QUALITY & COMPLIANCE MANUAL

Optimistic *futures*

Quality & Compliance Manual

Policies and Procedures Manual

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This manual has been written in line with the guidance provided in the "Users' Guide: Standards for Registered Training Organisations (RTOs) 2015", version 1.1 dated 10 December 2014, published by the Australian Government under the Australian Skills Quality Authority. http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/users-guide-to-the-standards-for-registered-training-organisations-2015.html

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Improvements

Vivacity is constantly improving and developing its Continuous Improvement System to meet clients' needs. If you have any proposed amendments or suggested improvements, please email us at:

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VERSION CONTROL

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SUMMARY OF CHANGES

October 2016	Minor changes to Standards 6 and 8.6
September 2016	Minor changes to Standards 5.3 and 5.4
August 2016	Addition to Standard 8.4, to include the new requirements on Annual Declaration of Compliance. Review and update of all hyperlinks
May 2016	Version 5.3 – Full revision, update links & standards.
April 2015	Version 5.1 – Full revision of the Standards against the ASQA Audit Tool
February 2015	Version 5.0 - Full revision for the new Standards for Registered Training Organisations (RTOs) 2015, released 1 January 2015

Where in this manual there is a (T), (S) or (T&S) referenced, it means the following:

(T)   This policy and procedure is also in the Trainers Handbook

(S)   This policy and procedure is also in the Student Handbook

(T&S)   This policy and procedure is in both the Trainers and Student's Handbook

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METHODOLOGY AND PURPOSE OF MANUAL

This Quality & Compliance Policies and Procedures Manual has been written against the requirements of the VET Quality Framework, which includes:

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2011
- the Data Provision Requirements 2012

Each of the requirements within the legislation has been addressed with policies and procedures, which has been developed against the requirements of the regulatory body, as well as taking into consideration how the organisation operates as a Registered Training Organisation.

STRUCTURE OF MANUAL	
Heading	The Clause within the Standard, as per the "Standards for Registered Training Organisations (RTOs) 2015"
Strategy	The organisations strategic plan to achieve compliance against the clause within the Standard
Policy and Procedure/s	The process for implementing the strategy to achieve compliance against the Clause, being a policy or procedure or both, which is applicable to staff and/or students
Evidence	The forms and documentation that are related to the policies and procedures. The evidence can also be used during an audit to support how the RTO has implemented the Policy and Procedure.
Continuous Improvement	When the Policy and Procedure for this Clause will be reviewed, according to the Continuous Improvement Cycle on a monthly basis.
Responsibility	The title of the person responsible for ensuring compliance against the Policy and Procedure

The policies and procedures from this manual, that are relevant to the RTO's clients/students, are also included in the Student Handbook. The policies and procedures from this manual, that are relevant for trainers, are also included in the Trainers Handbook.

DISTRIBUTION OF MANUALS	
Administration and Management Staff	- Quality & Compliance Manual - Trainers Handbook - Student Handbook
Trainer and Assessor Staff	- Trainers Handbook - Student Handbook
Clients and Students	Student Handbook

GLOSSARY

The following glossary defines certain words and expressions which have specific meaning in the standards, as outlined in the Standards for Registered Training Organisations 2015. In these Standards the following terminology is used, unless the contrary intention appears:

Access and equity means policies and approaches aimed at ensuring that VET is responsive to the individual needs of clients whose age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location may present a barrier to access, participation and the achievement of suitable outcomes.

Accredited short course means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

AQF certification documentation is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

Assessment means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in training product or VET accredited course.

Assessment system is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Assessors are persons who assess a learner's competence in accordance with Clauses 1.13 to 1.16

Audit means an audit or compliance audit undertaken by the VET Regulator.

Australian Qualifications Framework (AQF) means the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.

Authenticated VET transcript has the meaning given in the *Student Identifiers Act 2014.*

Client means a learner, enterprise or organisation that uses or purchases the services provided by an RTO**.**

Code means the unique identifier for units of competency, skill sets, VET accredited courses, modules, AQF qualifications or Training Packages as required by the Standards for Training Packages and Standards for VET Accredited Courses.

Competency means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

Current industry skills are the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

Current industry skills may be informed by consultations with industry and may include, but is not limited to:

a)   having knowledge of and/or experience using the latest techniques and processes;

b)   possessing a high level of product knowledge;

c)   understanding and knowledge of legislation relevant to the industry and to employment and workplaces;

d)   being customer/client-oriented;

e)   possessing formal industry and training qualifications; and

f)   training content that reflects current industry practice.

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.

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

a) pre-enrolment materials;

b) study support and study skills programs;

c) language, literacy and numeracy (LLN) programs or referrals to these programs;

d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;

e) learning resource centres;

f) mediation services or referrals to these services;

g) flexible scheduling and delivery of training and assessment;

h) counselling services or referrals to these services;

i) information and communications technology (ICT) support;

j) learning materials in alternative formats, for example, in large print;

k) learning and assessment programs contextualised to the workplace; and

l) any other services that the RTO considers necessary to support learners to achieve competency.

Executive officer means:

a) a person, by whatever name called and whether or not a director of the organisation, who is concerned in or takes part in the management of the RTO; or

b) an administrator, receiver and manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by a court); or

c) if the RTO is a body corporate:

(i) a person who, at any time during a period for which the organisation is registered, owns 15% or more of the organisation; or

(ii) a person who, at any time during a period for which the organisation is registered, is entitled to receive 15% or more of dividends paid by the organisation; or

(iii) the administrator of a deed of company arrangement executed by an organisation; or

(iv) a trustee or other person administering a compromise or arrangement made between the organisation and another person or other persons.

Financial Viability Risk Assessment Requirements means the requirements made under section 158 of the *National Vocational Education and Training Regulator Act* 2011 or equivalent requirements made or adopted by the VET Regulator of a non-referring State as the case requires.

Government entity means:

a) a Department of State of the Commonwealth; or

b) a Department of the Parliament established under the *Parliamentary Service Act 1999* of the Commonwealth;

c) an Executive Agency, or Statutory Agency, within the meaning of the *Public Service Act 1999* of the Commonwealth;

d) a Department of State of a State or Territory; or

e) an organisation that:

f) is not an entity; and

g) is either established by the Commonwealth, a State or a Territory (whether under a law or not) to carry on an enterprise or established for a public purpose by an Australian law; and

h) can be separately identified by reference to the nature of the activities carried on through the organisation or the location of the organisation whether or not the organisation is part of a department or branch described in paragraph (a), (b), (c) or (d) or of another organisation of the kind described in this paragraph.

High managerial agent means an employee or agent of the organisation with duties of such responsibility that his or her conduct may fairly be assumed to represent the organisation in relation to the business of providing courses.

Independent validation means, for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who:

a) are not employed or subcontracted by the RTO to provide training and assessment; and

b) have no other involvement or interest in the operations of the RTO.

Industry means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:

a) enterprise/industry clients, e.g. employers;

b) group training organisations;

c) industry organisations;

d) industry regulators;

e) industry skills councils or similar bodies;

f) industry training advisory bodies; and

g) unions.

Industry and Skills Council means the Commonwealth, State and Territory ministerial council established by the Council of Australian Governments (COAG), or its successor.

Industry engagement, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:

a) partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;

b) involving employer nominees in industry advisory committees and/or reference groups;

c) embedding staff within enterprises;

d) networking in an ongoing way with industry networks, peak bodies and/or employers;

e) developing networks of relevant employers and industry representatives to participate in assessment validation; and

f) exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

Industry regulator means a body or organisation responsible for the regulation and/or licensing arrangements within a specific industry or occupation.

Learner means a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.

Licensed or regulated outcome means compliance with an eligibility requirement for an occupational licence or a legislative requirement to hold a particular training product in order to carry out an activity.

Mode of delivery means the method adopted to deliver training and assessment, including online, distance, or blended methods.

Module means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

National Register means the register maintained by the Commonwealth Department responsible for VET and referred to in section 216 of the *National Vocational Education and Training Regulator Act 2011.*

Nationally Recognised Training (NRT) Logo means the logo used nationally to signify training packages and VET accredited courses.

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

Person includes a body politic or corporate as well as an individual.

Professional development means activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and

assessment, including competency based training and assessment. Examples of professional development activities include:

a) participation in courses, workshops, seminars, conferences, or formal learning programs;

b) participation in mentoring, professional associations or other learning networks;

c) personal development through individual research or reading of publications or other relevant information;

d) participation in moderation or validation activities; and

e) participation in industry release schemes.

Recognition of Prior Learning (RPL) means an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.

a) formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);

b) non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and

c) informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

Record means a written, printed, or electronic document providing evidence that activities have been performed.

Registrar has the meaning given in the *Student Identifiers Act 2014.*

Registration means registration as an RTO by the VET Regulator, where that registration is then entered on the National Register.

RTO means a Registered Training Organisation.

RTO code means the registration identifier given to the RTO on the National Register.

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

a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or

b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Services mean training, assessment, related educational and support services and/or any activities related to the recruitment of prospective learners. It does not include services such as student counselling, mediation or ICT support.

Skill set means a single unit of competency or a combination of units of competency from a training package which link to a licensing or regulatory requirement, or a defined industry need.

Standards for VET Accredited Courses are the standards made under subsection 188(1) of the *National Vocational Education and Training Regulator Act 2011* or the equivalent requirements adopted by a non-referring State.

Statement of attainment means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

Statistically valid means for the purposes of these Standards, a random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.

Student Identifier has the meaning given in the *Student Identifiers Act 2014*.

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.

Trainers are persons who provide training in accordance with Clause 1.13, 1.14 and 1.16.

Training is the process used by an RTO or a third party delivering services on its behalf, to facilitate learning and the acquisition of competencies in relation to the training product on the RTO's scope of registration.

Training and assessment strategies and practices are the approach of, and method adopted by, an RTO with respect to training and assessment designed to enable learners to meet the requirements of the training package or accredited course.

Training Package means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

Training Product means AQF qualification, skill set, unit of competency, accredited short course and module.

Unit of competency means the specification of the standards of performance required in the workplace as defined in a training package.

Validation is the quality review of the assessment process. Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited courses are met. It includes reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations.

VET means vocational education and training.

VET accredited course means a course accredited by the VET regulator in accordance with the Standards for VET Accredited Courses.

VET Quality Framework comprises:

    a) the Standards for Registered Training Organisations

    b) the Australian Qualifications Framework

    c) the Fit and Proper Person Requirements

    d) the Financial Viability Risk Assessment Requirements

    e) the Data Provision Requirements

VET Regulator means:

    a) the National VET Regulator; and

    b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

CODE OF CONDUCT (T&S)

Optimistic Futures Pty Ltd is responsible for ensuring ongoing compliance with the Standards for Registered Training Organisations, including where services may be delivered on the RTO's behalf. The Chief Executive Officer is responsible for ensuring that the operations, staff and students of the RTO complies with the requirements of the VET Quality Framework, which includes the following:

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2011
- the Data Provision Requirements 2012

Optimistic Futures Pty Ltd will ensure that compliance applies across all of its operations within the RTO's scope of registration, as listed on the National Register (http://www.training.gov.au). (5.3)

Optimistic Futures Pty Ltd has policies and procedures in place for ensuring compliance with the VET Quality Framework, which are distributed to Staff and Students as part of their induction process, these policies and procedures include how the RTO will comply with the following:

Standards for Registered Training Organisations 2015

- Standard 1 – Training and Assessment

  o Learners benefit from high-quality training that equips them for employment and/or further study in their chosen field.

  o Learners are confident they hold the skills and knowledge their certification describes and are well-equipped to undertake relevant tasks safely and productively.

  o Graduates have enhanced employment prospects because employers are confident in their abilities.

- Standard 2 – Quality Assurance Strategies

  o Learners are confident that the quality of training is monitored to ensure it meets their needs and the needs of employers.

- Standard 3 - Certification

  o Learners receive certification that clearly documents their skills and knowledge in a timely manner.

- Standard 4 - Marketing

  o Learners can make informed choices that the RTO has training that meets their needs with clear and accurate information including information about the performance of the RTO

- Standard 5 – Students rights and obligations

  o Learners can make informed choices about the RTO and the training program that best suits their needs

  o Learners know who is delivering their training and who is issuing any qualification or statement of attainment

  o Learners are aware of their rights and responsibilities

- Standard 6 – Complaints and appeals

  o Learners have any concerns about their training or assessment addressed promptly and equitably

- Standard 7 - Governance

  o Learners know their provider is stable and well-governed, so are confident it will continue to operate and be properly resourced to deliver training

  o Learners know that their exposure to financial loss is limited in the case of a provider closing or not being able to provide the training

- Standard 8 – Compliance with legislation

  o Learners are assured that our RTO is monitored by a regulator that has accurate, up-to-date information about the provider

  o Learners are confident our RTO complies with relevant legislation and regulatory requirements

- o Learners are aware of requirements that relate to their training

- o Learners can make informed choices about the RTO using accurate and up-to-date information

Australian Qualifications Framework:

- Adhere to the requirements of the AQF Qualifications Issuance Policy

- Adhere to the requirements of the AQF Qualifications Pathways Policy

Fit and Proper Person Requirements

- All senior management, or persons who would have a significant impact on the RTO, are required to complete and submit a Fit and Proper Person form to the National VET Regulator

Data Provision Requirements

- Collect and store student and training records within an AVETMISS compliant Student Management System (DPR 4)

- Collect data on behalf of the National VET Regulator against the AVETMISS requirements (DPR 4.1)

- Collect data on behalf of the National VET Regulator against the Quality Indicators (DPR 6)

- Submit annual reports to the National VET Regulator on data collected (DPR 7)

Working with Children Check

- All Trainers and Assessors are required to undertake a Working with Children Check prior to commencing training and assessment if they will be delivering training and assessment to students under the age of 18 years.

CONTINUOUS IMPROVEMENT CYCLE

The standards within the following cycle are to be reviewed on a monthly basis at the monthly "Quality and Compliance Meetings" (see clause 2.2 for the policy and procedure). All staff and contractors are encouraged to contribute to the continuous improvement of our organisational systems and services by completing an opportunity for improvement form. (see clause 2.2 for the policy and procedure)

JAN	1.1	1.2	1.3	1.4	1.5	1.6
FEB	1.7	DPR 4.1				
MAR	1.8	1.9	1.10	1.11	1.12	8.4
APR	1.13	1.14	1.15	1.16	1.17	1.18	1.19	1.20
MAY	1.26	1.27	8.5	8.6		
JUN	2.1	2.2	DPR 6.1			
JUL	2.3	2.4	8.3			
AUG	3.1	3.2	3.3	3.4		
SEP	3.5	3.6	5.3	5.4		
OCT	4.1	5.1	5.2			
NOV	6.1	6.2	6.3	6.4	6.5	6.6
DEC	7.1	7.2	7.3	7.4	7.5	8.1	8.2

Reporting Dates

JUN	DPR 6.1	Submit Quality Indicator Summary Report
FEB	DPR 4.1	Submit AVETMISS Report
MAR	8.4	Annual Declaration of Compliance
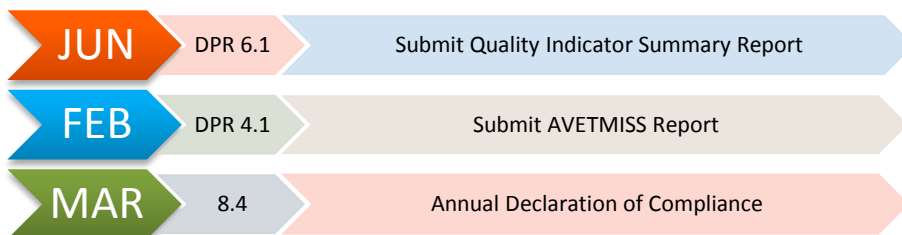
Annual Internal Audit

To be completed before Annual Declaration of Compliance due for submission in March of each year.

RTO's delivering TAE training products

| JUN | 1.21 | 1.22 | 1.23 | 1.24 |
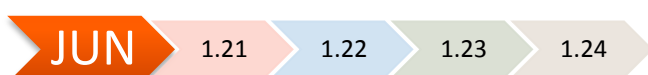
DPR4 STUDENT RECORDS MANAGEMENT SYSTEM

DPR 4.1	Both applicants seeking initial registration under the Act, and NVR registered training organisations, must have a student records management system that has the capacity to provide the National VET Regulator with AVETMISS compliant data.

Strategy	In accordance with the "National VET Provider Collection Data Requirements Policy" the RTO collects AVETMISS data from students through the Enrolment Agreement Form, in line with the requirements of the "*AVETMISS VET Provider Collection Specifications: Release 7.0",* which is entered into the AVETMISS compliant Student Records Management System. All AVETMISS data collected is utilised to provide the National VET Regulator with an AVETMISS compliant report on a yearly basis to be submitted by no later than the end of February each year or to be submitted in accordance with the State Training Services requirements.
Policy and Procedure/s	### What is AVETMISS? AVETMISS stands for the Australian Vocational Education and Training Management Information Statistical Standard. It is a national data standard that ensures consistent and accurate capture and reporting of Vocational Education and Training (VET) information about students. The National Centre for Vocational Education Research (NCVER) is the custodian of the Standard. Optimistic Futures Pty Ltd is responsible for reporting their nationally recognised training to the National VET Provider Collection managed by the National Centre for Vocational Education Research. Comprehensive and timely information about the training being undertaken across all RTOs will: ▪ be used by VET regulators to inform risk-based regulation of registered training organisations and establish benchmarks for continuous improvement in the VET sector; ▪ enable individuals to access transcripts that show any nationally recognised training undertaken through links with the Unique Student Identifier; ▪ provide details about RTOs and courses on the My Skills website to assist students and businesses to make informed training choices; ▪ improve government, industry and business understanding of where and when skills are being developed to assist workforce planning; ▪ provide governments with a better understanding of training efforts across Australia – assisting with the development of policy and assessing interventions; and ▪ enhance understanding of the training market and assist RTOs with planning training delivery. The information made available for these purposes will not identify individuals, except where an individual requests a Unique Student Identifier authenticated VET transcript. The information will also be presented in aggregate form, either by RTO, by training type or by industry sector, except where unit level data is required by VET regulators to support VET regulation or to populate a Unique Student Identifier authenticated VET transcript. For further information on how data will be able to be accessed, refer to the National Centre for Vocational Education Research's Data Access Protocols, available at www.ncver.edu.au. ### AVETMISS - Data collection and reporting 1. Each student is required to complete the RTO approved Enrolment Agreement Form, prior to course commencement, this Enrolment Agreement Form has been designed and developed against the requirements of the "AVETMISS 7.0 VET Provider Collection

specifications", which includes relevant data required by the regulatory body.

2. All students are required to complete all fields within the RTO's Enrolment Agreement Form.

3. Once the enrolment form is collected, the RTO is responsible for checking that all fields have been completed. If all fields are not complete the RTO is required to follow up with the student.

4. The CEO is responsible for ensuring that all data from the enrolment form is entered into the Student Management System within two weeks of receiving the completed Enrolment Agreement Form from each student

5. Assessment results are to be entered into the Student Management System, following the completion of each unit.

6. Each year, as required by the Regulatory body, the RTO prepares and submits an AVETMISS report of all data collected on student enrolments and outcomes (see http://www.ncver.edu.au/content/cssfaqs.htm#avetmiss_reporting for details

   a. State-funded training activity data
      State-funded training activity data must be submitted according to the current arrangements in the relevant state or territory. Please contact your STA for more information.

   b. Non-state-funded training activity data
      RTOs delivering fee-for-service training can submit their data directly to NCVER. Some STAs will also accept data on non-state-funded training. Please contact your STA to find out if your state/territory accepts data on non-state-funded training.

Support in your state or territory for questions regarding the National VET Provider Collection (AVETMISS)		
ACT- Education and Training Directorate	02 6205 7057	avetmiss.reporting@act.gov.au
NSW- Board of Vocational Education & Training	02 9266 8008	trainingmarket@det.nsw.edu.au
NT- Department of Business, Northern Territory Government	08 8935 7715	avetmiss@nt.gov.au
QLD- Department of Education Training & Employment	07 3513 6899	stac@dete.qld.gov.au
SA- Department of State Development	08 8226 3424	Kathy.Hancock@sa.gov.au
TAS- Skills Tasmania	1800 655 846	avetmiss@skills.tas.gov.au
VIC- Department of Education & Training	03 9637 2748	statscollection@edumail.vic.gov.au
WA- Department of Training & Workforce Development	08 6551 5281	avetmiss@dtwd.wa.gov.au

How to submit AVETMISS compliant data

Submissions via STAs

Each STA has its own data submission process. Please contact your STA to find out about this process. You can find STA contact information on the Australian Apprenticeships website https://www.australianapprenticeships.gov.au/state-training-authorities.

Direct submission to NCVER

Use the AVETMISS Validation Software to submit your data to NCVER.

You can find support materials about the AVETMISS Validation Software on the AVETMISS validation software page.

Important: email or post submissions are not accepted.

AVETMISS support at NCVER

Contact NCVER's client support team using their underline contact form or call them on 08 8230 8400 or 1800 649 452. Hours of operation are 8:45am to 5pm (ACDT), Monday - Friday.

Website: AVETMISS Support

Please note that this information has been taken from the NCVER website

Exemptions

National security, border protection and policing issues

Registered training organisations do not need to collect and submit AVETMISS compliant data on nationally recognised training activity where submission of that data:

i.   would conflict with defence or national security legislation; and/or
ii. could jeopardise the security or safety of defence, border protection, customs, national security or police personnel.

The RTO is required to consult with its regulator to identify what training activity is to be exempted, including the reason/s for that exemption (i.e. criteria i. or ii). For training activity determined to be exempt but for which submission of data does not offend legislation (i.e. activity exempted under criteria ii.), the Registered Training Organisation must provide annual aggregate competency commencement and completion data for each qualification or unit that does not identify the client to its regulator and the National Centre for Vocational Education Research for regulation, research and policy purposes.

The RTO has in place this policy and procedure to ensure that it is collecting full AVETMISS data from its clients that undertake training except to the extent they are exempt from collecting such data.

Provision of emergency, fire, rescue or first-aid services to the Australian community

Where the RTO is *delivering vital community services* considers that that collection and submission of data under the *National VET Provider Collection Data Requirements Policy* would adversely affect its ability to continue to deliver services to the Australian community, it may notify the VET regulator that it will not collect and submit *AVETMISS* compliant data on all or part of its *nationally recognised training* activity.

Where the RTO is delivering vital community services wishes to collect and submit AVETMISS compliant data, it will collect and submit a partial Client File for nationally recognised training, where partial Client File means collection and reporting of the following data does not need to be collected or submitted:

i.   Highest school level completed;
ii.   Year highest school level completed;
iii. Language identifier;
iv.   Labour force status identifier;
v.   Country identifier;
vi.   Disability flag;
vii. Prior educational achievement flag;
viii. At school flag;
ix.   Indigenous status identifier; and
x.   Proficiency in spoken English identifier.

Enterprise Registered Training Organisations – certain training

An *enterprise registered training organisation* must submit at least a partial *Client File* for each employee or volunteer who undertakes *nationally recognised training* where the employee or volunteer commenced employment or volunteering with that organisation prior to 1 January 2014, where partial *Client File* means the following data does not need to be collected or submitted:

i.   Highest school level completed;
ii. Year highest school level completed;

iii. Language identifier;
iv. Labour force status identifier;
v. Country identifier;
vi. Disability flag;
vii. Prior educational achievement flag;
viii. At school flag;
ix. Indigenous status identifier; and
x. Proficiency in spoken English identifier.

Short stand-alone units/modules

A *registered training organisation* that delivers a *short unit or module* listed in Appendix 1 – Short units/modules must collect and submit at least a partial *Client File* where a client undertakes a *short unit or module* that is also a *stand-alone unit or module*, where partial *Client File* means the following data does not need to be collected or submitted:

i. Highest school level completed;
ii. Year highest school level completed;
iii. Language identifier;
iv. Labour force status identifier;
v. Country identifier;
vi. Disability flag;
vii. Prior educational achievement flag;
viii. At school flag; and
ix. Proficiency in spoken English identifier.

Reporting data where the student is not required to have a Unique Student Identifier

Upon implementation of the Unique Student Identifier, *the RTO will* report *nationally recognised training* activity undertaken by an individual who is not required to have a Unique Student Identifier in order to be issued with a qualification or statement of attainment (noting that the Unique Student Identifier will not be available for inclusion in the *Client File),* unless a full reporting exemption is provided.

Ensuring clients are aware of the implications of not reporting

Upon implementation of the Unique Student Identifier, if the RTO is exempt from reporting requirements they will inform its clients prior to commencement of the training that training within scope of these exemptions will not be included in the *National VET Provider Collection* and will not appear on the *authenticated VET transcript* obtainable from the *Student Identifiers Agency*.

Upon implementation of the Unique Student Identifier, each *registered training organisation* provided with an exemption from reporting requirements under paragraph 3.1 must inform its clients prior to enrolment that training undertaken within the exemption period will not be included in the *National VET Provider Collection* and will not appear on the *authenticated VET transcript* obtainable from the *Student Identifiers Agency*

Evidence	▪ Student Management System ▪ Enrolment Agreement Form
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **February** on an annual basis.
Responsibility	▪ Chief Executive Officer

DPR 6 COLLECTION OF DATA AGAINST QUALITY INDICATORS

DPR 6.1	The NVR registered training organisation must collect data on the quality indicators agreed upon by the Ministerial Council, or its delegate.

Strategy	To collect data using the Quality Indicator Survey, by distributing to students and employers and entering the data collected into the Student Management System.
Policy and Procedure/s	## Quality Indicator (QI) Reporting

The RTO collects, analyses and reports on performance against the following three AQTF Quality Indicators (QI) to the Regulatory Body. The following is an extract from

> ▪ **Learner engagement** & **Employer satisfaction -** You are required to use the Learner Questionnaire (PDF 134 kb) and the Employer Questionnaire (PDF 128 kb) to collect the data for the learner engagement and employer satisfaction quality indicators.
>
> Your Quality Indicator Report is to be submitted using the following form:
>
> • ASQA's Quality Indicator annual summary report template can be accessed from http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html
>
> ▪ **Competency completion** – With the introduction of national VET reporting for all RTOs, there is no longer a requirement for RTOs to report competency completions via CCOS.
>
> ▪ **Submitting Reports** - You must submit your quality indicator data reports in full to qidata@asqa.gov.au by close of business 30 June of 2016. Quality Indicator data is required for previous calendar year (1 January to 31 December 2015).
>
> Failure to do so will result in your RTO not complying with its statutory registration requirements and potentially constitute a breach of the ***National Vocational Education and Training Regulator Act 2011***.
>
> A set of fact sheets and frequently asked questions (FAQs) are accessible from the NCVER website.

QI Reporting Procedure

1. The QI Learner Questionnaire and the QI Employer Questionnaire are to be distributed to all students and employers who engage the RTO for VET training services. These forms are to be completed by the student prior to (or in some cases on the day of) the final assessment.

2. Surveys are to be collected by the RTO within 5 working days of course completion.

3. Once a month, and prior to the Quality and Compliance Meeting, a Quality Indicator Summary Report should be completed.

4. The summary is to be tabled at the monthly Quality and Compliance Meeting to identify opportunities for improvement and to monitor training progress.

5. On a yearly basis, and prior to the report being submitted to NCVER, a yearly Quality Indicator Summary is to be completed.

6. Senior management are responsible for submitting QI Reports to NCVER on **30 June** of each year, period of reporting includes 1 July to 30 June of each year.

Employers are defined as Supervisors of an organisations who have:

▪ engaged the RTO to deliver training on their behalf engaged the RTO to deliver and

	assess their staff under a Traineeship/Apprenticeship arrangement ▪ engaged a student from the RTO under a work placement arrangement
Evidence	▪ Quality Indicator Surveys ▪ Quality Indicator Summary ▪ ASQA Audit Template
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

Standard 1
The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses

IMPLEMENT A COMPREHENSIVE TRAINING AND ASSESSMENT STRATEGY (1.1 – 1.4)

1.1	The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training package and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.
1.2	For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

a) the existing skills, knowledge and the experience of the learner;

b) the mode of delivery; and

c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

1.3 The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

a) trainers and assessors to deliver the training and assessment;

b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;

c) 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

d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

1.4 The RTO meets all requirements specified in the relevant training package or VET accredited course.

Strategy	The RTO identifies, negotiates, plans and implements appropriate training and assessment strategies and practices to meet the needs of each of its clients, in consultation with industry, as well as the appropriate Training Product and the requirements of the Australian Qualifications Framework (AQF) for the appropriate AQF level requirements.
Policy and Procedure/s	## Training and Assessment Strategy (T) – 1.1-1.2

A strategic approach to training and assessment is applied to ensure consistency and compliance are maintained throughout the customisation and development of training and assessment program materials and accredited courses.

When developing or revising a Training and Assessment Strategy the RTO engages with industry and students through consultation via meetings, surveys, attendance at industry seminars and employer feedback, this ensures that the training and assessment strategies and practices adopted are relevant to the identified needs of industry and the RTO's clients.

Senior Management are responsible for implementing Training and Assessment Strategies for training products delivered within the Scope of Registration, this strategy is developed into a report that includes information on how the RTO wishes its training and assessment to be provided to our clients. The RTO has in place a Training and Assessment Strategy template, which is used for all training and assessment development and addresses the following:

Training product	Clearly identifying the training product, the strategy relates to, including the code and full title to ensure this is clear.
Core and elective components (full	If delivering a full qualification, identified core and elective components in accordance with the structure defined in the

qualifications)	training package or course. Define which elective units or modules are being offered so the RTO can properly plan for all delivery variables. Identify any entry requirements, as well as pre-requisite and co-requisite units, and the sequencing of delivery and assessment.	
Target Audience	Existing skills, knowledge and experience of learners.	
Mode of delivery	Identified how the training and assessment is to be delivered—face-to-face, online, through workplace training or a mixture of different modes.	
Entry requirements	Identified any mandatory requirements for learners commencing the program, such as qualifications that must be held or periods of industry experience, any areas where learners may need additional support (e.g. if they have low English levels) and identify whether learners' physical attributes may influence their ability to complete the training and assessment (e.g. if heavy lifting is required).	
Duration and scheduling	Analyse the nature of your learner cohort. Use the analysis and any specific requirements of the training product to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.	
Assessment resources, methods and timing	Training package and VET accredited courses often specify resources that must be used in assessment at a unit of competency level. The TAS includes details of how the RTO will ensure learners have access to the resources that will give them the best chance of completing their study. Identify: ▪ assessment resources ▪ assessment methods to be used ▪ timing of assessment, and ▪ any adjustments that may be needed to cater for different learner characteristics.	
Learning resources	To ensure learners are able to obtain and absorb the required knowledge and skills prior to assessment, the RTO has carefully chosen and planned the learning resources we will use to guide them.	
Human resources	The Staff Matrix identifies the human resources available to deliver the training product, this is recorded at the unit of competency level to ensure any specific requirements are met, and to allow the RTO to deploy staff efficiently.	
Physical resources	Compare the physical resources required to deliver a training product with the resources available to the RTO. Many units of competency include detailed specifications of resources required, so conducting this analysis at a unit of competency level ensures these requirements are met.	
Strategies for 'stand-alone' single units or skill sets	Develop and implement a strategy in the same way as you would for a qualification, noting that some information may not be relevant, such as information on core and elective units. Often, this type of delivery is aimed at an industry licence or accreditation. Identify all of the requirements of that licence or	

	accreditation in the strategy (including any possible entry requirements such as minimum age) and explain how learners can readily attain the desired outcome. Identify any pre-requisite and co-requisite units, and the sequence of delivery and assessment.
Strategies for 'assessment only' pathways	Where the RTO offers an 'assessment only' pathway, we have developed and implemented a strategy that covers: ▪ assessment methods, timing and resources, and ▪ how issues will be addressed (for example, if a learner does not achieve the competency requirements). Specific requirements may be set, such as a minimum period of industry experience before commencing the program, to allow for Volume of Learning.

Attention to various learning styles, learners existing skills, knowledge and experience, literacy and numeracy issues, equipment and resources, mode of delivery, reasonable adjustment, delivery and assessment methods has been incorporated into the Training and Assessment Strategies. This information provides trainers and assessors with a background on how the RTO wishes the training product to be delivered.

The amount of training included in each training product is determined by the learner's existing skills and knowledge and mode of delivery, which is reflected in the Training and Assessment Strategy.

Program context, delivery, material and assessment methods are evaluated and adjusted accordingly through a continuous improvement process. Refer to Standard 1, Clause 2.2 a) for more details.

Information contained within organisational marketing materials for course delivery is to be derived from the information contained within the Training and Assessment Strategies, this will ensure consistency of information throughout the RTO, including course flyers and the organisational website.

