



2017/2018

**POLICIES and PROCEDURES
MANUAL**

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**AUSTRALIAN ACADEMY OF TRADES
POLICIES & PROCEDURES MANUAL**

STAFF INFORMATION

To use this Manual electronically, hold down the control key on the Table of Contents Page and left click with the mouse on the item you wish to access.

To enable users to easily find relevant documents and use them in the day to day operations of the College, this Manual has been collated alphabetically.

The Policies and Procedures have been developed to guide the processes and practices of Australian Academy of Trades, and to comply with the Standards Registered Training Organisations 2015 as legislated in the *National Vocational Education and Training Regulator Act 2011*.

Conditions of Registration and CRICOS Policies and Procedures are contained in Separate Documents.

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Glossary¹

In these Standards, 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 a training package 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 0 to 0.

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

¹ **Error! Reference source not found.**

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 College 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 College; 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 College 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:
 - (i) is not an entity; and
 - (ii) 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
 - (iii) 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 College to provide training and assessment; and
- b) have no other involvement or interest in the operations of the College.

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 **Error! Reference source not found.** and **Error! Reference source not found.**, 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 College 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 College 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 College to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the College; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the College.

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 College but does not include a contract of employment between an RTO and its employee.

Trainers are persons who provide training in accordance with Clause 0, 0 and 0.

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 College'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.

Standards for Registered Training Organisations 2015

The Australian Academy of Trades Policies and Procedures reflect the requirements detailed in the *Standards for Registered Training Organisations 2015*. These Standards form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications.

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

These Standards have been read in conjunction with the:

- Standards for Training Packages
- Standards for VET Accredited Courses
- Standards for VET Regulators.

Purpose of the Standards

The purpose of these Standards is to:

1. Set out the requirements that an organisation must meet in order to be an RTO
2. Ensure that training products delivered by RTOs meet the requirements of training packages or VET accredited courses, and have integrity for employment and further study; and
3. Ensure RTOs operate ethically with due consideration of learners' and enterprises' needs.

Access and Equity Policy

1. PURPOSE:

Australian Academy of Trades endorses the principles of access and equity within VET, that is, that policies and approaches are aimed at ensuring responsiveness to the individual needs of clients, regardless of age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location, by adopting the following guidelines to ensure all learners are provided:

- Responsiveness to their individual needs and access, participation and the achievement of suitable outcomes throughout their course of study
- All relevant information regarding their prospective course of study prior to admission
- Equal treatment through the fair and appropriate allocation of resources and involvement in vocational education and training
- Equality of outcome within vocational education and training without discrimination
- Access to appropriate, quality vocational education and training programs and services
- Increased opportunities to participate in vocational education and training and in relevant decision making processes within the vocational education and training system.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.5, 1.6, 1.7) (Appendix 1).*
- *Standard 2: The operations of the College are quality assured (Clause 2.2) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clauses 5.1, 5.2) (Appendix 1).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively (Clauses 6.1, 6.2) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration Officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

Australian Academy of Trades / Policies and Procedures and Forms Manual Version 2.2 Dec 2017

6.1. Language, Literacy and Numeracy Skills

Staff and Trainers / Assessors are required to:

Observe, identify and immediately act when a student has problems with language, literacy, or numeracy;

- **Staff or trainers** will make every effort to maintain the confidentiality of students language, literacy, or numeracy difficulties
- Staff or trainers will not make discriminatory or judgemental statements about any student or other staff member based on the level of language, literacy, or numeracy skills or any other issues
- **Students** with language, literacy, or numeracy difficulties will be counselled on their skill deficit and the possible impact on the proposed Australian Academy of Trades training program
- Recommendations for assistance will be presented to the student to overcome the skill deficit. However, no student will be rejected because they decline this advice.
- Specialised training such as that offered by TAFE Queensland Certificate in Vocational Access Literacy and Numeracy may be recommended.
- Literacy/Numeracy Learning Support may be recommended. Details of access, cost, entry requirements etc. will be given to the student.
- **Managers** will hold monthly discussions with staff and trainers at staff meetings to reinforce company policy on Access and Equity, particularly if discriminatory or judgemental behaviour has been observed or identified
- **Managers** will review six monthly the effectiveness of language, or numeracy support programs and their impact on students undertaking any Australian Academy of Trades training program
- **Management and staff** have the joint responsibility of maintaining a high level of awareness of courses available to students with language, literacy, or numeracy problems.

6.2 Evaluating aims, objectives and delivery of programs

Managers are required to hold monthly meetings with staff and trainers at staff meetings to evaluate the College's aims, objectives and delivery of programs.

Programs will be evaluated under the following headings:

- Is it likely that the material, venue or delivery of the course would discriminate against any group or individual?
- Could amending or restructuring the course alleviate any such problems
- Do all students have an equal opportunity to complete the training?
- Are all students assessed fairly and without bias, favouritism or discrimination?
- When assessing students are only those aspects that are relevant to assessment considered?
- Is there any way the aims, objectives and delivery of training packages could be improved whilst still maintaining the integrity of the content?
- Have any students given feedback on a training incident which highlighted any Access and Equity Policy problems?

6.3 Training of staff in the principles of Access and Equity

- **All staff and trainers** have access to the company's Access and Equity Policy

- **All staff and trainers** will attend the staff induction, which covers amongst other topics, the implementation of the Access and Equity Policy
- **Any staff member or trainer** who breaches the Access and Equity Policy will be counselled on the breach and, if required, the staff member or trainer will undertake further training.

6.4 Formulating Policy and Plans

Managers will make all staff and trainers aware of any changes in the College's aims and objectives in regard to Access and Equity Policy

- **Staff and trainers** are encouraged to make any suggestions, which they feel may improve the Access and Equity Policy. All such suggestions will be welcome and any feedback on the suggestion will be given by the Managers to the staff member or trainer.

Validation_____

Assessment Policy

1. PURPOSE:

To ensure all assessments comply with the assessment requirements of the relevant training package or VET accredited course, which includes Recognition of Prior Learning (RPL); are conducted in accordance with the Principles of Assessment, being fair, flexible, reliable and valid; that they comply with the Rules of Evidence for validity, sufficiency, authenticity and currency, and are delivered in a consistent manner to all students

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.(Clauses 1.1 – 1.25)(Appendix 1)*
- *Standard 8: The RTO cooperates with the VET Regulator and is legally compliant at all times. (Clause 8.5) (Appendix 1).*
- *Schedule 2 (Appendix 2).*

3. **RESPONSIBILITIES:** HODS, College Trainers, Administration Officers,

4. **REFERENCES:** N/A

5. **RECORDS AND FORMS:** Assessment Appeal Form

6. ACTION/METHOD:

6.1 Industry relevance

The College's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

6.2 Assessor Qualifications

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

- a). Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 Schedule 1 (Appendix 2), or demonstrated equivalence of competencies; and
- a) From 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 Schedule 1 (Appendix 2)
- b) Vocational competencies at least to the level being delivered and assessed
- c) Current industry skills directly relevant to the training and assessment being provided; and
- d) Current knowledge and skills in vocational training and learning that informs their training and assessment.
- e) Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct assessments.

6.2 Planning the assessment

The trainer / assessor when developing an assessment plan will:

- Be thoroughly familiar with the Assessment Guidelines included in the relevant Training Package or the assessment requirements in the relevant accredited course with respect to course content, delivery and assessment.
- Closely plan course delivery material in relation to the presented learning outcomes and assessment criteria, when necessary, moderating content to accommodate student's needs.
- Monitor and record student results, reassessing where deemed appropriate.
- Assessment is to meet workplace and regulatory requirements and complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.
- Confer with the Head of Department/ Principal where in doubt.

6.2 Assessment implementation

The trainer / assessor will:

- Ensure all assessments are to be undertaken within the required timeframe.
- Discuss all aspects of assessment requirements with the students prior to the activity being conducted.
- Rate students as competent or not yet competent for each activity undertaken. Additional reasonable attempts will be given for each activity until competency is achieved. This can be negotiated with the student and confirmed by the DOS, if required.
- Ensure all students undertake the set assessment activities to achieve competency for the unit being taught. It is essential that the assessment be given under conditions that provide the student with a situation that does not place unnecessary pressure on the participant.

6.3 The student should be:

- Given adequate notice of the assessment (Course/Subject Outline)
- Given the opportunity to discuss the assessment requirements if she/he wishes
- Advised on the type and nature of the assessment and the expected outcome
- Provided with appropriate equipment
- Provided with appropriate feedback to the applicant about outcomes of the assessment process and guidance or future options

- Given a number of opportunities to prove competency
- Assured that the assessment is valid, reliable, fair and flexible
- Assured that the assessments are equitable for all persons, taking account of cultural and linguistic needs

The teacher should involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained

6.4 Assessment moderation

Where appropriate assessment needs to be moderated to accommodate students' needs, several factors are taken into account (Refer Standard 1). The teacher will ensure:

- Assessment meets the criteria of the Training Package/accredited course
- Materials are appropriate to the student's needs and program delivery methods
- Operational compliance with VET Quality Framework is considered (Refer Standard 8)
- Validity, reliability, flexibility and fairness of assessment are ensured
- Assessment records are kept and aggregated to monitor assessment reliability
- Assessors are fair and reasonable: familiar with the field, relevant industry standards and WH&S requirements, and; current with assessment techniques.

As with all assessment, assessment moderation is a flexible negotiation with students so that appropriate types of assessment, EEO and anti-discrimination principles are taken into account along with the particular needs and circumstances of the students.

When individual lecturers and/or course coordinators develop course content and assessment plans, the aforementioned information is always taken into account and processed accordingly.

Since assessment is competency-based and is designed to determine whether students can demonstrate target competencies, students who are unable to demonstrate competencies at a given time, or who successfully appeal assessment results, may be reassessed at an appropriate later date.

Staff members meet regularly, both formally and informally, to discuss assessment policy and procedures, incorporating outcomes from those meetings into on-going practice, and assessment items and projects.

6.5 Re-Assessment

Students will be given the opportunity to undertake reassessment should they be deemed not competent in any assessment activity, or the student can appeal an assessment outcome.

Students may seek reassessment by applying to the Trainer/Teacher/Assessor, Registrar or Principal, or other designated staff.

When applying, students must provide evidence of prior assessment attempts, i.e., any written work, assignments, exams, documentation of group work, role-plays etc, or; in the case of being absent for an assessment owing to illness or injury, a doctor's certificate.

The designated staff may recommend at a Feedback Interview that a student should undertake reassessment.

A relevant assessor meets with the student to discuss reassessment.

The assessor and student mutually agree on assessment particulars, such as:

- Time
- Location
- Method
- Content

6.6 Students absent from assessment

Students must have a reasonable explanation for being absent during an assessment task.
Course feedback

At the completion of each competency teachers are required to obtain feedback from each participant.

Validation_____

Assessment Moderation and validation

1. PURPOSE:

To ensure consistency of assessment outcomes by reviewing, comparing and evaluating assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.(Clauses 1.1 – 1.25) (Appendix1)*
- Schedule 1 (Appendix 2).

3. RESPONSIBILITIES: College Principal, Trainers and Assessors

4. REFERENCES: Systematic Validation of Assessment Plan 2015 - 2020

5. RECORDS AND FORMS: Agenda Industry Consultation Form

6. ACTION/METHOD:

6.1 Moderation and Validation:

Staff meet regularly to validate assessments tools.

Meetings occur before and after assessment. Meeting Minutes are documented on the relevant form. During such meetings, a staff member is invited to outline to the other staff the assessment tools that he/she is using to assess unit(s) of competency (ies) and the range of evidence used to make judgements.

From time to time, a representative from a business is invited to this meeting or a representative of another provider is invited.

