks and required assessments before enrolment. Where possible, the learning activities/assessments may be modified to compensate for those with literacy or numeracy skill needs.

#### Flexible Learning and Assessment Procedures

Our training and assessment procedures are flexible and take into account learner needs. We will ensure that:

- All required resources for the delivery of any course are in place and to the most current industry standards
- Training and assessment will only be conducted by qualified staff
- All training and assessment will be to the nationally set standard prescribed in the relevant Training Package or accredited course material

This means that training and assessment students receive with First Door is done in accordance of the national quality-training framework.