Industry Consultation Folders, kept at the head office, are in place for each Training Product we have on our Scope of Registration. In the Industry Consultation Folders information is stored on: Industry Surveys; Research materials; minutes from Industry Meetings; Conference Notes, Relevant news articles; etc

Volume of Learning – 1.1

In order to ensure that the Training and Assessment Strategy includes the "amount of training the RTO will provide", the Training and Assessment Strategy includes the total Volume of Learning in accordance with the timeframes outlined in the AQF Handbook. The total volume of learning includes all the hours the student should undertake to meet the typical timeframe requirements of the qualification level. This can include, but is not limited to, the following:

- ▪ Face to face learning
- ▪ Work Placement
- ▪ Self-paced learning
- ▪ On the job assessments
- ▪ Portfolio of evidence
- ▪ Prior qualifications
- ▪ Evidence of prior skills and knowledge

Volume of learning can be identified through the relevant Industry Skills Council Companion Guide and the AQF Handbook.

Where the learner cohort consists of new entrants or inexperienced workers, the course length will be determined by ensuring that the learners are able to fully absorb the required skills and to develop skills over time in the different contexts they would experience in the

workplace.

Following is an extract from the AQF Handbook that includes the typical timeframe of each qualification level. (www.aqf.edu.au)

Level	Volume of Learning	Years	Hours
1	The volume of learning of a Certificate I is typically	0.5 – 1	600-1200
2	The volume of learning of a Certificate II is typically	0.5 – 1	600-1200
3	The volume of learning of a Certificate III is typically Up to 4 years may be required to achieve the learning outcomes through a program of indentured training/employment	1 – 2	1200-2400
4	The volume of learning of a Certificate IV is typically. There may be variations between short duration specialist qualifications that build on knowledge and skills already acquired and longer duration qualifications that are designed as entry level requirements for work	0.5 – 2	600-2400
5	The volume of learning of a Diploma is typically	1 – 2	1200-2400
6	The volume of learning of an Advanced Diploma is typically	1.5 – 2	1800-2400

Training products or courses that do not meet the required hours will include a validation of why the hours have been shortened. Following is an example of reasons why the hours would be shortened:

- The learner cohort comprises of experienced workers who already have most of the required skills and knowledge (i.e. 3 years' current industry experience within a role that utilises most of the skills being delivered)
- Students must be existing workers already working with the role where they may wish to up-skill
- Student holds a qualification below the training product being delivered or equivalent experience
- Students are required for licensing purposes to complete a refresher course every 1-3 years as part of their employment.

The RTO has policies in place to ensure that each learner achieves the requirements of their training, these include:

- Support Services
- Training and Assessment Strategies
- Monthly Quality and Compliance Meetings
- Monthly reports from Trainers and Assessors
- Assessing student suitability prior to course commencement

Training and Assessment Strategy Development (T) – 1.2

Procedure for the development of Training and Assessment Strategies as follows:

1. Identify Training Product to be updated or added to the Scope of Registration

2. Conduct Industry consultation through meeting key stakeholders, who are responsible for the recruitment of people from the industry of the training product

3. Undertake industry surveys by distributing the Industry Survey Form to potential employers, supervisors or Human Resources Managers within the industry

4. Research the relevant Industry Skills Council for the Training Package to acquire

further information on the training product, industry trends and industry feedback

5. Draft the Training and Assessment Strategy utilising the organisational template addressing each of the following areas:

   a. define the RTO's target client group/s and describe how it will deliver the training product/s to meet client needs

   b. demonstrate how each strategy has been developed through effective consultation with industry

   c. demonstrate how each proposed trainer/assessor possesses (equivalence to) all relevant vocational competencies at least to the level of the training or assessment to be delivered

   d. list all physical resources and equipment that are accessible at each proposed delivery venue

   e. identify the range and format of all delivery and assessment methodologies and resources/tools to be used

   f. describe how assessment processes, tools and judgements have been and will continue to be systematically validated

6. Develop a plan on how the RTO plans to deliver and assess, this can be done by either a:

   a. Session Plan – For single units or skill sets; or

   b. Delivery and Assessment Plan – For full qualifications (refer procedure on Delivery and Assessment Plans for more details)

7. Once a draft TAS has been finalised, have a range of staff and industry review the TAS to ensure currency and validity of proposed training and assessment

8. Finalise TAS and distribute to relevant staff, including Trainers and Assessors, Compliance Managers, Administration Staff. If the TAS has been developed for a specific client, distribute to the client.

Variations to the approved Training and Assessment Strategy

Our organisation recognises that changes may be required to the training and assessment strategy to meet learner, industry and trainer needs. Where changes are required an Opportunity for Improvement Form should be submitted for consideration, refer for the relevant procedure on how to submit an Opportunity for Improvement.

The following circumstances would warrant an update of the TAS:

- Training Package changes (Transition)
- Change of delivery method or additional delivery methods
- Change of Training and Assessment tools
- Change in legislation that affects the training product
- Change in licensing requirements
- Change in industry requirements
- Learner cohort or target audience changes

Staff, Facilities, Resources and Equipment (T) – 1.3

The RTO will ensure that all staff, facilities, resources and equipment is in place for the RTO's entire scope of registration at all times. To ensure that students and trainers have access to the required resources, to accommodate the number of learners, as per the requirements of the training products on the RTO's scope of registration, we have the following strategy in place:

- The resource requirements for each training product is identified during the development of the Training and Assessment Strategy (TAS) and included within the TAS. This includes identifying the "Critical Aspects" for "Assessment Requirements"

from www.training.gov.au and/or the Training Package companion guides.

- Data collected from Industry Consultation are reviewed and identified. Facilities and equipment for training and assessment are included in the Training and Assessment Strategy.
- Trainers are provided access to training and assessment materials either through the RTO or through the Employer for on-the-job training, at the or off-site training facilities.
- Access to resources may include:

  o Staff, including relevant industry professionals; subject matter experts
  o Trainer/assessor guides
  o Assessment plans/tools
  o Relevant online resources
  o Delivery and Assessment Plans
  o Facilities, including on the job training
  o Equipment and resources, as outlined in the training product
  o Equipment and processes used by the industry
  o Learner tools, including text books, workbooks and/or other resources
  o Industry specific facilities and equipment
  o Resources for learners with special needs

- If a trainer identifies a resource that they require, the trainer is instructed to complete a Resources Order Form, to validate why the resource is required and submit to the CEO or RTO Manager for approval. Refer to the "Resources Ordering Process".
- If a resource is rejected, the RTO will give a valid reason, which could include:

  a) Resource is already in stock

  b) Resource is not in line with Training Product requirements

  c) A similar resource is already in place

- The TAS is to provide evidence of arrangements for student and trainer/assessor access to suitably equipped workplace or simulated workplace environments for delivery and assessment.

The RTO develops or purchases training and assessment tools that meet:

- Current industry requirements
- Learner needs
- Written against the Training Product requirements
- Easy to use, providing clear instructions
- Mapped to the Units of Competencies and the elements within the UOC's
- Written specifically to meet the requirements of the Training Product
- Language Literacy and Numeracy requirements
- Contextualisation

Training Facility Checklist (T) – 1.3

Each training venue, including classroom based and on the job based, should be fully equipped with the resources required to deliver the training, according to the training product requirements.

The RTO has in place a *Training Facility Checklist* template, which is to be used to identify that all the required resources are in place prior to course commencement, this checklist should be customised for each training product and provided to the Trainer/Assessor prior to course delivery.

The Trainer/Assessor is responsible for completing the "Training Facility Checklist" prior to course commencement. If the training facility does not have all the required resources, the trainer/assessor is responsible for notifying the RTO Manager and complete a Resources Order Form to order the required resources. See the "Resources Ordering Process" on page 30 for further details.

The *Training Facility Checklist* is to be completed to ascertain whether a training room meets the requirements for training. Adjustments can be made to the room if the requirements are not met, but in some cases, another training room may need to be sourced.

The Training Facility Checklist identifies the training facility meets the following:

- WHS requirements
- Has enough tables and chairs for each student (if theory based training)
- Have the required resources as per the training product requirements and in line with the Training and Assessment Strategy requirements.

Resources Ordering Process (T) – 1.3

All staff are required to complete a Resources Order Form for all resources that they wish to have in place, once completed, this order form is to be submitted to the RTO Manager for approval. The RTO Manager will determine whether the resource requested is a necessary requirement, if yes the RTO Manager will then determine whether the resource is currently in stock or the resource will need to be ordered.

There are two types of resources that may be ordered, these include:

1. **Consumable Resources -** Any resource, such as paper, ink cartridges used in printers, textbooks that are given to students or disposable training specific resources (such as urine testing kits and sanitary napkins), by its nature these resources are usable on only a limited number of occasions.

2. **Reusable Resource -** A resource, such as tables, chairs, or training equipment that is not rendered useless by being used. A table or chair can be used often indefinitely and are to be regarded as reusable resources, unless it has been damaged or is broken.

An Inventory of Resources is to be kept on file by the RTO Manager to ensure that all resources identified within the Training and Assessment Strategies are in place. This **Resource Inventory Register** is to be maintained by the RTO Manager to keep a record of all the required resources by the RTO.

Resources Order Form (T)

Once you have identified a need for a new resource, the following process should be followed:

1. Obtain a copy of the Resources Order Form, which can be accessed from the Administration Office or the RTO Manager

2. Complete the form, including:

   a. Your name, Course Name and Date

   b. Name of Resource/s, number of units to be ordered and ISBN Code (if applicable)

   c. Circle the level of importance and the date the resource is required by

   d. State the "Reason for the resource" (ie Replace existing stock or a piece of equipment needs to be replaced due to being broken)

3. Forward Resources Order Form to the RTO Manager for approval

4. The RTO Manager will review the "Resources Order Form" to identify whether resources to be ordered are necessary or whether there is sufficient resources already in stock. The Resource Order Form may be rejected if it is identified that the resources are already in stock or an equivalent piece of equipment or resource is already in place and sufficient.

5. Once the order is approved, the RTO Manager is to sign and approve the order and forward to accounts for processing.

Staff Matrix (T) – 1.2

All trainers are required to complete a staff matrix prior to commencement of training with the RTO, this should include the trainers' relevant industry experience to the qualification to be delivered as well as Professional Development that has been undertaken in the VET sector, including any workshops or conferences that they have attended. Certified copies of Certificates and any other documentation that supports Industry experience and VET development is to be provided to the RTO Manager.

A Staff Matrix is to be developed and updated for each Trainer/Assessor against each qualification and/or Unit of Competency on the RTO's Scope of Registration. The Staff Matrix is to be updated under all of the following circumstances:

- When a Training and Assessment Strategy has been updated
- When preparing for an Addition to Scope
- Whenever a new trainer joins or leaves the RTO
- When transitioning from a superseded Training Product

The Staff Matrix template is to be used for all Training and Assessing staff. This template format should not be amended by the trainer; this is to ensure consistency of our Staff Matrix's.

When updating the Staff Matrix, the RTO will ensure that the tool maps to the trainers' qualifications and experience that is relevant for the qualification they are to deliver.

Trainers are responsible for ensuring their Staff Matrix is kept up to date and should be reviewed at least annually. Trainers should ensure that they address each Unit of Competency with their relevant industry experience.

Evidence	- Staff Matrix - Resources Order Form - Training and Assessment Strategy - Delivery and Assessment Plan - Training Facility Checklist
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.
Responsibility	- CEO - RTO Manager - Trainers & Assessors

> 1.5   The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.
>
> 1.6   The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:
>
>   a)   its training and assessment strategies, practices and resources; and
>
>   b)   the current industry skills of its trainers and assessors.

Strategy

To provide training that is relevant to employers and to maximise learner opportunities for employment, advancement or further education, our RTO engages with relevant industry stakeholders to establish appropriate contexts, methods, resources, trainers and assessors to deliver training and conduct assessment.

The information gathered through industry engagement is used in the development of the RTO's Training and Assessment Strategy and in the selection of suitable resources, including the currency of industry skills of its trainers and assessors.

Policy and Procedure/s

Industry Engagement Strategies (T) – 1.5

The RTO consults directly with industry to identify how the RTO will deliver and assess training products to meet industry needs.

The RTO, including its trainers and assessors, undertakes a range of consultation with industry, these include:

- Attending **Industry Workshops, Conferences and Forums.** Being actively involved in industry focussed workshops, conferences and forums to increase skills and knowledge of the industry
- Attending **Industry Skills Council workshops** and meetings, to gain a better understanding on how to implement a Training Product as well as actively be involved in training product development
- Attending **VET Conferences and Workshops**, to further develop VET knowledge and skills of RTO and Training staff
- Undertaking **Industry Surveys,** utilising the industry survey form which directly aligns with this Training & Assessment Strategy, to identify the desired training delivery and assessment methods required by employers and supervisors within the industry we service (refer relevant policy and procedure)
- Attaining **Letters of Support** from organisations that have stated that they wish to support our RTO to add a training product to our scope of registration
- **Meeting with industry** and clients to discuss their specific training needs
- Undertaking **Training Needs Analysis** for clients to identify the most appropriate training to fulfil the needs of their organisation and the industry (see relevant policy and procedure)
- **Subscribing to Industry Newsletters**, either direct with industry or through industry skills councils, and social networks (i.e. LinkedIn and facebook)
- **Engaging consultants** who are experts in their industry and/or compliance requirements

Senior Management, in consultation with the Trainers and Assessors, are to develop a Training and Assessment Strategy for the intended training products utilising the data collected from industry engagement. See Clauses 1.1-1.4 for further information.

Strategies to engage employers – 1.5

Strategies to engage employers and other parties, such as third party supervisors, are outlined below:

1. During the Development of Training and Assessment Strategies, through interviews and requesting that they review our Training and Assessment Strategies

2. When utilising employers and supervisors during traineeship visits or Work Placement to identify whether our training is meeting their needs

3. Meeting with employers and supervisors to identify if training outcomes are meeting industry needs

4. Conducting **QI Employer Surveys** and **Training Evaluations** to identify that skills and experience of our trainers and assessors meet industry needs.

Following is an outline of how the RTO ensures that the contribution by employers and other parties are incorporated into training and assessment:

1. Development

Prior to placing a qualification onto the RTO's Scope of Registration or prior to implementing new assessment tools, changes to existing training products; the RTO engages employers and other parties in the development of the Training and Assessment Strategies by undertaking industry consultation and industry surveys to identify employer/industry needs.

2. Delivery and Monitoring

Employers and other parties may be required to contribute to the delivery and assessment of training, this could include providing:

1. **Third Party Reports:** whereby a supervisor may be required to provide feedback on the students' progress in the workplace.
2. **Work Placement:** whereby the student undertakes work placement with an organisation as part of their qualification completion requirements.

In order to undertake assessments, the Assessor must hold the relevant Vocational and Training qualifications, as per the requirements set out in Clause 1.13, this includes employees/contractors of the RTO and employees/contractors of any other organisation.

All assessments, including Third Party Reports and Work Placement, are to be finalised and signed off by a qualified Assessor of the RTO.

The RTO maintains evidence that we have consulted with industry stakeholders through the following methods:

- The RTO has in place **an Industry Consultation Folder**, which includes evidence of consultation including copies of Industry Surveys

- Once a month we hold **Quality and Compliance Meetings**, at this meeting one of the agenda items is Industry Consultation, a record of meetings with industry is minuted at this meeting. Refer to the policy and procedure for Quality and Compliance Meetings, which includes how data collected from Industry Consultation will be utilised for improving practices

- If any **Opportunities for Improvement** are identified during **Industry Consultation** or through the monthly Quality and Compliance Meeting an Opportunity for Improvement Form will be completed, please refer to the **Opportunity for Improvement** policy and procedure for more information.

Industry Survey Form - 1.6

The Industry Survey Form has been developed in line with the types of data the RTO collects to write the TAS, this includes feedback from industry on how *they* would like to have the course delivered. The Industry Survey Form includes questions on the following:

- Relevant units to select for the training product
- Skills the industry believe are essential to their industry
- Identifies the role of the person completing the form
- Mode of delivery preferred by the person completing the form
- What the person completing the form thinks about training currently being supplied
- What do they consider to be essential skills and experience of trainers and assessors

- What they believe to be essential resources for the industry

When undertaking Industry Surveys the RTO targets people who will be employing our students once they complete the training (for example Managers, Human Resource Managers, Directors, Management Staff, Supervisors etc.).

This Survey can be conducted either via emailing the Survey direct to relevant organisations within the Industry or we conduct the survey over the phone or at an interview/ meeting with the relevant staff. Industry Surveys can also be sent via an online platform, such as Survey Monkey.

When preparing for an Addition to Scope, a minimum of five Industry Survey Forms are to be collected for each qualification to be placed onto the scope of registration.

Letter of Support – 1.6

The Letter of Support template is a letter that the RTO sends to associates or companies that the RTO is currently working with, who wish to support the RTO's application for an addition to scope.

Letters of Support should be obtained from Senior Management staff of the organisation, this will ensure that the Letters of Support are valid. It is also best if the organisation is a possible future client, whereby the RTO could possibly provide training for that organisation in the future.

Trainers Currency (T) – 1.6

All Trainers and Assessors are required to maintain currency within their industry as a part of their employment. Refer to the policy on "Trainers Qualifications and Experience" under Clause 1.13.

In order to ensure that trainers and assessors currency with required industry skills is informed by industry engagement, the RTO has in place the following policy:

- **Industry Surveys** are distributed to industry and includes questions on trainers' skills and knowledge
- **Consulting directly** with industry to ascertain current skills and knowledge requirements
- **Training Evaluation Forms and QI Employer Forms** include feedback on trainers' skills and knowledge
- Trainers and Assessors are required to consult with industry directly about current industry skills and knowledge
- Trainers and Assessors are required to undertake Professional Development and/or training activities focussed on industry skills and knowledge in both the industry they deliver and the VET sector.

Training Evaluations Forms (T&S)

Training Evaluation Form - Student

The purpose of the Training Evaluation Form is to collect feedback from students on the delivery of training and assessment, including training facilities, the trainers' skills and knowledge, as well as feedback on the resources utilised for delivery of training, and overall satisfaction ranking with the course.

At the mid-way point and completion of each training program a Training Evaluation Form is to be handed out to the participants for completion. The Training Evaluation Forms are to be collected and the relevant trainer will prepare a summary of the evaluations to be given to the RTO Manager for reviewing at the monthly Quality and Compliance Meetings.

In addition to training evaluation, the RTO will conduct random surveys and interviews with industry leaders, clients, students and other community bodies to identify future needs in training.

The RTO Manager will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer that delivered the training with positive feedback being acknowledged. These discussions are to assist in the revision and adjustment of training material and delivery methods and enable to trainers' professional development.

Any complaints or issues that are identified from feedback are to be recorded in an Opportunity for Improvement Form for action. Once action has been taken the Opportunity for Improvement Form is to be filed into the Opportunity for Improvement Register. Forms filed into the folder are reviewed at the monthly Quality and Compliance Meetings.

Trainers are to provide feedback on training through the Trainers Report.

Training Evaluation Form – Employer

The purpose of the Employer Training Evaluation Form is to collect feedback from employers participating in any work placement arrangements, about the delivery of training and assessment, including training facilities, trainers' skills and knowledge, as well as feedback on the resources utilised for delivery of training, including their supervisors, and overall satisfaction ranking with the course.

At the mid-way point and completion of each training program an Employer Training Evaluation Form is to be handed out to the employers for completion. The Employer Training Evaluation Forms are to be collected and the relevant trainer will prepare a summary of the evaluations to be given to the RTO Manager for reviewing at the monthly Quality and Compliance Meetings.

In addition to training evaluation, the RTO will conduct random surveys and interviews with industry leaders, clients, students and other community bodies to identify future needs in training.

The RTO Manager will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer and supervisor that participated in the training with positive feedback being acknowledged. These discussions are to assist in the revision and adjustment of training material and delivery methods and support professional development strategies.

Any complaints or issues that are identified from feedback are to be recorded in an Opportunity for Improvement Form for action. Once action has been taken the Opportunity for Improvement Form is to be filed into the Opportunity for Improvement Register. Forms filed into the folder are reviewed at the monthly Quality and Compliance Meetings.

Trainers are to provide feedback on training through the Trainers Report.

Evidence	▪ Training and Assessment Strategy template ▪ Industry Survey Form ▪ Training Evaluation Form- Student and Employer ▪ Industry Consultation Folder ▪ Staff Matrix ▪ Trainers and Assessors Position Description
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management ▪ Trainers & Assessors

LEARNER SUPPORT (CLAUSE 1.7)

1.7	The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Strategy	Client needs are established through the collection of data, the forms used for establishing these needs are as follows:

- **Enrolment Agreement Form**
  - Each student is required to complete an Enrolment Agreement Form prior to course commencement. The needs of the client will be identified on this form through the declaration of prior skills and knowledge as well as any disabilities they may have

- **LLN Assessment Quiz**
  - Written specifically to capture data that will identify how the student processes information, thereby providing the RTO with a basic understanding of the student's abilities in Language, Literacy and Numeracy. The needs of the client will be identified on this form through the data collected, which will include the Student's understanding of the questions and ability to answer the questions and the level of support required will be identified.

- **Training Needs Analysis**
  - Where applicable, the RTO undertakes a Training Needs Analysis of employers and industry, to identify current weaknesses within the organisation and adjustments are made to training to meet the needs identified for that company.

The type and level of support is identified from these methods and learners are referred to support services to meet their needs identified as applicable.

Policy and Procedure/s	**Target Group Needs (T)**

The RTO will identify support services for the intended target group when developing the TAS, this could include:

- English as a Second Language (ESL)
- Language Literacy and Numeracy (LLN)
- Physical capabilities
- Entrance requirements including age, qualifications and experience
- Required pre-requisites like skills and knowledge

Required support services will be identified through the following methods:

- Consulting with industry
- Industry surveys
- Addressing the requirements of the training product
- Identifying learners needs in companion guides from the Training Package
- Contacting Skills Service Organisations
- Undertaking a Training needs analysis

All identified needs will be included in the TAS and Course Flyer.

Identify Client Needs (T) – 1.7

Our RTO caters to a diverse range of learners needs and aims to identify and respond to these needs for all students. Students are encouraged to express their views about their

learning needs at all stages of their learning experience, from the initial counselling and enrolment stage through to completion of their training.

It is the responsibility of all staff to identify the students' needs throughout the course of their enrolment, as the Trainer will have the majority of the contact with the student, it is their responsibility to monitor student progress and notify the RTO Manager of any needs that they have identified.

Our RTO is committed to providing students with additional support, advice or assistance throughout their training. To achieve this, and to ensure the quality of the delivery of training and assessment, we provide our student's with Support Services to improve and extend their training outcomes. Students who wish to discuss these support services are advised to make an appointment with their trainer in the first instance, if required they can then make an appointment to see the RTO Manager.

Student needs may be identified as, but not limited to, the following:

- Flexibility of training
- Adjustment to training
- Disabilities
- Access to materials and equipment
- Knowledge and understanding of subject
- Validation of current competencies
- Using adaptive technology or specific equipment to assist learning
- Considering cultural beliefs, traditional practises/religion observances
- Referral to support services (ie hardship services like Lifeline or Support Services for addictions like drugs and alcohol)
- Making adjustments to the physical environment
- Language, Literacy and Numeracy
- Access to payment plans

Additional to monitoring student progress within the training environment, client needs can be identified through the following documentation:

- Enrolment Agreement Form (See relevant policy and procedure)
- LLN Assessment Quiz (See relevantpolicy and procedure)
- Industry Consultation (See relevantpolicy and procedure)
- Training Evaluation (See relevant policy and procedure)
- Complaints and Appeals (See relevant policy and procedure)
- Opportunity for Improvement (See relevant policy and procedure)
- Quality Indicator Surveys (See relevant policy and procedure)

The above forms are monitored and recorded at the monthly "Quality and Compliance Meeting".

If a staff member identifies that a Student is in need of additional support, they are to contact the RTO Manager and discuss strategies to meet the student needs.

For further information on how to access referral services or how to provide further support for a student, please refer to the **Support Services** policy and procedure.

If an adjustment to training is required the trainer should complete an Adjustment to Training Form, please see relevant policy and procedure.

All client needs are discussed at the Quality and Compliance Meeting, refer to relevant policy and procedure.

Assessing the Students Suitability – 1.7 (T)

Full Qualifications

The students' ability to meet the requirements of the course will be assessed through a range of methods, these include:

1. Potential student to complete the Enrolment Agreement Form, which includes questions

to the student on their suitability for enrolment into the course of choice

2. The course flyer outlines the minimum entry requirements that the student must meet to enter into the course, including any pre-requisites, age restrictions or required skills and knowledge

3. Students will be required to attend an Information Session, whereby the students will be provided information on the training and assessment, including the requirements to be assessed in the workplace. During the Information Sessions, the students will be given the opportunity to ask any questions they may have about the training, assessment and work placement requirements.

4. The RTO will identify the student suitability to commence the course, this includes:

   - LLN Assessment
   - Physical Ability
   - Suitability Checklist

5. A pre-training review process shall be held to assess student needs and ability to complete the qualification.

Single Units

The students' ability to meet the requirements of the course will be assessed through a range of methods, these include:

1. Potential student to complete the Enrolment Agreement Form, which includes questions to the student on their suitability for enrolment into the course of choice

2. The course flyer outlines the minimum entry requirements that the student must meet to enter into the course, including any pre-requisites, age restrictions or required skills and knowledge

3. Trainer will monitor the student throughout their training.

Pre-Training Review (PTR) and Language, Literacy and Numeracy (LLN) (T&S) – 1.7

- Conduct a pre-training review of each learner's previous education and training and identify any RPL or National Recognition that may be applicable, by reviewing details on the enrolment and questioning the learner is required.

- Assess language, literacy and numeracy levels and requirements referring learners to appropriate assistance if required.

- Review individual training needs with the learner and identify appropriate training content, level and pathways (core and elective units). Information provided by the learner on the enrolment form, outlining their expectations of the course and its alignment with their career goals, will be used with additional verbal questioning, if required, for this review.

- Perform an initial assessment of the learner's language, literacy and numeracy training needs, and their physical needs, through the questionnaire contained in the enrolment/application form. A trainer who is qualified in the unit of competency, TAELLN411 or equivalent will evaluate this.

- Review candidate's response to the questionnaire on the enrolment form and assess them for possible deficiency in language, literacy and numeracy skills.

- Evaluate any physical needs that the learner outlines on their enrolment/application form, and discuss them with the learner to determine a strategy to undertake the course or to outline grounds for not being accepted into the course.

- Enrol the learner in an appropriate course based on the learner training needs and each

individual learner's pre-training review and language literacy and numeracy levels, and physical needs, in consultation with each learner.

- Adjust the learning material to satisfy the needs of any particular learner, such as converting learning materials in alternative formats, such as to large print, contextualising learning and assessment programmes to the workplace, providing information and communications technology (ICT) support and/or flexible scheduling and delivery of training and assessment.

Process for PTR and LLN Assessment:

1. Students are interview by the assessor and asked designated questions providing as part of pre-training review process.

2. Assessor shall record the responses given by the students that will be used for a judgement to identify student needs and support requirements.

3. RTO to distribute LLN Assessment prior to course commencement, this may be at an information session for full qualification training, or before the session has started for short courses (single units and/or skill set).

4. Student to complete the LLN Assessment

5. An Assessor who holds the *TAELLN411 - Address adult language, literacy and numeracy skills* unit from the Certificate IV in Training and Assessment qualification, will review the LLN Assessment using the **LLN Assessment Tool – Assessors Guide** to identify any difficulties the student may have experienced in completing the tool

6. If the student has demonstrated that they have the skills to commence training, determine whether any adjustments should be made to the training to meet the needs of the student (i.e. assistance with writing etc.). If adjustment to training is required complete a *Training Adjustment Plan* as per the policy and procedure.

7. If the student does not have the skills required to complete training and assessment, determine whether the student needs to be redirected to Language, Literacy and Numeracy Training. (i.e. The Reading Writing Hotline)

8. Trainers are required to monitor student progress to identify needs on an ongoing basis, through assessment tools and course participation, to determine whether further assessment or assistance is required

9. If a Trainer identifies any LLN barriers they are required to notify the RTO Manager as soon as possible so that further assistance can be provided

10. If required, the student may be referred to a third party if the RTO is unable to assist with any barriers to learning. Please refer to the *Support Services* policy and procedure for the process on how to refer a student to support services.

11. Once a student has completed further training to improve their language, literacy and numeracy, they are invited to return to the RTO to continue their training.

Trainers Responsibilities (T) – 1.7

Trainers/Assessors are responsible for:

- Adapting their training/assessment to meet the needs of students
- Identify and assist students with LLN difficulties
- Ensure that training and assessment focuses on the training and assessment of the performance criteria and not LLN skills
- Identify the level of LLN skills required to achieve competency
- Address any issues or concerns with Senior Management
- Not to place demands on training if it is not a requirement of the training product.

Depending on the skills and knowledge being assessed and the resources available, a number of options are available to trainers/assessors to adapt to the LLN needs of students or access

further support for students, including:

- Accessing or referral to an interpreter
- Writing in clear and concise English
- Reading written material to participants who have difficulties in reading
- Using signs, graphics and pictures
- Using video
- Practical, real life training, practice and assessment
- Support from supervisors
- Support from third party providers such as LLN Training

It is important for trainers to consider the LLN skills needed to achieve the competency, therefore if the performance criteria require a degree (high, medium or low) of LLN skills then these must be covered. The required skills and knowledge for the training products is identified in the TAS. Trainers cannot adjust their training or assessment so that the LLN skill level is lower than that required to demonstrate competency.

Training Needs Analysis – 1.7

The Training Needs Analysis looks at each aspect of an operational domain so that the initial skills, concepts and attitudes of the organisation can be effectively identified and appropriate training can be developed to meet the needs of the organisation.

If an organisation requires the RTO to undertake training and assessment with the organisation, a Training Needs Analysis can be undertaken to identify skills shortages or gaps. The Training Needs Analysis will assist the RTO to identify current weaknesses within the organisation and enable the RTO to make adjustments to training to meet the needs identified.

Once a Training Needs Analysis has been requested by a Client the following process should be followed:

1. Contact the organisation and ascertain who is the key person who you will be working with to develop the Training Needs Analysis

2. Explain that the process will involve a two stage process, firstly you will be providing the organisation with a "Training Needs Analysis" form for them to complete, and secondly you will be visiting the organisation to discuss the form and their needs further.

3. Email the Training Needs Analysis Form

4. Set a date to meet with the key staff member from the organisation

5. Meet with the client and review the Training Needs Analysis with the key staff member, taking into consideration that the form may not be fully completed at the time of the meeting

6. Discuss with the client the following:

    a. Current organisational structure

    b. Areas of training currently under consideration

    c. Any Strategic Goals they may have in place

    d. Policies and procedures that will need to be considered

    e. Review of current employees and their needs

    f. Past performance or training results of the company, failures and successes

    g. Staff performance

    h. Feedback they have received from clients

7. Once a review has been conducted you can discuss proposed training and what their desired results will be for the training.

8. Formalise into an agreement

9. Prepare a Training Plan and submit for the organisations approval

10. Commence Training

Monitoring the Effectiveness of Services – 1.7

Student progress will be monitored by the Assessor, in conjunction with the RTO Manager, to ensure that the students' needs are being met. The Trainer is required to report to the RTO Manager on student progress through the Trainers Report, which is submitted once a month to the RTO Manager. Please refer to policy and procedure for the Trainers Report Process.

Support Services (T&S) – 1.7

The RTO caters to diverse client learning needs and aims to identify and respond to the learning needs of all students. All students are encouraged to express their views about their learning needs at all stages of their learning experience from the initial enrolment and induction stage.

The RTO is committed to providing students requiring additional support, advice or assistance while training. To achieve this and to ensure the quality delivery of training and assessment, the RTO provides support services to improve and extend training outcomes. Students are advised to make an appointment with their trainer in the first instance, if required the student can then schedule an appointment with the RTO manager to discuss support services.

LLN support is available to provide students with advice and support services in the provision of language, literacy and numeracy assessment services. Student's needing assistance with their learning should be identified upon enrolment. Trainers and staff within the RTO can provide students with support to assist the student throughout the learning process.

Language, Literacy and Numeracy skills are generally included and identified in Training Products and accredited course programs. In identifying language, literacy and numeracy requirements, students' are required to have basic skills in:

- Count, check and record accurately
- Read and interpret
- Estimate, calculate and measure

All students undertaking training are required to undertake an LLN Assessment, unless the student currently holds a Certificate III qualification or above, or can demonstrate equivalent industry experience.

There is a fundamental recognition of Aboriginal and Torres Strait Islander peoples as the traditional owners and custodians of the land. The commitment to reconciliation, justice and action is foundational to policy, action and outcomes.

a) RTO is fully committed to the key objective of increasing the educational, employment, training and career development opportunities for all Aboriginal and Torres Strait Islander people.

b) The RTO aims to develop enrolment policies which will be inclusive and include appropriate support options for Aboriginal and Torres Strait Islander students and their families.

c) The RTO aims to provide clear plans of action with measurable educational outcomes for Aboriginal and Torres Strait Islander students, report within the context of student profiles and appropriate educational plans.

d) The RTO aims to provide appropriate human, physical, material and educational resources for Aboriginal and Torres Strait Islander students, whilst maintaining a culturally safe environment.

Students with special needs that may, inter alia, include physical or learning difficulties, low literacy, lack of confidence or non-English speaking background will be offered the same opportunities as any other candidate and will have access to fair and open assessment.

We will provide any internal support that we are able to provide under the circumstances and assist in accessing any other support systems in case students require external support to complete their training.