Persons attending this meeting are required to discuss and critique the assessment processes, tools and the evidence as outlined by the staff member.

Staff assessing the same units of competency are may also conduct informal meetings. Again, they review, compare and evaluate the assessment processes, tools and evidence contributing to judgements.

These meetings are documented and so is any action taken to improve the quality and consistency of assessments.

6.2 Systematic Validation

The College has implemented a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the College'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.

For the purposes of the above, 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 College's scope of registration, including those risks identified by the VET Regulator.

Systematic validation of the College's assessment practices and judgements is undertaken by one or more persons who are not directly involved 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 (Appendix 2).

Industry experts are involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

The records kept of the validation process provide the foundation for continuous improvement which must form part of the College's quality management. The College is required to use data to review and improve its learning, assessment, support and management to clients.

Training organisations registered under the Australian Skills Quality Authority (ASQA) operate under the requirements of the VET Quality Framework (Refer Standard 8). The VET Quality Framework consists of five components

- Standards for Registered Training Organisations 2015
- Fit and Proper Persons Requirements
- Financial Viability Risk Assessment Requirements
- Data Provision Requirements
- Australian Qualification Framework

Staff are responsible for ensuring that student assessment methods and plans are flexible.

The needs and the study method of the student are taken into account for each competency studied. For example, while exams may be appropriate for assessing learning outcomes for some competencies, use of group, pair and oral work, role-play, simulation, assignments and projects will also be incorporated into the planning of course content and used as assessment tools.

Validation_____

Client information and enrolment form requirements policy

1. PURPOSE:

Australian Academy of Trades will ensure that all enrolments for courses are completed correctly and in accordance with ASQA and Standards for Registered Training Organisations 2015.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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. (Clauses 1.7; 1.26; 1.27) (Appendix 1)*
- *Standard 4: Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients (Clause 4.1) (Appendix 1)*
- *Standard 5: Each learner is properly informed and protected. (Clauses 5.1; 5.2; 5.3) (Appendix 1)*
- *Standard 7: The College has effective governance and administration arrangements in place. (Clause 7.3) (Appendix 1) (Schedule 5; All other RTOs, Point 2) (Appendix 2)*
- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times (Clauses 8.5; 8.6) (Appendix 1).*

3. **RESPONSIBILITIES:** HODS, College Trainers, Administration officers,

4. **REFERENCES:** N/A

5. **RECORDS AND FORMS:** Form

6. ACTION/METHOD:

6.1 Before clients enrol or enter into an agreement, the College informs them about the training, assessment and support services to be provided, and about their rights and obligations. This is provided in the College's **Code of Practice**.

Providing sufficient, clear and accurate information

Prospective clients are given clear, accurate and timely information to make an informed choice about the College's services through the college website and through promotional materials and the student Handbooks

Where the College collects fees from the individual learner, either directly or through a third party, the College provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first. The College must meet the requirements of Condition of Registration 5.

The information provided includes:

Fees, including course fees, administration fees, materials fees and any other charges.

- a) all relevant fee information including:
 - i) fees that must be paid to the College; 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 College in the event the:
 - i) arrangement is terminated early; or
 - ii) the College fails to provide the agreed services.
- The provision of clear information about all fees, charges and refunds will help to protect both client and RTO.
 - Course outcomes and pathways. Clients are better able to make decisions about which qualifications they will undertake if they know: what skills and knowledge the course covers; whether the course will provide them with a qualification or a specific skill set; and, whether it will provide them with entry requirements to employment and/or to other qualifications
 - Training and assessment arrangements, including RPL. Clients want to know how RTOs will provide training and assessment. This should include information about the RPL process and how to apply and where and how training and assessment will be carried out
 - Selection and enrolment of learners. Where there is clear information about selection, prospective learners can assess whether they will meet the requirements of a course. There will also be less likelihood of clients complaining that they have been unfairly excluded or that, after the course begins, it is inappropriate for them.
 - The learner's rights as a consumer, including but not limited to any statutory cooling off period, if one applies
 - The learner's right to obtain a refund for services not provided by the College in the event the:
 - a). arrangement is terminated early; or
 - b). the College fails to provide the Services.
 - Client support services, for example, support provided in LLN or for clients with a disability. If clients have support needs, they need to know either how the College will provide the required support or how they can source this support externally.
 - Legislative and occupational licensing requirements. These could include pre-requisites and conditions related to training and assessment, such as the requirement to be employed in the industry
 - Complaints and appeals procedures. Clients need to know that there is a fair and transparent process in place for handling complaints and appeals, and that they can raise concerns about their programs. In addition to describing internal complaints

processes, the College could also refer clients to external bodies, such as the state or territory registering body and to the National Training Hotline, telephone: 13 38 73.

6.2 The accuracy and value of information provided to prospective learners can be assured by:

- Reviewing information when training and assessment strategies are changed.
- Having a staff member responsible for checking the accuracy and currency of information before it is made available to prospective learners.
- Collecting feedback from clients, including learners, about whether they received the services they understood they would receive.

6.3 Agreement

The written agreement between the client and Australian Academy of Trades describes the training, assessment and client services to be provided. Information provided to clients before enrolment or signing an agreement for services forms the basis of the agreement because this information defines the commitments made by Australian Academy of Trades

The agreement must be in a format and use words that clients can understand.

The agreement should include:

- The qualification/accredited course and/or units of competency/modules to be provided
- Fees and charges and refund policy details and process for requesting refunds
- Information on the College's concerns, complaints and appeals processes and how to access them
- Other services that the College has committed to provide to clients.

Validation_____

Client entry policy

ADMISSION TO THE COLLEGE

1. PURPOSE:

Australian Academy of Trades of Technology endorses the principles of access and equity within VET for non-English speaking and all other clients into Australian Academy of Trades .

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.(Clauses 1.5;1.6; 1.7; 1.8) (Appendix 1).*
- *Standard 2: The operations of the College are quality assured. (Clause 2.2) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected.(Clauses 5.1; 5.2) (Appendix 1).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1; 6.2) (Appendix 1).*
- *Standard 8: The College cooperates with the VET Regulator and is legally compliant at all times.(Clauses 8.6) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 ENTRY OF NON-ENGLISH SPEAKING CLIENTS

The process of entry to the Australian Academy of Trades by non-English speaking clients will proceed as follows:

- Prospective clients will be provided with comprehensive information about Australian Academy of Trades by Agents, the College's Marketing representatives or through direct contact by Australian Academy of Trades .
- Applicants will undertake an entrance examination in their country of origin comprising:
 - An English language test covering the four macro skills - reading, writing, speaking and listening
 - An interview.
- Admission to will be based on the results of these tests.
- Successful applicants will:

- be notified in writing from Lifetime International College.
- participate in an extensive orientation programme on arrival at the College - that will focus on Australian daily life, recreation opportunities, mixing and meeting, banking facilities, English language usage, shopping facilities, beach safety etc. The orientation will also focus on the course being studied - equipment required timetables etc.

6.2 ENTRY OF OTHER CLIENTS

- Prospective clients will be provided with comprehensive information about courses offered by Australian Academy of Trades , course costs and the opportunities and support available at Australian Academy of Trades . The principal vehicles for the dissemination of this information will be through an interview process and the Student Handbook.
- Admission procedures:
 - Be eligible to enrol
 - Apply to the agent /or directly to Australian Academy of Trades for admission
 - Submit documented records of prior education and supporting documentation minimum Year 10 English)
 - Pay application fee
 - Application will be reviewed by the Registrar of Australian Academy of Trades
 - If accepted the client will receive a letter of offer from Australian Academy of Trades
- The client will have a period of three (3) weeks to accept the offer. If an acceptance has not been received in that time, the client will have his/her offer withdrawn.
- Clients admitted to Australian Academy of Trades will have access to course planning advice and guidance from the Course Managers.
- Clients entering Australian Academy of Trades will be advised that Australian Academy of Trades operates a process whereby prior learning is evaluated and may be recognised. Clients will have the opportunity, at enrolment, to seek to have prior learning considered and evaluated.
- Clients will be advised of all course fees and costs, in writing before their enrolment into a particular course is accepted.
- Clients entering the Australian Academy of Trades will provide verified documentary evidence, which establishes:
 - Identity
 - Students prior academic record:
 - Proof of identity
 - Verification of prior academic record
- Admission will be based on Equal Education Opportunity and Anti-Discrimination. Legislation.
- If you accept the offer, you will be required to supply:
 - Proof of identity
 - Verification of prior academic record.
- The Client Records Officer will:
 - Establish a record file on each client
 - Enter essential information in that file
 - Maintain its up-to-date status
 - Ensure necessary privacy considerations are met Files will be established subsequently to the decision to admit.

Validation_____

Client feedback for continuous improvement

1. PURPOSE:

To ensure that client feedback is captured, analysed and improvements implemented.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the College are quality assured. (Clause 2.2)*

3. RESPONSIBILITIES: HODS,CEO, Principal College Trainers, Quality Manager, Administration officers, Faculty Manager

4. REFERENCES: N/A

5. RECORDS AND FORMS: Course Feedback Form, Form for Employer Feedback, Student Feedback Form, Staff Satisfaction Form, Industry Consultation form, The Learner Engagement Survey

6. ACTION/METHOD:

6.1 Australian Academy of Trades is committed to continual enhancement of its performance so that the changing needs of clients and industry continue to be met. Training organisations registered under the Australian Skills Quality Authority (ASQA) operate under the requirements of the VET Quality Framework. Refer to Standard above and the Data Provision Requirements.

6.2 Data Collection for Continuous Improvement

- *Quality indicator data*
 - *Feedback from stakeholders such as students and employer (unit and course level)*
 - *Conclusions arising from assessment validation*
 - *Results of internal/external audits*
 - *Organisation self-assessment outcomes*
 - *Records of complaints and appeals and their resolution*
 - *End of program evaluation.*
-
- Australian Academy of Trades is committed to utilising feedback for improvement of its services to all clients.
 - All staff are given a copy of the staff Handbook with a master list of all policies, procedures and forms.
 - The trainer will hand out Student Feedback Forms at the conclusion of each unit. Forms may be filled out anonymously and handed back to the trainer. The trainer submits the completed forms to the Faculty manager.

- The Faculty manager provides the analysis of the data to the principal who will provide a report to the CEO. The report will identify aspects done well and items for improvement.
- The trainers will hand out The Learner Engagement Survey at the end of each course and collect the data for submission of the Quality Indicators data. The faculty Manager will provide the Learner Engagement survey to the students once the completion form is signed and the student will complete the form. The form can be handed back to the Faculty Manager or to reception. These options should deter bias.
- The Employer Feedback Form will be posted/ faxed or emailed to Relevant Employers.
- The Principal will deliver survey forms collected at the Industry Consultation Meeting to the Administration Officer who will collate the information and identify aspects done well and items for improvement.
- The Principal/Quality Manager will analyse the Employer feedback forms and provide the relevant report which will identify aspects done well and items for improvement.
- The Principal/Quality Manager will ask Staff to complete the Staff Satisfaction Survey annually. Results will be delivered to the Quality manager who will analyse the data and identify areas of satisfaction and areas for improvement.
- The information is recorded on the Continuous Improvement Log
- The Quality Manager will ensure all results are delivered to the CEO.
- The CEO will use the Management Review Meeting (at least 6 mthly) to review data from all surveys and identify issues for improvement. The Minutes of meeting form will ensure all actions **are implemented by the required completion dates**. Urgent issues will be addressed at the regular Staff Meetings.
- The data collected will confirm good practice and highlight aspects of training and assessment that need to be improved. Lifetime explores with learners, trainers, assessors and employers what improvements need to be made and what actions might be taken. The College plans and makes improvements in response to the lessons learnt from this analysis.

6.3 Improvement to Training and Assessment

Improvements to training and assessment could be demonstrated by, for example:

- Changes to training and assessment resources and processes, including adaptations made for specific groups of learners or candidates for assessment
- Re-development or review of strategies for training and assessment
- Changed processes for the validation and moderation of assessment
- Professional development of staff
- Higher levels of client satisfaction with training and assessment.

Australian Academy of Trades should monitor the improvements made to determine if the improvements were effective and make changes where they are warranted.

Validation _____

Code of practice

The relevant Standards and Schedules are included in the body of the Code of Practice.

Access and Equity

Australian Academy of Trades has in place policies on Access and Equity, which ensure that staff and students are not discriminated against in accordance with relevant State, Commonwealth and Territory legislation. All staff are made aware of their obligations under the relevant legislation during staff induction and professional development programs (*Standard 1, Clauses 1.5, 1.6, 1.7*); (*Standard 2, Clause 2.2*); (*Standard 5, Clauses 5.1, 5.2*); (*Standard 6, Clauses 6.1, 6.2*) (*Appendix 1*).

Any person believing that they have experienced any form of discrimination through their relationship with the Australian Academy of Trades should report their complaint immediately to Australian Academy of Trades management. (*Standard 8, Clause 8.5*) (*Appendix 1*).

Discrimination

Discrimination refers to treating individuals or groups less favourably (make distinctions) than other individuals or groups so as to disadvantage some and advantage others in same or similar circumstances.

Direct discrimination is less favourable treatment of a person on the basis of an attribute, such as age, race, sex or creed or on the basis of a characteristic particular to persons with one of the particular attributes.

Indirect discrimination is the imposition of a condition on a person/persons which, on the face of it appears not to be discriminatory but which has in fact an adverse effect on people in a particular group.

Australian Academy of Trades has a policy where employees and its external customers are to be treated equitably and the company will not tolerate discrimination based on any of the following grounds.

<ul style="list-style-type: none">➤ Sex➤ Race➤ Political Belief➤ Lawful sexual activity➤ Marital status➤ Impairment➤ Family responsibility➤ Political belief or activity➤ Trade union Activity➤ Lawful sexual activity➤ Sexuality	<ul style="list-style-type: none">➤ Age➤ Parental Status➤ Social Origin➤ Religious conviction➤ Trade union activity➤ Sexual orientation➤ Relationship status➤ Pregnancy➤ Breastfeeding➤ Gender Activity
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(*Standard 8, Clauses 8.5, 8.6*) (*Appendix 1*).

Workplace Harassment

Workplace harassment in any form including sexual harassment will not be tolerated under any circumstances.

Any person should be able to work in an environment free from intimidation and harassment. Australian Academy of Trades acknowledges that workplace harassment is against the law in any workplace context (which include, conferences, work or business related functions, and business or field trips) and expects that its workplace and training environment at all times reflects the principles of law for the benefits of its employees, clients and visitors.

(Standard 8, Clauses 8.5, 8.6) (Appendix 1).

Workplace Health and Safety

Australian Academy of Trades is obliged under legislation:

- To ensure the health and safety of each of their workers and students/clients;
 - To ensure the health and safety of other people who are not workers or students; e.g. visitors and guest presenters;
 - To ensure people can come to work or a training venue with a minimum of risk of injury or illness;
 - Ensure that any equipment used by staff or students is safe when properly used.
- Students/clients are obliged:
- To obey instructions regarding their health and safety and the health and safety of others;
 - They must not deliberately interfere with or misuse anything that has been provided for workplace health and safety;
 - They must not deliberately endanger the workplace health and safety of others, or deliberately injure themselves.

(Standard 8, Clauses 8.5, 8.6) (Appendix 1)

Marketing and Advertising

(Standard 4, Clause 4.1) (Appendix 1)

Customer Service Policy

Australian Academy of Trades recognises that its customers are an important and integral part of its business and not an interruption to its work but rather the purpose of it. The company is therefore committed to providing a level of customer service that includes:

- Answering the telephone within three rings;
- Answering the telephone politely stating the company name and our approved greeting;
- Acknowledging customer complaints as opportunities to demonstrate superior customer service. Australian Academy of Trades always treat complaints seriously and efficiently in a friendly and courteous manner;

- Constantly examining methods to improve our customer service to ensure our products are more effective and competitive;
- The understanding that each customer contact represents an opportunity to make a positive impact and demonstrate our ability to provide excellent service.

Australian Academy of Trades has client service standards that ensure student/clients issue of assessment and qualifications are actioned promptly (within 21 days) upon the students/clients completion of their course of study.

(Standard 2, Clauses 2.1 – 2.4) (Appendix 1).

External Review

Australian Academy of Trades agrees to participate in external monitoring and audit processes. This includes random quality audits following compliant and audit for the purposes of re-registration. This is in compliance with the Australian Qualifications Framework.

(Standard 1, Clause 1.25) (Appendix 1) (Schedule 2) (Appendix 2).

Fees and Charges - Refund Policy

Australian Academy of Trades has an established Charges and Refund Fees policy that is fair and equitable

This Policy identifies;

- The period of time required to give notice of an intention to withdraw from a course of study, for which fees have been paid but not yet commenced;
- The portion of fees which is not considered as part of the refund, being retained for costs of administration, service charges, materials fees, or application fees;
- Conditions for cancellation of courses by Australian Academy of Trades

All fees received are placed in a company trust bank account and not accessed until the course commences. A relevant proportion of the fees paid will be retained in the account to cover any emerging contingency.

Australian Academy of Trades will identify a financial auditor who has direct reporting access to Chief Executive Officer who has defined responsibility and authority to:

- Ensure that the company complies with its financial management policies;
- Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement;
- Australian Academy of Trades will provide ASQA with a formal assurance that it has sound financial management standards for matters related to its scope of registration and scale of operation.
- Protection of fees paid in advance by students is undertaken in accordance with VET Quality Framework by meeting the Standards of Registered Training Organisations (Standard 5, Clauses 5.1, 5.2, 5.3); (Standard 7, Clauses 7.2, 7.3) (Appendix 1).

A qualified accountant who has membership of either the Certified Practising Accountants Australia or the Institute of Chartered Accountants of Australia will certify Australian Academy of Trades financial accounts at least annually.

If requested by ASQA, Australian Academy of Trades must make available a full audit report from an independent qualified accountant who has membership of either of the organisations mentioned above.

(Standard 4, Clause 4.1); (Standard 5, Clause 5.1, 5.2, 5.3); (Standard 7, Clause 7.3); (Standard 8, Clauses 8.5; 8.6) (Appendix 1) (Schedule 6) (Appendix 2).

Complaints

Australian Academy of Trades will ensure that students/clients have access to a fair and equitable process for dealing with Complaints and will provide a process where students may appeal against decisions, which may affect their academic progress.

This policy also meets the requirements of the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007 (the National Code 2007).

- *Standard 6, Student Support Services 6.1 (e) 'complaints and appeals processes'.*
- *Standard 8, 'Registered providers' complaints and appeals processes are independent, easily and immediately accessible and inexpensive for the parties involved'.*

Australian Academy of Trades will make every attempt. To resolve the student's/client's Complaints. A nominated officer within the organisation will handle Complaints. The processes will be outlined in the student/clients handbook. Where Complaints cannot be resolved internally, Australian Academy of Trades will advise students/clients of the appropriate body to whom they may take their Complaint.

Standards for Registered Training Organisations 2015 (Standard 6, Clauses 6.1, 6.2) (Appendix 1).

Internal Customer Service Policy

Australian Academy of Trades Staff will be treated with respect, be free from sexual or racial harassment, and other abusive behaviour.

- It is every employee's responsibility to represent Australian Academy of Trades in a professional manner at all times and maintains the confidentiality agreement outlined in the contract of employment.
- Employees should at all times maintain professional and ethical contacts with all external clients, agencies and competitors.
- As the employer, Australian Academy of Trades can expect that employees complete work to a required standard on time.
- Employees have the right to expect fair treatment at all times and receive adequate remuneration for services rendered.

Standard 1, Clauses 1.5, 1.6, 1.7); (Standard 2, Clause 2.2); (Standard 5, Clauses 5.1, 5.2); (Standard 6, Clauses 6.1, 6.2) (Standard 8, Clauses 8.5, 8.6) (Appendix 1).

Management and Administration – Financial Management

Australian Academy of Trades has in place policies and management strategies, which ensure sound financial and administrative practices. Company management guarantees the organisation's sound financial position and safeguards students/clients fees until used for training and assessment.

The College ensures that its executive officers or high managerial agent:

- a) are vested with sufficient authority to ensure the College complies with the College Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

The College satisfies the *Financial Viability Risk Assessment Requirements*.

Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

The College holds public liability insurance that covers the scope of its operations throughout its registration period.

The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

The company has a refund policy which is fair and equitable. Policies and practices for managing the integrity of student records are in existence. These ensure that records are managed with security and confidentiality. Students may peruse their individual records upon request.

(Standard 7, Clauses 7.1 – 7.5) (Appendix 1); (Schedule 3) (Schedule 6) (Appendix 2).

Monitoring of Education Training and Assessment Standards

Australian Academy of Trades will adopt policies and management practices which maintain high professional standards in the delivery of education and training services and which maintain the interests and welfare of students/clients. Assessment will meet the VET Quality Framework requirements (including Recognition of Prior Learning and Credit Transfer).

Australian Academy of Trades will maintain a learning environment that is conducive to the success of students/clients. Adequate facilities, equipment and training materials will be utilized to ensure the learning environment is conducive to the success of students/clients.

Australian Academy of Trades will ensure that teaching staff are not only suitably qualified but are also sensitive to the cultural and learning needs of students/clients. The College will also provide training for its entire staff as and when required.

As a learning organisation, Australian Academy of Trades can demonstrate its ability to identify the learning needs of diverse clients and to plan/implement appropriate learning strategies. This will include the ability to design and/or adapt training products so that the outcomes of the endorsed components of training packages or accredited courses can be achieved. In order to meet this standard Australian Academy of Trades will employ teachers/trainers with recognized skills and experience in interpreting competency standards for training and assessment purposes.

As an RTO, Australian Academy of Trades will ensure:

- ❑ Students are informed of the context and purpose of the assessment and the assessment process;
- ❑ Students are provided with feedback about the outcomes of the assessment process;
- ❑ Assessments are equitable for all persons taking account of cultural and linguistic needs;
- ❑ Assessments provide for assessment on appeal.

Australian Academy of Trades will ensure that assessments will comply with the Principles of Assessment: Fairness, Flexibility, Validity and Reliability, and the Rules of Evidence: Validity, Sufficiency, Authenticity and Currency, and wherever relevant focus on the application of knowledge and skills to the standard of competence in the workplace.

(Standard 1, Clauses 1.1 – 1.25)(Appendix 1) (Schedule 1) (Schedule 2) (Appendix 2).

Professional Development

Australian Academy of Trades as a company is committed to the professional development of all of its employees and opportunities are provided for staff to upgrade their skills and knowledge to conform to and exceed industry standards. This is done through giving staff the opportunity to attend industry seminars, product training courses and VET Quality Framework workshops.

(Standard 1, Clauses 1.13– 1.15) (Appendix 1) (Schedule 1) (Appendix 2).

Information to Clients

Australian Academy of Trades will supply accurate and current information to prospective students/clients covering but not limited to information contained in this Code of Practice. Australian Academy of Trades will supply this information to students/clients before enrolment or entering into written agreements with them and will regularly review all information to ensure its accuracy and relevance.