Administration Manager shall provide appropriate assistance to students who are in need of assistance in applying, undertaking and completing course. Administration office will also respond to individual needs of the student and maximise their learning opportunities. While assessing special needs following is ensured:

a) Identification of special needs and methods of designing training and assessment shall be appropriately documented.

b) Training Package or accredited course requirements shall be met at all times.

c) Student shall be provided information about special needs strategies however it is student's responsibility to disclose the need appropriately so that reasonable adjustment can be made.

d) Unjust hardship on RTO shall not be imposed.

e) No concession in assessment criteria shall be made and students with special needs shall be offered the same assessment standards as those applied to other students.

f) Reasonable adjustments for students who provide medical documentation of their disability and special needs which these necessitate.

g) Reasonable adjustment for students who are identified at the time of enrolment will be addressed.

h) Student shall preferably apply for special needs in writing at the time of enrolment and provide documentary evidence (if they are not automatically assessed as have special need).

i) Student can also apply for special needs during study if that need arise.

j) A decision about reasonable adjustment shall be made within 5 working days of lodging of request.

k) Student can appeal the decision within 10 working days and follow the complaint and appeal process.

Additional support services include:

- Learning Support
- Assistance when applying for RPL or credit transfer
- Whether or not specialist support equipment or personnel is required
- Whether or not any reasonable adjustments need to be applied to suit the candidate context
- Briefings on the assessment process, may be written or verbal. If verbal, must be looked up in writing
- Provision or access to assistive technology
- Additional tutorials to assist with learning
- Assistance in using technology
- Adjustment to equipment (i.e. change of study to support a student with a bad back)
- Referral to LLN assistance
- Mentoring
- Referral to counselling services
- Grievance /conflict resolution
- Stress management
- Access and equity issues

■ Client welfare and support

Genuine difficulties for a learner to complete a program in the allotted timeframe are to be brought to the attention of the RTO manager at the first available opportunity.

Services are monitored and improved through Opportunity for Improvement and the Quality and Compliance Meetings.

Refer to the policy on how the RTO identifies client needs, and delivers services to meet those needs.

Support Services Form (T&S)

The Support Services Form is to be used by the RTO staff to record any counselling they may have undertaken with a student, including any discussion about providing extra support or referral to the Support Services List. This form is available from the office and can also be emailed to you upon request.

In this form you should include any of the following:

- Discussions raised by students that may be of a concern, this may have been during class or individually

- Referrals to other Support Services that may have been advised or discussed with the student

- Any discussion on disabilities that the student has disclosed, whereby they may need further assistance

- Discussions on any adjustments to training that may be required to meet student needs. You may also complete an Adjustment Plan following this meeting to identify a strategy to assist the student. See procedure below for the **Training Adjustment Plan**.

- Discussions on Language Literacy and Numeracy and referral to third parties

Upon completion of the Support Services Form the staff member should submit this form to the RTO Manager and arrange a time to discuss the student needs with the RTO Manager or other senior management.

All completed Support Services Forms will be discussed at the monthly Quality and Compliance Meeting to monitor student progress.

Support Services List (S)

The Support Services List provides a list of support services available to students through referral, please refer to the list to identify the most appropriate service for the students. This list is provided on the back of the Student Handbook and includes website addresses and phone numbers to access these services.

If a student is unsure of the service that they require, they should contact their trainer or the RTO Manager to discuss further.

Training Adjustment Plan (T) – 1.7

On occasion trainers will be required to adjust training to meet student needs, this could be due to an LLN limitation being identified or a disability, or other individual need. Trainers are responsible, in consultation with the CEO or Senior Management, to adjust training to meet individual needs. The following process should be followed:

1. Adjustment requirement identified with student

2. Discuss a plan for adjusting training to meet student needs with CEO or Senior Management

3. Complete a **Training Adjustment Plan**

4. Review Training Adjustment Plan with student and update, if required.

5. Submit Training Adjustment Plan to CEO or Senior Management for approval

6. Implement and monitor Training Adjustment Plan

The Training Adjustment Plan is to be filed onto the Student's file.

Evidence	▪ Enrolment Agreement Form ▪ Language, Literacy and Numeracy Assessment ▪ Training and Assessment Strategy ▪ Student Handbook ▪ Trainers Handbook ▪ Trainers Report ▪ Training Needs Analysis Form ▪ Student Support Services Form ▪ Training Adjustment Plan ▪ Opportunity for Improvement Register
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **February** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management ▪ Trainers and Assessors

ASSESSMENT (CLAUSES 1.8 – 1.12)

1.8	The RTO implements an assessment system that ensures that assessment (including Recognition of Prior Learning):

a) complies with the assessment requirements of the relevant training package or VET accredited course;

b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2;

1.9 The RTO implements a plan for ongoing systematic validation of assessment practices and judgments that includes for each training product on the RTO's scope of registration:

a) when assessment validation will occur;

b) which training products will be the focus of the validation;

c) who will lead and participate in validation activities; and

d) how the outcomes of these activities will be documented and acted upon

1.10 For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration including those risks identified by the VET Regulator

1.11 For the purposes of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involve in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

a) vocational competencies and current industry skills relevant to the assessment being validated;

b) current knowledge and skills in vocational teaching and learning; and

c) the training and assessment qualification or assessor skill set referred to in item 1 or 3 of Schedule 1

1.12 The RTO offers recognition of prior learning to individual learners

Strategy	The RTO acknowledges the National Assessment Principles issued under the Australian Recognition Framework and is committed to validity, reliability, flexibility and fairness in assessment processes for the training products that it delivers to its clients. The RTO aims to provide clients and training/assessment staff with an assessment system that is as fair and equitable as possible.
	Assessments are competency based and are designed to determine whether the student can demonstrate the targeted competencies.
	Students who are unable to demonstrate competency at any given time, or who successfully appeal assessment results may be reassessed at an appropriate later date.
	Assessments are set to meet the assessment criteria of the training product or accredited course on which the program is based. Assessment may be undertaken on or off the job. If conducted in the workplace, suitable workplace assessors and assessment procedures are to be used. All assessment materials must be appropriate to the client's needs and program delivery methods.
Policy and Procedure/s	**Assessment (T) – 1.8**

Student Assessment Guide

The Student Assessment Guide provides the student with a guide to the assessment tasks required to be completed in order to demonstrate competence.

The guide includes an outline of the types of assessments and the expectations to achieve competence. A Student Assessment Guide is to be provided with each Assessment Task.

Assessors must provide a copy of the Assessment Guide to all students prior to commencement of assessment in order to meet the principles of assessment.

Trainers Assessment Guide

The Trainers Assessment Guide provides the Trainer with instructions on how to conduct assessments, with a guide for the typical answers for each assessment activity. The assessment guide should provide clear instructions so that consistency of assessment is maintained throughout the RTO. A Trainers Assessment Guide is to be provided with each Assessment Task.

In order to conduct quality assessments, the RTO has developed an assessment guide to meet the Rules of Evidence and Principles of Assessment, by providing clear informative instructions to the Assessor on the structure and methods of assessment.

Assessment Cover Sheet (S)

The Assessment Cover Sheet is to be provided to the student to complete and attach to their completed Assessment Tasks prior to submission to their Assessor. The cover sheet provides a mechanism for the student to sign a declaration that the work submitted is "all their own work" and that they have kept a copy of their assessment task for their reference. The cover sheet also provides a mechanism for the assessor to provide feedback to the student as well as their result for work completed. A copy of the Assessment Cover Sheet is provided on the back of the Student Handbook.

Contextualisation

Assessment tools that have been purchased from a publisher should be contextualised to meet the target client group of the RTO, i.e. language and literacy skills, specific industry requirements, current experience of target group, etc.

Contextualisation can include:

- Adding the organisational logo and details
- Adjusting the wording to the target group
- Adding or refining assessment tasks to delivery method

Training Product Requirements (T)

Assessment tools are developed or purchased for each course that maximises assessment opportunities and meets the specific needs of the industry. All assessors will be provided access to the relevant Training Product.

At present, all Training Products have been or will be going through a review, due to this transition there are two formats for Training Packages, this includes "Old Training Package Format" and the "New Training Package Format".

Assessments are to be based on the requirements set out in the Training Product as follows:

Old Training Package Format	New Training Package Format
- Evidence guide - Assessment guidelines - Units of Competency - Elements	- Assessment Requirements - Companion Guide provided by the ISC - Foundation Skills - UOC's

▪ Critical Aspects	▪ Elements
▪ Performance criteria	
▪ Range Statement	
▪ Assessment Requirements	

Assessments are to be developed in consultation with industry to ensure that it meets the requirements of the workplace.

Purchased assessment tools should be contextualised to suit particular methods, learner profiles, enterprise equipment requirements to meet the needs of the RTO's Target Audience.

Sub-contractors may, on occasion, be contracted to develop assessment tools, which are to be validated by a minimum of two assessors.

Assessment Mapping Tools

In order to best identify how an assessment tool addresses the requirements of the UOC a mapping tool should be in place for each assessment tool. This mapping tool should identify the assessment tasks against each performance Criteria and Assessment Criteria of each UOC.

Training and Assessment Plans (T)

Delivery and Assessment Plan (DAP)

The **Delivery and Assessment Plan** outlines how the RTO plans to deliver and assess and should be developed for each full qualification or skill set. The Delivery and Assessment Plan includes:

- Delivery – An outline of how each unit will be delivered, including the resources required to deliver that unit and any instructions to the trainer on how to set up the training
- Assessment – A list of all the assessments for each UOC, including proposed due dates for each assessment task.

The Delivery and Assessment Plan should be distributed to each Trainer/Assessor responsible for the delivery of the course. Trainers/Assessors are responsible for following the DAP and suggesting any improvements to Senior Management through an Opportunity for Improvement Form.

The DAP can also be distributed to students, providing them with a plan for their training and assessment.

DAP's can be customised for specific employer clients to meet the needs of the employer; this should be done in consultation with the employer. Customisation can include changes to:

- Delivery methods
- Delivery sites
- Assessment methods

Session Plan

The Session Plan is to be used for single units or short courses (ie one day courses). The session plan template is not as comprehensive as the DAP, as it is more focussed on short courses and the plan for the day. The plan should include details such as:

- Activities to be undertaken
- Resources Required
- Reference to textbooks and other readings
- Assessment Tasks
- Relevant Unit of Competencies
- Excursions

- Goals of the session

The Session Plan should be developed by the trainer prior to commencement of training and should be reviewed at least once per year or when there is a change in the Training Product, text book or assessment tools. Once developed, the Session Plan should be submitted to the RTO Manager for approval, once approved the trainer can implement the Session Plan.

Principles of Assessment and the Rules of Evidence (T&S)

Assessors are responsible for ensuring that all assessments are conducted in accordance with the principles of assessment and the rules of evidence.

Principles of assessment are required to ensure quality outcomes. Assessments should be fair, flexible, valid and reliable as follows:

Fairness: Fairness requires consideration of the individual candidate's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the candidate to ensure that the candidate is fully informed about, understands, and is able to participate in, the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

Flexible: To be flexible, assessment should reflect the candidate's needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the candidate; and, support continuous competency development.

Validity: There are five major types of validity: face, content, criterion (i.e. predictive and concurrent), construct and consequential. In general, validity is concerned with the appropriateness of the inferences, use and consequences that result from the assessment. In simple terms, it is concerned with the extent to which an assessment decision about a candidate (e.g. competent/not yet competent, a grade and/or a mark), based on the evidence of performance by the candidate, is justified. It requires determining conditions that weaken the truthfulness of the decision, exploring alternative explanations for good or poor performance, and feeding them back into the assessment process to reduce errors when making inferences about competence.

Unlike reliability, validity is not simply a property of the assessment tool. As such, an assessment tool designed for a particular purpose and target group may not necessarily lead to valid interpretations of performance and assessment decisions if the tool was used for a different purpose and/or target group

Reliability: There are five types of reliability: internal consistency; parallel forms; split-half; inter-rater; and, intra-rater. In general, reliability is an estimate of how accurate or precise the task is as a measurement instrument. Reliability is concerned with how much error is included in the evidence.

Following is a guide to what should be in the assessment tools to meet the "Principles of Assessment":

- Elements addressed (to levels as defined in performance criteria)
- Knowledge evidence/required knowledge addressed
- Performance evidence/required skills addressed
- Assessment conditions/critical aspects of evidence addressed
- Context and consistency of assessment addressed to appropriate AQF level
- Assessment of knowledge and skills is integrated with their practical application
- Assessment uses a range of assessment methods
- Criteria defining acceptable performance are outlined for all instruments
- Clear information about assessment requirements is provided (for assessors and

students)
- Allows for reasonable adjustment and provides for objective feedback
- Considers dimensions of competency and transferability

Rules of evidence are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is valid, sufficient, authentic and current as follows:

Validity: Assessment evidence considered has direct relevant to the unit or module's specifications.

Sufficiency: Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

Authenticity: To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the candidate's own work.

Currency: Currency relates to the age of the evidence presented by candidates to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the very recent past.

Following is a guide to what should be in the assessment tools to meet the "Rules of Evidence":

Validity	Assessment evidence considered has direct relevance to the unit or module's specifications
Sufficiency	Sufficient assessment evidence is considered to substantiate a competency judgement
Authenticity	Assessment evidence gathered is the learner's own work
Currency	Competency judgements include consideration of evidence from the present or the very recent past

In order to ensure that assessment activities/tasks meet the Principles of Assessment and the Rules of Evidence requirements, which includes meeting workplace requirements and to ensure the reliability and flexibility of assessment, all assessment activities/tasks must be validated. Please refer to the policy and process for **Assessment Validation** below for more details on how to validate.

Cheating and Plagiarism (T&S)

Optimistic Futures Pty Ltd will not condone cheating or plagiarism in any form by students of the RTO and will ensure that these standards are upheld. Trainers must be diligent in reducing potential opportunities for cheating and plagiarism to occur by adhering to our policy on Cheating and Plagiarism.

Definition of Cheating

Cheating is defined as obtaining or attempting to obtain, or aiding another to obtain credit for work, or any improvement in evaluation of performance, by any dishonest or deceptive means. Cheating includes, but is not limited to: lying; copying from another's test or examination; discussion at any time of answers or questions on an examination or test, unless such discussion is specifically authorized by the instructor; taking or receiving copies of an exam without the permission of the instructor; using or displaying notes, "cheat sheets," or other information devices inappropriate to the prescribed test conditions; allowing someone other than the officially enrolled student to represent same.

Definition of Plagiarism

Plagiarism is defined as the act of using the ideas or work of another person or persons as if they were one's own without giving proper credit to the source. Such an act is not plagiarism if it is ascertained that the ideas were arrived through independent reasoning or logic or where the thought or idea is common knowledge. Acknowledgement of an original author or source must be made through appropriate references; i.e. quotation marks, footnotes, or commentary. Examples of plagiarism include, but are not limited to the following: the submission of a work, either in part or in whole completed by another; failure to give credit for ideas, statements, facts or conclusions which rightfully belong to another; failure to use quotation marks (or other means of setting apart, such as the use of indentation or a different font size) when quoting directly from another, whether it be a paragraph, a sentence, or even a part thereof; close and lengthy paraphrasing of another's writing without credit or originality; use of another's project or programs or part thereof without giving credit.

It is cheating to:

- use notes or other resources without permission during formal testing
- hand in someone else's work as your own (with or without that person's permission)
- hand in a completely duplicated assignment
- take work without the author's knowledge
- allow someone else to hand up your work as their own
- have several people write one computer program or exercise and hand up multiple copies, all represented (implicitly or explicitly) as individual work
- use any part of someone else's work without the proper acknowledgement
- steal an examination or solution from a Trainer/Assessor.

It is not cheating to:

- discuss assignments with your Trainer/Assessor or other students to understand what is being asked for
- hand in work done alone or with the help of staff
- get help to correct minor errors in spelling, grammar or syntax (sentence construction)
- discuss assignment requirements and course materials so that you can better understand the subject (this is, in fact, encouraged)
- submit one assignment from a group of students where this is explicitly permitted or required
- use other people's ideas where they are acknowledged in the appropriate way, such as referencing using footnotes, end notes or the Harvard system of referencing.

Penalties

If you are suspected of cheating, your Trainer/Assessor will investigate to establish evidence to support the suspicion.

If there is evidence to support the suspicion, your Trainer/Assessor will notify the RTO Manager and set out the concerns to you in writing, requesting a time to discuss the matter. You will have the opportunity to counter the allegations made against you.

Once you have provided your information, Optimistic Futures Pty Ltd may come to one of two decisions:

- It is a minor or unintentional offence and you will need to undergo an alternative form of assessment, such as a short oral assessment, which may involve talking about the work or questioning. The penalty in this case is that you will receive the lowest level of competency or pass for all the learning outcomes being assessed.
- It is a serious offence and you will fail the module. Repeated offences of cheating – minor or serious – will result in failure of the module plus a record on your student file, together with the reason.

You will be advised of all penalties writing.

What if I don't agree with the decision?

If you are accused of and penalised for cheating and believe that the accusation is unjust, you have the right to appeal against the charge. This appeal must be lodged in writing with the educational manager of the program within one week of the penalty being imposed.

The appeal may be lodged against:

- the process
- the decision
- the penalty.

The appeal will be investigated and a decision will be advised to you within a week of your appeal.

If you are having difficulties with your studies, you are encouraged to seek help from your Trainer/Assessor.

Assessment Validation Plan (T) - 1.9-1.11

The goal of this Assessment Validation Plan is to ensure thorough and rigorous assessment practices and results are in place, by implementing a comprehensive plan of systematic validation. Decisions about competence are made on the basis of quality evidence, sufficiency of the evidence and the relevance of the evidence collected on the assessment tools. Validation is also a way to ensure that different applications of industry performance criteria or performance benchmarks remain within acceptable limits.

This plan sets out a strategy for ongoing systematic validation of assessment practices and judgements that includes validation of each training product on the RTO's scope of registration. The plan includes:

1. When assessment validation will occur (Assessment Validation Schedule) including:

   a. Proposed Pre-Assessment Validation and

   b. Proposed Post-Assessment Validation

2. Which training products will be the focus of the validation (Assessment Validation Schedule)

3. Who will lead and participate in validation activities (Assessment Validation Meeting) and

4. How the outcomes of these activities will be documented and acted upon (Validation Forms and Opportunity for Improvement Forms)

Assessment Validation Schedule (1.9-1.10)

The purpose of the Assessment Validation Schedule is to ensure that all assessment tools are validated over a 5-year period, with 50% of the tools to be validated over the first 3 years. All training products are placed into the schedule to identify when they should be validated over a 5-year period. Training products are validated according to a risk rating. Higher risk units, those units that have a higher risk of safety for students, are prioritised as high priority for validation and should be validated before low risk units.

The schedule includes a risk rating for each unit to identify whether a unit is a high, medium or low risk to the student. Units identified as a high risk, is to be validated before the low risk units and should be validated within the first 3-year period. Following is an outline of the risk ratings.

Low – Minimal to low risk to students. Unit is mainly theory based and does not include skills required for working with the public (i.e. units from Business qualifications such as customer service)

Medium – More technical units that require the use of low risk equipment that do not have a

high risk impact on the public (i.e. computer skills or office equipment)

High – High risk units include units that teach the student a service based skill that will impact the public (i.e. Child Care or Aged Care).

The Assessment Validation Schedule is to be reviewed as follows:

a. Minimum of once per year

b. Updated when a new Training Product is added or removed from the scope of registration

c. Prior to a regulatory audit

d. When a Training and Assessment Strategy is updated.

Types of Assessment Validation

There are two types of Assessment Validation, they include:

- **Pre-Assessment Validation** – This is the process of validating assessment tools *prior to using them with students*, normally conducted when *introducing a new assessment tool* to ensure that they meet the Training Package requirements, Rules of Evidence and Principles of Assessment
- **Post-Assessment Validation** – This is the process of validating assessment tools *following the assessment tools being utilised*, whereby the *completed assessment tools* are validated against the Training Package requirements, Rules of Evidence and Principles of Assessment, as well as validating the consistency of answers or moderation of the tools between different students and assessors

For more information, the process of Assessment Validation, please refer to the procedure "How to Validate" below.

Assessment Validation Meeting

The policy of the RTO is to hold a minimum of Two (2) Assessment Validation Meetings per year, where a minimum of 9% of the training products from the RTO's scope is validated at each meeting, with a minimum of 50% of the RTO's training products being validated over a 3-year period.

The aim of validation meetings is to:

- discuss the assessment instruments and the assessment decisions being made
- scrutinise the evidence that has been presented by students
- check that there has been consistent interpretation of the assessments in both the design of   the instrument and the judgments made
- that the answers to the questions are aligned to the model answers in the Assessors Guide

Tools required for the Assessment Validation Meeting

At the meeting the following is to be reviewed from each training product:

- Assessment tools including written, oral, demonstration, third party, RPL Kits, work placement tools, etc
- Training product outline from training.gov.au or the accredited course owner (if applicable)
- Assessment processes, including instructions to the student and assessor
- Assessment Mapping Tool, normally provided by the publisher, or developed by the RTO

How to Validate

The following steps should be taken at the Assessment Validation Meeting.

1. A meeting date should be set up with Trainers and Assessors

2. Select the qualifications to be validated as per the validation schedule
3. The following tools should be collected prior to the meeting and be ready for the meeting
    - Printed copies of the units of competencies from the training product for all units to be reviewed
    - Printed copies of the assessment tools for each unit of competency to be reviewed
    - Printed copy of this Assessment Validation Report
    - Copy of the AQF Handbook
    - If available, a copy of the Assessment Mapping tool for each qualification. This is normally supplied by the publisher or developer
4. At the meeting, outline what is the purpose of the meeting and the units that will be validated
5. Validate as follows:
    - Read the Performance Criteria from the Training Product
    - Map each performance criteria against the questions within the assessment tool
    - Identify whether there is a question that addresses the performance criteria
    - Does the question enable the assessor to ascertain the student's competence against the performance criteria?
    - Once you have reviewed each performance criteria, move onto the Assessment Evidence Requirements
    - Does the question in the assessment tool address the Assessment Evidence Requirements? I.e. are you able to ascertain from the assessment question that it includes all the required evidence
    - Once you have reviewed each assessment tool against the Training Product, move onto the Assessment Validation Report.
6. Answer each question in the Assessment Validation Report by addressing:
    - Does the tool meet the required Rules of Evidence?
    - Does the tool meet the required "Principles of Assessment"?
7. Now review each tool against the qualification level within the "AQF Handbook"
8. Once all this has been done, you can sign off the Assessment Validation Report, staple together the tool and the evidence validated
9. If the assessment tool validated met all the Evidence requirements ie:
    - Performance Criteria
    - Assessment Requirements
    - Principles of Assessment
    - Rules of Evidence
    - AQF level

    You can finalise the validation and review at your next Quality and Compliance Meeting.
10. If the assessment tool DID NOT meet the required evidence, an Opportunity for Improvement Form should be completed and identify what rectifications that should be undertaken, these could include:
    - Redevelop current tools
    - Contact publisher (if applicable) and advise that you found gaps in the tool and provide them with a copy of your report
    - Purchase new tools from another publisher

Assessment Validation Team – 1.11

Assessment Validation is to be conducted by one or more persons who are not directly involved in the particular instance of delivery of the training product being validated and who collectively hold:

- Relevant vocational competencies and current industry skills
- Current knowledge and skills in VET teaching and learning
- TAE40110 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)

The Validation team is facilitated and led by either the Chief Executive Officer or the RTO Manager.

Final validation decisions are to be made by persons who are *not directly involved* with the

delivery and assessment of the training product being validated.

The Assessment Validation Team may include:

- Trainers and Assessors from the RTO
- The RTO Manager or other senior management
- Industry experts
- Consultants who have expertise in Assessment Validation
- Staff from other RTO's

Following is a graph of how the validation could be conducted to ensure that assessment tools are validated by assessors that did not deliver the training and assessment:
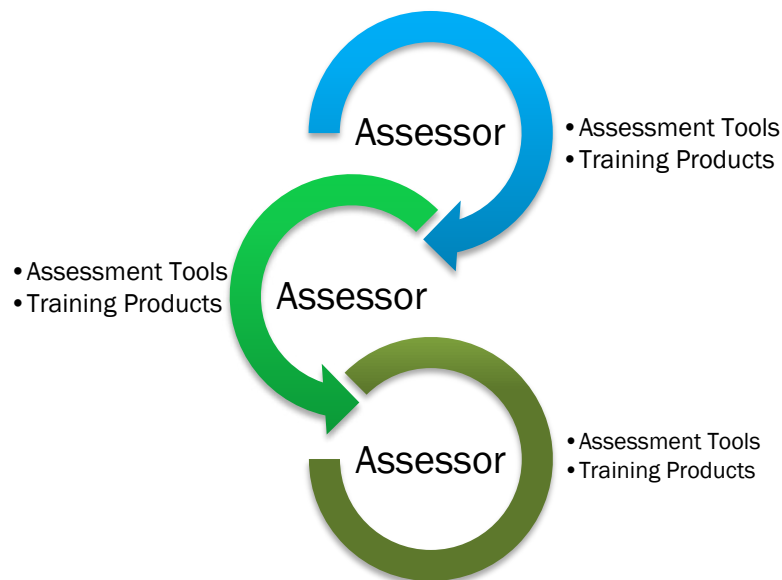
Recognition of Prior Learning (RPL) (T&S)

All students are eligible to apply for Recognition of Prior Learning and are advised of this on the back of the Enrolment Agreement Form and on the course flyer.

Recognition of Prior Learning is granted as a result of identifying and assessing previous and current informal education and training, work experience and/or life experience and knowledge. Previous learning and the evidence supplied is measured against pre-determined performance standards contained within the Units of Competency.

To prepare for recognition of prior learning the student should indicate their decision to apply for recognition as soon as possible after the induction and orientation program. Following is the process for preparing for recognition of prior learning:

In consultation with the trainer/assessor the student should:

- Decide which units are to be recognised
- Provide an Evidence Portfolio in line with agreed evidence plan
- Undertake peer assessment or third party evidence
- Be prepared to 'show, tell and apply' skills and knowledge

Evidence for recognition of prior learning may include any of the following:

- Performance, demonstration, or skills test/assessment
- Workplace or other pertinent observation
- Oral presentation
- Portfolio, logbook, task book, projects or assignments
- Written presentation
- Interview and questions
- Simulations
- Video, photographic (endorsed) evidence
- Competency conversations (focusing on key points to look for in responses)

Students will initially be assessed against the performance criteria and critical aspects of evidence for each unit of competency within the Training Product.

RPL applicants must demonstrate their claim for competency in sufficient detail to enable the assessor to make clear judgements.

Students are required to sign an RPL Assessment Kit, which outlines the requirements of the evidence required for proof of competency. Assessors will develop an Assessment Plan to enable a portfolio to be developed.

RPL Kit (S)

The RPL Kit is to be completed by students who wish to be given recognition for skills and knowledge that they may currently hold within a field or industry. The application process requires the student to provide evidence of, or demonstrate, their current ability to perform the requirements of each of the performance criteria within the unit of competency of a qualification.

Following is the process for applying for RPL using the RPL Kit:

- Student to contact the RTO and advise that they wish to apply for RPL using the RPL Kit
- RTO to supply the RPL Kit and explain the process for RPL
- RTO to allocate an Assessor to contact the student to ensure that they understand the requirements of the evidence to be supplied
- Student to submit to the Assessor all the required evidence and the completed RPL Kit
- Assessor to review the RPL Kit and determine whether the student has the required skills and knowledge against each Unit of Competency

Once the eligibility of the student has been determined by the Assessor, the kit is to be forwarded to the RTO for Certificate issue.

Work Placement (S)

There are two main types of Work Placement requirements, firstly there is the Compulsory Work Placement requirement and secondly it may be a requirement by the RTO that the student undertakes work placement as a key component of their training to assist them to gain employment upon completion or to provide a simulated workplace environment. For Compulsory Work Placements, students may be required to complete a set number of hours in order to meet the minimum requirements of a qualification according to the Training Product requirements.

Work Placement Supervisors Report

When conducting work placement the student must have evidence of sign off from a suitably qualified supervisor within the workplace environment. This supervisor must have appropriate industry qualifications for the area in which the student is working, with a minimum of three years' experience within that or a similar role.

Assessors Responsibilities

An assessor must hold the TAE40110 Certificate IV in Training and Assessment or at the very least the TAEASS Skillset to satisfy requirements for assessing candidates in the workplace. It is expected the assessor will have industry experience in the field being assessed of at least 5 years.

An assessor will provide a fair and equitable assessment environment considering allowance for reasonable adjustment where necessary.

Student Responsibilities (S)

The RTO has a responsibility to protect members of the public (and the students themselves)

from being harmed by students taking part in workplace or simulated workplace learning. If there is evidence that your skills or behaviour could present a risk to yourself or other people in the workplace, you may not be allowed to participate in a work placement, at least for a period of time.

To help you understand your responsibilities in the workplace, you will be given a code of practice, which indicates expected standards of behaviour. Your trainer will explain to you and your workplace supervisor the range of duties for which you have the skills and knowledge. You must not carry out duties other than those indicated by your trainer.

You need to take particular care if workplace clients are people who may be in vulnerable circumstances – for example, people who are frail, children, young people, people with a disability or people who are receiving a type of service which may put them in vulnerable circumstances (e.g. massage therapy or nursing care).

A Working with Children Check must be signed by a student in courses where contact will be made with children and young people. Your trainer will give you more information about this, if required.

Students who have committed a breach of discipline or who are assessed as presenting a significant risk to themselves or others during work placement may be prevented from undertaking or continuing further work placement. This may mean they will not complete the course. Your trainer can provide you with more information about this policy. If you are unsure about whether it may prevent you from completing a course you should discuss the matter with your trainer. In some circumstances students may be required to undertake a Police Records Check prior to undertaking work placement, this will be identified on the course flyer if it is a requirement.

All students should refer to their trainer if they have any questions or require any assistance with regards to their work placement.

Supervisors Responsibilities

If an employer agrees to take on a student for work placement, the employer is responsible for providing the appropriate facilities and a qualified person to support the training and supervision of the student in the workplace. Where applicable the supervisor should hold a current qualification for their role and/or skills and knowledge as deemed appropriate for their industry.

The level of supervision provided should be aimed at facilitating the successful achievement of the relevant competencies for each student. This level of supervision should be reassessed on a regular basis, by taking into account the stage of the student and the knowledge, previous experience and training the student has received in a particular area.

The Workplace Supervisor is required to provide opportunities for the student to develop their skills and knowledge and may be involved in coaching or mentoring of the student but does NOT assess the student.

The Supervisor will be required to complete a "Work Placement Supervisor's Third Party Report" in consultation with the Assessor. The Third Party Report provides information on what the student is required to demonstrate on the job, including the required skills and knowledge for the qualification that the student is undertaking, as well as following or providing feedback on relevant policies and procedures of the workplace.

Depending on the qualification being undertaken policies and procedures may include:

- WHS Policies and Procedures
- Operation of relevant equipment used in the workplace
- Participating in workplace meetings
- Grievance procedure
- Confidentiality and Privacy
- Respecting others
- Property and resources
- Reporting procedures

The Supervisor is provided with an outline of their responsibilities within the Third Party Report, as well as the Assessor and Students responsibilities. Each "Work Placement Supervisor's Third Party Report", will include the relevant units that will be required to be completed in the workplace, including the responsibility of the Supervisor for monitoring the students' competency against these units. This will be completed under the supervision of the Assessor from the RTO.

The Student is responsible for following the instructions of the supervisor, as well as demonstrate to their supervisor that they are competent in each of the tasks they are required to complete as part of their Work Placement requirements.

If a Supervisor requires assistance with their role as a Supervisor, they should contact the RTO Manager or Assessor, who can provide you with further assistance.

Supervisors Checklist

The Supervisors Checklist should be distributed by the RTO to a Supervisor in the workplace and the form be completed by the Supervisor prior to undertaking supervision of a Student in the workplace to ensure that the Supervisor understands their responsibilities.

Once completed the Supervisors Checklist is to be returned to the Assessor and placed onto the Students File.

Work Placement Supervisors Third Party Report

A third party report can be completed by a person who has the ability to provide supplementary evidence in support of the student competence with regards to work placement.

The "Work Placement Supervisors-Third Party Report" has been designed to be easily used in the workplace by Supervisors, Students and Assessors to assess the student performance in the workplace and for recording on the job assessments or observations.

Monitoring Traineeship Supervision

The State Training Services 'guide 'supervising your apprentice or trainee' is provided at induction for trainee; this guide is used to explain to supervisors their role as a workplace supervisor and tips on coaching

Reference to the appropriate State Training body in your state can be found through the following link: **http://www.australianapprenticeships.gov.au/state-training-authorities**

Supervision Arrangements for Traineeships

An employer must provide the appropriate facilities and a qualified person/s to support the training and supervision of trainees in the workplace. Where applicable the supervisor should hold a current occupational licence and /or skills and knowledge as deemed appropriate for their industry.

The level of supervision provided should be aimed at facilitating the successful achievement of the relevant competencies for each individual. It should be reassessed on a regular basis by taking into account the stage of the trainee and the knowledge and previous experience and training the trainee has received in a particular task.