In summary, Australian Academy of Trades will provide to its students/clients prior to enrolment information about each of the following:

- Client selection, enrolment and induction/orientation procedures;
- Course information, including content and vocational outcomes;
- Fees and charges, including refund policy and exemptions (where applicable);
- Provision for language literacy and numeracy assessment;
- Client support, including any external support the College has arranged for clients;
- Flexible learning and assessment procedures;
- Welfare and guidance services;

- Appeals, complaints and Complaint procedures;
- Disciplinary procedures;
- Staff responsibilities for access and equity;
- Recognition of Prior Learning (RPL) arrangements.

(Standard 1, Clauses 1.7; 1.26; 1.27) (Standard 4, (Clause 4.1) (Standard 5, Clauses 5.1; 5.2; 5.3) (Standard 7, Clause 7.3) Standard 8, Clauses 8.5; 8.6) (Appendix 1) (Schedule 5; All other RTOs, Point 2) (Appendix 2)

Recognition of Prior Learning – Recognition of Current Competencies

As an RTO, Australian Academy of Trades recognizes the AQF Qualifications and Statements of Attainment issued by other RTO's. However, the objective of Recognition of Prior Learning (RPL) is to ensure that a person's prior learning achieved through formal or informal education, training, work experience or other life experiences is appropriately recognized. Australian Academy of Trades encourages students/clients to apply for RPL wherever it is considered appropriate. The National Assessment Principles governing the recognition of prior learning are outlined below:

- Assessment processes shall provide for the recognition of current competencies regardless of where they had been acquired.
- RPL focuses on identifying the endorsed industry/enterprise competency standards currently held by individuals as a result of formal or informal training, not how, when or where the learning occurred;
- RPL underpins any system of competency-based training. Australian Academy of Trades has a demonstrable commitment to recognizing the prior learning of individuals;
- Australian Academy of Trades ensures that RPL shall be available to all potential applicants, the processes shall be fair to all parties and that RPL shall involve the provision of support to potential applicants.
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Assessors must be confident that the person applying for RPL or RCC is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in AQF accredited courses. The assessor must also be confident that the evidence is authentic, valid, reliable, and current and covers the exemption being sought.

After outlining the steps involved in the RPL process to students/clients, Australian Academy of Trades will provide a counselling session with an RPL assessor. Charges for this process may or may not be applicable. In every case the RPL assessor will advise the student/client of their responsibilities and any charges that may be applicable.

The RPL/RCC process shall cover the following steps:

- Information;
- Initial support and counselling;
- Application;
- Assessment;
- Post-assessment guidance; and/or;
- Certification.

(Standard 1, Clauses 1.12) (Appendix 1).

Records Management

Australian Academy of Trades will maintain accurate records of attendance and the progress of all students/clients throughout their courses. It will also maintain accurate financial records that can identify the financial status of all students/clients and also be able to provide copies of these records to individual students upon request. Australian Academy of Trades will maintain current records of the verified qualifications and experience of all staff working on behalf of the College as trainers and assessors.

The company will make individual records of students available for a period of seven years from the date of enrolment. After that time records will be archived and a small cost for retrieval will apply. Retrieval of records of results will be available for 30 years from the date of enrolment.

Records management and student access to personal records

Australian Academy of Trades has sound management practices to ensure effective student services. The College has operational standards to ensure timely issuance of training assessment, results and qualifications. These will be appropriate to competence achieved and issued in accordance with National Guidelines. All student records and documentation will be recorded, kept confidential and securely archived. Students can gain access to their files by request in writing allowing 14 day's notice. All relevant organisational documentation will carry a version number and date. Records of updated version numbers are kept on file

(Standard 2, Clause 2.1; Standard 3, Clauses 3.1 - .3.6; Standard 7, Clause 7.5) (Standard 8, Clause 8.1 f) (Appendix 1).

Rights and Responsibilities of RTO's

RTO's are governed by legislation regarding the quality of training delivered to students. Australian Academy of Trades is committed to the ongoing continual improvement of its organisation and the quality of education and training services to its students/clients. Australian Academy of Trades will ensure the following level of service to its students/clients.

- Support for its students/clients as outlined in the section Rights and Responsibilities (students/clients);
- Provide quality of education and training by ensuring that the qualification and experience of educators and trainers is commensurate with the content and level of course being conducted;
- Provide accredited training and an assessment procedure that is Competency Based;
- Provide a comprehensive, fair and equitable RPL process and Policy.

Rights and Responsibilities (Students/Clients)4

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Australian Academy of Trades will ensure that its students/clients:

- Receive Competency Based Training and Assessment at a level equal to the quality of training provision for courses as outlined in the Australian Qualifications Framework (AQF)
- Receive education and training in well-appointed venues with appropriate resources and facilities that comply with the requirements of the training program and most importantly comply with Workplace Health and Safety Standards;

- Are afforded Equal Opportunity principles and practices. Have access to suitable support services so that student learning disabilities may be identified and supported.

Australian Academy of Trades is required under State legislation to provide for the health, welfare and safety of both its employees and students/clients (Duty of Care). Australian Academy of Trades provides:

- A Complaint procedure for training and assessment as outlined in this code of practice;
- Assistance to students with literacy and numeracy problems. The student handbook outlines the procedures to be followed in this instance;
- Arrangements for students with legitimate reasons to defer training or cancel their enrolments;
- A refund and financial policy as outlined in this Code of Practice.

(Standard 1, Clauses 1.1 - 1.27) (Standard 3, Clauses 3.1 – 3.6) (Standard 4, Clause 4.1) (Standard 5, Clauses 5.1 - 5.4) (Standard 6, Clauses 6.1 – 6.6) (Standard 7, Clause 7.1 – 7.5) (Standard 8, Clauses 8.1 - 8.6) (Appendix 1).

Termination of Enrolment

Under its Quality Assurance procedures Australian Academy of Trades reserves the right to terminate a student's enrolment should the student:

- Endanger the health and safety of another student or a teacher/trainer;
- Engage in the falsification of documents and /or assessments and training outcomes;
- Divulge personal or confidential information relating to another student's documents, assessment and training outcomes;
- Prevent other student/s from completing their course of study in reasonable peace and privacy;
- Refuse to act in accordance with any rules and regulations prescribed by the College that are designed to protect the well-being of others, e.g. smoking policies
- Be found to be cheating.

Furthermore any teacher/trainer employed by Australian Academy of Trades who violates student's rights or engages in any activity that causes stress or disadvantage to any student/client will be subject to disciplinary procedures that may involve termination of services. Teacher/trainers should be aware of Complaint procedures and when in doubt contact senior management to arrange a personal interview.

(Standard 6, Clauses 6.1 – 6.6) (Appendix 1).

Training Resources

Australian Academy of Trades provides all students/clients with adequate print resources to successfully complete all training programs. In addition the organisation will provide information where additional resources can be obtained either from libraries or the internet.

(Standard 1, Clauses 1.3) (Appendix 1).

Recognition of AQF Qualifications and statements of Attainment issued by other RTO's

Australian Academy of Trades recognises the AQF Qualifications and Statements of Attainment issued by other RTO's.

If you were previously enrolled in the same qualification with another training provider you should provide us with a copy of your results. If you were deemed competent in any units you will not have to repeat them. Australian Academy of Trades will credit transfer your results.

(Standard 3, Clauses 3.1 – 3.6)) (Appendix 1).

Sanctions

Australian Academy of Trades will honour all guarantees outlined in this Code of Practice. The company understands that if it does not meet the obligations of this Code or supporting regulatory requirements, it may have its registration as a Registered Training Organisation withdrawn.

Standard 8, Clauses 8.1 - 8.6) (Appendix 1).

Student Welfare, Guidance and Support

Australian Academy of Trades 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.

The College has student welfare and guidance services relevant to the training products. Where necessary, arrangements will be made for students requiring Literacy and/or Numeracy support. This will be outsourced to the relevant qualified experts. Any fees incurred are the responsibility of the student. Australian Academy of Trades has access to personnel with experience in developing diagnostic assessment services for diverse clients.

Australian Academy of Trades student information will ensure that all fees and charges are known to students prior to enrolment. Students are advised of course content, required outcomes and assessment procedures prior to commencing training.

For any matter outside its expertise or control, Australian Academy of Trades will make every attempt to refer the student or the relevant agency or expert.

The student is provided with information on the following

- Course information
- Study pathways
- Fees and charges
- Counselling
- Academic support
- Administrative support
- Technical support
- Recognition of Prior Learning (RPL)
- Complaints
- Industry placement, where necessary

- First Aid.

For international students additional services will relate to:

- VISA requirements
- Language requirements
- Enrolment information
- Health coverage
- Accommodation needs.

(Standard 1, Clauses 1.7)(Appendix 1).

Refund Policy

A deposit may be required at time of registration. Payment in full is to be made at least three weeks prior to programme commencement unless alternative funding arrangements have been made with Australian Academy of Trades

Pre-paid training fees are held in trust until the specified service has been provided. In the unlikely event of a programme being cancelled, students will be entitled to a full refund or preferential placement in a following programme. (See Refund Procedure)

Students are required to complete the Refund Application Form to apply for a refund.

(Standard 5, Clauses 5.1 - 5.4)(Appendix1).

Privacy Policy

We recognise the importance of your personal information. We appreciate that you may have concerns about your privacy and about the confidentiality and security of your personal information. The company only collects information we consider is necessary to deliver you with the best possible service.

New privacy laws are designed to regulate the way organisations, collect, use, disclose, keep secure, and give persons access to their personal information

With respect to this company's operation, it will observe the following National Privacy Principles in the following way:

Collection of information

Australian Academy of Trades will only collect information that is necessary for the purpose of providing a quality service to its students/clients. The company will only collect information that is lawful and this will be done in an unobtrusive manner.

Use and Disclosure

Australian Academy of Trades will only use and disclose personal information about its students/clients for the purpose for which it is collected, unless consent has been given to use the information for additional purposes. Exceptions would be:

- Where information is required by law;
- Considered necessary to assist a law enforcement agency.

Staff will be required to sign a confidentiality statement.

Quality of Personal Information

The company's goal is to ensure that your personal information is accurate, current and complete. It would be appreciated if you could contact us if any of the personal details you have provide change. You are able to access and update your information at any time that is mutually convenient to both parties if you think we hold information about you that is incorrect or out of date. **As an RTO, we are required to keep student/client records of results for 30 years.** The company is open and ethical about the kind of personal information it keeps about its students/clients. At student induction this policy will be explained in more detail.

Personal Information of a sensitive nature

The company does not collect personal information of a sensitive nature about you (e.g. race, religion, political views). However, should it be necessary to collect information of this nature it will only be done with your consent.

(Standard 5, Clauses 5.1 - 5.4) (Appendix1) (Standard 8, Clauses 8.5; 8.6).

Quality Indicators

The Quality Indicators – The Quality Indicators have been designed to help RTOs conduct evidence-based and outcomes-focused continuous quality improvement, and assist a registering body to assess the risk of an RTO's operations. Under the VET Quality Framework, Australian Academy of Trades will collect and use data on three Quality Indicators which have been endorsed by the National Quality Council (NQC): Learner Engagement, Employer Satisfaction and Competency Completion.

Standard 8, Clauses 8.1c) (Appendix 1).

Complaint reduction strategy policy

1. PURPOSE:

Australian Academy of Trades will ensure Complaints and Appeals are managed fairly, efficiently and effectively. The college is committed to creating an environment where clients' views are valued.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1, 6.6).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades has developed and implemented a process for handling complaints and appeals:

- The Principal of the College will ensure that clients and staff know about and follow this process
- The Principal will ensure corrective action is taken to deal with the identified causes of complaints
- The College monitors and improves the system.

6.2 Guide to compliance

Effective management of complaints and appeals and their resolution are demonstrated. Complaints and appeals are monitored and reviewed to prevent their recurrence and to improve the College's operations or services.

6.3 Managing complaints and appeals

Learners and other clients are most likely to raise issues (for example, about a trainer who cannot be contacted or training resources that are difficult to understand) if the College creates an environment where all feedback is welcome and where openness is valued.

6.4. The benefits of creating this environment include:

- The College gains more valuable feedback on which to base continuous improvement activities
- Issues are less likely to be escalated into formal complaints
- Learners and other clients are more likely to be satisfied with the College's performance, which is likely **to reduce attrition rates and to promote return business.**

6.5. RTOs can assist learners and other clients to raise issues by:

- Providing information to them about how feedback is valued
- Providing avenues for them to provide feedback, for example, student forums, suggestion boxes, scheduled feedback meetings with a staff member whose role it is to support learners, weekly phone calls to workplace supervisors thanking them for their feedback, responding to issues raised quickly and providing them and other clients with information about how such issues have been addressed.

Complaints arise when a client is dissatisfied with an aspect of the College's services and requires action to be taken to resolve the matter.

Appeals arise when a client is not satisfied with a decision that the College has made. Appeals can relate to assessment decisions, but they can also relate to other decisions, such as a decision to exclude a learner from a program.

Clients should be encouraged to resolve complaints and appeals through the College's complaint mechanisms.

If they are not satisfied with the outcomes of these processes they are be referred to the state or territory registering body or the National Training Hotline, telephone: 13 38 73.

6.6. Learners and other clients will feel confident that they are being treated fairly when:

- They are clearly informed in a timely way about how to complain or appeal
- They have opportunity to present their case
- They have access to an independent arbiter if this is needed
- They are clearly informed of the outcomes of the complaint or appeal
- Complaints and appeals are resolved within realistic and fair timelines.

6.7. Demonstrating effective management and resolution

Evidence to demonstrate the effective management and resolution of concerns, complaints and appeals could include:

- Data about, complaints and appeals
- Records of actions taken to address the root cause of complaints
- Minutes of staff meetings at which actions arising from complaints were agreed
- Documented changes to the College's systems.

6.8. Preventing complaints and improving practice

Complaints and appeals can provide invaluable data about aspects of the College's operations that could be improved. To prevent the recurrence of similar complaints, RTO's should:

- Ask for feedback from the client to determine whether they are satisfied with the way the complaint or appeal was dealt with
- Change the practice that led to the complaint, and then check that this improvement is in place and that it is working
- Review records of complaints and appeals to test whether there are specific issues (or staff or services) about which complaints and appeals are made, and whether complaints and appeals are being resolved in a timely manner
- Integrate the monitoring and review of complaints and appeals with the continuous improvement cycle.

Complaints and appeals

REFER TO CRICOS POLICIES and PROCEDURES

1. PURPOSE:

To ensure all current and prospective students of Australian Academy of Trades are given access to free, effective and fair complaints resolution and appeals processes.

There are three separate processes depending on whether the **complaint/appeal** is related to:

- Academic matters (refer to section 5.2);
- Non-academic matters (refer to section 5.3) or;
- Reporting non-compliant students to DIBP under Standard 11- The National Code 2007 (refer to section 5.4).

Section 5 sets out the valid grounds and procedures for each type of complaint or appeal.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1 - 6.5). (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES:

Related Policies

- Harassment Guidelines
- Privacy Policy
- Equal Opportunity and Anti-Discrimination Guidelines
- Progression and Attendance Policy

Related Documents and Legislation

- Student Handbook
- Student Information Guide
- National Code of Practice for Providers of Education and Training to Overseas Students 2007 and accompanying Explanatory Guide

5. RECORDS AND FORMS:

- Application for an Informal Appeal of a Result
- Application for a Formal Appeal of a Resulta
- Application for a Formal Appeal against Termination
- Non Compliance Appeal Form DIBP Reporting

6. ACTION/METHOD:

6.1 Overview

This policy has been developed in line with requirements set out in The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students and the VET Quality Framework.

The College has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the College, its trainers, assessors or other staff;
- b) a third party providing services on the College's behalf, its trainers, assessors or other staff; or
- c) a learner of the College.

6.2. The College has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the College or a third party providing services on the College's behalf.

6.3. The College'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 College 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 College considers more than 60 calendar days are required to process and finalise the complaint or appeal, the College:

- 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 College:

- 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.

6.2 Organisational Scope

Any current or prospective student of Australian Academy of Trades who experiences incorrect, inappropriate or unfair treatment in the course of their relationship with Australian Academy of Trades is entitled to access the complaints and appeals process set out in this policy, regardless of the location of the campus at which the matter has arisen, the student's place of residence or the mode in which they study.

Grievances experienced by Australian Academy of Trades staff are to be dealt with according to the terms set out in the Australian Academy of Trades workplace agreement.

6.3 Definitions

- **APPEAL/COMPLAINT:**

In this context an **appeal or complaint** constitutes a request to review a decision or outcome relating to any aspect of the student's results, conditions of enrolment, or academic progress and attendance.

- **ASQA**

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers to ensure nationally approved quality standards are met.

- **DIBP:**

Department of Immigration and Citizenship: The Australian government agency responsible for issuing students with visas.

- **Complainant:** A person lodging a complaint or appeal.

- **Respondent:** A person responding to a complaint or appeal.

- **CoE:**

Confirmation of Enrolment is a document registered with DIBP to confirm a student's acceptance into a particular course for a specified duration.

6.4 Policy Principles

This policy is distributed through the Australian Academy of Trades Student Information Guide, Australian Academy of Trades Staff information guide and Australian Academy of Trades website

6.5 The principles which underpin this policy are as follows:

6.6 This Policy will be given to students prior to enrolment (in the Student Handbook) and again within 7 days of commencement of the course.

6.6.1 The consideration of complaints and appeals will be dealt with fairly and confidentially and according to principles of procedural fairness which respects the right of a complainant to be heard by an impartial party;

6.6.2 The consideration of complaints and appeals will be dealt with according to principles of procedural fairness which respects the right of a complainant to be heard by an impartial party;

6.6.3 Attempts will be made to resolve complaints and appeals as close to the source as possible;

6.6.4 Complainants and respondents will not be subject to discrimination or harassment resulting from their participation in the complaints process;

6.6.5 This complaints process does not restrict a student's or person's right to pursue other legal remedies;

6.6.6 Staff will make all attempts to respond to complaints within the time limits set out in this policy;

6.6.7 All procedures will be made available to the public on the Australian Academy of Trades website, student handbook, and staff handbook

- 6.6.8 Complainants and/or respondents have the right to be represented by a third person (such as family member, friend, counsellor other professional support person, other than a qualified legal practitioner,) if they so desire;
 - 6.6.9 All communications arising from the complaints process, together with the proceedings of the Appeals and Complaints Committee, will remain confidential, except to the extent necessary to give effect to this Complaints and Appeals Policy.
 - 6.6.10 Where the appeal relates to suspension of enrolment, students may maintain their enrolled status whilst awaiting the outcome of the appeal.
 - 6.6.11 The complainant or appellant has the opportunity to formally present his/her case at no cost to them.
 - 6.6.12 They may also have a friend or nominated person accompany them.
 - 6.6.13 Complainants have access to an independent arbiter.
 - 6.6.14 Complainants are clearly informed in writing of the outcomes of the complaint or Appeal.
 - 6.6.15 Complaints and appeals are resolved within realistic and fair timelines
 - 6.6.16 Students may raise any matters of concern relating to training delivery and assessment, the quality of the teaching, student amenities, discrimination, sexual harassment and other issues which may arise
 - 6.6.17 Australian Academy of Trades will provide the student with details of external authorities including Australian Skills Quality Authority (ASQA).
- *These external authorities are independent from the college because ACPET organises independent mediators from a panel of mediators.*
 - *Students are referred to the ACPET State office when all attempts to resolve the dispute internally have failed. The student may represent himself or he may have a nominated person accompany him.*
 - *If the dispute is not settled in the mediation process, either party may seek other legal remedies.*
 - *Other agencies to which the student could be referred to include: Consumer Affairs, and the Queensland Department of Education, Queensland Education Overseas Unit.*
 - *Independent mediation is also available through the Dispute Resolution Branch, Department of Justice and Attorney General. There are six Dispute Resolution Centres throughout Queensland. The Brisbane Centre is located on the 13th Flr, Central Courts Building, 170 North Quay, QLD 4000. Contact details are: Tel: +61 7 3239 6269; Fax: +61 7 3239 6284. Students outside Brisbane may use the Toll Free No: 1800 017 288. At present there is no fee for use of this service, but this may change.*

*An overseas student may contact the Commonwealth Students Ombudsman. Email: ombudsman@ombudsman.gov.au **Call:** 1300 362 072* within Australia. Outside Australia call +61 2 6276 0111. **Enquiries:** 9:00am to 5:00pm Monday to Friday, Australian Eastern Standard Time (Australian Eastern Daylight Time when daylight savings is in effect). **Fax:** 02 6276 0123 within Australia. Outside Australia +61 2 6276 0123. **Postal:** GPO Box 442 Canberra ACT 2601.*

- *Nothing in the College's Dispute Resolution Policy prevents the right of any student to pursue other legal remedies*

6.6.18 The complainant or appellant has the opportunity to formally present his/her case at no cost to them.

6.7 POLICY CONTENT

6.8 COMPLAINTS AND APPEALS POLICY

ACADEMIC COMPLAINTS

The Academic Complaints and Appeals process is for matters which relate to:

- Assessment and results
- Student progress
- Curriculum content and delivery
- Conferral of awards.

If at any point, a student becomes dissatisfied in relation to these matters, they should commence Stage One (Academic) complaints procedures which are explained below.

At any point in this process, a complainant may seek advice from those authorities listed in section 6.6.17

Complainants who require assistance with preparing a written complaint or appeal may contact the Head of Department or Trainer for support.

The Appeals and Complaints Committee

The Appeals and Complaints Committee shall be comprised of the following:

- College Director and Chief Executive Officer
- Deputy Chief Executive Officer
- Registrar or nominated person

The committee will commence the review the appeal within **5 working days** of receipt of the written complaint and will inform the complainant of the outcome of this decision in writing. The Committee may ask either the complainant or respondent (or both) to present their case in person to the Committee.

Australian Academy of Trades Students have access to a Four-Stage complaints and appeals process as follows:

Stage One (Academic) – Informal

The first step is **direct communication** between the complainant and respondent to allow both parties to discuss their point of view and attempt to resolve the problem. The complainant should communicate the matter to the relevant staff member within **5 working days** of becoming aware of the problem. In most cases resolution may be verbal and investigation into the complaint will commence within **48 hrs** of the complaint being made.

The complainant is entitled to request and receive from the respondent a written response giving reasons and full explanation for decisions and actions taken. Students who require help in preparing a written complaint may contact the Head of Department or Trainer for assistance. The response to this first stage of the informal process should be given **within 5 days of the complainant speaking about the issue to the trainer or registrar.**

Stage Two (Academic) - Formal Complaints and Appeals Process

If, after undertaking Stage One, or in situations where Stage One is not possible, the complainant should **lodge their complaint in writing** (using the relevant form) to the Registrar (or nominee) within **5 working days** of the receipt of the stage one response. Within **48 hrs** Australian Academy of Trades will commence an investigation into the complaint. To avoid any conflict of interest, where the Registrar has been involved at the informal stage, the matter must be referred to the Deputy Chief Executive Officer as an independent and appropriate staff member to carry out Stage Two.

Within **5 working days of receipt of the appeal**, the Registrar (or nominee) will **provide in writing the outcome** of this step of negotiations to both Complainant and respondent.