The Workplace Supervisor will provide opportunities for the trainee to develop skills and knowledge and may be involved in coaching or mentoring of the trainee but does NOT assess the trainee.

The Supervisor will be required to complete a third party report in consultation with the Assessor. The third party report provides information on what the trainee does on the job to demonstrate the required skills and knowledge for the qualification that the trainee is undertaking as well as following / providing feedback on relevant policies and procedures of the workplace.

Depending on the qualification being undertaken policies and procedures include:

- WHS policies and procedures
- Operation of relevant equipment used in the workplace
- Participating in workplace meetings
- Grievance procedure
- Confidentiality and Privacy
- Respecting others
- Property and resources
- Reporting procedures

Traineeship Assessment Visits

The roles and responsibilities of the student, supervisor, RTO, trainer/assessor and the Australian Apprenticeship Centre (AAC) are explained at induction of the trainee. The completion of a training plan is completed in consultation with and signed off by trainee, employer/ supervisor and RTO representative usually the trainer/assessor. The training plan is used to capture the units of competence, the number of visits, evidence to be gathered, clustering of any specific units and any required needs of the individual student such as slow reader or specific disabilities.

In the event of a school based traineeship the parent or guardian is always included with all relevant stakeholders

At assessment visits the Assessor:

- collects and reviews any completed evidence
- observes trainee on the job or carrying out specific tasks and completes relevant documentation
- meets with both the trainee and supervisor to ensure all assessments completed accurately in line with workplace policies and procedures, discuss progress, identify any areas for improvement, whether or not extra evidence is required, to provide ongoing feedback and to allocate requirements for next visit.

The Trainer/Assessor will either call or visit the Trainee between actual scheduled visits to monitor and provide ongoing direction and support.

The Trainee or Supervisor can call or email their Trainer/Assessor if they require extra clarification or assistance in understanding what is required for their traineeship

Evidence	- Training and Assessment Strategies - Opportunity for Improvement Forms - Equipment - Training and Assessment tools - Learner Resources - Resources Order Form - Trainers Handbook - Assessment Validation Report
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.
Responsibility	- Chief Executive Officer - Senior Management - Trainers & Assessors

TRAINERS AND ASSESSORS (CLAUSES 1.13 – 1.16)

1.13	In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:

    a)   vocational competencies at least to the level being delivered and assessed;

    b)   current industry skills directly relevant to the training and assessment being provided; and

    c)   current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

1.14 The RTO's training and assessment is delivered only by persons who have:

    b)   from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

1.15 Where a person conducts assessment only, the RTO ensures that the person has:

    b)   from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Strategy	To have a systematic approach for engaging Trainers and Assessors who possess the required skills and experience as set out under these Standards. The RTO will do this by requesting that all trainers engaged by the RTO meet the Essential Requirements, which will be assessed against the Selection Criteria within the position description. All Trainers and Assessors will undergo a Performance Review on a yearly basis, to monitor professional development, currency within industry and performance of duties as outlined in their Position Description.
	All Trainers are required to hold TAE40110 or a Diploma or higher level qualification in adult education.
Policy and Procedure/s	## Trainers Qualifications and Experience (T)

Training and assessment is delivered by trainers and assessors who meet the minimum qualification and professional development requirements as set out below, as per clause 1.13

a)   have the necessary training and assessment competencies as determined by the National Quality Council or its successors

Demonstrate that they have maintained currency in qualifications in training and assessment:

- TAE40110 Certificate IV in Training and Assessment or a diploma or higher level qualification in adult education and *have the relevant vocational competencies at least to the level being delivered and assessed*
- Diploma or Higher Education in Adult Education

Demonstrate current knowledge and skills in assessing against the Training Product in a range of contexts. This may be demonstrated through at least two of the following; whereby the bolded requirements are the two preferred:

- Hold a current vocational qualification at least to the level being delivered and assessed
- Familiarity with the units of competency in the Training Product to be used by the learner as a basis of assessment
- Recent planning, conduct and review of assessment and/or workplace training activities in a workplace context

- Participation in moderation or validation processes
- Attendance at professional development activities focused on assessment and/or workplace training.

b) can demonstrate current industry skills directly relevant to the training/assessment being provided

Demonstrate current knowledge, experience and qualifications of the industry, industry practices, and the job or role against which performance is being assessed, this may be demonstrated through the following:

- Have current workplace experience, within the last two years
- Vocational Development
- Attendance at professional development or training and education activities focusing on good practice in the relevant industry competencies
- Participation in professional or industry networks.

c) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Demonstrate the necessary knowledge and skills required to conduct training and assessment, in line with the rules of evidence and principles of assessment. This may be demonstrated through evidence of one or more of the following:

- Attendance in professional development and/or training activities focused on effective communication in assessment and/or workplace training contexts
- Knowledge of language, literacy and numeracy issues in the context of assessment and workplace training
- Attending seminars/webinars in the VET sector
- Recent assessment and/or workplace training activities
- Participation in VET Professional Networks
- Observe others deliver training and assessment
- Delivered Courses with a head assessor

Assessors Conducting Assessment Only

Where an assessor conducts assessment only, the assessor must meet at least one of the following six requirements:

- TAE40110 Certificate IV in Training and Assessment or its successor
- Diploma or higher qualification in adult education
- TAESS00001 Assessor skill set or its successor

Each assessor (the conducts assessment only) must meet all of the following requirements:

- Vocational competencies at least to the level being delivered
- Current relevant industry skills
- Current vocational training and learning knowledge and skills

Trainer and Assessor Responsibilities (T) – 1.13 and 1.16

The Trainer and Assessor is responsible for ensuring that they comply with the VET Quality Framework, with a particular focus on the following:

Assessment including Recognition of Prior Learning (RPL):

a) meets the requirements of the relevant Training Product or VET accredited course;

b) is conducted in accordance with the principles of assessment and the rules of evidence; and

c) meets workplace and, where relevant, regulatory requirements; and

d) is systematically validated.

The Trainer, in line with the requirements stated in 1.7 below, is responsible for ensuring

that they establish the needs of their clients on behalf of the RTO during the delivery of training and assessment to allow for reasonable adjustment.

1.6 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

- The Trainer is responsible for reporting to the RTO, as required, on the delivery of training and/or assessment services

2.4 The RTO monitors training and/or assessment quality.

8.5 The trainer/assessor must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to the RTO and its scope of registration.

Recruitment Process– 1.13

The purpose of this process is to recruit and engage trainers that have the necessary training and assessment competencies and relevant vocational competencies to the level of the qualification being delivered and/or assessed. The potential Trainer/Assessor should demonstrate current industry skills directly related to the training/assessment being undertaken and be continually developing their VET knowledge and skills as well as maintaining industry currency and trainer/assessor competence.

Trainers and assessors are required to supply evidence of their suitability by providing certified copies of certificates for any formalised training or professional development they have achieved as well as provide referees from previous/current employers or organisations that have engaged their services, Resumes/ CV's, evidence of attendance to seminars or conferences or subscriptions to relevant industry newsletters, forums or webinars. Trainers/Assessors need to be able to satisfy the following:

- Vocational competencies at least to the level being delivered and assessed
- Current industry skills directly relevant to the training and assessment being provided
- current knowledge and skills in vocational training and learning that informs their training and assessment
- Certificate IV TAE TAE40110 or its successor or Diploma or higher qualifications in Adult Education

The next step is to obtain certified copies (signed by a Justice of the Peace), of the trainer's certificates, to support their Staff Matrix and a copy of their Resume or CV. Certificates can be verified by contacting the issuing RTO and asking them to confirm the issuance. As extra assurance, it would be recommended that you look up the issuing RTO on training.gov.au and check that they have the qualification on their scope of registration. Certificates must be current and match the details listed on TGA and formatted in line with the AQF Qualifications Issuance Policy and Schedule 5 of the Standards. (A fact sheet on Sample forms of AQF certification documentation, can be accessed through the ASQA website.) If trainers do not hold the current qualification they will need to provide evidence of vocational and training currency against each unit of competency they will be delivering.

Further evidence of currency could be reference letters from employers, of which you could easily contact to verify their role responsibilities. Role responsibilities should be relevant to their vocational and training experience, and evidence of current professional development ie subscriptions to relevant industry bodies, attendance to seminars or conferences, recognised or non-recognised training, current licenses, police clearances, working with children checks or memberships.

The more evidence you obtain, the more confident you will be that you are able to deliver high standards of training and ensure quality outcomes for students.

Following is the process to be followed for engaging new trainers: (relevant documents are in bold below)

- Identify the need to recruit a trainer and allocate appropriate Position Description (Please see Trainer and Assessor Position Description)

- Place an advertisement, on "Seek" or through the newspaper, that includes the key performance criteria from the position description allocated
  - o **Advertisement Request Form**
- Receive applications and address suitability against key performance criteria for each applicant and shortlist.
  - o **Applicant Suitability Checklist**
- Make contact with shortlisted applicants, advise they have progressed in the selection process and would like to organise a time for them to attend an interview.
- Email successful candidates an application form to be completed and returned to the RTO
  - o **Trainer Application Form**
- Carry out interview using the trainer and assessor interview questions. This may be a one on one interviewer or a panel of interviewers.
  - o **Interview Questions - Trainer**
- Review the interviewed applicants and select those who are most suitable to progress to the next stage of selection process.
- Phone applicant to advise that they have progressed to the next stage of the selection process and that they are to complete a staff matrix for each qualification they will be engaged to deliver and assess and supply certified copies of their certificates.
  - o **Staff Matrix and certificates**
  - o **Complete a Working with Children Check**
- Review each completed staff matrix, verify credentials and select the most suitable applicant.
- Carry out two (2) reference checks on the applicant and complete the Recruitment Checklist.
- If satisfied with reference checks, make contact with the applicant to advise that they have been successful in the recruitment process and that you would like to offer them the position.
- If the applicant accepts the position, send via email, a Letter of Offer and Contract of Employment.
  - o **Offer of Employment Letter**
  - o **Contract of Employment Template**
- On receipt of the signed contract, schedule an induction with the successful applicant
- Notify all staff of new employee commencing, their position and commencement date.
- On the day of the induction have an induction schedule prepared that will outline what will be covered and the applicants partially completed recruitment checklist
- Conduct induction using the Staff Induction PowerPoint and complete induction checklist.
  - o **Staff Induction Presentation**
  - o **Complete Induction Checklist**
- Take the successful applicant on a tour of the premises (if applicable) and introduce to other staff members
- Complete employment administration including Tax File Number declaration (if applicable), Staff Details Form, Superannuation Choice Form. At this point provide the applicant with a copy of the signed Employment Contract and Position Description for their records.
- Begin a detailed review of the Trainers Handbook, relevant Forms and training/assessment tools.

- Issue the applicant with the required resources and equipment to undertake their duties.
- Review the **Position Description** and discuss the expectations of the position.
- Develop a **Professional Development Plan** and **Schedule** for the trainer, identifying PD that the trainer could undertake in the next 12 months
- Complete the Employment Checklist on the **Recruitment Checklist**
- Create a trainer file – refer to the Records Management Process for setting up Staff Files (Refers to Records Management- Staff Files Policy.

Advertisement Request Form

The purpose of the form is to assist in preparing to place an advertisement on Seek or in a newspaper for a position vacant, it captures relevant information to target the most suitable applicants. A copy of the draft advertisement should be attached to the form for approval by the CEO.

Applicant Suitability Checklist

This form is utilised when reviewing an application for a position vacant. The form allows the RTO to record if the applicant has met/addressed the selection criteria of the position and allows the RTO to make an informed decision on the applicant's suitability based on their application and interview.

Interview Questions – Trainer

There are two interview question forms, one for Trainers and the other for Administration staff, each has questions specifically for the recruitment of staff for training and administration. This form is used to assist with the interview process it provides questions suitable to the position to capture information about the applicant and to assist in making an informed decision in the recruitment process.

Trainer Induction Process

Once you have engaged your trainer, you will need to conduct an induction utilizing the Staff Induction Power point presentation and issue each trainer with a Trainers Handbook. The Trainers handbook outlines the trainer's role and responsibilities in relation to the delivery of training, organisational compliance and adherence to legislative and regulatory requirements whilst engaged by your organisation. Trainers working with person under the age of 18 need to adhere to Child Protection Regulations 2013, including obtaining a Working with Children check clearance.

Records Management – Staff Files

In order to ensure that the employee files are maintained in a systematic and orderly manner, all files are to be set up as follows:

- All qualifications are to have the originals sighted, and a copy signed as "Original Sighted" or "Certified as true and correct copy" including date sighted and signed by an RTO employee. The copies are to be placed into the Trainer/Assessor's staff file.
- Ensure the Staff Matrix is completed by the Trainer and verified for authenticity, then placed onto file. Verification includes checking that qualifications are valid by either calling the RTO to verify completion or checking http://www.usi.gov.au. Verify employment by calling referees and previous employers to confirm that the trainer was employed by the employer and that the trainer has the experience outlined in the resume.
- Senior Management is to confirm and validate the authenticity of all qualifications and stated industry experience and professional associations prior to engaging a trainer and assessor, through undertaking a reference checks for each candidate and completing the Applicant suitability checklist.
- A Professional Development plan is to be completed for the trainer and the RTO to encourage professional growth in relation to their position and to maintain currency

of skills to industry standards.

- Senior Management conducts annual Performance Reviews by reviewing professional development schedules for all Administration, Training and Assessing staff.

- All newly engaged trainers and assessors will complete an induction program and be provided with a Trainers Handbook to ensure that The RTO's Policies and Procedures are understood.

- The following Induction forms are to be completed at induction and placed onto the Staff members file:

  o Recruitment Checklist (which includes a checklist of documents that should be included on the staff file)
  o Contract of Employment
  o Position Description (signed)
  o Staff File Form
  o Current and up to date Resume
  o Staff Matrix
  o Training and VET qualifications (certified copies of Certificates on file)
  o Professional Development (certified copies of certificates of attendance to workshops and conferences attended)
  o Working with Children Check (if delivering training and assessment services to students under the age of 18)
  o Police Record Check (if applicable to industry requirements)
  o Superannuation Form (Permanent staff only)
  o Tax File Number Declaration (Permanent staff only)

Performance Review (T)

The Performance Review is a tool to identify how staff are achieving the key performance criteria, as outlined in their Position Description. The Performance Review objectives will be agreed to and signed by the staff member, appraiser and Senior Management to be reviewed at the next Performance Review meeting.

The procedure for Performance Reviews is as follows:

1. To be undertaken two weeks prior to the end of a new employees' probationary period

2. After successful completion of the probationary period a second performance review interview may be held within six months.

3. Annual performance reviews will be held subject to satisfactory performance.

4. Performance reviews can be held more frequently if there are concerns related to performance.

5. Reviews will be undertaken by senior management (in a more senior position to the person being reviewed).

6. Staff will be given two weeks' notice that their performance will be reviewed.

7. Senior Management will provide a Performance Review form to the staff member, so that they are given an opportunity to comment on performance, two weeks prior to the review, these need to be returned to the reviewer within one week. The Reviewer will use this form during the Performance Review meeting.

8. Objectives that the staff monitor intends to get done for the next period will be set and agreed to by both Senior Management and the staff member. These will be signed by both parties.

9. Objectives will be signed by Senior Management for final approval.

10. If the employee being appraised does not agree with the outcomes of the Review he or she may enter into the Complaints Procedure (see SRTO 6 for procedure on how to submit a complaint).

Professional Development (T) – 1.16

It is the goal of the RTO to have all training staff qualified in Training and Assessment, in order to achieve this goal all training staff must endeavour to complete the required training and assessment qualification.

It is a requirement of all Trainers and Assessors to undertake Professional Development that relates to both the area of training/assessment and industry currency, it is the trainers' responsibility to ensure that their skills and knowledge are current.

All Training and Assessing staff are required to:

- Attain the full trainers and assessors' qualification, TAE40110 Certificate IV in Training and Assessment.
- Attend induction training with the RTO
- Attend at least two professional development activities each year, either with the RTO or through other VET and Industry bodies
- Attend an assessment validation meeting at least once per year
- Trainers/assessors are required to document and submit a record of their currency and professional development activities at least annually, this can be provided through an updated Staff Matrix and by providing certified copies of certificates and or letters of support.

Every 12 months Trainers/assessors are required to submit an updated Staff Matrix, this should include details and supporting documentation of all activities to demonstrate that relevant industry skills and knowledge and professional development completed. Failure to submit or comply with currency requirements will result in cancellation of their employment contract.

Professional Development Plan – 1.16

A Professional Development Plan is completed for each Trainer/Assessor upon commencement of their employment as well as conducted annually at the Trainer/Assessors Performance Review. The plan is to include proposed Professional Development activities that should be undertaken by the staff member to maintain industry and VET currency. The Professional Development Plan should include networking opportunities, workshops, conferences, accredited and non-accredited training that will provide evidence of the Trainer/Assessor's currency within the industry.

Professional Development Schedule – 1.16

The Professional Development Schedule is used for recording Professional Development that has been undertaken by a staff member, this should include any training and/or workshops that the staff member has attended in both the VET and vocational sector. The Professional Development Schedule should be updated at least annually, but preferably is updated following the staff member submitting evidence of attending the Professional Development.

In order to verify that the staff member has completed the professional development, the staff member and CEO are required to sign the Professional Development Schedule following each PD activity being completed.

The original copy of the Professional Development Schedule is to be placed onto the staff members file.

Evidence
- Position Descriptions
- Recruitment Checklist
- Applicant Suitability checklist
- Professional Development Plan
- Professional Development Schedule
- Trainer/Assessor File
- Trainer contract
- Staff Matrix

	▪ Performance Review Form
	▪ Trainers Handbook
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.
Responsibility	▪ Chief Executive Officer
	▪ Senior Management
	▪ Trainers and Assessors

INDIVIDUALS WORKING UNDER THE SUPERVISION OF A TRAINER (CLAUSES 1.17 – 1.20)

1.17	Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer or assessor and does not determine assessment outcomes.
1.18	The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

    a) holds the skill set defined in Item 4 of Schedule 1

    b) has vocational competencies at least to the level being delivered and assessed; and

    c) has current industry skills directly relevant to the training and assessment being provided.

1.19	Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.
1.20	Without limiting Clauses 1.17 - 1.19, the RTO must:

    a) determine and put in place:

        i) the level of supervision required; and

        ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and

    b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Strategy

To ensure that all training staff, who do not currently hold the required qualifications to train and assess a training product, works under the supervision of a qualified trainer/assessor.

Person's that may undertake training under the supervision of a suitably qualified trainer may include:

- Partners of the RTO
- Trainers under supervision within an RTO
- Supervisors within a workplace.

Policy and Procedure/s

Trainers and Assessors under Supervision – 1.17

A - Supervision is provided by a trainer that meets the following (as per clause 1.13 & 1.14)

    i. hold the *TAE40110 Certificate IV in Training and Assessment* from the TAE10 Training and Education Training Package

    ii. be able to demonstrate vocational competencies at least to the level being delivered and assessed; and

    iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence.

B - Persons delivering training under the supervision of a trainer must:

    i. work under the supervision of a trainer with the *TAE40110 Certificate IV in Training and Assessment* or of a person who has demonstrated equivalence of competencies; and

    ii. be able to demonstrate vocational competencies at least to the level being

delivered and assessed as well as maintaining their industry currency.

Each trainer (that conducts training under supervision) must hold the skill set defined in Item 4 of Schedule 1:

- TAESS00003 Enterprise trainer and assessor skill set or its successor
- TAESS00007 Enterprise trainer – presenting skill set or its successor
- TAESS00008 Enterprise trainer – mentoring skill set or its successor

Each trainer (that conducts training under supervision) must meet all of the following requirements:

- has vocational competencies at least to the level being delivered and assessed; and
- has current industry skills directly relevant to the training and assessment being
- provided.
  Notes:

1. Evidence used to demonstrate competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development.

2. Supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the *TAE40110 Certificate IV in Training and Assessment* The supervising person monitors and is accountable for the training delivery.

C - Assessors must:

i. hold the *TAESS00001 Assessor Skill Set*

ii. be able to demonstrate vocational competencies at least to the level being assessed; and

iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence.

Note:

If a person does not have all the assessment competencies as defined in (i) ,(ii) and (iii) then one or more persons with the combined expertise in (i), (ii) and (iii) may work together to conduct the assessment. People under supervision do not determine assessment outcomes.

Training and Assessment under supervision (1.17-1.18)

All training and assessment conducted under supervision will be conducted and comply with Standard 1 – Clause 1.17: Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Standard 1 - Clause 1.18: The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

a) holds the skill set defined in Item 4 of Schedule 1
b) has vocational competencies at least to the level being delivered and assessed; and
c) has current industry skills directly relevant to the training and assessment being
d) provided

Supervision Arrangements for Traineeships or Work Placement (S)

1. An employer must provide the appropriate facilities and qualified person/s to support the training and supervision of trainees in the workplace. Where applicable the supervisor should hold a current occupational licence and /or skills and knowledge as deemed appropriate for their industry.

2. The level of supervision provided should be aimed at facilitating the successful

achievement of the relevant competencies for each individual. It should be reassessed on a regular basis by taking into account the stage of the trainee and the knowledge and previous experience and training the trainee has received in a particular task.

3. The Workplace Supervisor will provide opportunities for the trainee to develop skills and knowledge and may be involved in coaching or mentoring of the trainee but does NOT assess the trainee.

4. The Supervisor will be required to complete a third party report in consultation with the Assessor. The third party report provides information on what the trainee does on the job to demonstrate the required skills and knowledge for the qualification that the trainee is undertaking as well as following / providing feedback on relevant policies and procedures of the workplace.

5. Depending on the qualification being undertaken policies and procedures include:

   - WHS policies and procedures
   - Operation of relevant equipment used in the workplace
   - Participating in workplace meetings
   - Grievance procedure
   - Confidentiality and Privacy
   - Respecting others
   - Property and resources
   - Reporting procedures

Workplace Supervisors Responsibilities

The Workplace Supervisor has an important role where they are required to be a role model and coach to the student during their work placement. Workplace supervisors must have at least 3 years' vocational experience within a position at the same or higher level than the students and must either hold the relevant qualification or higher, or have equivalent experience.

Workplace Supervisors will be required to complete a Workplace Supervisors Checklist, prior to the commencement of work placement, ensuring they meet the requirements of their supervisory role.

During training they will complete a Third Party Supervisors report, ensuring students have sufficient time to practice and apply the required skills, knowledge and practical tasks associated with the training they are undertaking. Supervisors will need to consider the requirements of the training and any conditions or restrictions that may prevent the student from working towards achieving competence.

Supervisor's will be monitored by a suitably qualified trainer that meet the requirements of Clauses 1.13 and 1.14. Clauses 1.13 and 1.14. People under supervision do not determine assessment outcomes.

Workplace supervisors are required to report to the RTO's trainers and submit all support documentation when requested. Successful achievement of competence will be determined through assessment activities and information supplied by the workplace supervisor.

Evidence	- Trainers Files - Trainers Handbook - Workplace Supervisors Checklist - Third Party Supervisors report
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.
Responsibility	- CEO - RTO Manager - Trainers and Assessors

TRANSITION OF TRAINING PRODUCTS (CLAUSES 1.26 – 1.27)

1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;

b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;

c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and

d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

1.27 The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

Strategy	When a Training Package is superseded by a new Training Package, a strategic plan will be put into place for the transition to the new Training Package within 12 months of its publication on the National Register.

The RTO will develop a Strategic Plan, which will incorporate the process and responsibility covering the transition to new Training Package within 12 months of publication on the National Regulator of Training Package on the RTO's scope of registration.

National Standards clarify requirements to:

- deliver current training products
- consider teach out and transition periods.
- approve exemptions

Policy and Procedure/s

Training Product Transition (T)

All Senior Management and the RTO Manager are required to register with www.training.gov.au to receive updates when Training Products on the RTO's Scope of Registration has been updated.

When a new Training Product is rolled out, a strategy will be put into place to transition to the new product. The strategy will include:

1. Review and map old Training Product with the new Training Product

2. Review all training and assessment systems, tools and processes to be mapped across to the new Training Product

3. Make necessary changes to the training and assessment materials in consultation with all training and assessment staff in preparations for addition to scope

4. Complete an Assessment Validation Schedule with all units to be validated within a 5-year period. High-risk units are to be validated before low risk. (See p&p for Assessment Validation)

5. Update the Training and Assessment Strategy to meet the new requirements of the Training Product as per policy and procedure under 1.1

6. Complete a Change of Scope Application using ASQAnet if training product is not a direct equivalent or not eligible for a direct transition. Follow the instructions provided on ASQAnet – https://rms.asqa.gov.au/

7. Once the new training product has been added to the Scope of Registration, courses can be scheduled with the new training product

8. Once added to scope, ensure that all material, assessment, marketing information and statements of attainment reflect changes with correct codes, names and titles

9. RTO will disseminate the updated Training and Assessment Strategy to all its relevant staff

10. During the 12-month transition period the CEO will review the status and progress of existing participants to determine which participants can complete their studies during the transition. Participants who cannot complete their studies within the transition period are to be transitioned to the new units

11. Learners who have completed are issued with certification placement within 1 year of training product being superseded.

12. If learners have not completed within 12 months of being superseded, learners are transferred to the replacement training product within the year of training product being superseded.

13. All learners will have completed and been issued a certification within two years of qualification being removed or deleted.

14. Learners have been issued certification within one year of skill sets, units, modules or short courses being removed or deleted.

15. The CEO is required to advise all current participants and employers (if relevant) about the revised units and the requirement to complete studies within the transition period or transition to the new training product

The CEO is required to ensure relevant parties are aware that the organisation cannot issue a statement of attainment after the expiry of the teach-out period, therefore a participant must complete their studies or transition within one year of training product being superseded. Relevant personnel include trainers, administration staff, contractors, participants and employers

Superseded Units imported into a training product

Where a unit of competency is superseded but the qualification requires delivery of that superseded unit, the unit can continue to be delivered as requested by the Training Product (i.e. a Certificate III in Business may contain an elective from the Hospitality Training package which has been superseded but the Certificate III qualification still refers to the superseded unit).

http://www.asqa.gov.au/vet-registration/meet-the-requirements-of-ongoing-registration/maintain-a-current-scope-of-registration.html

Evidence	▪ Training and Assessment Strategy ▪ Q&C Meeting Minutes
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management ▪ Trainers and Assessors

Standard 2
The Operations of the RTO are quality assured

IMPLEMENT QUALITY ASSURANCE STRATEGIES (2.1 – 2.2)

2.1	The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.
Strategy	Maintain compliance by monitoring and improving practices through its continuous improvement practices and by instilling a quality and compliance culture throughout the organisation.
Policy and Procedure/s	The CEO will ensure that the RTO will comply with the VET Quality Framework by: ▪ Adhering to the Code of Conduct outlined within this Quality & Compliance Manual, Student Handbook and Trainers Handbook ▪ Implementing and updating these policies and procedures ▪ Ensuring that all staff and students understand their rights and responsibilities through the policies, procedures and other support documentation ▪ Implementing a monthly Quality & Compliance Meeting, whereby the RTO's systems and practices are reviewed on a monthly basis and by ensuring that these systems and practices are continuously improved through the Continuous Improvement Strategy ▪ Implement systems to manage the RTO's continuous improvement, including creating a culture of continuous improvement throughout the RTO ▪ Ensuring that key management staff are kept up to date with the changes with the VET industry ▪ Undertake annual internal audits to ensure compliance is monitored and rectified to maintain compliance with the VET Quality Framework. ▪ If applicable, monitor all partnering arrangements to ensure that Third Parties comply with the RTO's policies and procedures and with the requirements of the VET Quality Framework.
Evidence	▪ Chief Executive Officer's Position Description ▪ RTO Manager's Position Description ▪ Continuous Improvement Cycle ▪ Quality and Compliance Meetings ▪ Staff Meetings ▪ Assessor and Trainer Meetings ▪ Network Meetings
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

<table>
<tr><td>2.2</td><td colspan="2">The RTO:</td></tr>
<tr><td></td><td>a)</td><td>systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and</td></tr>
<tr><td></td><td>b)</td><td>systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.</td></tr>
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Strategy	Continuous improvement is about applying good business practices within our organisation to ensure the best outcomes for our clients. This involves the collection of relevant information (or data), analysing that data and then applying corrective actions to improve the practices of the RTO. Relevant information is collected through actively engaging with key stakeholders, before, during and after training and assessment.

Policy and Procedure/s

Systematic monitoring of Training and Assessment Strategies – 2.2

As per clauses 1.1 – 1.4, TAS's will be systematically monitored on an annual basis to ensure currency with the Training Product and updated with industry consultation. See continuous improvement strategy for more details on improvements and monitoring of TAS's.

Continuous Improvement Strategy – 2.2

To ensure that we are systematically monitoring our systems, we have implemented a continuous improvement strategy, this strategy includes:

1. Types of stakeholders
2. Types of data collected
3. Mechanisms for collecting data
4. The timing of the data collection
5. How data will be analysed
6. Who is responsible
7. How the data will be acted upon
8. Implementation of improvements
9. Monitoring of data

The strategy includes a list of stakeholders from which we will collect data, this is also mapped against each form within the RTO to identify who the key stakeholders are.

Types of data to be collected

Data required for the development and improvement of training, assessment, strategies and practices.

Mechanisms for collecting data

Data collected for improving training, assessment, systems and practices in the conduct of its Continuous Improvement Strategy, is collected through the following mechanisms:

1. AVETMISS data
   - Enrolment Agreement Form (refer relevant policy and procedure)
   - Annual Internal Audits (refer relevant policy and procedure)
   - Annual internal audits (refer relevant policy and procedure)

- Meeting Agenda and Minutes template (refer relevant policy and procedure)

2. Quality indicator data

    - Quality Indicators (refer relevant policy and procedure)
    - Annual internal audits (refer relevant policy and procedure)
    - Meeting Agenda and Minutes template (refer relevant policy and procedure)

3. Validation outcomes

    - Annual internal audits (refer relevant policy and procedure)
    - Meeting Agenda and Minutes template (refer relevant policy and procedure)

4. Client feedback

    - Training Needs Analysis (refer relevant policy and procedure)
    - Training Evaluation Form (refer relevant policy and procedure)
    - Industry Survey Form (refer relevant policy and procedure)
    - Opportunity for Improvement Form and Register (refer relevant policy and procedure)
    - WHS Incident and Report and Register (refer relevant policy and procedure)
    - Annual internal audits (refer relevant policy and procedure)
    - Meeting Agenda and Minutes template (refer relevant policy and procedure)

5. Training and assessor and feedback

    - Staff Matrix (refer relevant policy and procedure)
    - Opportunity for Improvement Form and Register (refer relevant policy and procedure)
    - Trainers Report (refer relevant policy and procedure)
    - WHS Incident and Report and Register (refer relevant policy and procedure)
    - Annual internal audits (refer to relevant policy and procedure)
    - Meeting Agenda and Minutes template (refer to relevant policy and procedure

6. Complaints and appeals

    - Complaints and Appeals Form (refer to relevant policy and procedure)
    - Annual internal audits (refer to relevant policy and procedure)
    - Meeting Agenda and Minutes template (refer to relevant policy and procedure)

The timing of data collection

Using a variety of methods for collecting data as identified above, the continuous improvement strategy includes the timing of when this data should be collected mapped against each form from which we collect data.

How data will be analysed

Data is utilised for the improvement of training, assessment, strategies and practices which means that all data collected should be relevant to the improvement of these services. To ensure that data is relevant, the data collected is analysed by the appropriate personnel, the staff member responsible will depend on the form utilised for collecting the data. Each form has been mapped against how the data collected will be analysed within the "Continuous Improvement Strategy" under "Part 2: Data collected on RTO forms".

In the majority of cases, data collected is reviewed at the monthly Quality and Compliance Meeting. At this meeting there are standing agenda items for the review of Continuous Improvement, these Standing Agenda Items include:

1. Opportunities for Improvement – Register
2. Complaints and Appeals - Register
3. WHS Incident - Register
4. Quality Indicators and Student Feedback
5. Industry Consultation
6. Trainers Report
7. Continual Improvement Cycle

8. Changes to Training Packages
9. General administration and training issues
10. Previous Business
11. Business Arising
12. Business without notice
13. Date of next meeting

The relevant data collected and received by the RTO will be discussed at the next scheduled Quality and Compliance Meeting, with data collected being analysed for continuous improvement.

Who is responsible for analysing the data

Ultimately the CEO or RTO Manager will be responsible for the data collected, but on occasion the responsibility may also be on the Trainer/Assessor or other key RTO Staff. Please see the relevant policy and procedure for each form to identify who is responsible for the data collected.

How the data will be acted upon

Data collected and analysed for continuous improvement is to be acted upon within a timely manner. Each form has a policy and procedure within the Quality and Compliance Manual, with the types of action that should be taken on the data collected, all staff should refer to this manual for the procedure.

Implementation of Improvements

If an Opportunity for Improvement is identified through the data collected, an Opportunity for Improvement form should be completed, as per the process outlined in relevant procedures.

Monitoring of improvements identified through the data collected will be undertaken at the monthly Quality and Compliance Meetings, as per the process.