Stage Three (Academic) - Appeals and Complaints Committee

Where the complainant is unsatisfied with the outcome of Stage Two and believes that:

- they did not have sufficient opportunity to present their case to the decision maker; or
- the process was not carried out in accordance with Lifetime policy or procedures; or
- the decision was made contrary to the evidence provided;

The complainant can lodge a written statement of their complaint with the Chief Executive Officer. This statement should be lodged within **5 working days** of receiving the written notification of the outcome of Stage Two negotiations.

To avoid any conflict of interest, where the Deputy Chief Executive Officer has been responsible for the decision being appealed or has been involved in the outcome of Stage One or Two, they must nominate another senior staff member to stand in their place on the Appeals and Complaints Committee.

Stage Four - External Agencies

Where the complainant is unsatisfied with the outcome of the Stage Three and believes that at the Appeals and Complaints committee the process was not carried out in accordance with Australian Academy of Trades policy or procedures they may request that the matter to be referred to Australian Academy of Trades 's nominated independent appeals reviewer.

The purpose of the external appeals process is to consider whether the College has followed its policies and procedures - it is not to make a decision in place of the College.

Independent Appeals Reviewer:

This independent agent will review the case, seeking input from all parties before making recommendations to Australian Academy of Trades within **15 working days**.

Note: If the complainant decides to proceed with Stage Four, they should notify the College of this, so that time is allowed for this process.

6.10 GENERAL (NON-ACADEMIC) COMPLAINTS

The Appeals and Complaints Committee

The Appeals and Complaints Committee shall be comprised of the following:

- College Director and Chief Executive Officer
- Deputy Chief Executive Officer
- Registrar

The committee will review the appeal within 10 working days of receipt of the written complaint and will inform the complainant of the outcome of this decision in writing. The Committee may ask either the complainant or respondent (or both) to present their case in person to the Committee.

The General Complaints process is for matters which relate to:

- Customer services and administration
- Marketing and information
- Facilities
- Fees and finance related matters
- Welfare.

If at any point, a complainant becomes aggrieved, they should commence **Stage One** complaints procedure as outlined in this Policy.

At any point in this process, a complainant may seek advice from the relevant person in authority

Stage One (Non-Academic) – Informal

The first step is direct communication between the complainant and respondent to allow both parties to discuss their point of view and attempt to resolve the problem. In most cases resolution may be verbal and investigation into the complaint will commence within **48 hrs** of the complaint being made.

The complainant should communicate the matter to the relevant staff member within **5 working days of receipt of the response from the respondent**.

The complainant is entitled to request and receive from the respondent a written response giving reasons and full explanation for decisions and actions taken. This will be given within **5 working days** of receipt of the complaint

Students who require help in preparing a written complaint may contact the Student Services Manager for assistance.

Stage Two (Non-Academic) - Formal Complaints and Appeals Process

If, after undertaking Stage One, or in situations where Stage One is not possible, the complainant should lodge **their complaint in writing within 5 working days** of the complaint issue becoming known. **The Registrar** will discuss with the complainant options to resolve the matter.

To avoid any conflict of interest, where the Admissions Manager has been involved at the informal stage, the matter must be referred to an independent and appropriate staff member to carry out Stage Two. **This will occur within 48 hrs of receipt of the complaint.**

Within **5 working days** of receipt of the complaint, the Registrar (or Nominee) will provide in **writing the outcome** of this step of negotiations to both complainant and respondent.

Stage Three (Non-Academic) - Appeals and Complaints Committee

Where the complainant is unsatisfied with the outcome of Stage Two and believes that:

- They did not have sufficient opportunity to present their case to the decision maker; or
- The process was not carried out in accordance with Australian Academy of Trades 's policy or procedures; or
- The decision was made contrary to the evidence provided; the complainant can lodge a written statement of their complaint with the Deputy Chief Executive Officer.

This statement should be lodged within **5 working days** of receiving the written notification of the outcome of Stage Two negotiations.

The Appeals and Complaints Committee will consider the complaint and respond **within 5 working days of receipt of the complaint**. The Committee may ask either the complainant or respondent (or both) to present their case in person to the Committee. All parties will be advised in writing of the outcome of this step of negotiations.

Stage Four - External Agencies

Where the complainant is unsatisfied with the outcome of the Stage Three and believes that at the Appeals and Complaints committee the process was not carried out in accordance with Australian Academy of Trades 's policy or procedures they may request that the matter be referred to Lifetime's nominated independent appeals reviewer. The purpose of the external appeals process is to consider whether the College has followed its policies and procedures - it is not to make a decision in place of the College.

Independent Appeals Reviewer:

This independent agent will review the case, seeking input from all parties before making recommendations to Australian Academy of Trades within **15 working days**.

Note: If the complainant decides to proceed with Stage four, they should notify the college of this, so that time is allowed for this process.

6.11 Appeals Against Reporting Students to DIBP

Appeals under this category will be in response to Australian Academy of Trades notifying a student that they intend to report the student to DIBP for not complying with the conditions of their student visa. This may occur in relation to:

- **Unsatisfactory Academic Progress; or**
- **Failure to maintain enrolment in a registered course (as stated on the CoE).**

Once Australian Academy of Trades notifies a student of their intention to report them to DIBP, the student may commence the Stage One appeals procedure which is explained below.

At any point in this process, a complainant may seek advice from college representatives, or persons they wish to nominate.

Australian Academy of Trades students who receive a notice that they will be reported to DIBP have access to a four stage appeals process as follows.

Stage One (Reporting to DIBP) – Informal Appeal

The process of an informal appeal is initiated at the time of a student receiving a warning or final warning notice. If the student wishes to appeal the decision to issue the warning/final warning they should do so by making an appointment with the relevant Head of Department and discussing their situation. In some cases, during the interview process, a student might agree with the issuance of a warning/final warning but may have reasons for their poor progress. Every attempt should be made by the student to present evidence or explain reasons why they have unsatisfactory academic progress at this stage. Heads of Department will, in turn, discuss support options available.

Stage Two (Reporting to DIBP) - Formal Complaints and Appeal Process

Once a student has received notification that they will be reported to DIBP (Intent to Report notice) they have **22 working days from the date of the notice** to contact the Deputy Chief Executive Officer or other Academic staff to discuss the matter and provide evidence which may change the outcome of the reporting process.

If the student wishes to appeal the decision to report, they should complete the 'Non Compliance Appeal Form', which is available from the Academic offices once the 'Intent to Report notice' has been sent, this will initiate the internal appeal process.

Students will need to make an appointment with the Student Services Manager, Deputy Academic Director and/or Academic Director in order to lodge the Non-Compliance Appeal form. Students are advised to undertake this step as soon as an 'Intent to Report' notice to DIBP has been received.

Evidence submitted in support of an appeal (e.g. Medical certificates) must be in English or accompanied by official English translations. Supporting evidence in languages other than English will not be accepted as part of the appeal.

Stage Three (Reporting to DIBP) - Appeals and Complaints Committee

The Appeals and Complaints Committee will consider the appeal within **10 working days of receipt of the evidence** and the 'Non Compliance Appeal' form. The Committee may ask either the student or respondent (or both) to present their case in person to the Committee.

All parties will be advised in writing of the outcome of this step of negotiations. If students are not satisfied with the outcome and have valid reasons for proceeding with an appeal, they may access the external appeals option but should notify the Deputy Chief Executive Officer in writing via the Non Compliance Appeal Form.

Stage Four- External Agencies

Where the complainant is unsatisfied with the outcome of the Stage Three and believes that at the Appeals and Complaints committee the process was not carried out in accordance with Australian Academy of Trades policy or procedures they may request that the matter be referred to Australian Academy of Trades 's nominated independent appeals reviewer. The purpose of the external appeals process is to consider whether the College has followed its policies and procedures - it is not to make a decision in place of the College.

Independent Appeals Reviewer:

This independent agent will review the case, seeking input from all parties before making recommendations to Australian Academy of Trades **within 15 working days**.

Note: If the complainant decides to proceed with Stage four, they should notify the college of this, so that time is allowed for this process.

6.12 Administrative procedures

This policy and related documentation is accessible through the Australian Academy of Trades website at: <http://www.Lifetime.qld.edu.au>

- Records of all complaints and appeals will be kept for a period of five years. These records will be strictly confidential and filed separately from student files. These records will be under the responsibility of the Deputy Chief Executive Officer; Registrar (DIBP reporting).
- Any recommendations for process improvement or policy change arising out of any stage of the complaints and appeals process will be forwarded the Quality Committee for recording and consideration.
- This policy and related procedures will be communicated to staff via email and ongoing staff information sessions. New staff will receive policy information during the induction process.
- Recommendations arising from any external review of the Complaints and Appeals Policy or procedures should be implemented within 90 days of notification.
- Forms required include
 - Application for an Informal Appeal of a Result
 - Application for a Formal Appeal of a Result
 - Application for a Formal Appeal against Termination
 - Non Compliance Appeal Form DIBP Reporting

Discipline policy

1. PURPOSE:

To inform students and staff about the process to be undertaken once it is deemed that a student or staff member requires disciplinary action.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1, 6.2) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

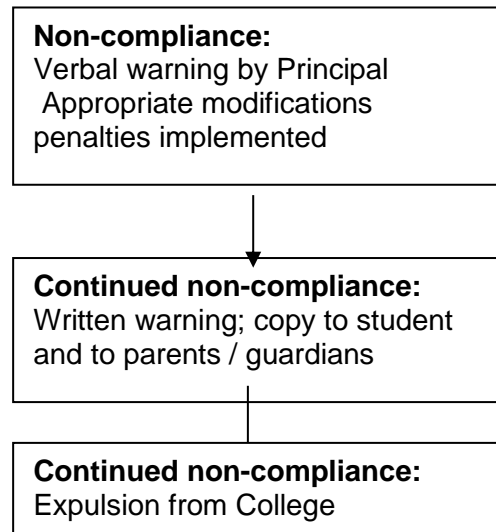
6.1 Student Behaviour:

Under its Quality Assurance procedures Australian Academy of Trades reserves the right to terminate a student's enrolment should the student:

- Endanger the health and safety of another student or a teacher/trainer
- Engage in the falsification of documents and /or assessments and training outcomes
- Divulge personal or confidential information relating to another student's documents, assessment and training outcomes
- Prevent other student/s from completing their course of study in reasonable peace and privacy
- Refuse to act in accordance with any rules and regulations prescribed by the College that are designed to protect the well-being of others, e.g. smoking policies.
- Cheating

Furthermore any teacher/trainer employed by Australian Academy of Trades who violates student's rights or engages in any activity that causes stress or disadvantage to any student/client will be subject to disciplinary procedures that may involve termination of services. Teacher/trainers should be aware of Complaint procedures and when in doubt contact senior management to arrange a personal interview

If students do not comply with College rules and regulations, then the following procedure will be implemented:



There will be no refund of tuition fees in cases of expulsion.

In the event of suspension of enrolment for whatever reason Australian Academy of Trades shall review such suspension with other members of staff within 28 days, and thereafter shall decide whether to remove the suspension for a limited or unlimited period or revoke the enrolment of the student.

Any student who is subject to a suspension or revocation of enrolment shall have the right of appeal and such appeals must be lodged in writing at the registered office of Australian Academy of Trades to be received no later than 28 days from the date of the letter sent by Australian Academy of Trades to the student suspending or revoking enrolment. Such an appeal shall be heard by at least one Director of Australian Academy of Trades together with a nominated external appropriately qualified representative.

Should the student wish to appeal at a higher level, Australian Academy of Trades will provide sufficient accurate information to enable the student to follow an external Complaints/Appeal procedure.

If revocation of enrolment of the student is made permanent, then the College will refund to the student any unused balance of prepaid fees in accordance with the Australian Academy of Trades Refund Policy.

Validation

Document and data control policy

1. PURPOSE:

To establish and maintain a system for ensuring that all quality related documents are suitably approved and distributed and are under revision control.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 8: The RTO cooperates with the VET regulator and is legally compliant at all times (Clause 8.1) (Appendix 1).*

3. **RESPONSIBILITIES:** HODS, College Trainers, Administration officers,
(Quality Manager)

4. **REFERENCES:** N/A

5. **RECORDS AND FORMS:** Version Control Checklist and Procedure Form

6. ACTION/METHOD:

6.1 The **Quality Manager** implements the following:

Ensures all Forms, Policies, Procedures and Quality related documentation are current.

Advises staff of revisions or new quality related documentation

Ensures all superseded documents are replaced by the current version and the new version recorded on the Version Control Master Checklist Form

Ensures that a password is established and changed regularly for all RTO computer operations

Organises for backups of data nightly.

Ensures that the backup discs are securely stored and that a copy is stored off campus

6.2 The CEO will review improvements implemented at the annual Management Review Meeting.

6.3 The College complies with the VET regulator in the retention, archiving, retrieval and transfer of records.

Validation_____

Enrolment form complement procedure

1. PURPOSE:

To establish and maintain a system to control the information collected by the College on the students in relation to course and personal details.

This procedure applies to all students who wish to undertake a course at Australian Academy of Trades

2. STANDARDS AND SCHEDULES FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected.(Clauses 5.1, 5.2, 5.3) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place.(Clause 7.3) (Appendix 1).*
- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times. (Clause 8.5, 8.6) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Marketing Liaison Officer

4. REFERENCES: Current Student Information and Enrolment Forms Current Student Records of Assessment

5. RECORDS AND FORMS: Student Information and Enrolment Forms

6. ACTION/METHOD:

6.1 Domestic Clients

- Marketing Liaison Officer/Agent assists the client to complete the application form containing client details.
- Conditions of enrolment are listed and explained to the client.
- Course pre-requisites are explained to the client
- Student signs acknowledgment that the information is understood
- Arrangement for payment of fees is undertaken.
(See FEE PAYMENT Procedure)
- If the student wishes to apply for Recognition of Prior Learning, an appointment with the Lecturer should be made. (See RECOGNITION OF PRIOR LEARNING Procedure)
- All students MUST have their textbooks for the commencement of the second week of Semester.

- A letter stating confirmation of enrolment will be sent to successful clients

6.2 Overseas Clients

- Marketing Liaison Officer/Agent will assist clients to complete the enrolment form
- Client's visa shall be sighted and checked (if applicable)
- Conditions of enrolment are listed and explained to the client
- Student signs acknowledgment that the information is understood
- Documentation of English Language proficiency shall be sighted (if applicable)
- Arrangement for payment of fees is undertaken. (See FEE PAYMENT PROCEDURE)
- If the student wishes to apply for Recognition of Prior Learning, an appointment with the appropriate Lecturer should be made.
- (See RECOGNITION OF PRIOR LEARNING Procedure)
- All students MUST have their textbooks for the commencement of the second week of Semester.

A letter stating confirmation of enrolment will be sent to the successful clients.

Validation _____

Emergency evacuation procedure

1. PURPOSE:

- To ensure that all occupants of the building evacuate safely in case of emergency
- This Procedure applies to all Australian Academy of Trades employees, students and visitors.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 8: the RTO cooperates with the VET regulator and is legally compliant at all times.(Clause 8.5) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Workplace Health and Safety Officer

4. REFERENCES: Client Handbook

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 The WH&S Officer will direct the evacuation.

Evacuation Procedures

Advise all staff and students to vacate the building

If safe to do so, commence normal shutdown of equipment and proceed via the Fire Escape to the designated safe area

When directed to leave building:

- Proceed in single file
- Maintain contact with handrail at all times
- Proceed in an orderly manner
- Handbag size personal items may be taken from building
- Proceed immediately to the designated safe area.

Note: Do not re-enter building until clearance is given by the Queensland Fire and Rescue Service.

Validation_____

Fee payment procedure

1. PURPOSE:

To ensure that all new students are given appropriate information regarding the fee payment process

2. STANDARDS FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected. (Clauses 5.1, 5.2, 5.3) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place. (Clauses 7.2, 7.3, Schedule 6). (Appendix 1*
- *(Schedule 6) (Appendix 2).*

3. **RESPONSIBILITIES:** HODS, College Trainers, Administration officers,

4. **REFERENCES:** N/A

5. **RECORDS AND FORMS:** Refund application form

6. ACTION/METHOD:

6.1 A qualified trainer from Australian Academy of Trades will assess applications for

RPL and the results of that assessment will be forwarded to the applicant

- Enrolments are only accepted if received with a deposit prior to the course commencing, (excepting short courses) as specified in the course costs document. The Australian Academy of Trades Office Administrator processes all enrolments and a course file commenced.
- Payments will be accepted by; cheque, credit card or cash. The Office administrator who handles all payments will issue a receipt and deposit the monies into a special account set up especially for collection of student/clients fees.
- All payments for training by students/clients must be made at the designated times and before the completion of any course**, unless the Australian Academy of Trades Principal has approved an alternative payment process
- A penalty of \$100.00 will be charged for each month that the student is late in paying tuition fees.

6.2 If a staff member receives notification from a client that he/she wishes to withdraw their nomination for a course, the client is to be reminded of Australian Academy of Trades Refund Policy. The name and telephone number of the student/client will be passed to the Australian Academy of Trades Principal; who will in turn contact the student/client and process their enrolment cancellation in accordance with Australian Academy of Trades Refund Policy.

Financial management policy

1. PURPOSE:

To ensure that the CEO Australian Academy of Trades can demonstrate to its registering body, on request, that the College is financially viable at all times during the period of its registration.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected. (Clauses 5.3) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place. (Clauses 7.2, 7.3). (Appendix 1*
- *(Schedule 6) (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 This information will also be included in the Financial Management Procedure section of the Policy and Procedures Manual.

6.2 The CEO Australian Academy of Trades will ensure the College can demonstrate to its registering body, on request, that it is financially viable at all times during the period of its registration:

6.3 The College ensures that its executive officers or high managerial agent:

- a) are vested with sufficient authority to ensure the College complies with the College Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

The College satisfies the *Financial Viability Risk Assessment Requirements*. Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

The College holds public liability insurance that covers the scope of its operations throughout its registration period.

The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

- Australian Academy of Trades Marketing Officer will provide the following fee information to each client: (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 College 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.

6.4 Where the College collects fees from the individual learner, either directly or through a third party, the College 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 College; 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 College in the event the:
 - i) arrangement is terminated early; or
 - ii) the College fails to provide the agreed services

6.4 Where the College collects student fees in advance it must ensure it complies with one of the following acceptable arrangements to address learner fee protection:

The College holds 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 College in excess of the threshold prepaid fee amount for each learner for services to be provided by the College to those learners; and
- b) all establishment and ongoing maintenance costs for the bank guarantee are met by the College.

The College holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the College is unable to provide services for which the learner has prepaid, must ensure:

- a) the learner will be placed into an equivalent course such that:
 - the new location is geographically close to where the learner had been enrolled; and
 - the learner receives the full services for which they have prepaid at no additional cost to the learner; or
- b) if an equivalent course cannot be found, the learner is paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.

Any other fee protection measure approved by the VET Regulator.

The CEO Australian Academy of Trades will ensure its accounts are certified by a qualified Accountant to Australian Accounting Standards at least annually, and provide the certificate to its registering body on request. If the registering body reasonably deems it necessary, the chief executive must provide a full audit report on the College's financial accounts from a qualified and independent accountant.

Explanatory notes

Information about fees must be clearly expressed and in language that clients understand. All fees and charges must be included in this information, including possible fees and charges such as RPL charges and additional charges imposed if the learners do not successfully complete their programs. If this information is complete and clear both the client and RTO are protected.

Each year, RTOs are required to have their accounts certified by a qualified Accountant as being prepared in accordance with Australian Accounting Standards. **They must maintain records of the certification for each year of operation.** The College may be asked to have its accounts audited by a qualified and independent auditor in accordance with Australian Auditing and Assurance Standards and should ensure that it can obtain such an audit if it is requested. An independent auditor is someone who does not have a personal connection to or interest (financial or otherwise) in the College.

An RTO must be able to demonstrate that it is financially viable at any time that it is requested to by its registering body. Financial viability is about being able to generate sufficient income to meet operating payments and debt commitments while delivering quality training and assessment services and outcomes.

The arrangements available to RTOs if they collect fees in advance are designed to protect individual students in the event that an RTO is unable to deliver the training, assessment and support services as agreed.

A tuition assurance scheme will provide the student with tuition by another provider if the College is no longer able to operate. A maximum on the amount of fees able to be collected in advance will limit the amount that a student may lose if an RTO collapses with no financial assets. A bank guarantee for an amount of no less than the amount that an RTO collects in advance will ensure that students are able to get back the money they have prepaid to an RTO. Any other proposed measures to protect student fees paid in advance, must be approved by the registering body.

Validation _____

Financial management procedure

1. PURPOSE:

To ensure a system is established to transparently record the appropriate management of finances and to ensure that Australian Academy of Trades remains financially viable. This Procedure applies to the Principal and all staff.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected. (Clauses 5.3) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place. (Clauses 7.2, 7.3, Schedule 6). (Appendix 1*
- *(Schedule 6) (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: **Staff Handbook**

5. RECORDS AND FORMS: Receipt of student fees records, Business Plan, Budget forecast, Form

6. ACTION/METHOD:

6.1 The CEO and Finance Manager prepare annually a budget forecast identifying projected income, and expenses as part of the Business Plan. In addition:

- The Finance Manager prepares weekly income and expenditure statements. (Ledgers)
- The Finance Manager prepares a monthly report including Profit and Loss statement for management
- Student fees are paid by students according to Australian Academy of Trades fees and payment policy. Receipts for all payments are printed, given to students, and recorded appropriately by the Administration Manager.
- The Administration Officer/ Finance Manager records all fee payments on the electronic student management system
- The Administration Officer / Finance manager appropriately records student refunds.
- A qualified person appointed by Australian Academy of Trades professionally monitors all financial transactions. Dedicated software is used for managing and reporting for financial audit purposes. The current system meets Audit requirements.
- The Finance Manager manages Petty Cash and staff are requested to provide all receipts for purchases. Petty Cash Receipts are recorded and

presented to the Australian Academy of Trades Bookkeeper for appropriate recording.

6.2 Australian Academy of Trades has an established Charges and Refund Fees Policy that is fair and equitable.

This Policy identifies:

- The period of time required to give notice of an intention to withdraw from a course of study, for which fees have been paid but not yet commenced;
- The portion of fees which is not considered as part of the refund, being retained for costs of administration, service charges, materials fees, or application fees;
- Conditions for cancellation of courses by Australian Academy of Trades .

All fees received are placed in a Australian Academy of Trades holding bank account and not accessed until the course commences. A relevant proportion of the fees paid will be retained in the account to cover any emerging contingency.

6.3 Australian Academy of Trades Principal has defined responsibility and authority to:

- Ensure that the company complies with its financial management policies
- Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement;

Australian Academy of Trades gives formal assurance that it has sound financial management standards for matters related to its scope of registration and scale of operation.

A qualified accountant who has membership of either the Certified Practising Accountants Australia or the Institute of Chartered Accountants of Australia certifies Australian Academy of Trades financial accounts at least annually.

If requested by ASQA, Australian Academy of Trades will make available a full audit report from an independent qualified accountant who has membership of either of the organisations mentioned above.