Monitoring of Data

Data collected for the improvement of training, assessment, strategies and practices is monitored through the monthly Quality and Compliance Meeting, this is done through discussions held at the meeting and minutes of the meeting are then distributed to all staff (including trainers and assessors) following the meeting. Any data collected that requires to be reviewed again, will be carried over to the next meeting.

Once a year an Internal Audit is conducted, whereby all systems and practices are reviewed, which includes a review of continuous improvement data that had been collected over the year.

Quality and Compliance Meetings (Q&C)

The Quality and Compliance Meetings are held on a monthly basis to review and analyse data collected and plan the RTO's continuous improvement activities. All staff will be provided with an opportunity to present individual needs, stakeholder feedback forms, continuous improvement items or client feedback advice to the management team. Following is the process for the Quality and Compliance Meeting:

1. CEO or RTO manager sets the date and time of the next Q&C Meeting to all members at the end of each Q&C meeting.

2. The Minute Taker will request any Agenda items to be added to the agenda at least five business days prior to the scheduled meeting.

3. Minute Taker distributes agenda to all attendees.

4. The CEO shall ensure that the appointed Minute Taker accurately records the

management team meetings.

5. The CEO shall ensure that all current stakeholder feedback forms presented by staff are reviewed and analysed for relevant corrective actions that may contribute to improvements to the operations.

6. The Minute Taker shall ensure that all stakeholder feedback forms and client feedback surveys are stored in the appropriate files.

7. All items of the agenda shall be allocated to a staff member for action.

8. The Minute Taker shall ensure that the recorded management meeting minutes are stored and copies of the minutes are circulated to attendees and other relevant staff who should receive the minutes, this includes Trainers, Assessors, and Management and Administration staff.

Standing Agenda Items for the Quality and Compliance Meetings include:

1. Opportunities for Improvement – Register
2. Complaints and Appeals - Register
3. WHS Incident - Register
4. Quality Indicators and Student Feedback
5. Industry Consultation
6. Trainers Report
7. Continual Improvement Cycle
8. Changes to Training Package
9. General administration and training issues
10. Previous Business
11. Business Arising
12. Business without notice
13. Date of next meeting

Continuous Improvement Cycle (T)

All staff are encouraged to contribute to the continual improvement of our systems and practices by assisting with the review of the RTO's policies and procedures. The cycle of when each Policy and Procedure is to be reviewed is within the continuous improvement cycle.

The Continuous Improvement Cycle is implemented throughout the organisation to maintain a continuous improvement approach to compliance, this is achieved by:

1. Issuing each staff member with the Continuous Improvement Cycle.
2. Each staff member is required to read the Cycle prior to the Quality and Compliance Meetings
3. Each month up to 4 clauses from the Standards are reviewed at the Quality and Compliance Meetings
4. Staff are invited to submit ideas or suggestions for improvement according to the standard being reviewed
5. Refer to the cycle for a schedule of improvement reviews

If a staff member would like to submit an item to be discussed at the Quality and Compliance Meetings, they should complete an Opportunity for Improvement Form and submit to the RTO for action.

Opportunity for Improvement (T&S)

A key process for managing continuous improvement throughout the RTO is through identifying "Opportunities for Improvement", these can be improvements to Training and Assessment, Client Services or Management Systems. Examples of when Opportunities for Improvement may be identified include:

- Training and Assessment:
    - Reviewing a Training and Assessment Strategy
    - Feedback on Training and Assessment
    - Industry Consultation
    - Assessment Validation
    - Internal Audits

- Client Services:
    - Opportunities for Improvement
    - Training Evaluation Form
    - Enrolment Agreement Forms
    - Internal Audit Reports
    - Complaints and Appeals Forms

- Management Systems:
    - Quality and Compliance Meeting minutes
    - Review of Continuous Improvement Cycle
    - Conducting Annual Internal Audits

All staff and students are encouraged to complete an Opportunity for Improvement Form if they identify a system, process or procedure requiring implementation or improvement.

The implementation of the actions identified in the Opportunity for Improvement Form will be reviewed and discussed at the Monthly Quality and Compliance Meetings. Following is the process for opportunities for improvement:

1. An opportunity for improvement is identified

2. An Opportunity for Improvement Form is completed, by outlining the details of the current weakness in the system, process, procedure or practice.

3. In order to focus on the solution and not the weakness, the person who has identified the improvement is given the opportunity to also identity the "Action required for Improvement". If they are not able to identify a solution, this will be given to the RTO Manager to resolve.

4. Submit the Opportunity for Improvement Form to the RTO Manager.

5. RTO Manager reviews the Opportunity for Improvement Form, and either reviews the suggested "Action required for Improvement" identified by the person who completed the form, or identifies what they believe the "Action required for Improvement".

6. The RTO Manager enters the Opportunity for Improvement into the Opportunity for Improvement Register.

7. RTO Manager either then delegates the Opportunity for Improvement to be actioned by another staff member, or undertakes the Action to be completed.

8. Once Actioned and finalised, the Opportunity for Improvement Form is to be filed into the Opportunities for Improvement Register.

9. The Opportunity for Improvement is reviewed at the monthly Quality and Compliance Meeting. Minutes from the Quality and Compliance Meeting are distributed to all Training and Administration staff so that they can review the Opportunities identified.

Annual Internal Audits

The CEO shall ensure that the person responsible for carrying out an Internal Audit is conversant with the policy and procedures for conducting internal audits across the RTO's scale of operations, Policies and Procedures and those organisations that conduct training on its behalf.

The CEO will ensure that all annual Internal Audits conducted by the RTO are against the VET

Quality Framework and will apply to all of the RTO's training delivery and assessment within it's scope of registration.

The CEO shall ensure that all Internal audits conducted has an action plan for addressing the non-compliances. The RTO should utilise the Regulatory Bodies Audit Report template for undertaking the internal audit to identify level of compliance against the requirements of the Standards.

The CEO shall review and act upon all non-compliance issues within 20 business days following all Internal Audits.

Procedure for conducting Internal Audits

1. Notify all staff by email or memo advising the schedule of the audit and the scale of the audit (including partnership organisations, if applicable)

2. Review the management meeting minutes from the previous 12 months for any inaction from Opportunities for Improvement that were identified.

3. Review the Opportunity for Improvements from the previous 12 months of operation or for the period of registration.

4. Review Assessment Validation activities from the previous 12 months of operation or for the period of registration.

5. Review all Third Party Arrangements, agreements and assessment validation activities for the previous 12 months.

6. Review the legislation under the VET Quality Framework and all other appropriate legislative requirements.

7. Source the appropriate regulatory authority for updates of compliance requirements.

8. Review all relevant State and Commonwealth Legislation and its availability to all staff.

9. Complete a full report, using the ASQA Audit Report Template identifying non-compliances against the Standards for RTO's

10. Provide the CEO with a copy of the full report of non-compliances.

11. Date and file a copy of the record of internal audit and the full report of non-compliance in the RTO's Audit File.

12. Review Audit non-compliances and identify an action plan at the monthly Quality and Compliance Meeting

13. The RTO may also choose to engage an external consultant to conduct the Internal Audit, which will provide an external view of the RTO's compliance against the VET Quality Framework.

Records required for Audit

The following documents will be required for audit purposes and will be *securely retained for a period of 6 months from the date on which the judgment of competence was made or a qualification was awarded.

These documents will include the following:

- Attendance rolls that show the names of students, the unit/s of competency identifier and/or name,
- Date/s of attendance and signature or initial of Trainer/Assessor.
- Records of assessment and/or training record books that show the date of assessment/s, unit/s of competency, student name and outcome of assessment/s.
- Training delivery and assessment policies and strategies for all qualifications/courses.
- Completed assessment tools and instruments.

- ▪ Recognition of Prior Learning assessment records.
- ▪ Complaints, Appeals and the complaints resolution records

*Securely retain: To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible.

Trainers Report (T) – 2.2

The "Trainers Report" is to be completed by Trainers and Assessors and submitted for review at the monthly Quality and Compliance Meeting.

The Trainers Report includes feedback on the following:

- ▪ Feedback on training and assessment
- ▪ Feedback on operations
- ▪ Student concerns
- ▪ Disruptive behaviour
- ▪ Continuous improvement

Trainers can use this report to raise any areas of concern, or aspect of operations that may be impacting on their ability to perform their role effectively. They can also use it as a means to make suggestions to management and the team that will support the continuous improvement culture of the RTO.

Each month Trainers and Assessors are required to submit a Trainers Report to the RTO Manager, following is the procedure that should be followed:

1. Trainers will be advised of the due date for the Trainers Report by the RTO Manager

2. Three days prior to the report being submitted to the RTO Manager, the Trainer/Assessor completes the Trainers Report

3. Trainer/Assessor submits the Trainers Report to the RTO Manager by no later than the due date, this can be electronically or on paper.

4. The RTO Manager is to review the reports and prepare a summary for the Quality and Compliance Meeting.

5. Trainers Reports, with RTO Managers summary, is to be tabled at the monthly Quality and Compliance Meeting and minuted as tabled.

6. Any action items from the Trainers Report identified will be tabled as action items.

7. Any opportunities for improvement identified are transferred onto an Opportunity for Improvement Form and action taken, as per the Opportunities for Improvement procedure (see relevant procedure).

Each report is reviewed at the monthly Quality and Compliance Meetings to discuss strategies for improving practices through any issues identified in the reports.

Consultation with Trainers and Assessors (T)

Feedback provided by trainers and assessors can contribute to the improvement of the overall service provided as they have the industry experience and are in direct contact with the clients and implementing the training and assessment activities. In order to ensure that Senior Management are able to make informed decisions based on the experiences of our trainers we:

1. Advise all new employees of the importance of communication and sharing any suggestions and recommendations for improvement

2. Make sure that all staff have the necessary documents and procedures to collect feedback (such as feedback forms, session reports, records of meetings, etc)

3. Hold regular meetings to provide opportunities for open discussions regarding training and assessment services and opportunities for improvement

4. Encourage trainers and assessors to provide feedback and suggestions for improvement as identified and report this feedback through for consideration and where appropriate action/implementation

Provide a range of opportunities and activities for trainers/assessors to be involved in the review process and provide feedback.

Evidence	▪ Continuous Improvement Strategy ▪ Quality and Compliance Meeting Register ▪ OFI Register ▪ Complaints and Appeals Register ▪ Audit Reports ▪ Trainers Reports
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management ▪ Trainers and Assessors

MONITOR INDEPENDENT THIRD PARTIES (CLAUSES 2.3 – 2.4)

2.3	The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.
2.4	The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

Strategy

The RTO is responsible for ensuring the quality of all training and assessment undertaken by third parties, including ensuring that all training and assessment undertaken by the third party on its behalf meets the requirements of the VET Quality Framework.

All training delivered by a third parties, that is not an employee or staff member of the RTO, are subject to a written agreement being in place which is signed by the authorised person of each party.

Training delivered by the Third Party on behalf of the RTO, for which the RTO issues the AQF qualification or statement of attainment, will be the subject of a commercial arrangement only as each RTO is fully accountable for the training it delivers and assessment conducted.

Third Parties can also be known as a Partner of the RTO.

Policy and Procedure/s

Third Party Arrangement – 2.3

A written agreement is to be implemented which clearly specifies the roles and responsibilities of each party to the third parties' agreement including the responsibilities for compliance with the VET Quality Framework.

The written agreement is to be signed by each party to the agreement and the RTO shall maintain an up-to-date register of all/any agreements entered into by the RTO.

- Name and address of both parties
- Name of the authorised person of each party
- Name and primary contact details of both parties
- Compliance with the VET Quality Framework
- Training Products offered, codes, titles and units
- Services offered – i.e. training only, assessment only or training and assessment
- Level of service offered by each party
- Statement acknowledging that the RTO is always responsible for training, assessment and certification to be issued in its name
- Verified copy of the RTO's certificate of registration and scope certification
- Signed by both parties
- Dates for period of agreement
- Fees related to agreement

What is a third-party arrangement?

The Standards for Registered Training Organisations 2015 define a 'third party' as any party that provides services on behalf of the RTO. This definition does not include a contract of employment between an RTO and an employee.

Services means training, assessment, related educational and support services and/or any activities related to the recruitment of prospective learners. It does not include services such as student counselling, mediation or information and communications technology (ICT) support.

Educational and support services may include:

- 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
- learning resource centres
- flexible scheduling and delivery of training and assessment
- 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.

What kind of third-party arrangements could RTOs have?

An RTO might be involved in third-party arrangements with:

- other RTOs
- non-registered training providers
- recruitment agents or brokers
- employment/job services agencies

When to notify the Regulator

Your RTO must notify ASQA whenever you start or end a third-party agreement.

The RTO notifies the Regulator:

- "Of any written agreement entered into under Clause 2.3 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.'

To notify ASQA:

- Log into ASQAnet.
- Go to the 'Notifications' tab and select 'Third-party service arrangements'

Marketing – Third Parties – 4.1

All marketing materials, for the purpose of the training and assessment outlined within the agreement, is to be approved by the RTO prior to distribution. Following is the procedure for approval of marketing:

1. Third Party drafts an advertisement, course flyer or other marketing material. All marketing includes the wording: "This qualification/unit is delivered in partnership with RTO NAME and ID"

2. All marketing and advertising material is to be submitted to the CEO of the RTO for approval

3. Written approval from an individual or organisation is to be obtained if reference is to be made to the individual or organisation on any promotional material

4. A copy of the authorised marketing and advertising material, together with any approvals are to be kept on the Third Parties file.

5. The printing and publishing of marketing and advertising material can only be authorised by the CEO

6. All printed, published or advertising will clearly distinguish between nationally recognised training with scope of registration and non-accredited training, offered.

7. The CEO gives approval to the Third Party to utilise the marketing material

8. The Third Party can then commence marketing utilising the approved marketing material

Monitoring of Third Party Arrangements – 2.4

In order to ensure that all training and assessment services being provided on behalf of the

RTO complies with the VET Quality Framework, the following is to be implemented for each Third Party:

- Annual Audits to be undertaken by the RTO or an external qualified consultant, against the requirements of the VET Quality Framework. Refer to the policy and procedures for the process for conducting internal audits.
- Post Assessment validation is to be undertaken by the RTO on an annual basis. Refer to policy and procedure for the process on Assessment Validation.
- Verification of assessment tools to be undertaken by the RTO
- Completion of Continuous Improvement forms by the Third Party organisation, these include:

  - Trainers Report
  - Training Evaluation Forms
  - Industry Consultation
  - Opportunity for Improvement
  - Complaints and Appeals
  - WHS Incident Reporting
  - Quality and Compliance Meetings

- Monitoring of Continuous Improvement process by the RTO, including tabling of items at the monthly Quality and Compliance Meetings. Refer to the Policies and Procedures on continuous improvement.
- Professional development of Trainers/Assessors from the Third Party. Refer to the policies and procedures on trainer's responsibilities.
- Internal audit of third parties, notifying the VET Regulator of Third Party arrangements.

Auditing Third Parties

Auditing of Third parties is conducted at least once a year as part of your continuous improvement strategy. When developing a strategy to monitor your agreements, you should consider:

- Timeframes for monitoring—when and how often?
- Procedures for monitoring—who will conduct the review and how will outcomes of the review be acted upon?
- How will you monitor student assessments, pre-enrolment information given to students, training and assessment resources, facilities and equipment, trainer/assessor competencies and qualifications, marketing/advertising information, issuance of qualifications/statements of attainment and records management practices?
- How will you implement strategies for two-way feedback between your RTO and the third party?

Outcomes are to be tabled at annual Quality and Compliance meetings for discussion and decision making around suitability and continued arrangements.

Third Party Trainers and Assessors – 8.2

Third Party trainers and assessors are required to be notified that they are delivering training and assessment under a third party agreement with the RTO, it should be clear who is the RTO and that they are required to comply with the Policies and Procedures of the RTO.

As per clauses 1.13 to 1.16, all Third Party trainers and assessors must comply with the requirements of the Policies and Procedures for trainers and assessors. Third Party trainers and assessors responsibilities include:

1. Maintain professional development in both the VET and Vocational sector

2. Attend trainer meetings when requested and at least one (1) validation meeting per year

3. Prepare delivery and assessment plans as requested

4. Maintain accurate course administration material including the submission of: Competency assessment records, attendance records, course timetables, course session plans, course/trainer notes, assessment tasks, benchmark answers and resources for all accredited training programs

5. Distribute and collect Quality Indicator Surveys

6. Comply with the Policies and Procedures set out in the Trainers Handbook

7. Comply with the requirements and regulations of appropriate legislation

8. Report student grievances using the RTO's documented complaints and appeals process

9. Ensure training is delivered as per the approved delivery and assessment plan

10. Complete all require recruitment forms as per relevant Policies and Procedures.

Evidence	▪ Trainers Files ▪ Third Party Files ▪ Record of Third Party Agreements lodged on ASQAnet
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **July** on an annual basis.
Responsibility	▪ Chief Executive Officer

Standard 3
The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

PROVIDE SECURE CERTIFICATION (3.1 – 3.3)

3.1	The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.
3.2	All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.
3.3	AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Strategy

The RTO ensures that only students who have met the qualification requirements, in all of the required units, have been deemed competent and will be issued with an AQF Certification. All AQF Certification meets the requirements of Schedule 5 of the Standards and will be issued to the student within 30 calendar dates of the leaner being deemed competent.

A register of all qualifications issued will be maintained on the AVETMISS compliant database.

Policy and Procedure/s

Certification (T&S) - 3.2-3.3

In determining whether a student is competent/or not yet competent, the student is assessed against the requirements of the qualification, including the units of competencies and the performance criteria and assessment requirements within the units of competency.

Students are issued with a VET Statement of Attainment or VET Qualification once competency has been achieved, as outlined within the Training Product. The testamur for all AQF qualifications issued will identify the qualification as an AQF qualification with the words "The qualification is recognised within the Australian Qualifications Framework".

Issuing AQF Qualifications

Application of the AQF Qualifications Issuance Policy within the VET Sector

RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:

- the name, National RTO code and logo of the issuing organisation
- the code and title of the awarded AQF qualification, and
- the NRT Logo in accordance with the current conditions of use contained in Schedule 4.

The following elements are to be included on the testamur as applicable: the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts)

- the industry descriptor, e.g. Engineering
- the occupational or functional stream, in brackets, e.g. (Fabrication)
- where relevant, the words, 'achieved through Australian Apprenticeship arrangements', and
- where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.

RTOs must not include the learner's Student Identifier on the testamur consistent with the Student Identifiers Act 2014.

RTOs will:

- retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued
- retain records of AQF certification documentation issued for a period of 30 years, and
- provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

Issuing Statements of Attainment

RTOs must include the following information on a statement of attainment: the name, National RTO Code and logo of the issuing organisation

- a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency
- the authorised signatory
- the NRT Logo
- the issuing organisation's seal, corporate identifier or unique watermark
- the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'

The following elements are to be included on the statement of attainment as applicable:

- the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)
- the words 'These competencies form part of [code and title of qualification(s)/course(s)]'
- the words, 'These competencies were attained in completion of [code] course in [full title]', and
- where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the *Student Identifier Act 2014*.

RTOs will:

- maintain registers of all statements of attainments issued
- retain records of statements of attainment issued for a period of 30 years, and
- provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

The RTO will issue Certificates and/or Statements of Attainment 30 calendar days of the student being deemed competent, providing all agreed fees the student has outstanding to the RTO have been paid.

Contact your regulatory body (ASQA, VRQA, TACWA) or the State or Territory registering body where your organisation is registered to obtain hard or electronic copies of the NRT logo.
The AQF logo can be accessed from: http://www.aqf.edu.au/aqf/logo-copyright/

Process for Issuing Certificates/Statements of Attainment

Following is the process for ensuring that accounts have been paid prior to a Certificate and/or Statement of Attainment is issued, as well as ensuring that the student has completed all the required competencies.

```
┌─────────────────────────┐      ┌─────────────────────────┐      ┌─────────────────────────┐
│ Check that student has  │      │ Check that details on   │      │ CEO or other Authorised │
│ completed all the       │      │ certificate are correct,│──────│ Signatory to sign       │
│ required Units of       │      │ against the actual units│      │ Certificate or Statement│
│ Competencies, in line   │      │ completed               │      │ of Attainment           │
│ with the Training       │      │                         │      │                         │
│ Product requirements,   │      │                         │      │                         │
│ using the Assessment    │      │                         │      │                         │
│ Verification Form        │      │                         │      │                         │
└─────────────────────────┘      └─────────────────────────┘      └─────────────────────────┘

┌─────────────────────────┐      ┌─────────────────────────┐      ┌─────────────────────────┐
│ Once it has been        │      │ Print Certificate or    │      │ Issue Certificate or    │
│ determined that the     │      │ Statement of Attainment │      │ Statement of Attainment │
│ student is eligible to  │      │                         │      │ to Student              │
│ have a Certificate or   │      │                         │      │                         │
│ Statement of Attainment │      │                         │      │                         │
│ issued, check that the  │      │                         │      │                         │
│ student has paid their  │      │                         │      │                         │
│ account in full         │      │                         │      │                         │
└─────────────────────────┘      └─────────────────────────┘      └─────────────────────────┘

┌─────────────────────────┐      ┌─────────────────────────┐      ┌─────────────────────────┐
│ Check that the students │      │ Ensure that all         │      │ Record issuance of      │
│ details within the      │──────│ assessment evidence has │      │ Certificate/Statement of│
│ Database is correct     │      │ been scanned and saved  │      │ Attainment onto database│
│                         │      │ onto the server         │      │                         │
└─────────────────────────┘      └─────────────────────────┘      └─────────────────────────┘
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Logos on Certification– 3.1 and 3.2

Following is an outline of what logos should be used on each type of certification. All staff are required to adhere to these requirements.

	Full Qualification	Statement of Attainment	Non Accredited
NATIONALLY RECOGNISED TRAINING	Yes	Yes	No
Australian Qualifications Framework	Yes	No	No
Optimistic futures	Yes	Yes	Yes

Outline of Logos

Which logo?	When to use?
NRT logo	• RTOs must include the Nationally Recognised Training (NRT) logo on testamurs and statements of attainment. • The NRT logo is not to be used on the record of results.
AQF logo and words	• RTOs must include the AQF logo or the words 'The qualification is recognised within the Australian Qualifications Framework' on a testamur. • The AQF logo or words are not to be used on the record of results. • The AQF logo or words are not to be used on statements of attainment. • The AQF logo is available from the AQF website. • RTOs must comply with the AQF's Conditions for the use of the AQF logo.
Other logos	• ASQA RTOs must not include a state or territory **registering body** logo on testamurs, statements of attainment or records of results.. • In some cases (for example within User Choice contracts) RTOs may need to include a state or territory **training body** logo on testamurs or statements of attainment, where directed by a state or territory training body. • RTOs must not use the Australian Government Commonwealth Crest logo (e.g. the crest used as ASQA's logo). The Australian Government Crest is only to be used by authorised government departments and agencies.

Using AQF copyright materials

Users wishing to produce items in the AQF Second Edition January 2013, or the AQF log, require permission prior to use

AQF logo

Australian Qualifications Framework

The AQF logo indicates that the qualification has been quality assured.

Conditions for use of the AQF logo

Registered providers may use the AQF logo on testamurs and certain publications without prior permission.

Download the AQF logo

Click on the links below to download the logo. If you require a higher resolution graphic please let us know through our contact page.

• AQF Colour Logo jpg file
• AQF Black and White reproduction jpg file
• AQF Reversed out black reproduction jpg file

Use of other AQF copyright materials

For use of other AQF copyright materials such as sections of the AQF Second Edition January 2013, please use this form.

NRT Logo

The Nationally Recognised Training logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to Australian Qualification or Statements of Attainment.

http://www.asqa.gov.au/verve/_resources/NRT_logo_specifications_NEW.pdf

Evidence	▪ Student Management Database ▪ Certificates ▪ Statements of Attainment ▪ Marketing Materials
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

3.4	Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.
Strategy	All The RTO employees and Third Parties must ensure that student records are kept up-to-date so that current and accurate records can be provided to students upon request. The RTO will securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, as per the definition outlined in "ASQA's General Direction: Retention Requirements for Completed Student Assessment Items", for a period of six months from the date on which the judgement of competence for the student was made.
Policy and Procedure/s	

Certificate Register – 3.4

A register of all certificates will be maintained on the AVETMISS Compliant database and will be kept for a period of 30 years. The database will keep a record of all required information that will enable reissuance of certification.

In line with the AQF Qualifications Register Policy the RTO will maintain a register that will contain sufficient information to identify correctly the:

- Authorised issuing organisation;
- Responsible person or persons and contact details of the organisation, including contact details for public enquiries; and
- AQF qualifications the organisation is authorised to issue, including the full and correct AQF qualifications titles, the accreditation period, and any caveats.

These registers will clearly distinguish AQF qualifications from non-AQF qualifications. The RTO will maintain an auditable-quality register of the AQF qualifications that they have issued.

- The registered will contact sufficient information to identify correctly the:
- Holder of the qualification;
- AQF qualification by its full title; and
- Date of issue/award/conferral.

Records Management – Paper Based (T) – 3.4

In accordance with The AQF Qualifications Register Policy, the RTO will ensure that all records kept for students meets the requirements of the AQF Qualifications Register Policy.

The RTO is committed to implementing best practice in its records management practices and systems. All student records are to be entered and maintain on the AVETMISS compliant Student Management System.

The RTO will provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, or as determined by the National VET Regulator.

All staff employed by the RTO will be required to apply themselves to the following written procedures and safeguard confidential and personal information according to the Privacy and Protection of Personal Information Act 1998:

- All staff are responsible for recording all student fee payments and details of refunds paid.
- Upon enrolment each student's personal details are to be entered into the Student Management System.
- A student file will be created in hard copy and on the database
- Paper based file will include

- o Record of Attendance for class
- o Record of enrolment
- o Completed assessment tasks
- o Record of progress
- o Copies of any forms completed, ie Complaints and Appeals, Opportunities for Improvement, WHS Incidents

- All paper based files are kept for a minimum period of 6 months post course completion for each student
- **Paper based files will be stored in a locked filing cabinet in alphabetical order under the students surname**
- Electronic file will include

- o Participants name, address and contact details
- o Record of participation
- o Qualifications and Statements of Attainment issued
- o Record of Units of Competencies completed
- o Trainer/Assessor details
- o Place of Training
- o Dates of Training

- All electronic records will be kept for a period of 30 years.
- Student personal details and records shall be maintained in a current up to date condition, updating of records will be actioned as advised by the student/client.
- Student records are backed up and maintained electronically daily through the student management system.
- Only RTO staff directly involved with student welfare and or student results will have access to personal student details.
- Upon written request and given sufficient notice administrative staff shall provide a student with access to their personal student records for progress information (see relevant policies and procedures).
- Students may request a reissuance of statements of attainment or qualifications achieved by completing a Certificate Re-issue form.
- The CEO permits the replacement of certification documentation. All re-issuance of certification documentation will be based on the verification and authentication of testamurs issued by the RTO prior to issue. (refer to the current fees schedule for Certificate Re-issue Fees)

- o Where a request for a replacement testamur is received from a current or past student the student's identification must be verified by sighting the clients photo ID, such as a driver's license or Passport.
- o The student's records of course achievement will then be accessed and any issued testamur may be reissued in accordance with the RTO's Issuance Policy and current fee structure.

- All staff will comply with all 'external reporting responsibilities' at the required date to do so. (i.e. AVETMISS and Quality Indicator Reporting) including returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis (as determined by the Australian Skills Quality Authority).
- Designated RTO staff will maintain up to date records of the employment history and qualifications of all staff employed by the RTO.
- Designated RTO staff shall ensure that all student records are maintained in an accurate manner providing for the safekeeping of all student assessment results for a term no less that 30 years.
- **On cessation of services and the discontinuation of its business the CEO shall ensure that all student records are made available to the National VET Regulator.**
- Electronic copies of records will be maintained through the database.
- Hard copies of records will be kept for a period of "no less than" 6 months on the RTO site. Following this period an electronic record will be maintained and the hard copy will be destroyed by either shredding or burning. No confidential records will be kept as these will be destroyed.

- If student records are required to be stored for more than 6 months, in accordance with agreements for Government funded contracts, records will be archived at an offsite location which will be secure from water or pest infestation, which will ensure the integrity of the data is kept on the files.

Access to Records (S)

All student records, such as personal details and records of participation and progress (this includes data collected on the Enrolment Agreement Form and assessment results that are collected), are kept within a secure area (both electronic and hard files). An electronic record of each Student's enrolment and participation is kept on the Student Management System for a period of 30 years, this record is password protected and is only accessible by employees of the RTO.

All students have the right to access their record of participation and progress within a timely manner. In order for a student to access their records they are required to submit a request in writing to the RTO. If the student wishes to provide a third party with access to their records, they should state this in their formal request in writing.

The RTO will provide, within 48 hours of receiving the written request, a confirmation in writing that the RTO has received a request for Access to Records and confirmation of how long it will take for the access to be granted.

In no more than 5 business days the RTO will provide the student with access to their records as well as a transcript of the student's participation and progress.

Records Management – Electronic (T) – 3.4

In order to ensure accuracy, integrity and currency of student record of participation and progress, all data collected from the Enrolment Agreement Form and Assessment results (this includes personal details and records of participation and progress are collected are entered into the Student Management System in a timely manner. Following is the procedure for ensuring records are current:

1. Data to be entered into the Student Management System includes personal details and records of participation and progress

2. All student enrolment data is to be entered into the Student Management System prior to course commencement. Late enrolments may be accepted up to 7 days after course commencement depending on student circumstances.

3. Assessments are given to the students by the trainer, who also sets a reasonable due date for the assessment within the timeframe of the course.

4. Students are to submit their completed assessments to their trainer by no later than the set due date. In certain circumstances trainers may give an extension after reviewing such a request for a student. Any such extensions to be noted in the student file and Student Management System.

5. Trainers are to submit the marked assessment within two weeks of receipt from student, to the RTO Manager

6. Assessments that are deemed Not Yet Competent are to be resubmitted by the student for reassessment.

7. The RTO Manager is responsible for ensuring that all assessments are entered into the Student Management System, once submitted by the trainer, within 5 business days.

8. Prior to Certificate issue, all records of competency are to be verified against the Assessment Verification Form, please see relevant policy and procedure for Assessment Verification.

9. The RTO Manager is responsible for ensuring that all data is entered within the Student Management System. The RTO Manager can delegate these duties to

appropriate personnel.

10. The CEO is responsible for issuing the Certificate and ensuring that the correct units of competencies are on the Certificate prior to distribution. The following are triggers for Certificates or Statements of Attainment to be issued A record of their results and has successfully completed some UOC's and is eligible to receive a Statement of Attainment:

   o Student has requested

   o Student has completed all requirements of training and has been signed off by their trainer.

   o Student has withdrawn from training and submitted in writing a request to withdraw, who has successfully completed some UOC's and is eligible for a Statement of Attainment

   o Student has dropped out of training, but may not have provided a formal request for withdrawal, and has successfully completed some UOC's and is eligible for a Statement of Attainment

11. Students are required to have paid their account in full prior to the RTO issuing the student a Certificate or Statement of Attainment. It is the responsibility of the RTO Manager to ensure that all accounts have been paid IN FULL

12. If the account has not been paid in full, the RTO is to print the Certificate or Statement of Attainment and store on the Paper Based File until such time as the account being paid in full

Also refer to Process for Issuing Certificates/Statements of Attainment under Clause 3.3.

Version Control

In order to ensure that the current documentation is being used, the RTO has implemented a Version Control system to identify the following:

- Name of the document (Document Name)
- Date the version was released (MMYY)
- Version number (v01)
- Date approved (app RTO 5-Mar-14)

Following is an example of how the version control should look on the bottom of the document:

Optimistic Futures Pty Ltd | Document Name-MMYY-v01.Docx | Page

A document register is in place for recording all documents, which includes all of the above details. This register is kept in a folder with all versions of the document kept in hard copy.

The RTO manager is responsible for ensuring that the version control is managed and in place.

Assessment Verification (T)

In order to ensure consistency of both paper based and electronic records of assessment, all training staff are required to complete an Assessment Verification Form. This form identifies all the units that are to be assessed for each qualification against the assessment methods used to assess the student as well as includes the results of assessment (ie Competent, Not Yet Competent, RPL etc).

Results recorded onto the Assessment Verification Form are to be entered into the Student Management System or verified against the database.

The assessor is responsible for the safe storage of the Assessment Verification.

Process for Verification

- Trainer to record details of the student and their course enrolment onto the Assessment Verification Form

- As the student completes a Unit of Competency, the Assessor records the result and method of assessment onto the form

- The Assessor continues to record results until the student has completed all the required units

- On completion of training and assessment for each student, the Assessor returns the completed form to the RTO Manager for verification.

- The RTO Manager is to utilise the form to check student completion against the database

- Once the records are verified between the Assessment Verification Form and the database, a certificate can be issued

- If the records are inconsistent the RTO Manager is responsible for:

  - Following up with the trainer to ensure the student has met the requirements of their course of enrolment

  - Monitor and review Accuracy and Integrity of Records

Assessment Verification Form completed by Trainer	Results entered into database from assessment tools	Results verified against Assessment Verification Form prior to issue of certification	Certificate issued

Archiving Procedure– 3.4

When a student has completed all the requirements for a course, all student files are to be entered into the database and archived for a period of six months. See Records Management Policy and Procedure for details on what is to be kept on file.

Evidence
- Student Management Database
- Student and class files
- Student Handbook
- Student Management Database
- Archiving records
- Accounting system
- Backup systems management

Continuous Improvement This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.

Responsibility
- Chief Executive Officer
- Senior Management

PROVIDE CREDIT FOR PRIOR STUDIES (3.5)

3.5	The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:
	a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
	b) authenticated VET transcripts issued by the Registrar.

Strategy	The RTO has in place a credit transfer policy and procedure to ensure that all students are advised that they are eligible to apply for credit transfer for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirement prevent this).

Policy and Procedure/s	## Credit Transfer (T&S) – 3.5
	
	 AQF Certifications issued by other Registered Training Organisations (RTO) are recognised by Optimistic Futures Pty Ltd, this enables individuals to receive national recognition of their achievements.
	
	 In order to apply for a credit transfer, the student is required to complete the following steps:
	
	 1. Complete the "Credit Transfer Form"
	
	 2. Attach a certified copy of the authenticated VET transcript from the other RTO and highlight the units you wish to have applied to your current enrolment
	
	 3. Submit completed "Credit Transfer Form" and VET transcript to the RTO
	
	 4. Units are verified on www.usi.gov.au, only applicable if student completed the units after 1 January 2015
	
	 5. The **RTO** in consultation with relevant Assessor will review and confirm whether student is eligible for Credit Transfer (CT)
	
	 6. If the student is eligible, the result of CT should be applied to the unit within the Student Database
	
	 7. The **RTO** to advise the student in writing of the outcome of the credit transfer application:
	
	     a) Student is eligible for CT and the result has been entered into the Database
	
	     b) Student is not eligible for CT and the reason why
	
	 Authenticated copies are to be certified by a Justice of the Peace or someone within the RTO can sight the originals and authenticate a copy.

Evidence	▪ Enrolment Agreement Form ▪ Student Handbook ▪ Credit Transfer Form
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **September** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

STUDENT IDENTIFIER SCHEME (3.6)

> **3.**6   The RTO meets the requirements of the Student Identifier scheme, including:
>
> a)   verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
>
> b)   ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;
>
> c)   ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
>
> d)   ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Strategy	The RTO has in place an AVETMISS compliant database that is USI compliant, for managing student files including the recording of the students Unique Student Identifier (USI). The RTO will not issue any qualifications or statements of attainment without being in receipt of a verified Student Identifier for that individual, unless an exemption has been applies under the *Student Identifiers Act 2014*.
Policy and Procedure/s	## Unique Student Identifier (S) The Unique Student Identifier (USI) scheme, enabled by the *Student Identifiers Act 2014*, allows learners to access a single online record of their VET achievements. The scheme also allows for reliable confirmation of these achievements by employers and other RTOs. Unless exempt, the RTO must only issue a qualification or statement of attainment to a learner after: ▪ The learner has provided the RTO with a verified USI, or ▪ The RTO has applied for a USI on the students' behalf. A USI gives you access to your online USI account, which is made up of ten numbers and letters. It will look something like this: 3AW88YH9U5. A USI account will contain all your nationally recognised training records and results from 1 January 2015 onwards. Your results from 2015 will be available in your USI account in 2016. When applying for a job or enrolling in further study, you will often need to provide your training records and results. One of the main benefits of the USI is that you will have easy access to your training records and results throughout your life. You can access your USI account online from a computer, tablet or smart phone anywhere and anytime. ### Do you need a USI? You will need a USI when you enrol or re-enrol in training from 1 January 2015 if you are a: ▪ student enrolling in nationally recognised training for the first time, for example if you are studying at TAFE or with a private training organisation, completing an apprenticeship or skill set, certificate or diploma course; or ▪ school student completing nationally recognised training; or ▪ student continuing with nationally recognised training. You are a continuing student if you are a student who has already started your course in a previous year (and not yet completed it) and will continue studying after 1 January 2015.

Once you create your USI you will need to give your USI to each training organisation you study with so your training outcomes can be linked and you will be able to:

- view and update your details in your USI account;
- give your training organisation permission to view and/or update your USI account;
- give your training organisation "view access" to your transcript;
- control access to your transcript; and
- view online and download your training records and results in the form of a transcript which will help you with job applications and enrolment in further training.

If you are an international, overseas or an offshore student please visit usi.gov.au for more information.

While students may create their own USI, our RTO is also able to create USIs for our students. As a part of the enrolment process we have included on the Enrolment Agreement Form a section for the student to provide their USI, if you do not have a USI in place, we can provide you with a USI Privacy Notice so that we can apply for a USI on the students' behalf.

For more information, please refer to the following http://usi.gov.au/Training-Organisations/Documents/FactSheet-RTO-Student-Information-for-the-USI.pdf, a copy of the USI Fact Sheet is also accessible from the RTO head office.

Enrolment Process for USI

1. All clients are to complete an Enrolment Agreement Form, which includes a section for the student to provide their USI.
2. RTO to verify the USI supplied by the student before visiting
3. If the student does not currently have a USI, the RTO can apply for a USI on their behalf, by providing the following forms of ID to the RTO:
   - Driver's Licence
   - Medicare Card
   - Australian Passport
   - Visa (with Non-Australian Passport) for international students
   - Birth Certificate (Australian)
   - Certificate of Registration by Descent
   - Citizenship Certificate
   - Immi Card (international students)
4. Completed enrolment forms are entered into the Student Management Database creating a client record within the database
5. The client record will be retained within the Student Management System with all records of attainments in an accessible format for a period of thirty (30) years.
6. Where a qualification or statement of attainment is recorded in the USI scheme, no additional records are required to be kept, as the records required will exist within the USI scheme.

Security of the Student USI

The RTO will ensure the security of USIs and all related documentation for verifying the student identity, all personal information collected solely for the purpose of applying for a USI on behalf of a student will be destroyed in manner that will keep all personal information confidential, this includes digital and hard-copy of records.

The following process is in place for ensuring the security of a student's USI:

- Only authorised personnel will have access to a student's personal information, for both hard copy and electronic records.
- All student records, including evidence collected for verifying the students record, are stored in "locked" filing cabinets within the head office.
- Strong passwords on all network-connect computers are in place, which is only accessible by authorised personnel.
- Back-up copies of the database is automatic as the Database is cloud based.

USI Privacy Notice

All students who do not currently have a Unique Student Identifier (USI) in place, and want the RTO to apply for a USI on their behalf, will be issued with a USI Privacy Notice. The student will be required to sign this form prior to the RTO setting up the students USI.

Issuance of recognised qualifications or statements of attainment

Once a USI has been collected and stored into the RTO's database, and on successful completion of training, the RTO will provide nationally recognised qualifications or statement of attainments to students in a variety of different formats.

When a student logs into their USI account it will link to the national data collection using the USI. The students USI account will then be able to see their records and results completed. The student's results from 2015 will be available in their USI accounts in 2016.

International students in Australia

For international students studying in Australia the RTO's students will also need a Unique Student Identifier (USI).

All international students in Australia must have been issued with an Australian Visa. This will let those students use their passports as their form of ID when creating their USI as their Visa is linked to their passport number.

Students studying overseas

An overseas student studying offshore and not having an Australian passport or visa, may be covered by arrangements for collection of USIs and the student will need to contact the RTO or the USI Team for advice about the need to apply for a USI.

USI Exemption - RTO

An RTO may be exempt from issuing a USI or recoding results within the USI database if they meet certain criteria.

If the RTO is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.

USI Exemption - Student

A student may be exempt from applying for a USI or recoding results within the USI database if they work within an industry that could affect the security of the nation, for example if they work in the military, State or Federal Police Departments.

In addition, individuals who have a genuine personal objection to being assigned a student identifier will be able to apply for an exemption to the Student Identifiers Registrar.

If the student is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.

Evidence	▪ Student Management Database ▪ Enrolment Agreement Form ▪ USI Privacy Notice
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **September** on an annual basis.

Responsibility	• Chief Executive Officer
	• Senior Management

Standard 4
Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

PROVIDE ACCURATE INFORMATION TO LEARNERS ABOUT SERVICES AND QUALIFICATIONS (4.1)

4.1 Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

a) accurately represents the services it provides and the training products on its scope of registration;

b) includes its RTO Code;

c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;

d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;

e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;

f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;

g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;

h) includes the code and title of any training product, as published on the National Register, referred to in that information;

i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;

j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and

l) does not guarantee that:

    i) a learner will successfully complete a training product on its scope of registration; or

    ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or

    iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Strategy	Prior to enrolment students are provided with relevant information that informs them about the training, assessment and support services that will be provided, including their rights and responsibilities as a student, so as the student can make an informed decision prior to course commencement. The following documentation is provided to clients prior to course commencement:

- Course Flyer
- Enrolment Agreement Form
- Student Handbook
- Website
- Information Session

Policy and Procedure/s

Advertising and Marketing

All marketing material for AQF and VET qualifications are designed and developed according to the Training and Assessment Strategy, which is written against the Training Product requirements for each qualification on our Scope of Registration.

In order to maintain accuracy and integrity of marketing materials, the content is developed in consultation with industry, and the Training Products for each qualification within the RTO'S scope of registration (as per scope of registration for the RTO listed on training.gov.au).

All marketing materials (including websites) need to be clear about who is delivering and assessing the Training Product. Any Training Product delivered under a Third Party arrangement should identify the Third Party's company name and RTO ID, in accordance with the RTO's Scope of Registration. Any qualifications delivered in Third Party's with another RTO needs to clearly state "This qualification/unit of competency will be delivered and assessed under a Third Party's arrangement with the RTO (RTO ID)"

In authorising marketing and advertising:

- The CEO shall ensure that written permission has been obtained by any person and organisation featured in RTO's marketing or advertising materials in name or image.
- The CEO shall ensure that all clients are provided with clear and accurate information relating to Course Fee Schedules for all courses on RTO's scope of registration prior to enrolment. The Course Fee Information shall contain the following:
    - the total amount of all fees including course fees, administration fees, materials fees and any other charges
    - payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
    - the nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
    - the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment, and
    - the organisation's refund policy.
- The CEO shall ensure that all advertising contains accurate information regarding current course fees and course refund procedures.
- The CEO shall ensure that all promotional and marketing materials contain a confirmation that the RTO will recognise the AQF qualifications and statements of attainment issued by any other RTO.
- The CEO of RTO shall ensure that all materials developed for marketing and advertising purposes receive authorisation prior to release. The authorisation shall be applied through a photocopy bearing a signature of the CEO and filed by the RTO.
- The CEO shall ensure that the marketing and advertising of RTO accurately represents its training and assessment services and the AQF qualifications on its scope of registration.
- The CEO shall ensure that training and assessment that leads to AQF certifications are marketed and advertised separately from any other non-accredited training service offered by RTO.
- The CEO shall ensure that the NRT logo and AQF logo are employed in RTO promotional and advertising materials in accordance with its current conditions of use.

Marketing will not guarantee to a learner:

- That they will successfully complete a training product

- Can complete a training product in a manner not compliant with clauses 1.1 or 1.2
- Will obtain a particular employment outcome unless this is in the control of the RTO

The CEO will ensure that all advertising and marketing is:

- Accurate and factual
- Accurately represents the services provided
- Accurately represents the RTO scope of registration
- Includes the RTO code
- Only refers to a person or organisation with their consent
- Uses the NRT logo in accordance with the conditions of use specific in Schedule 4 of these standards
- Identifies where a third party is recruiting prospective leaners on behalf of the RTO
- Identifies where training and assessment is being provided on behalf of another RTO
- Identifies where training and assessment is being provided by third party
- Distinguishes between national recognised training and other training
- Includes the code and title of each training product as per trainng.gov.au
- Includes accurate information about licensed or regulated outcomes
- Includes details about financial support provided, including VET FEE-HELP
- Includes details about relevant government funding subsidies

Marketing Approval

All marketing conducted by the RTO will be undertaken with integrity and accuracy to provide clients with sufficient information to make an informed decision.

1. All marketing and advertising material is to be submitted to the CEO

2. Written approval from an individual or organisation is to be obtained if reference is to be made to the individual or organisation is any promotional material

3. All advertising material must include the contact details of the CEO and/or a person qualified and experienced in the AQF qualification being promoted

4. A copy of the authorised marketing and advertising material, together with any approvals are to be kept on file by the CEO

5. The printing and publishing of marketing and advertising material can only be authorised by the CEO

6. All printed, published or advertising will clearly distinguish between nationally recognised training with scope of registration and non-accredited training, offered.

Course Flyers and Marketing Material

Course flyers are to include relevant information about the course to be offered, so as the student/client can make an informed decision prior to enrolment based on the information supplied in the course flyer, enrolment form and other marketing materials. Relevant information that should be included on the course flyer include:

- Qualification Code and Title or Unit Code and Title
- Break down of units (for full qualifications only)
- Fees including course fees, administration fees, material fees and any other charges (ie Police Record Check or First Aid)
- Payment terms, including timing and amount of fees and any non-refundable deposit or administration fee
- Re-assessment fees (where applicable)
- The course flyer will comply with the policies and procedures under Adverting and Marketing.

Organisational Profile

The organisational Profile is used by the RTO as an additional piece of marketing material,

which is distributed to potential clients to assist them to make an informed decision about the capabilities of the RTO prior to enrolment. The Organisational Profile includes the following details:

- Background of the RTO and the Directors
- Memberships and associations the RTO has in place
- Scope of Registration
- Outline of facilities
- Industry documentation agreements
- Trainers and Assessors

Student Handbook

All students are given access to the Student Handbook, which details the student's rights and responsibilities. The handbook is distributed as follows:

- One to three days Training – Students are advised where to access an electronic copy of the Student Handbook through the organisational website
- Training delivered over four or more days – Students are issued with a Student Handbook prior to course commencement, or during induction.

The student handbook includes policies and procedures that are relevant to the student, including their rights and responsibilities as a student of the RTO.

- The Student Handbook is accessible from the RTO's website.

Student Induction (T&S)

The RTO has an electronic presentation in place to ensure consistency at Induction, this presentation includes relevant information on the policies and procedures of the RTO, including the students' rights and responsibilities.

The Student Induction is to be conducted prior to course commencement, this presentation includes the following information:

- Training and Assessment arrangements; including RPL
- Selection and enrolment of learners
- Client support services
- Legislative and occupational licensing requirements
- Complaints and appeals procedures
- Course Outline, including attendance requirements

Websites – 4.1

The organisational website includes information about each course offered by the RTO, including:

- Entrance requirements and pre-requisites
- Course Structure and delivery mode
- Qualification Code and Title or Unit Code and Title
- Break down of units (for full qualifications only)
- Fees including course fees, administration fees, material fees and any other charges (ie Police Record Check or First Aid)
- Payment terms, including timing and amount of fees and any non-refundable deposit or administration fee
- Re-assessment fees (where applicable)

The website will comply with the Advertising and Marketing policy and procedure.

NRT Logo - Conditions of Use

The Nationally Recognised Training (NRT) logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to Australian

Qualifications Framework (AQF) qualifications or Statements of Attainment.

The NRT logo can only be used by registered training organisations (RTOs), the Australian Skills Quality Authority (ASQA), State and Territory registering/course accrediting bodies and other authorised bodies.

For guidance on using the NRT logo, visit the Nationally Recognised Training (NRT) Logo Specifications page. Here you can find out who can use the NRT logo, conditions of use and how to request the logo.

The RTO acknowledges it obligations in ensuring the correct use of the NRT logo. In accordance with these requirements the RTO will ensure that is complies with the guidelines for usage of the logo.

The RTO will only use the NRT logo:

- On AQF qualifications documents within its scope of registration
- In advertisements in accordance with the VET Quality Framework for VET certifications and products
- On certificates for relevant training

Use of NRT Logo

The following details the situations and conditions for using the NRT logo.

Advertisements and promotional information in any medium (print, television, radio, banners, internet, websites etc)

1. The RTO may use the NRT logo to promote training products listed on training.gov.au, provided that training is within the RTO's scope of registration

2. The NRT logo must not be used in association with training which does not lead to an AQF qualification or statement of attainment, this includes short courses, non-accredited training and services outside of training such as consulting

3. Use of the NRT logo is only permitted where there is a direct relationship to an accredited Training Product meeting the requirements of the AQF

4. When promoting the training and using the NRT logo, all promotional material such as brochures, handbooks and prospectuses must clearly distinguish between nationally recognised training within the scope of registration and that which is not nationally recognised.

5. The NRT logo must not be used on products such as corporate stationary, business cards, building signage, mouse pads, pens, satchels, email signatures, packaging around products or materials supporting training.

6. The NRT logo must be depicted on all AQF qualifications and Statements of Attainment. These can only be issued by an RTO when the training delivered is covered by the RTO's scope of registration.

7. The NRT logo must not be depicted on transcripts/statements of results.

Format for Reproduction

- The triangle of the logo is not to be used without the descriptor. The logo and font used are under no circumstances, to be altered.
- The complete NRT logo may be varied in size. Although the proportions of the triangle may not be varied. Under no circumstance is the logo to be reproduced in mirror image or be rotated.

Two Colour Reproduction

- Where the NRT logo is reproduced in colour, it must comply with these colour requirements. Deviation from these colours is not permitted, nor are colours to be swapped around or stippled. The only colours to be used are:

- GREEN PMS 343
- RED PMS 192

One Colour Reproduction

- Where the NRT logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

Examples of Logo Reproduction

AQF logo – Conditions of use

The **AQF logo** is the hallmark of Australian quality assured qualifications and is used by registered providers of **AQF** qualifications on testamurs and for advertising of **AQF** qualifications that the RTO currently has on their scope of registration.

The following link details the specific requirements surrounding use of the logo: http://www.aqf.edu.au/wp-content/uploads/2013/05/AQF-Logo-Conditions-for-Use-July-2011-Reissued-May-2012.pdf

Evidence	- Course Flyers - Newspaper Adverts - Website - Student Handbook - Student Management Database - Certificates - Statements of Attainment - Marketing Materials
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **September** on an annual basis.
Responsibility	- Chief Executive Officer - Senior Management

Standard 5
Each learner is properly informed and protected

INFORM AND PROTECT LEARNERS (5.1-5.4)

| 5.1 | Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies. |

| 5.2 | Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO 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 the RTO and at a minimum includes the following content: |

a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;

b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:

    i) estimated duration;

    ii) expected locations at which it will be provided;

    iii) expected modes of delivery;

    iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and

    v) any work placement arrangements.

c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.

d) the learner's rights, including:

    i) details of the RTO's complaints and appeals process required by Standard 6; and

    ii) 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;

e) the learner's obligations:

    i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;

    ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and

    iii) any materials and equipment that the learner must provide; and

f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Strategy — In order to ensure that learners are adequately informed about the services they are to receive, their rights and obligations, and the RTO's responsibilities under these Standards, the RTO will provide learners with information prior to course commencement of services including any third party arrangements affecting the delivery of training and/or assessment. The RTO will provide this information through the following:

- Course Flyer
- Enrolment Agreement Form
- Student Handbook

· Website

The RTO will provide each learner with a copy of the Course Flyer and Enrolment Agreement Form, which outlines the services the RTO will provide the learner, along with the rights and obligations of the learner and the RTO.

Inform and Protect Learners

The RTO has mechanisms in place to ensure that the prospective learner has clear information about the services that will be provided by the RTO prior to course commencement, so that they can make an informed decision to ascertain if the course is suitable for them, taking into account their existing skills and knowledge and any specific needs.

Following is a table that includes the information provided to the learner and where the learner will be able to access this information.

Type of information	Publication			
	Course Flyer	Enrolment Agreement Form	Student Handbook	Website
Full course code and title	✓			✓
Venue, length and mode/s of delivery and/or assessment	✓			
Third Party arrangements (if applicable)	✓		✓	✓
Entry requirements	✓			✓
Support Services		✓	✓	✓
Course fee information	✓			
Additional fees, payments and refunds	✓	✓	✓	
Funding entitlements	✓			✓
Consumer rights		✓	✓	✓
Terms & Conditions of Enrolment		✓		✓

Course Flyer

Course flyers are distributed to all potential students prior to course commencement and include the relevant information about the training to be offered, as well as course fees that are relevant to the course.

Course flyers are developed in accordance with the information included within the Training and Assessment Strategy.

The course flyer includes the following information:

- **·** Code and title of the training product as per training.gov.au
- **·** Currency of the training product
- **·** Estimated duration of training and/or assessment
- **·** List of unit/s of competencies offered within the course

- Entry requirements (if applicable)
- Expected locations at which the training will be provided
- Expected modes of delivery
- Name and contact details of any third party that will provide training and assessment, and support services to the learner on the RTO's behalf
- Any work placement arrangements
- Course fees and charges, including any additional fees
- Legislative and occupational licensing requirements.
- Payment and terms and conditions.
- Refund terms and conditions (if applicable)
- Contact details of the RTO
- Delivery and Assessment Mode
- The learner's statutory right to a cooling off period
- The learner's obligation to repay any VET FEE-HELP debt
- Any entry requirements
- Any materials and equipment the leaner must provide
- Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment

Course information is also available on the website.

Refer to the Adverting and marketing policy and procedure for more details on hat should be on course flyers and other advertising and marketing materials.

Student Responsibilities (S)

As a student with Optimistic Futures Pty Ltd, you are responsible for your own actions, this includes:

- Complying with the policies and procedures within the Student Handbook
- Participating in all training activities by asking questions and interacting with other students
- Communicating with the Trainer any struggles that you may be having, especially if it will affect your training and assessment.
- Thinking of the classroom as your workplace, are you are good work colleague?
- Dressing appropriately for the classroom, as if you would dress for your workplace
- Using your brain and challenge yourself in the classroom, you will thank yourself later when you have a better understanding of the training that was delivered
- Completing all assessment requirements required to determine your competency
- Cooperating with Trainers, Assessors, RTO Staff and Students in the conduct of training and assessment
- Pay all course fees prior to course commencement
- Finding ways to relate to your reading and writing. What original thoughts and experiences can you bring to the course to make it come alive for yourself?
- Being in the training, participate, don't jeopardise your own learning by not participating
- Surround yourself with other students who can help you. You don't have to be best friends with everyone you seek advice from, but find friends or acquaintances that will help you to be the best of you.

Enrolment Agreement Form (T&S)

All students are required to complete an enrolment form prior to course commencement to ascertain contact details, Unique Student Identifier, course of interest, emergency contact details, whether there is any recognition of prior learning and to collect the relevant statistical information required for AVETMISS reporting.

The back of the enrolment form outlines the Terms and Conditions of enrolment, including student's rights and responsibilities. Students are required to sign the back of the form to acknowledge their agreement with the RTO's terms and conditions.

A copy of the Enrolment Agreement Form will be supplied to the learner, in line with the

Australian Consumer Law requirements, prior to course commencement.

The RTO Manager is responsible for ensuring each student has completed an enrolment form prior to course commencement.

Following is a list of "Terms & Conditions of Enrolment" listed on the Enrolment Agreement Form:

- Enrolment and Selection (Clause 5.3)
- Consumer Guarantee (Clause 5.3)
- Course Fees, Payments and Refunds (Clause 5.3)
- Fee Protection (Clause 7.3)
- Cooling Off Period (Clause 5.3)
- Complaints and Appeals (Clause 6.1)
- Credit Transfer (Clause 3.5)
- Language, Literacy and Numeracy (Clause 1.7)
- Support Services (Clause 1.7)
- Legislative and Regulatory Requirements (Clause 8.5)
- Workplace Health and Safety (Clause 8.5)

The Enrolment Agreement Form includes:

- Confirmation that the RTO is responsible for compliance of training and/or assessment
- Confirmation that the RTO is responsible for issuance of AQF certification documentation
- Details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- The leaner's rights if the RTO or third party closes or ceases to deliver the agreed training and/or assessment

Each student is required to complete an enrolment form prior to course commencement. The form is to be signed by the student stating that they agree with the RTO's policies and procedures, as outlined on the back of the enrolment form.

Enrolment and Selection (S) – 5.2

1. The student is responsible for notifying Optimistic Futures Pty Ltd if they have a medical condition or disability or require assistance in their training.

2. A deposit must accompany enrolment to secure a placement within a course; this fee is also the Administration Fee.

3. It is the student's responsibility to note the date, time and location of the course as advertised.

4. Courses with low enrolments may be cancelled, every effort will be made to contact students, please ensure your contact details are correct.

5. Requests from the student to transfer or credit their course placement due to changed personal circumstances will be considered and every effort will be made to ensure a placement into an alternative course.

6. If you are unable to complete your course, due to changed personal circumstances, the RTO will make every effort to ensure you are placed into an alternative pre-scheduled course.

7. Students can only join after course commencement date if they meet all prerequisites. Full course fees are still payable for late enrolments.

8. The RTO reserves the right to decline admission to a course, terminate a student's enrolment in a class or change a Trainer/Assessor at any time without notice.

9. Students participate in courses involving physical activity; field trips, practical demonstrations etc. and do so at their own risk. The RTO's students are covered by public liability insurance whilst working within the RTO's premises.

10. If a student is identified as having a Disability and requiring further support, refer to the

Support Services section in this manual.

Support Services Process

```
┌──────────────────────┐     ┌──────────────────────┐
│ Student identifies on│     │  Follow process for  │
│ Enrolment Agreement  │     │ Support Services under│
│ Form that they have a│     │  Standard 1.7 in the │
│  disabiity  or requires│    │      Q&C Manual      │
│       support        │     │                      │
└──────────────────────┘     └──────────────────────┘
           │                            │
┌──────────────────────┐     ┌──────────────────────┐
│  Organise a time to  │     │  Complete Support    │
│ speak to the student │     │   Services Form      │
│  prior to course     │     │                      │
│ commencement (Phone  │     │                      │
│  or face to face)    │     │                      │
└──────────────────────┘     └──────────────────────┘
           │                            │
┌──────────────────────┐     ┌──────────────────────┐
│ Discuss with student │     │  Refer to the Support│
│  their disability and│─────│ Services List to idenify│
│ identify a plan on how│    │ services that would be│
│  the RTO can support │     │ suitable to support the│
│     the student      │     │       student        │
└──────────────────────┘     └──────────────────────┘
```

Information Session

An information session is offered to students to provide them with further information about the course to assist them with making an informed decision about enrolling into a course. The Information Session is only applicable for Full qualifications.

Evidence	▪ Course Flyer ▪ Enrolment Agreement Form ▪ Student Induction Presentation ▪ Student Handbook
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **October** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

5.3   Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

a)   all relevant fee information including:

i)   fees that must be paid to the RTO; and

ii)   payment terms and conditions including deposits and refunds;

b)   the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;

c)   the learner's right to obtain a refund for services not provided by the RTO in the event the:

i)   arrangement is terminated early; or

ii)   the RTO fails to provide the agreed services.

5.4   Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.

Strategy	In order for a client to make an informed decision on course selection and enrolment, the RTO will ensure that clients are provided with the information they need to make that decision.
Policy and Procedure/s	

Enrolment & Selection - 5.3 (S)

1. The student is responsible for notifying Optimistic Futures Pty Ltd if they have a medical condition or disability or require assistance in their training.

2. A deposit must accompany enrolment to secure a placement within a course; this fee is also the Administration Fee.

3. It is the student's responsibility to note the date, time and location of the course as advertised.

4. Courses with low enrolments may be cancelled, every effort will be made to contact students, please ensure your contact details are correct.

5. Requests from the student to transfer or credit their course placement due to changed personal circumstances will be considered and every effort will be made to ensure a placement into an alternative course.

6. If you are unable to complete your course, due to changed personal circumstances, the RTO will make every effort to ensure you are placed into an alternative pre-scheduled course.

7. Students can only join after course commencement date if they meet all prerequisites. Full course fees are still payable for late enrolments.

8. The RTO reserves the right to decline admission to a course, terminate a student's enrolment in a class or change a Trainer/Assessor at any time without notice.

9. Students participate in courses involving physical activity; field trips, practical demonstrations etc. and do so at their own risk. Optimistic Futures Pty Ltd's students are covered by public liability insurance whilst working within the RTO's premises.

Course Fees, Payments, Refunds and Certification – 5.3

(S)

1. In line with the RTO's Fee Protection Policy the RTO will not collect more than $1,500 prior to course commencement.

2. Certificates and Statements of Attainment are issued to students who are assessed as competent in the units completed. The cost of the certificates is included in the course fees.

3. Following policies shall be adopted for refunds:

   a. All refunds will be in line with Refund Policy. Students willing to apply for a refund need to complete the refund application form.

   b. Refund application requests must be made in writing on the learner refund request form provided.

   c. Refunds are made within 28 days of written request from the date of receipt in office.

   d. The Chief Executive Officer must ensure that learner's refunds are approved and paid within 28 days.

   e. Refunds given are recorded in accounting system.

   f. Following circumstances may lead to refund:

      i. Participants have overpaid the administration charge

      ii. Participants enrolled in training that has been terminated by the RTO

      iii. Participant advises the RTO prior to course commencement that they are withdrawing from the course

      iv. If the participant withdraws from a course or program due to illness or extreme hardship as determined by the RTO

      v. In the event that the RTO fails to provide the agreed services

   g. Refund shall be calculated as follow:

Where refund application date occurs within 10 working days of application date	Full refund of all paid fee
When the refund application date is more than 5 weeks or more prior to the course commencement date	Full refund of Prepaid Course fees
When the refund application date occurs within 5 weeks prior to the course commencement date	70% Refund
When the refund application date occurs on or after course commencement date	No refund
Our default during study period	Full refund of Prepaid Course fees
Our or third party (if applicable) default to provide the course for which the original offer was made	Full refund
When We or third party closes or ceases to deliver the agreed training and/or assessment	Full refund
When during a study period a student's enrolment is cancelled due to a serious breach of Misconduct & Disciplinary Procedures	No refund

4. A deposit of no more than $1,500 is required prior to course commencement; this deposit is to confirm a place in the course. Please refer to the Course Flyer for the deposit amount required.

5. Students are responsible for the safe storage of their Certificates and Statements of Attainment. If a student requires a reissue of their Certificate or Statement of Attainment, a certificate re-issue fee of $80 will be charged as per schedule of fee.

    For the purpose of refund Misconduct and Disciplinary procedures means Learner's conduct that is unacceptable and likely to cause suspension or expulsion includes, but is not limited to:

- theft

- fraud – including cheating and plagiarism

- violence/ assault

- discrimination, harassment, intimidation or victimisation on all EEO and non EEO grounds

- serious negligence including OH&S non compliance

- breaches of policy on staff/service users relationships

- serious breach of confidentiality

- refusing to carry out lawful and reasonable instructions

- wilful disobedience

being affected by alcohol or drugs (both illegal and prescription) in that their

Statutory Cooling Off Period – 5.3

The standards for Registered Training Organisations require us to inform the prospective students of their right to statutory cooling off period. A statutory cooling off of 10 days is applicable under Consumer Law to withdraw from a consumer agreement, if the agreement has been through unsolicited marketing and sales tactics. However, it may be noted that we do not engage in any aggressive marketing tactics like door to door marketing, hence Statutory cooling off period will not as such be applicable to our students who have enrolled into a program. However, for refund options students may refer to our refund policy and above-noted information.

Payment Plan – 5.3

For fees that are more than $1,500, a payment plan will be offered to each student.

Schedule of Fee and payment plan is provided shall be approved by the Chief Executive Officer and published in the Student handbook. Student hand book shall be updated immediately after payment plan is modified.

Consumer Guarantee (S)

Optimistic Futures Pty Ltd guarantees that the services provided by Optimistic Futures Pty Ltd will be:

- provided with due care and skill
- fit for any specified purpose (express or implied)
- provided within a reasonable time (when no timeframe is set for the training).

On the Enrolment Agreement Form the supply of services states when the services will be provided and the date they will be completed. If the Enrolment Agreement Form does not include the dates, i.e. for RPL or on the job training, the RTO guarantees to supply the service within a reasonable timeframe. What is 'reasonable' will depend on the nature of the training and other relevant factors such as the students' ability to complete the training and assessment.

What happens if this guarantee is not met?

In the first instance, the student should submit a complaint to the RTO identifying where the RTO has not met its requirements against the Consumer Guarantee, please refer to the Complaints and Appeals policy for how to submit a complaint.

If a student believes that the RTO has failed to meet one or more of the consumer guarantees, he/she is entitled to a remedy – for example, a refund, a further service to rectify the problem and in some circumstances compensation for consequential loss. In line with the Complaints and Appeals process, the RTO will provide the appropriate remedy.

If the problem is **minor** and can be fixed, the RTO will choose how to fix the problem.

The consumer cannot cancel and demand a refund immediately, the RTO must have an opportunity to fix the problem. If the complaints process takes too long, the consumer is eligible to cancel the service and request a refund.

In the event of a **major** problem, and the RTO is unable to fix the training service, the consumer can choose to:

- terminate the contract for services and obtain a full refund, or
- seek compensation for the difference between the value of the services provided compared to the price paid.

A purchased service has a **major** problem when it:

- has a problem that would have stopped someone from purchasing the service if they had known about it
- is substantially unfit for its common purpose, and can't easily be fixed within a reasonable timeframe
- does not meet the specific purpose the consumer asked for and can't easily be fixed within a reasonable timeframe
- creates an unsafe situation.

Optimistic Futures Pty Ltd is not required to provide a remedy or refund if a consumer:

- simply changes their mind, decides they do not wish to go ahead with the training
- discovers they can buy the training more cheaply elsewhere

Changes to Agreed Services – 5.4 (S)

Where there are any changes to the agreed services that will affect the learner, including in the event of Optimistic Futures Pty Ltd closing down, the RTO will advise the learner in writing within 10 business days of the event, this includes changes to any new third party arrangements or a change of ownership or any changes to existing third party arrangements.

Changes to Agreed Services Process

CHANGE OF THIRD PARTY
In the incidence of a third party arrangement changing between the RTO and a third party, the following process is to be followed

↓

New agreement to be drafted and signed by the new third party and the RTO

↓

ASQA is notified of new Third Party arrangement through ASQAnet

↓

Students are notified in writing of the new third party arrangement, including any conditions and contact details of the new Third Party

CHANGE OF LOCATION
In the incidence of a change in training venue or location the following process is to be followed

↓

Confirm details with new Training Venue

↓

New written Training Venue Agreement to be drafted and signed by both the training venue provider and the RTO

↓

Provide written notification to ASQA of new training venue, by completing and submitting the "Change of Provider Details" form and submitting to ASQA

↓

Confirm in writing to the students the new location of the Training Venue, including the provision of a map

↓

Update marketing materials with new location (if applicable)

CHANGE OF TRAINER
In the event of a change of Trainer/Assessor, the following process is to be underaken

↓

Confirm with new Trainer that they are available to take over the responsibilities

↓

If possible, arrange a time for the previous trainer and the new trainer to undertake a handover

↓

Advise new Trainer of location, class numbers, current status of course progress

↓

Confirm in writing with the students the details of their new trainer, including when they will be commencing and assuring students that the trainer will be provided with a full handover

CHANGE OF OWNERSHIP
In the event of the RTO being taken over by new owners, in accordance with P&P 8.1, the following process is to be followed

↓

Finalise Sale of Shares

↓

Complete ASQA Form "Notification of Material Change of Event" by both parties

↓

Submit ASQA form to ASQA within 90 calendar days of the change of ownership

↓

Process Statements of Attainment for all existing students, providing the students with a current status of their course enrolment

↓

Notify Students in writing of the change of ownership and the process for ensuring that students are provided with a copy of their Statement of Attainment

Evidence	- Enrolment Agreement Form - Student Handbook - Course Flyers
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **October** on an annual basis.
Responsibility	- Chief Executive Officer - Senior Management

Standard 6
Complaints and appeals are recorded, acknowledge and dealt with fairly, efficiently and effectively.

MANAGE COMPLAINTS AND APPEALS (6.1 – 6.6)

6.1   The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

     a)   the RTO, its trainers, assessors or other staff;

     b)   a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or

     c)   a learner of the RTO.

6.2   The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

6.3   The RTO's complaints policy and appeals policy:

     a)   ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;

     b)   are publicly available;

     c)   set out the procedure for making a complaint or requesting an appeal;

     d)   ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and

     e)   provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

6.4   Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

     a)   informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and

     b)   regularly updates the complainant or appellant on the progress of the matter.

6.5   The RTO:

     a)   securely maintains records of all complaints and appeals and their outcomes; and

     b)   identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

6.6   Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Strategy	The RTO will ensure that all grievances are dealt with in a timely and fair manner by utilising a mechanism to allow students and staff to submit a complaint through the Complaints and Appeals process. This mechanism is outlined within the Complaints and Appeals Policy and Procedure. A clear process for submitting a complaint is included within the Student Handbook and the Trainers Handbook.
Policy and Procedure/s	### Complaints Policy (T&S) Staff and students have the right to submit a complaint if they wish to express discontent against another person or a complaint against the RTOs process or system. In order to ensure that complaints are dealt with in a timely manner, we have implemented a complaints process.

This policy and procedure is relevant to all grievances arising in the following areas:

 a) Student wishes to raise a complaint against another student

 b) Student wishes to raise a complaint against the RTO

 c) Student wishes to raise a complaint about a Third Party

 d) RTO staff wishes to raise complaint about a Third Party

 e) Staff wishes to raise a complaint about another staff member or a student

Complaints Process

Complaints are managed in response to allegations involving the conduct of RTO, trainers, assessors or other staff, third party providing services on our behalf, its trainers, assessors or other staff or a learner of RTO.

All complaints should be acknowledged by the RTO e.g. if a paper appeal is lodged a paper confirmation shall be given, if an appeal is lodged through email and email confirmation shall be given etc.

Informal Complaint Process

If a student, trainer or staff member is experiencing any difficulties, they are encouraged to discuss their concerns with Senior Management. RTO administrative staff will make themselves available at a mutually convenient time if a student wishes to seek assistance.

1. Any learner with an issue, question or complaint may raise the matter with staff and attempt an informal resolution of the grievance.

2. Learners with an issue, question or complaint can arrange a meeting to discuss the matter with one of the following staff members who are responsible to try and resolve the issue, question or complaint:

 a. Trainer

 b. Training Manager

 c. Administration Manager

3. If there is any matter arising from a learner informal complaint that is a systemic issue, which requires improvement action, this will be reported to the Continuous Improvement Management meeting for recording in Complaints Register and continuous improvement.

4. The staff member tries and resolves the complaint at the meeting or if required investigates the matter and then arranges another meeting with the learner to discuss the outcome of investigation and offer a solution if appropriate.

5. Leaners who are not satisfied with the outcome of their discussion of the complaint are encouraged to lodge a formal complaint on complaint form and submit with Administration Manager.

6. After lodgement of complaint form formal processing of appeal is started.

Formal Complaint Process

If a Student or Staff member wishes to make a formal complaint they are required to complete a Complaints and Appeals Form, which is included in the Student and Trainers Handbook. Once the form has been completed, the form should be submitted to the ***RTO manager*** for actioning.

Following is the process for managing complaints:

 1. Formal complaint is received from the complainant to the RTO

 2. If not already submitted with the complaint, a *Complaints and Appeals Form* is

competed and submitted to the RTO Manager

3. A written acknowledgement of receipt of the *Complaints and/or Appeal* will be forwarded to the complainant following receipt by the RTO Manager within 5 business days

4. The Complaint is discussed with ALL parties involved in the grievance, and ALL parties are notified in writing of the complaint, which will ensure that order to meet the requirements of natural justice and procedural fairness

5. Grievances should be kept confidential, in order to protect the complainants

6. All *Complaints and Appeals Form* are to be reviewed at the monthly Quality and Compliance Meetings.

7. The RTO Manager is to follow the process on the *Complaints and Appeals Form* for the process under "Recommended Action Required for Improvement".

   a. An initial meeting is to be held within 10 business days

   b. If further investigation is required, this should be completed within 60 calendar days

8. Each appellant:

   a. Has an opportunity to formally present his or her case

   b. Is given a written statement of the complaint outcomes, including reasons for the decision

9. If the Complainant wishes to appeal the Complaint outcome, the student can bring the complaint before senior management for resolution, agreeable to all parties.

10. If Senior Management is party to the grievance, they will not take part in any discussions or decisions made and the appeal will be referred to the CEO.

11. If a solution has not been reached to the benefit of all parties the complainant has the right to request a review by an independent party, who is not part of the RTO

12. The RTO is responsible for acting upon the subject of any complaint found to be substantiated.

13. Complaints and Appeals Forms received are to be entered onto the Complaints and Appeals Register

14. If the RTO determines that the complaint process cannot be finalised within 60 calendar days the RTO Manager will:

   a. Confirm this in writing to the complainant, including reasons why more than 60 calendar days is required

   b. Will regularly update the complainant or appellant on the progress of the matter

Complaints and Appeals Forms are to be actioned by the appropriate staff member and filed into the *Complaints and Appeals Register* and a scanned copy saved onto the student file in the database.

All *Complaints and Appeals Forms* are to be reviewed during the monthly Quality and Compliance Meetings and improvements are to be identified and implemented according to the Policies and Procedures of the RTO.
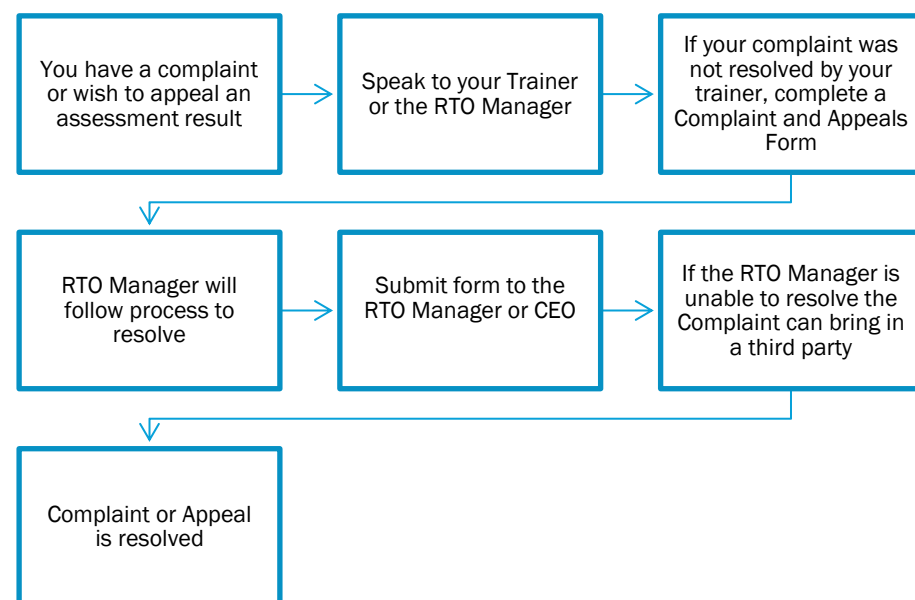
Should you disagree with the result of the appeal by the RTO, you can lodge a complaint to:

- National Training Complaints Hotline (https://www.education.gov.au/NTCH)
  Phone: 13 38 73, Monday–Friday, 8am to 6pm nationally.
  Email Complaints: https://www.education.gov.au/email-complaints

- NSW - Office of Fair Trading (http://www.fairtrading.nsw.gov.au).

- QLD – Fair Trading Queensland (https://www.qld.gov.au/law/fair-trading/)

- SA - Consumer and Business Services SA (http://www.cbs.sa.gov.au/wcm/)

- TAS – Consumer Affairs and Fair Trading (http://www.consumer.tas.gov.au/)

- VIC - Consumer Affairs Victoria (https://www.consumer.vic.gov.au/businesses/fair-trading)

- WA – Consumer Protection Western Australia (https://www.commerce.wa.gov.au/consumer-protection)

- NT – Consumer Affairs Northern Territory (http://www.consumeraffairs.nt.gov.au/Pages/default.aspx)

There is no cost involved with lodging a complaint with Optimistic Futures Pty Ltd.

Complaints and Appeals Flowchart (S)

```
┌─────────────────────┐     ┌─────────────────────┐     ┌─────────────────────┐
│ You have a complaint │     │                     │     │ If your complaint was│
│ or wish to appeal an │ ──▶ │  Speak to your Trainer│ ──▶ │ not resolved by your │
│  assessment result   │     │   or the RTO Manager │     │ trainer, complete a  │
│                      │     │                     │     │ Complaint and Appeals│
│                      │     │                     │     │        Form          │
└─────────────────────┘     └─────────────────────┘     └─────────────────────┘
                                                                    │
                                                                    ▼
┌─────────────────────┐     ┌─────────────────────┐     ┌─────────────────────┐
│  RTO Manager will    │     │                     │     │ If the RTO Manager is│
│ follow process to    │ ◀── │  Submit form to the  │ ◀── │ unable to resolve the│
│     resolve          │     │  RTO Manager or CEO  │     │ Complaint can bring in│
│                      │     │                     │     │   a third party      │
└─────────────────────┘     └─────────────────────┘     └─────────────────────┘
         │
         ▼
┌─────────────────────┐
│ Complaint or Appeal  │
│    is resolved       │
└─────────────────────┘
```

Complaints and Appeals Form

The Complaints and Appeals Form is accessible from the Student and Trainers Handbook or a complainant can also contact the RTO to obtain a copy of the form.

Complaints Report Form

The Complaints Report Form is to be used if there is not enough room on the Complaint and Appeals Form to describe the complaint. This form is to be attached and submitted with the *Complaints and Appeals Form*.

Complaints and Appeals Register

The RTO has in place a register for filing completed Complaints and Appeals forms. When a complaint or appeal is received, the form collected is to be entered into the Complaints and Appeals Register and given a register number.

Complaints and Appeals that are placed into the register are reviewed and monitored each month at the monthly Quality & Compliance Meeting.

Assessment Appeals Policy (T&S)

The student has the right to appeal on an assessment result if they believe that the result

given was unfair or unjustified.

This includes Appeals arising in the following areas:

a)   Student disagrees with the result given by their Assessor (including Third Party)

b)   Student wishes to have their result reviewed by another Assessor

c)   Student wishes to be re-assessed for the same unit

d)   Student wishes to change the unit

e)   Student believes that they were discriminated against by the Assessor

Assessment Appeals Procedure (T)

All students have the right to appeal any assessment decision made by the RTO if they:

▪   Believe that the assessment is invalid and/or
▪   Feel that the process was invalid, inappropriate or unfair

Before making an appeal, we ask that you discuss the matter with your Trainer/Assessor in an attempt to reach a decision.

If you are still not happy, you are then entitled to lodge a formal Appeal by completing an "Complaints and Appeals Form" within 7 days of the initial discussion. Once a formal appeal is lodged a new Assessor will be appointed in an attempt to resolve the appeal Any decision recommended by this party is not binding to either party in the dispute.

If you are still not satisfied another registered training provider in the same curriculum area will be appointed to arbitrate and reassess participants if necessary.

You have the right to a support person to be involved at all times during the appeal process.

Following is the process submitting an Appeal:

1.   Student receives a result for an assessment task of which they do not agree with the result

2.   Student completed a *Complaints and Appeals Form*

3.   The *Complaints and Appeals Form* is submitted to the RTO Manager

4.   A written acknowledgement of receipt will be forwarded to the Student confirming receipt of the *Complaints and Appeals Form*

5.   The RTO Manager will consult with the trainer/assessor and student individually

6.   The RTO Manager is to follow the process on the *Complaints and Appeals Form* for the process under "Recommend Action Required for Improvement"

7.   An initial meeting should be help within 10 business days

8.   The student will be advised of the outcome of this consultation process within 15 business days of the dispute being lodged

9.   If it is decided that there is a case for review, a suitably qualified, independent assessor will be employed to conduct another assessment. An assessment date will be negotiated with the student. Following the assessment, the student will be advised of the result within 10 business days

10. If the student is not satisfied with any decisions made in this review process, a Review Board (which may include representatives from another RTO) will be convened to review the case again. An opportunity for Improvement Form may need to be completed in order to identify any improvements on the process that may need to be made

11. All *Complaints and Appeals Forms* received are to be entered onto the Complaints and Appeals Register

All *Complaints and Appeals Forms* are to be reviewed during the monthly Quality and Compliance Meetings. If the RTO determines that the appeals process will take more than 60

	calendar days, the RTO manager will notify the student in writing including reasons why more than 60 days is required. The RTO manager will regularly update the student with the process.
Evidence	▪ Complaints and Complaints and Appeals Form ▪ Complaints and Appeals Register ▪ Complaints Report Form
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

Standard 7
The RTO has effective governance and administration arrangements in place

7.1	The RTO must ensure that its executive officers or high managerial agent:
a)	are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
b)	meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Strategy	In order to ensure that the RTO complies with the RTO Standards at all times, its executive officers and high managerial agents are responsible for the implementation of these policies and procedures.
	All executive officers (CEO, RTO Manager or an owner who owns more than 15% of the RTO) and the "high managerial agent" of the RTO must satisfy the requirements of Schedule 3 of the Standards for RTO's, which are the Fit and Proper Person requirements.

Policy and Procedure/s

Executive Officer or High Managerial Agent's Responsibilities

Senior Management is responsible for ensuring the RTO complies with the VET Quality Framework as well as ensuring that all staff and students comply with the Standards for RTO's.

The Position Description for the CEO and/or RTO Manager outlines the responsibilities according to compliance requirements with the VET Quality Framework including the Standards for Registered Training Organisations 2015. Within the Position Description it also outlines the CEO's responsibility for management of operations and implementation of these polices and procedures.

The CEO is responsible for ensuring that the monthly Quality and Compliance Meetings are held, discussing Continuous Improvement and reviewing data collected, as well as actioning non-compliances and ensuring regular internal audits are undertaken.

Key accountabilities

Ensure that the operations, staff and students of the RTO comply with the VET Quality Framework, which comprises of the following:

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2011
- the Data Provision Requirements 2012

This applies to all of the operations within the RTO's scope of registration, as listed on the National Register (http://www.training.gov.au).

1. The CEO will ensure that the RTO cooperates with the National VET Regulator:

   - In the conduct of audits and the monitoring of its operations
   - By providing accurate and timely data relevant to measure of its performance
   - By providing information about significant changes to its operations
   - By providing information about significant changes to its ownership; and
   - In the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements

2. Ensure that the RTO and its staff/students comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its scope of registration

3. Ensure that the staff and students are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

4. Public Liability insurance is kept current and the level of insurance is suitable for the intended size and scope of operations.

5. Monitors the outcomes of its operations and compliance with the Standards as a basis for improvement, and can demonstrate that improvement action is taken as appropriate.

6. Manages risk within the RTO, part of this responsibility includes determining the level of risk that is tolerable for the RTO and for ensuring that the necessary treatment plans are implemented for those risks that are considered to be unacceptable.

7. Responsible for providing the regulatory body with a formal assurance that the company has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.

Fit and Proper Person Requirements

The Fit and Proper Person Requirements are designed to ensure that key personnel have the characteristics and principles necessary to ensure the delivery of high-quality services and outcomes for students. These requirements are set to protect and inspire confidence in the VET system, and to safeguard Australia's reputation as a premier provider of VET (both locally and internationally).

Executive Officers and/or High Managerial Agents of the RTO will ensure that they meet the require3ments of Schedule 3 of the Standards for RTO's 2015, which includes the following considerations *(taken from the Users' Guide to the Standards for Registered Training Organisations 2015):*

a) *whether the person has been convicted of an offence against a law of the Commonwealth or a State or Territory of Australia, or of another country, and if so, the seriousness of the offence and the time elapsed since the conviction was recorded*

b) *whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO had its registration on the National Register cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration*

c) *whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a condition of its registration under the Education Services for Overseas Students Act 2000 or the Tertiary Education Quality and Standards Agency Act 2011*

d) *whether the person has ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors, and if so, the time elapsed since this event occurred*

e) *whether the person has ever been disqualified from managing corporations under Part 2D.6 of the Corporations Act 2001, and if so, whether the disqualification remains in place*

f) *whether the person was involved in the business of delivering courses or other services on behalf of a person that was the subject of regulatory action described in points b) or c) above, and if so, the relevance of the person's involvement*

g) *whether the person has ever provided a VET Regulator with false or misleading information or made a false or misleading statement to a VET Regulator, and if so, whether it is reasonable to assume that the person knew that the statement made or information provided to the VET Regulator was false or misleading*

h) *whether the person has ever been determined not to be a fit and proper person as*

prescribed under any law of the Commonwealth or of a State or Territory of Australia, and if so, whether that determination remains in place

i) whether the public is likely to have confidence in the person's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications

j) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a government training contract, and

k) any other relevant matter.

Evidence	▪ Chief Executive Officer's Position Description ▪ RTO Manager's Position Description
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

7.2	The RTO satisfies the Financial Viability Risk Assessment Requirements.

Strategy

The CEO will report to its registering body any change to its business or financial circumstances that may negatively impact its operations.

 In maintaining the RTO alignment with the requirements of Clause 7.2, the CEO must ensure that its own financial management Policy is followed and understood by relevant staff. The minimum Enrolment Fee Information must accompany Course Fee advice provided by the RTO to enrolling students.

Policy and Procedure/s

Financial Viability Risk Assessment Requirements

The Financial Viability Risk Assessment Requirements 2011 aim to ensure that an RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

The Financial Viability Risk Assessment Requirements provide clear guidance to RTOs on the common indicators for financial risk assessment, and on the information that may be included in assessment of financial viability.

Financial Viability

The CEO will ensure that the RTO cooperates with the National VET Regulator, on request, that it will be financially viable at all times during the registration. The CEO will do this by:

- Assisting in the conduct of audits and the monitoring of its financial operations
- providing accurate and timely data relevant to measures of its performance
- providing information about significant changes to its operation
- through the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.

Monitors the outcomes of its operations and compliance with the National VET Regulator as a basis for improvement and can demonstrate that improvement action taken is appropriate.

Responsible for ensuring the RTO's accounts are certified, at least annually, by a qualified accountant:

With a membership of:

- Certified Practicing Accountant Australia
- The Institute of Chartered Accountants in Australia, or
- The National Institute of Accountants

Evidence

- Accounting records

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management

PROTECT PREPAID FEES BY LEARNERS (7.3)

7.3	Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.
Strategy	To comply with the "Requirements for Fee Protection" in Schedule 6 of the Standards for RTOs, this includes fees collected by Third Parties (including by an education agent or broker) and online shopping carts to collect fees online.

Policy and Procedure/s	**Fee Protection Policy (S)**
	
	Prepaid fees include all fees paid in advance from individual leaners and prospective students. These requirements do not apply to employers engaging the RTO to provide training/assessment to its staff.
	
	Fees include **all** fees that the student is required to pay to complete the course, this includes:
	
	    ▪ Enrolment/Administration Fees
	    ▪ Tuition Fees
	    ▪ Fees for materials, including text books
	    ▪ Any other fee component that is a mandatory fee to complete the course
	
	The RTO will ensure that all fees are clear and transparent on the course flyer.
	
	All student fees will be protected by one or more of the following measures:
	
	    ▪ Threshold Prepaid Fees
	    ▪ Unconditional Financial Guarantee
	    ▪ Tuition Assurance Scheme
	
	Threshold Prepaid Fee
	
	The RTO requires a minimum deposit, which will not exceed $1,500 per individual student, prior to course commencement. If the full course fees are below $1,500, the full fees may be required prior to course commencement. Please refer to the course flyers for an outline of all course fees.
	
	Following course commencement, full fees will be required to be paid by either a payment plan (if remaining fees are over $1500), or in full (if the remaining fees are below $1500) for tuition and other services yet to be delivered.
	
	In order to protect students who prepay course fees in excess of $1500, the RTO has in place the following policies:
	
	1) If the RTO is unable to provide services for prepaid services, the RTO will place the student into an equivalent course such that:
	
	    a) The new location is suitable to the student
	
	    b) The student receives the full services for which they have prepaid at no additional cost to the student; or
	
	2) Students will be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
	
	3) The RTO will not collect more than $1500 prior to course commencement and progress payments will not exceed $1500 instalments throughout the course.
	
	4) If course fees are more than $1500, progress payments will not exceed $1500 and the remaining course fees will be evenly distributed across the duration of the course delivery.

Unconditional Financial Guarantee

If applicable, the RTO may hold an unconditional financial guarantee from a bank operating in Australia where:

a) The guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount ($1500) for each student for services to be provided by the RTO to those students; and

b) All establishment and ongoing maintenance costs for the bank guarantee are met by the RTO.

Tuition Assurance Scheme

If applicable, the RTO may have in place current membership with a Tuition Assurance Scheme approved by ASQA.

Evidence	▪ Enrolment Agreement Form ▪ Student Handbook ▪ Course Flyers
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

HOLD PUBLIC LIABILITY INSURANCE (7.4)

7.4	The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.
Strategy	The RTO will ensure that it has in place a level of insurance that is suitable for the size and scope of the RTO's operations that provides coverage for the RTO. Public Liability insurance will specifically cover "Training and Assessment" activities.
Policy and Procedure/s	### Insurance (S) The RTO maintains public liability Insurance throughout its registration with adequate cover suitable for the RTO's size and scope of registration, which is generally set as $10,000,000. The CEO is responsible for ensuring that sufficient cover is in place to cover the usual risks associated with the operations of an RTO including coverage for training and assessment activities. Other insurances relevant to the RTO's operations may include: ▪ Professional indemnity, workers compensation (as required) ▪ Building and contents (where appropriate)
Evidence	▪ Insurance Covernote ▪ Student Handbook ▪ Organisational Profile
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

PROVIDE ACCURATE INFORMATION ABOUT PERFORMANCE AND GOVERNANCE (7.5)

7.5	The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Strategy	To collect AVETMISS and Quality Indicator data in accordance with the Data Provision requirements in DPR 4 and 6.
Policy and Procedure/s	### AVETMISS Reporting Data collected for AVETMISS reporting, which is collected an Enrolment Agreement Forms, will be sent to the National VET Regulator as determined by the National VET Regulator. The CEO will ensure that the report is submitted by implementing the following procedure. 1. All students are required to complete an enrolment form, which includes data to be collected for the purpose of AVETMISS reporting 2. All data collected on the enrolment form is to be entered into the Student Management System 3. By no later than the end of February each year, the RTO is to produce an AVETMISS report from the Student Management System 4. On or before the end of February each year, the CEO is responsible for ensuring that an AVETMISS report is submitted to the regulatory body as required. Please refer to DPR 4 for our policy and procedure for submitting AVETMISS data reports. ### Quality Indicator Reporting The RTO will distribute to every student an AQTF Quality Indicator Lerner Engagement Survey and to each employer an AQTF Quality Indicator Employer Satisfaction Survey. The data collected on these surveys will be compiled into a summary report which will be submitted annually to the Regulator. Please refer to our policy and procedure for DPR 6 for more details. ### Exemptions The RTO will collect and report full AVETMISS data and Quality Indicator reports for all learners, unless it is exempt under the "National VET Provider Collection Data Requirements Policy".
Evidence	▪ Student Management Database ▪ AVETMISS Reports
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

Standard 8
The RTO cooperates with the VET Regulator and is legally compliant at all times.

PROVIDE REQUESTED INFORMATION TO ASQA (8.1 & 8.2)

8.1   The RTO cooperates with the VET Regulator:

a)   by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;

b)   in the conduct of audits and the monitoring of its operations;

c)   by providing quality/performance indicator data;

d)   by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;

e)   by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

f)   in the retention, archiving, retrieval and transfer of records.

8.2   The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

a)   by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

b)   in the conduct of audits and the monitoring of its operations.

Strategy	The CEO ensures compliance with the regulatory body requirements by ensuring that they keep up to date with the requirements under the following:

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2011
- the Data Provision Requirements 2012

The CEO will keep up to date with the changes by registering to receive updates from the following industry organisations and websites:

- ASQA alerts and newsletters, including General Directions
- www.training.gov.au
- Industry Skills Council updates
- Australian Qualifications Framework updates
- NCVER Updates
- VET network updates

Policy and Procedure/s	As outlined within the Position Description the CEO is responsible for ensuring that the RTO cooperates with the National VET Regulator. Following is an outline of how the CEO will be required to co-operate with the National VET Regulator:

a)   By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration

b)   **In the conduct of audits and the monitoring of its operations** – the CEO is responsible for ensuring that all staff participate in the conduct of audits and the monitoring of its operations. Monitoring of operations is managed through the monthly Quality and Compliance Meeting.

c)   **By providing accurate and timely data relevant to measures of its performance** – the CEO is responsible for ensuring that relevant data, including AVETMISS and Quality Indicator Reporting, is provided to the National VET Regulator in an accurate and timely manner. Refer to the policy and procedure for AVETMISS Reporting in relevant policies and procedures and Quality Indicator Reporting.

d)   **By providing information about significant changes to its operations** – the CEO is

responsible for ensuring that the "Notification of Change of Provider Details" form, which can be accessed from the ASQA website, is completed and submitted to ASQA whenever there is a significant change to operations within the RTO. Following is an extract from the "Notification of Change of Provider Details" form, which outlines the use of the form within 90 days.

Notification of Change of Provider Details

Use this form to:

- provide written notification of change to the details of a registered training organisation (RTO) and/or a Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) provider
- informs the regulatory body about changes to permanent RTO delivery sites.

Do not use this form to:

- notifies the regulatory body of a material change to the organisation's operations or management (use the 'Notification of material change of event' form)
- notifies the regulatory body that an event has occurred that may impact on the organisation's ability to comply with the VET Quality Framework (use the 'Notification of material change of event' form)
- request a change to RTO scope of registration (use the 'Application to change RTO scope of registration' form in ASQAnet)
- make changes to CRICOS scope of registration, including changes to courses or delivery sites or capacity (use the 'Application to amend CRICOS registration' form) where ASQA is the designated authority

The information above has been derived from the "Notification of change of provider details" form, which can be accessed from www.asqa.gov.au/forms.html.

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e) **By providing information about significant changes to its ownership** – the CEO is responsible for ensuring that the "Material Change or Event" form, which can be accessed from the ASQA website, is completed and submitted to the regulatory body whenever there is a material change or event that has occurred within the RTO. Following is an extract from the "Material Change or Event form, which outlines the use of the form within 90 days.

Material Change or Event

A material change includes changes to an RTO's or a CRICOS provider's:

- Chief Executive Officer/Principal Executive Officer/Executive Officer/High Managerial Agent
- financial administration status
- legal name or type of legal entity
- ownership, directorship and/or control (including sale of RTO business).

An event that may significantly affect the RTO's ability to comply with the VET Quality Framework would include events such as:

- information arising that may impact on the 'Fit and Proper Person' status of an influential representative of the RTO or CRICOS provider
- commencing or dissolving an arrangement with another organisation to conduct training and/or assessment on the RTO's behalf
- significant change to a fundamental funding/revenue source of the RTO (eg. Government funding contract allocation)
- significant change to the RTO's business strategy driven by a change to Government policy
- commencing delivery to apprentices or trainees employed under a training contract, or

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- another significant event not classified elsewhere.

Some changes may affect the organisation's registration status. ASQA will investigate all material changes and events and inform the organisation about any further action required.

The information above has been derived from the *"Notification of material change or event"* form, which can be accessed from www.asqa.gov.au/forms.html.

f) **In the retention, retrieval and transfer of records consistent with the National VET Regulator's requirements** – The CEO is responsible for ensuring that all records are retained, are easy to retrieve or access and data can be transferred to the Regulatory body as required. Refer to the Records Management policy and procedure.

By signing the CEO Position Description and Statutory declaration Change of chief executive and the Fit and Proper Person Requirements Declaration Form (ASQA forms can be accessed from www.asqa.gov.au/forms.html) the CEO agrees that they are responsible for ensuring that the RTO complies with the National VET Regulator requirements and will ensure all staff will cooperate with the National VET Regulator when requested.

Evidence	- Chief Executive Officer's Position Description - Completed Regulatory Body forms
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.
Responsibility	- Chief Executive Officer - Senior Management

NOTIFY ASQA REGARDING THIRD PARTY AGREEMENTS (8.3)

8.3	The RTO notifies the Regulator:
	a) of any written agreement entered into under Clause 2.3 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
	b) within 30 calendar days of the agreement coming to an end.

Strategy

To ensure that the regulatory body is notified within 30 calendar days of any Third Party Agreements, whereby another organisation is delivering training and assessment under the scope of registration of the RTO, being commenced or ceased.

Policy and Procedure/s

Notify ASQA of Third Party Arrangements

Using ASQAnet the RTO must notify ASQA of the commencement and cessation of any third party service arrangements.

To notify ASQA of a third-party arrangement:

- Log in to ASQAnet
- Go to the 'Notifications' tab and select 'Third-party service arrangements'

There is no cost associated with submitting the notification form. ASQA will process the form and send you an email confirming the update to your organisation's registration details.

It is an explicit requirement of all RTO's under the *Standards for RTOs 2015* that they notify ASQA within 30 days of entering a written agreement with another organisation for the delivery of services—including training, assessment, related educational and support services and/or any activities related to the recruitment of prospective learners—on your RTO's behalf.

Evidence

- Quality and Compliance Meeting Minutes
- Completed Regulatory Body forms

Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **July** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management

MAKE AN ANNUAL DECLARATION ON COMPLIANCE WITH THE STANDARDS (8.4)

8.4	The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it: a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and b) 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.

Strategy

Each year the Chief Executive Officer is responsible for signing an Annual Declaration stating that the RTO is compliant with the standards to the VET Regulator. To ensure that the RTO is compliant, the RTO has in place a policy that an Annual Internal Audit will be conducted to ensure compliance with the standards, this audit will include a review of the following:

- Training and Assessment Strategies
- Training and assessment tools
- Quality and Compliance Manual
- Student Handbook
- Trainers Handbook

Policy and Procedure/s

Annual Internal Audits

The CEO shall ensure that the person responsible for carrying out an Internal Audit is conversant with the policy and procedures for conducting internal audits across the RTO's scale of operations, Policies and Procedures and those organisations that conduct training on its behalf.

The CEO will ensure that all annual Internal Audits conducted by the RTO are against the VET Quality Framework and will apply to all of the RTO's training delivery and assessment within its scope of registration.

The CEO shall ensure that all Internal audits conducted has an action plan for addressing the non-compliances. The RTO should utilise the ASQA Audit Report template and following the receipt of such a report the next management meeting shall feature the report as an item of business.

The CEO shall review and act upon all non-compliance issues within 20 business days following all Internal Audits.

Audit procedures

1. Notify all staff by email or memo advising the schedule of the audit and the scale of the audit (including partnership organisations, if applicable)

2. Review the management meeting minutes from the previous 12 months for any inaction from Opportunities for Improvement that were identified.

3. Review the Opportunity for Improvements from the previous 12 months of operation or for the period of registration.

4. Review Assessment Validation activities from the previous 12 months of operation or for the period of registration.

5. Review all Third Party Arrangements, agreements and assessment validation activities for the previous 12 months.

6. Review the legislation under the VET Quality Framework and all other appropriate legislative requirements.

7. Source the appropriate regulatory authority for updates of compliance requirements.

8. Review all relevant State and Commonwealth Legislation and its availability to all staff.

9. Complete a full report, identifying non-compliances against the Standards for NVR RTO's

10. Provide the CEO with a copy of the full report of non-compliances.

11. Date and file a copy of the record of internal audit and the full report of non-compliance in the RTO's Audit File.

12. Review Audit non-compliances and identify an action plan at the monthly Quality and Compliance Meeting

13. The RTO may also choose to engage an external consultant to conduct the Internal Audit, which will provide an external view of the RTO's operations.

Annual Declaration

Each year the CEO is responsible for submitting an Annual Declaration of Compliance to ASQA. This Annual Declaration includes questions regarding whether the RTO:

- currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards 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."

The Annual Declaration of Compliance is to be submitted online using the online form at http://ems.gs/3pwg0kObwfj

This declaration must be completed and submitted by 31 March 2016 by the chief executive officer of the RTO referred to in Section 1 of the declaration.

Statements and commitments made in Section 2 of the declaration are to cover the entire scope of operations of the RTO, including any services provided on its behalf by external organisations, either within Australia or abroad.

Statements and responses made in Section 2.2 relate to the period from 1 April 2015 to 31 December 2015.

You must provide a response to each question and to each part of each question.

Commitment

In submitting this form, the chief executive officer of the RTO declares:

- That he/she is the legally responsible person for the registration of the RTO referenced in Section 1 of this declaration.
- That to the best of his/her knowledge, all answers provided to questions in the declaration are true and accurate.
- That response actions referenced in Section 2 of the declaration, if applicable, have been implemented in full or will be implemented in full within the coming year.
- That to the best of his/her knowledge and considering all influential owners, executive officers and high managerial agents, the RTO satisfies the *Fit and Proper Person Requirements* at Schedule 3 of the Standards.

Submitting the declaration

You need to complete this declaration and submit it by 31 March 2016.

Regulatory penalties may be imposed by ASQA for late or non-submission.

Evidence
- Internal Audit Reports
- Opportunity for Improvement Register

	▪ Quality & Compliance Minutes Register
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.
Responsibility	▪ Chief Executive Officer ▪ Senior Management

COMPLY WITH ALL RELEVANT LEGAL REQUIREMENTS (8.5 AND 8.6)

8.5	The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Strategy

The RTO will comply with this standard by ensuring that staff and students are advised of their rights and responsibilities against the relevant Commonwealth, State or Territory legislation and regulatory requirements through the following Policies and Procedures documents:

1. Student Handbook (All students and staff are required to be given access to this manual)

2. Trainers Handbook (All staff, including training and administration staff, are required to be given access to this manual)

3. Quality and Compliance Manual (All Administrative and Management staff are required to be given access to this manual)

Students will also be notified of all other Commonwealth, State or Territory legislation and regulatory requirements that is relevant to their specific type of training or course area, through their training/assessment materials and/or their allocated trainer.

Policy and Procedure/s

Legislative and Regulatory Requirements (T&S)

When undertaking work experience, the student acknowledges that they must observe the employers Workplace Health and Safety (WHS) Policies and all workplace practices, as instructed by the employer, including Equal Rights, Equal Opportunity and the Anti-Discrimination Acts. In consideration of all the RTO clients and students it is important that adherence to all legislative acts and regulations are observed while undertaking training.

The student acknowledges that they must observe the RTO's policies and procedures, according to State and Federal Government legislative and regulatory requirements, as set out in the Student Handbook.

Statutory Education Licence

Provisions under Part VB of ***The Copyright Act 1968*** allow all educational institutions to copy and communicate third party material to distribute to students, within the limitations of the Statutory Education licence. The Copyright Agency Ltd (CAL) administers the Statutory Education licence on behalf of the Attorney General's Department.

Any RTO electing to rely on this licence is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner. It facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

Without this licence an educational institution is generally not allowed to reproduce any third party material from any source, other than where there is a direct licence/subscription in place, or permission has been granted by the creator of the work.

For further details about the Statutory Education licence and/or how to apply, call CAL's education team on 02 9394 7600 or email educationlicences@copyright.com.au.

Standards for Registered Training Organisations 2015 (T)

The Standards for Registered Training Organisations 2015 form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications. These Standards set out the requirements that Optimistic Futures Pty Ltd are required to meet in order to be an RTO.

RTOs are required to comply with these Standards and with the:

- *National Vocational Education and Training Regulator Act 2011* or equivalent legislation covering VET regulation in a non-referring State as the case requires
- VET Quality Framework

Note – the *National Vocational Education and Training Regulator Act 2011,* or equivalent legislation covering VET regulation in a non-referring State, provides the VET Regulator with the powers necessary to carry out its functions. Nothing in these Standards may be read as limiting or diminishing those powers.

These Standards should be read in conjunction with the:

- Standards for Training Packages
- Standards for VET Accredited Courses
- Standards for VET Regulators

All employees, including contractors, of Optimistic Futures Pty Ltd are required to comply with the regulatory requirements of these standards across the RTO's operations and scope of registration. Compliance with the Standards includes ensuring that training products delivered by the RTO meets the requirements of training packages or VT accredited courses, and have integrity for employment and further study and ensure that the RTO operates ethically with due consideration of learners' and enterprises' needs.

National Vocational Education and Training Regulator Act 2011 (T&S)

The National Vocational Education and Training Regulator Act establishes the regulatory requirements for registration of a RTO's. The objectives of this act are:

a) to provide for national consistency in the regulation of vocational education and training (**VET**); and

b) to regulate VET using:

    i. a standards-based quality framework; and

    ii. risk assessments, where appropriate; and

c) to protect and enhance:

    i. quality, flexibility and innovation in VET; and

    ii. Australia's reputation for VET nationally and internationally; and

d) to provide a regulatory framework that encourages and promotes a VET system that is appropriate to meet Australia's social and economic needs for a highly educated and skilled population; and

e) to protect students undertaking, or proposing to undertake, Australian VET by ensuring the provision of quality VET; and

f) to facilitate access to accurate information relating to the quality of VET.

Note 1: The standards-based quality framework mentioned in paragraph (b) consists of instruments made by the Ministerial Council, the Minister or the National VET Regulator.

Note 2: These objects are subject to the constitutional basis for this Act (see Division 3).

Australian Qualifications Framework (AQF) (T)

Applicants and RTOs are required to comply with the Australian Qualifications Framework (AQF), in particular when developing materials or writing Training and Assessment Strategies. The AQF is the quality assured national framework of qualifications in the school, vocational education and training, and higher education sectors in Australia. The AQF Handbook outlines the requirements for setting up Certificates and Testamurs

Fit and Proper Person Requirements (T)

The Fit and Proper Person Requirements are designed to ensure that key registered training organisation (RTO) personnel have the characteristics and principles necessary to ensure the delivery of high-quality services and outcomes for VET graduates.

These requirements are set to protect and inspire confidence in the VET system, and to safeguard Australia's reputation as a premier provider of VET (both locally and internationally).

For relevant applicants and RTOs, the **Fit and Proper Person Requirements** replace the fit and proper person requirement in Conditions of Registration (COR) 1 in the **Australian Quality Training Framework** (AQTF).

The **Fit and Proper Person Requirements** are now a legislative instrument made by the Federal Minister for Tertiary Education, Skills, Jobs and Workplace Relations under subsection 186(1) of the National Vocational Education and Training Regulator Act 2011.

The new **Fit and Proper Person Requirements** apply similar tests to those found in AQTF COR 1 to determine standards of behaviour by individuals who are in a position to influence an RTO's management.

However, the Fit and Proper Person Requirements also now provide clarity on **which** persons should be subject to these tests. The requirements have been strengthened to allow other relevant matters to be factored into these decisions.

Financial Viability Risk Assessment Requirements (T)

The Financial Viability Risk Assessment Requirements 2011 aim to ensure that an applicant or RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

The new Financial Viability Risk Assessment Requirements provide clearer guidance to relevant applicants and RTOs on the common indicators for financial risk assessment, and on the information that may be included in assessment of financial viability.

The **Financial Viability Risk Assessment Requirements 2011** are now a legislative instrument, made by the Chief Commissioner, ASQA, under subsection 158(1) of the National Vocational Education and Training Regulator Act 2011.

The Fact sheet—financial viability explains the criteria ASQA uses to assess an organisation's financial viability.

Data Provision Requirements 2012 (T)

The Data Provision Requirements 2012 outlines the requirements for applicants and registered training organisations (RTOs) to capture and provide data to the regulatory body.

The data required relates to registration and performance information, including quality indicator data and information derived from the Australian Vocational Education and Training Management of Information Statistical Standard (AVETMISS).

The Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) for VET providers is a national data standard for VET providers that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.

For a copy of the AVETMIS Standard go to http://www.ncver.edu.au and select Statistical Standards – VET Providers.

(Note: AVETMISS is revised from time to time to maintain relevance and appropriateness. The current version can be accessed from the NCVER website (above).

The Data Provision Requirements require relevant applicants and RTOs to show that they have adequate systems to capture and report on this data against the agreed quality indicators.

Privacy Protection Act 2012 & Privacy Act 1988

The RTO respects the importance of securing any form of personal information which is collected from the student (s) and/or other Stakeholders. The RTO promotes and conducts the following policy in accordance with the privacy Amendment (enhancing Privacy Protection) Act 2012, which amends the Privacy Act 1988.

Australian Privacy Principle 1 – Open and transparent management of personal information

Types of information which will be collected and where it is held

The RTO collects information for training purposes and compliance against NVR standards to ensure quality service is given to its students in an open and transparent way.

The information collected and stored in the RTO's AVETMISS database includes;

- Student Name
- Age, sex
- Contact information
- Record progress
- For more information, please refer to Clause 17.4 for Records Management – paper based Policy and Procedure

How information is gathered

This information is collected for statistical purposes by the Government & regulating bodies. How the RTO gathers such information through the AVETMISS data collected on the enrolment form and the Q1 AQTF feedback form.

Australian Privacy Principle 2 – Anonymity and Pseudonymity

Should the student and/or stakeholder choose to remain anonymous or use a pseudonym the individual has the right when it is lawful and practicable to do so.

In the case of enrolling into a nationally recognised qualification, all students must use the identity details on their photo ID which will be verified by the RTO.

Australian Privacy Principle 3 – Collection of solicited personal information

Personal information other than sensitive information

The RTO will only collect personal information that is reasonably necessary for one or more of their functions or activities.

Sensitive information

Sensitive information in which the RTO may collect and/or solicit, would be for lawful means as authorised by or under an Australian Law or a court/tribunal order. Should sensitive information related to students health and safety, the RTO may collect this information with the consent of the individual or authorised by or under Australian Law.

Australian Privacy Principle 4 – Dealing with unsolicited personal information

Should the RTO receive personal information although not solicited such information, they will determine as soon as practicable and lawful to do so, destroy the information or ensure

the information is de-identified. The RTO will also, within a reasonable period after receiving the information, determine whether or not it could have been collected under APP 3.

Australian Privacy Principle 5 – Notification of the collection of personal information

At or before the time, or if that is not practicable as soon as practicable after, the RTO collects personal information about an individual, such steps will be taken to inform the individual:

- The identity of the RTO and contact details
- If the RTO collects or has collected person details from someone other than the individual
- If the collection of personal information is required or authorised by or under and Australian law or a court/tribunal order.
- The purpose for which the RTO has collected the information
- The consequences (if any) for the individual if all or some of the personal information is not collected by the RTO
- Whom the RTO discloses the personal information too
- How the individual may access the personal information and seek correction of such information
- Please refer to Clause 16.6 for access to records Policies & Procedures
- How the individual may complain due to any form of beach
- Please refer to Clause 16.1 for the Complaints and Appeals Policies & Procedures

Australian Privacy Principle 6 – Use or disclosure of personal information

The RTO will ensure and promote to its staff that disclosure of personal information for another purpose such as direct marketing, public relations and relationship building is not prohibited unless the individual has consented to the use of disclosing information.

Where State or Commonwealth funding supports training we are obliged to submit personal and progress details for research, statistical analysis, program evaluation, post completion survey and internal management purposes.

Australian Privacy Principle 7 – Direct marketing

The RTO will not use or disclose personal information for the purpose of direct marketing as outlined in APP 6 unless consent is made by the individual.

This includes sharing your personal details with another organisation unless it is a government department.

Australian Privacy Principle 8 – Cross border disclosure of personal information

The RTO will only transfer personal information to an individual or someone overseas if;

- The receipt of the information is subject of law
- The RTO believes that the disclosure of the information is reasonably necessary for one or more enforcement activities.

Australian Privacy Principle 9 – Adoption, use or disclosure of government related identifiers

The RTO must not adopt a government related identifier of an individual as its own identifier of the individual unless required or authorised by or under an Australian law or a court/tribunal order; if:

- The identifier is prescribed by the regulations
- The organisation is prescribed by the regulations

- The adoption, use or disclosure occurs in the circumstances prescribed by the regulations

In this case of Traineeships and Apprenticeships, students will be issued with a Training Contract Identification Number (TCID), which will be used for identified with the relevant government department.

In the case of the Unique Student Identifier (USI) all students will be required to produce this number prior to enrolment.

Australian Privacy Principle 10 – Quality of personal information

All personal information collected by the RTO must be accurate, up to date, complete and relevant. Refer to Clause 16.6 for the Policies & Procedures.

Australian Privacy Principle 11 – Security of personal information

The RTO must ensure that personal information is protected from misuse, interference and loss from unauthorised access, modification or disclosure. To ensure this, all data is collected and stored on the student management system with limited access to authorised personnel only.

Australian Privacy Principle 12 – Access to personal information

All students have the right to gain access to information on request that fall within the definition of personal information. Should the information be withheld from the individual, the RTO should provide reason why access will not be made available within lawful reasons. Please refer to the Access to Records Policies & Procedures under Clause 16.6.

Workplace Health and Safety Act 2011 (T&S)

The RTO is committed to providing and maintaining a safe and healthy environment for the benefit of all clients, visitors and employees.

The RTO monitors and maintains the appropriate Workplace Health and Safety levels and obligations under the Federal and State rules and regulations of the NSW Work Health and Safety Act 2011.

If students have any concerns or notice a condition or practice that seems unsafe, it is important that it is brought to the attention of the RTO management this generally occurs through the Trainer / Assessor.

According to Division 2, Section 19 - Primary duty of care:

a) A person conducting a business or undertaking must ensure, so far as is reasonably practicable, the health and safety of:

- workers engaged, or caused to be engaged by the person, and

- workers whose activities in carrying out work are influenced or directed by the person, while the workers are at work in the business or undertaking.

b) A person conducting a business or undertaking must ensure, so far as is reasonably practicable, that the health and safety of other persons is not put at risk from work carried out as part of the conduct of the business or undertaking.

c) Without limiting subsections (1) and (2), a person conducting a business or undertaking must ensure, so far as is reasonably practicable:

- the provision and maintenance of a work environment without risks to

health and safety, and

- the provision and maintenance of safe plant and structures, and

- the provision and maintenance of safe systems of work, and

- the safe use, handling, and storage of plant, structures and substances, and

- the provision of adequate facilities for the welfare at work of workers in carrying out work for the business or undertaking, including ensuring access to those facilities, and

- the provision of any information, training, instruction or supervision that is necessary to protect all persons from risks to their health and safety arising from work carried out as part of the conduct of the business or undertaking, and

- that the health of workers and the conditions at the workplace are monitored for the purpose of preventing illness or injury of workers arising from the conduct of the business or undertaking.

According to Division 4 of the Act:

28   Duties of workers

While at work, a worker must:

a)   take reasonable care for his or her own health and safety, and

b)   take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons, and

c)   comply, so far as the worker is reasonably able, with any reasonable instruction that is given by the person conducting the business or undertaking to allow the person to comply with this Act, and

d)   co-operate with any reasonable policy or procedure of the person conducting the business or undertaking relating to health or safety at the workplace that has been notified to workers.

29   Duties of other persons at the workplace

A person at a workplace (whether or not the person has another duty under this Part) must:

a)   take reasonable care for his or her own health and safety, and

b)   take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons, and

c)   comply, so far as the person is reasonably able, with any reasonable instruction that is given by the person conducting the business or undertaking to allow the person conducting the business or undertaking to comply with this Act.

WHS Incident Report (T&S)

The WHS Incident Report is utilised to record injuries and incidences that occur within the RTO/workplace and must be completed whenever an injury or incident is identified. The form collects data on the incident, personal details of the person who was injured and further action to be undertaken.

In the incident of a student injury, it is the responsibility of the Trainer/Assessor to complete the form with all the relevant details. In the incident of a staff member being injured, it is the responsibility of Administration Staff to complete the form with all the relevant details.

All staff and students are required to be safety aware and report all incidents, including an identified hazard or an injury that has occurred on the RTO premises or whilst on work placement. These should be either reported to your trainer or to the administration office at

the RTO.

The following procedure should be followed when reporting an incident after the event and when the area/person has been declared safe:

1. Obtain a copy of the "WHS Incident Report" form from either a trainer or the administration office at the RTO.

2. Complete the form to the best of your abilities, by ensuring all fields are completed on pages 1, and 2, as indicated.

3. Submit completed copy to reception at the RTO office.

4. Reception are required to forward the form to the WHS Officer

5. Your supervisor will identify and implement any controls and forward to the WHS Coordinator.

6. WHS Coordinator to complete pages 3 and 4 of the report "Action Required/Taken", including:

    a. How was the risk managed

    b. Whether the relevant safety authority and/or the insurance company was contacted

7. WHS Coordinator to identify whether a required WHS Risk Assessment is required.

8. WHS Officer to log the "WHS Incident Report" into the "WHS Register" and file.

9. All incidences to be discussed at the next Quality and Compliance Meeting.

10. In the case of minor incidences an "Opportunity for Improvement" form should be completed.

Hazard Identification (T&S)

Everyone is responsible for identifying and reporting hazards, which includes students, sub-contractors and employees of the RTO. If you identify a hazard, please report it to either your RTO Manager or the administration office. You will be required to complete either an *WHS Injury Report Form* or a *Hazard Identification Report Form*.

It is important all staff report any injury immediately, by completing a *WHS Injury Report Form*, which located in the *Trainers Folder* or in the *Administration Office*. If any staff have any concerns or notice a condition or practice that seems unsafe, it is important it is brought to the attention of RTO Manager or an Administration staff member of the RTO.

Emergency Procedures (T&S)

An emergency situation may be described as an incident that has the potential to cause loss of life or serious injury to personnel, or major damage to equipment or property. An emergency situation develops suddenly and unexpectedly and requires immediate action to bring under control.

In the event of an emergency, if practical, save human life or prevent the emergency from escalating eg. remove people from the area, fight the fire with appropriate firefighting equipment or turn off services.

Fire Emergency

If the emergency situation involves a fire the following points should be remembered if attempting to fight the fire:

1. When using a fire extinguisher do not aim the nozzle at the centre of the fire. Work from near edge and with a sweeping motion drive the fire to the far edge.

2. Do not stand down wind or downhill of a fire.

3. If there is any chance of chemicals or explosives in the fire, evacuate the area.

4. If there is any doubt about it being an electrical fire, treat it as an electrical fire.

5. If unable to immediately control the situation it must be reported by available means such as, telephone, etc.

6. You must notify your name, type of emergency, location of the emergency and assistance required.

7. Never take any unnecessary risks in attempting to control the situation. Evacuate first.

You need to make yourself aware of Emergency Procedures, the location of fire extinguishers or hose reels and the location of the Evacuation Meeting Point.

Evacuation Procedure (T&S)

In the event of an emergency situation eg: a fire, bomb threat, gas leak etc… each employee/contractor is required to follow the Evacuation Procedures below.

1. Upon notification to evacuate, eg alarm or a warning from the Fire Warden, each employee/contractor is to await further instructions from the Fire Warden.

2. Once the Fire Warden has given instructions to evacuate each staff member should:

    a. follow the Fire Warden to the Evacuation Meeting Point

    b. leave the building in an orderly manner, and

    c. meet at the Evacuation Meeting Point indicated on the signs located around the building.

3. Upon arriving at the Evacuation Meeting Point please await further instructions from the Fire Warden or the Emergency Services.

4. Please do not leave the Evacuation Meeting Point until you are instructed to do so, as a roll call will be initiated to ensure that there are no employees/contractors or students left behind in the building.

Risk Management for Excursions

Excursion Application Form

This form is to be completed and returned to the RTO Manager at least one week prior to a requested excursion for approval. This form provides a mechanism for documenting approval for an excursion and to ensure that relevant Risk Assessment and Control strategies have been considered and are in place prior to an excursion being undertaken. The RTO is required to review the Excursion Application Form, identify and take action on any risks identified and return to the Trainer and Assessor.

A copy of the approved form is reviewed at the monthly Quality and Compliance Meetings. Once reviewed the Excursion Application Form is scanned and placed onto the Course File within the Student Management Database.

Excursion Release Form

Following approval of the Excursion Application Form by the RTO, the Trainer is required to ensure that all the students attending the excursion sign the Excursion Release Form. It is the responsibility of the Trainer to ensure that all students sign this form and return the form to the Administration Office no later than the day of the excursion.

Anti-Discrimination Act 1977 (T&S)

The Anti-Discrimination Act 1977 aims to promote equality of opportunity for everyone by protecting them from unfair discrimination in certain areas of activity, including education and training. The services developed and offered by MIT, including their administrative practices and assessment processes, take into account the principles established by this legislation. For more information go to:

The RTO is committed to ensuring that all of its representatives, clients and participants are treated fairly and equally in their employment and training.

1. All opportunities are determined on the basis of merit without regard to nationally, race, religion, sex, sexuality, marital status, pregnancy, politics or impairment.

2. Trainer/Assessors are accountable for the implementation of this policy.

3. The RTO and its representatives have a responsibility to provide an environment, which is free from any form of discrimination, harassment, insult, ridicule, and victimisation or bullying either directly or indirectly.

Sexual Harassment Act 1984 (T&S)

All representatives of the RTO are required to note and agree to comply fully with the regulations and legislation preventing Sexual Harassment and ensure that all training participants are made aware of and comply with such regulations and legislation requirements.

Sexual Harassment includes but is not limited to:

1. Making unsolicited and unwelcome written, verbal, physical or visual contact with sexual over tones (for example: jokes, slurs, assault, touch or posters)

2. Continuing to express sexual interest after being informed that the interest is unwelcome

3. Masking reprisals, threats of reprisal or implied threats of reprisals following a negative response. (for example, suggesting a poor performance report will be given)

4. Engaging in implicit or explicit coercive sexual behaviour which is used to control, influence or affect the career, salary or environment of another

5. Offering favours or benefits such as promotions, favourable reviews, favourable assigned tasks, etc in return for sexual favours

The RTO strives for an environment free of sexual harassment. These policies against harassment apply to both the training and work environments for participants, clients, staff and contractors.

Anyone found to be in violation of this policy will be subject to appropriate disciplinary action, which includes warnings, reprimand, suspension, dismissal or cancellation of contract.

Harassment Act 1997 (T&S)

Harassment, victimisation, bullying or any such conduct that has the purpose or effect of interfering with an individual's work performance or creating an intimidating, hostile, or an offensive learning environment, will not be tolerated. This includes harassment, victimisation, bullying because of sex, race, national origin, religion, disability, sexual preference or age.

Harassment is unlawful under Commonwealth and State legislation and all harassment, bullying and victimisation are contrary to the duty of care to provide a safe environment for work and learning.

Harassment, victimisation and bullying can take many forms. It can be overt or subtle, direct or indirect.

Examples of Harassment may include:

- Unwelcome physical contact
- Repeated unwelcome invitations
- Insulting or threatening language or gestures
- Continual unjustified comments about a client's work or work capacity
- Jokes and comments about someone's ethnicity, colour, race

- Pictures, posters, graffiti, electronic images, which are offensive, obscene or objectionable.

Examples of victimisation may include:

- Unfavourable treatment like aggression
- Refusing to provide information to someone
- Ignoring a person
- Mocking customs or cultures
- Lower assessment of client work

Examples of bullying may include:

- A person who uses strength or power to coerce others by fear
- Behaviour that intimidates, degrades or humiliates a person
- Aggression, verbal abuse and behaviour which is intended to punish
- Personality clashes and constant 'put-downs'
- Persistent, unreasonable criticism of client work performance
- Client violence both physical and threatened against teachers

Staff and students should be aware that differing social and cultural standards may mean behaviour that is acceptable to some may be perceived as offensive by others. Such conduct, when experienced or observed, should be reported to your trainer or the Chief Executive Officer. All complaints will be promptly investigated.

Anti-Bullying (T&S)

Violence, harassment and bullying are human rights issues that profoundly affect the lives of many people in Australia.

We all have a right to feel safe and respected. We all have a right to live our lives free from violence. Violence, harassment and bullying can violate these rights. They can also impact on other rights, such as the right to education and the right to health. Violence, harassment and bullying affect well-being and quality of life.

Victims can experience significant social isolation and feel unsafe. Bullying can lead to emotional and physical harm, loss of self-esteem, feelings of shame and anxiety, and concentration and learning difficulties. Tragically, violence, harassment and bullying can lead to suicide in extreme cases.

These are not issues that concern only children and young people. Violence, harassment and bullying can occur in a number of different environments, including in workplaces, care facilities and in the community, and can affect people of all ages and backgrounds.

Bullying can also take place in cyberspace: over the internet and on mobile phones. New technologies enable the spread of information, ideas and images to large numbers of people very quickly. There are many challenges in protecting people from violence, harassment and bullying in cyberspace.

We all have a responsibility to create a safe environment by standing up against violence, harassment and bullying. If bystanders take safe and appropriate action to stop bullying, we can all be a part of the solution. In the event of a situation that is considered by clients to be in violation of the RTO harassment, victimisation and bullying policy, report the situation to management.

Refer to your state regulatory body for more information.

AFP National Police Check (T&S)

A number of industries require students and staff to complete a National Police Check before the students can commence Work Placement, these include Aged Care and Children's Services industries. In order to meet the requirements of these industries, the RTO may be required to undertake Police Record Checks of staff and students. Please refer to the following website for details: http://www.afp.gov.au/what-we-do/police-checks/national-police-checks.aspx

The following requirements **must** be met when submitting an AFP National Police Check (NPC) application. **Failure to meet the required standards will result in the application not being processed.**

1. All other names by which you are known or have previously been known (such as your maiden name), must be provided in full, including given names. Check that your date of birth is correctly entered.

2. **Full payment must accompany the application.** You can pay using either Visa, Mastercard or American Express. Alternatively, for a manually completed application you may pay by bank cheque, which must be in Australian dollars, or money order obtainable from Australia Post. **Personal and Company Cheques will not be accepted. Please do NOT send cash. Applications with incorrect amounts will not be processed.**

3. Copies of identification documents totalling 100 points must be provided. Details of the points attributed to identification documents are provided as part of the application process. **DO NOT SEND ORIGINAL IDENTIFICATION DOCUMENTS WITH YOUR APPLICATION.**

4. Ensure all the necessary details are submitted, including signed consent and copies of identification documents. Please note parental consent will be required if the applicant is under 18 years of age.

5. For manually completed applications:

   o You must submit the form no more than three months after signing it.
   o Mark the appropriate check boxes with a cross (X).
   o Ensure you secure all paperwork, forms, payment, and identification to your application.
   o Ensure all the necessary details have been completed and the form is **signed and dated.**
   o The application form must be completed using **block letters** (ie capital/uppercase)
   o Bank cheques and money orders are to be in Australian dollars ($AUD) and are to be made payable to the **Australian Federal Police**.
   o If paying by bank cheque it must be from an Australian bank or financial institution affiliated with an Australian bank. **Personal and Company cheques will not be accepted**.
   o The correct payment must be included with **all** applications.
   o Do not include self-addressed/stamped envelopes for return of certificates. These will not be used or returned.

Applications can be completed online through the following portal:

https://afpnationalpolicechecks.converga.com.au/

Copyright Act 1968 (T&S)

The copyright Act 1968 is an Act relating to copyright and the protection of certain performances, and for other purposes. For more information regarding the Copyright Act 1968 visit:

https://www.legislation.gov.au/Series/C1968A00063

Students and staff need to be aware that photocopying of text books and assessment tools may be in breach of the Copyright Act, please adhere to the copyright requirements listed within the relevant documents you wish to copy.

Working with Children Check (T)

Who needs a Working with Children Check?

A Working with Children Check is a prerequisite for anyone in child-related work in NSW. All

training and administration staff who may come into contact with students under the age of 18 years, this includes the delivery of training and assessment, are required to complete a Working with Children Check before they are able to work with students under the age of 18.

As a Registered Training Organisation, we have adopted child-safe policies and practices to help keep students under the age of 18 safe. For more information about creating child-safe organisations or to register for a workshop, go to Office of the Childrens Guardian.

A Working with Children Check includes a national police check and review of findings of misconduct involving children. The result is either a clearance or a bar.

If the outcome is a clearance, the Check is valid for five years and may be used for any child-related work (paid or voluntary) in NSW. Cleared applicants will be subject to ongoing monitoring and relevant new records could lead to a bar and the clearance being revoked.

Before engaging a new, paid, child-related worker, an employer must ensure the worker has a clearance to work with children, or a completed Check application in progress. Existing workers and volunteers should be verified online as they are phased in to the new Check.

The only way to accurately determine a person's clearance status is by verifying their Working with Children Check online; **paper evidence of a clearance should not be accepted**.

Child related work is defined as face-to-face contact with children in a child-related sector or work in a child-related role.

Child Protection (Working with Children) Regulation 2013 (T)

In accordance with the legislation for Child Protection under Child Related Work-Education, Trainers and staff need to be aware of their responsibilities as a Trainer to protect students under the age of 18, this includes staff who:

1. Work in schools or other educational institutions (other than universities) is child-related work.
2. Work providing private coaching or tuition to children is child-related work.

Please refer to the Child Safe Policy below

http://www.legislation.nsw.gov.au/maintop/view/inforce/subordleg+156+2013+cd+0+N

Evidence	- Student Handbook - Trainers Handbook - Quality and Compliance Manual - Enrolment Agreement Form - Position Descriptions - WHS Incident report
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.
Responsibility	- Chief Executive Officer - Senior Management

8.6	The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Strategy	Staff and clients of the RTO will be made aware of their rights and responsibilities through Position Descriptions and relevant Policies and Procedures. RTO Staff will be kept up to date with changes to relevant legislation by subscribing to updates from the relevant websites like http://www.comlaw.gov.au/
Policy and Procedure/s	## Changes in Legislation Senior Management who are responsible for Compliance are required to subscribe to updates to changes in legislation, including the legislation under the VET Quality Framework. When a change in legislation or regulations occurs, Senior Management are responsible for ensuring that: ▪ All staff, students and clients are notified of changes in writing ▪ Student Handbook is updated and the new version is provided to current students, clients and staff. New version is uploaded to Website ▪ Trainers Handbook is updated, if required ▪ Quality and Compliance Manual is updated, if required If it is determined that the change in legislation will have a significant impact on the organisation, Senior Management should undertake a risk assessment to identify how the RTO will need to adapt, this could include: ▪ Re-writing or implementation of new policies and procedures ▪ Implementation of new safety equipment ▪ Changes in organisational structure ## Induction Process - Legislation During the Induction process, staff will be informed of legislative and regulatory requirements that are mandatory to their position. All staff are issued with a Position Description prior to commencement, outlining the role and responsibilities, as well as a Trainers Handbook and Student Handbook, which outlines the legislative and regulatory requirements that affect their duties. All students will undergo an induction with the RTO, which will include the student's rights and responsibilities against the relevant Commonwealth, State or Territory legislation and regulatory requirements. Students are issued with a Student Handbook, which also includes the Student's rights and responsibilities that will affect their participation in vocational education and training. All staff are required to comply with the VET Quality Framework, which includes: ▪ the Standards for Registered Training Organisations (RTOs) 2015 ▪ the Australian Qualifications Framework ▪ the Fit and Proper Person Requirements 2011 ▪ the Financial Viability Risk Assessment Requirements 2011 ▪ the Data Provision Requirements 2012 other Commonwealth, state or territory regulatory requirements
Evidence	▪ Student Handbook ▪ Trainers Handbook ▪ Quality and Compliance Manual
Continuous Improvement	This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.

Responsibility

- Chief Executive Officer