Validation _____

Flexible learning and assessment policy

1. PURPOSE:

Australian Academy of Trades is committed to providing flexible delivery and assessment to the needs of individual students. This Policy ensures that structured training at the College is designed to produce outcomes that meet the needs of both the client and the College.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.(Clauses 1.1 – 1.25)(Appendix 1)*
- *Standard 2: The operations of the College are quality assured. (Clause 2.2) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected.(Clauses 5.1, 5.2) (Appendix 1).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1, 6.2) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

- 6.1** Australian Academy of Trades adopts a range of learning strategies in both theory and practical sessions that are customised to student needs. Australian Academy of Trades achieves this by giving students guidance, mentoring and coaching as well as assistance to work on live clients early in the program.
- 6.2** Australian Academy of Trades caters for differences in learning styles by using a variety of delivery and assessment methods such as demonstration, role play, observation, problem solving, self-paced learning and self-assessment.
- 6.3** Australian Academy of Trades also provides the opportunity for students to work in industry as part of their program, giving them exposure to a variety of practical methods in the relevant industry.
- 6.4** Students with English as a second language are given assistance such as being able to provide oral responses to some assessments and also they are given additional time in theory examinations.
- 6.5** Students with learning difficulties in literacy or numeracy are given extra assistance from Australian Academy of Trades staff in the form of tutorials, additional time in examinations, oral assessments and are directed to TAFE for specialist help if required.

- 6.6** Trainers and assessors are expected to engage in continuing professional development to ensure currency in options available to deliver flexible learning and assessment.
- 6.7** Flexible learning and assessment will each be monitored for quality improvement purposes to ensure they meet the needs of the individual learner.

Validation-----

Identifying client needs and learning needs procedure

1. PURPOSE:

To establish the needs of clients, implement appropriate processes to meet those needs and to continue to monitor those processes

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.(Clauses 1.1 – 1.25)(Appendix 1)*
- *Standard 2: The operations of the College are quality assured. (Clause 2.2) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected.(Clauses 5.1, 5.2) (Appendix 1).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively. (Clauses 6.1, 6.2) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Trainers, Companies, HODS, Organisations

4. REFERENCES: Minutes of Meetings; results of focus groups or market research; questionnaires, Enrolment Form information; research reports or studies.

5. RECORDS AND FORMS: Enrolment Form

6. ACTION/METHOD:

Note: Clients could include the needs of enterprises, companies and/or groups of learners.

6.1 Trainers and HODS will establish the needs of clients attending Australian Academy of Trades of Technology through any of the following:

- Meetings with workplace supervisors and management
- Focus groups and market research
- Questionnaires before commencement of programs and questions of the Enrolment Form
- Research reports or studies.

6.2 Trainers, HODS, Administrative staff and Support staff will provide services to clients that vary according to the client group and the size and scope of the College operations. Services include the following:

- 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

- Learning resource centres
- Mediation services or referrals to these services
- Flexible scheduling and delivery of training and assessment
- Counselling services or referrals to these services
- Information technology (IT) support
- Learning materials in alternative formats, for example, in large print
- Learning and assessment programs customised to the workplace.

6.3 Trainers, HODS, Administrative staff and Support staff will monitor the provision of client services to continue to meet the needs identified by:

- Reviewing the progress of groups of learners to check that they are progressing satisfactorily and reviewing the support services provided where necessary
- Maintaining ongoing contact with workplace supervisors and management to gauge the effectiveness of services provided
- Monitoring the usage of services to ascertain whether learners are accessing these
- Input is collected from industry contacts to confirm that the proposed and actual training provides the relevant outcomes to meet the employment and skill demand of industry.

6.4 Identifying Client Learning Needs, by:

- At the beginning of training (classes), each teacher interviews the students to find out their learning needs

6.5 The teacher also works with the student to:

- Identify the tasks, which people should perform to do job standards specified by employer/industry.
- Identify the tasks people can currently perform
- Determine the differences between 1 and 2. This establishes the tasks people cannot yet perform.
- Focus training on tasks, which persons cannot yet perform
- Apply a flexible approach to delivery and assessment.

6.6 The evidence gathering is done through job interviews, student recruitment, and identification of special needs on the enrolment form when students enrol and during training sessions. During training, the teacher also identifies the needs of the students.

6.7 If there is any learning deficiency identified with a student, such as in the area of numeracy, then special assistance will be provided. Students are referred to TAFE for specialist assistance not able to be provided by Australian Academy of Trades .

6.8 Learner support

The College 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.

Validation_____

Industry consultation policy

1. PURPOSE:

To ensure Australian Academy of Trades liaises with industry through relevant skills Councils, industry and professional associations, unions and local employers as appropriate.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.5, 1.6) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Agenda – Industry Consultation Form, Meetings Form, Industry Consultation Survey Form.

6. ACTION/METHOD:

6.1 The College's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

The College 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.

6.2 Strategies for Industry Engagement:

- Regular and systematic meetings with workplace supervisors and management
 - Focus groups and market research
 - Questionnaires about industry specific needs before commencement of programs
 - Industry research reports, journals and/or studies
 - Industry conferences
 - All above incorporated into Australian Academy of Trades staff meetings and actioned as necessary
 - Currency of the Australian Academy of Trades Trainers and Assessors Industry Skills is informed by Industry Engagement.

6.2 Systematic use of the outcome of industry engagement training and assessment strategies, practices and resources, and the current industry skills of its trainers and assessors

Consulting Workplace Personnel

HODS and Trainers will consult Workplace personnel in the development of workplace training and assessment processes.

Workplace personnel will be able to provide information on:

- Opportunities for training and assessment at the workplace
- Information about job roles and the range of conditions under which employees work
- Equipment and machinery that are used at the workplace, and their availability for training and assessment activities
- Personnel at the workplace who can support the College and the learners in training and assessment, and who can provide any other support that the learners may require
- Reasonable adjustments that can be made for assessment in the workplace
- Seasonal and shift times that might restrict opportunities for training and assessment
- Opportunities that learners will have at the workplace to develop competency across the scope of the competency standards
- Workplace induction processes provided to learners
- Workplace policies and procedures that may need to be integrated into the training and assessment program
- Any special projects that the learners could be involved in
- Any conditions imposed on learners or on workplaces through licensing/regulatory requirements and industrial agreements
- Personnel who have the required competencies to conduct workplace assessment, where relevant.
- This information is invaluable to the College when developing a training and assessment program for trainees, apprentices and learners participating in work experience/placement as part of an institution-based program.

6.2 Informing Workplace Personnel

HODS and Trainers will ensure Workplace personnel are informed of their training and assessment roles and responsibilities, where relevant to the training and assessment program through providing input to Training Plans through the following:

- Providing learners with opportunities for skills development
- Gathering evidence of on-the-job performance for assessment purposes
- Providing opportunities for learners to be withdrawn from routine work for the purpose of developing competence in other ways
- Completing documentation, for example, signing off on third party evidence or verifying logbook entries to the satisfaction of the licensing authority (if applicable)
- Acting as a point of contact for the College
- Ensuring duty of care and providing support.
- Workplace personnel should be provided with an outline of their agreed roles and responsibilities, together with the College's, so that both parties have a record of what has been agreed
- Australian Academy of Trades monitors the contribution of workplace personnel in supporting each learner's training and assessment.

6.3 Industry input into monitoring the Learner's Progress

Australian Academy of Trades monitors the learner's progress. Information from workplace personnel is used to continuously improve training and assessment

HODs and Trainer's must monitor Learners' progress to ensure that they are developing skills and knowledge as planned. This monitoring will also help the College to confirm that learners are receiving the support they need.

The key to effective monitoring is communicating regularly with learners and their workplace supervisors to:

Discuss progress

- Confirm that the agreed roles and responsibilities are being carried out
- Identify further support needed
- Adjust plans for training and assessment
- Negotiate further opportunities for training and assessment.

There are often requirements to document this monitoring in learners' Training Plans when a government-funded training contract is in place for trainees and apprentices.

Workplaces are obliged to offer to the student/learner:

- WH&S induction
- Pairing up the learner with a mentor
- Providing extra time or opportunities for learning
- Providing opportunities for assessment and/or being involved in the assessment process
- Ensuring that the learner has access to workplace services, such as counselling, if these are in place.
- The College is responsible for ensuring that workplace personnel are providing the agreed support to learners.

6.4 Continuous improvement feedback

Workplace personnel can provide feedback on how effectively training, assessment and client services meet workplace requirements by:

- Contributing to training and assessment strategies
- Participating in assessment validation events, such as seminars
- Co-assessing with RTO staff
- Providing feedback, through client satisfaction surveys, on the College's training and assessment approaches and client services.

6.5 Feedback from Employers

Input is collected from industry contacts to confirm that the proposed and actual training provides the relevant outcomes to meet the employment and skill demand of industry.

Such contacts also help in reviewing assessment strategies, validating such strategies and documenting actions taken in Australian Academy of Trades .

Australian Academy of Trades 's training and assessment practices are relevant to the needs of industry and informed by industry engagement. Lifetime implements a range of strategies for industry engagement, and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

- It's training and assessment strategies, practices and resources and
- The current industry skills of its trainers and assessors, as above.

Industry input can include:

- Feedback and input surveys
- Written letters of support
- Requests for specific programs
- Evaluations of similar courses conducted in past 18 months
- Industry statistics
- Recent reports and journals
- Other evidence for skills to meet employment/skill demand.

The input and feedback from industry is used to develop and implement assessment strategies for accredited courses and Training Packages courses.

Validation_____

Internal review policy

1. PURPOSE:

To ensure a continuous and systematic review process occurs to monitor the organisation's capacity to manage the VET Quality Framework standards.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the College are quality assured (Clause 2.2) (Appendix 1).*

3. RESPONSIBILITIES: Australian Academy of Trades CEO HODS, College Trainers, Administration officers, Quality

4. REFERENCES: N/A

5. RECORDS AND FORMS: Internal Audit Schedule, VET Quality Framework Internal Audit Table Form

6. ACTION/METHOD:

- 6.1** An annual audit schedule is established by the Quality Manager or the designated representative.
- 6.2** Approximately three weeks prior to the audit, the internal auditor informs staff by email of the date, purpose and requirements of the audit including attendance at a pre-audit and post audit meeting and a list of procedures/ documentation being checked against the standards.
- 6.3** The internal auditor conducts an audit against the Standards for Registered Training Organisations 2105 and the relevant procedures twice a year (See STANDARDS MATRIX -MAPPING FORMS, POLICIES and PROCEDURES)
- 6.4** The internal auditor notifies the principal and staff to attend a pre-audit entry meeting with the internal auditor on the day of the audit
- 6.5** The internal auditor completes a register of attendees for the audit meeting
- 6.6** The internal auditor/ and or audit team examines objective evidence, recording essential information on the VET QUALITY FRAMEWORK AUDIT TABLE and report
- 6.7** The internal auditor identifies non – conformances and improvements required and reports back to the staff at the exit meeting.

6.8 The internal auditor ensures corrective action forms are completed and improvements implemented.

6.9 The internal auditor provides a report on the outcomes of the audit.

6.10 The CEO views the audit report and signs and dates the report for verification.

INTERNAL AUDIT SCHEDULE	DATE
	MAY- JUNE
	OCTOBER/ NOV

Validation_____

Issuing of Qualifications and Statements of Attainment policy

1. PURPOSE:

To ensure that Australian Academy of Trades is compliant with Standard 3 of the Standards for Registered Training Organisations 2015.

2. STANDARDS AND SCHEDULE FOR RTO REFERENCE:

- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6) (Appendix 1) (Schedule 5) (Appendix 2).*
- *Standard 7: The College has effective governance and administration arrangements in place (Clause 7.5) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 To be compliant with Standard 3 the College must meet the following:

- Australian Academy of Trades Administration Officer issues AQF certification documentation only to a learner who has been assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.
- All AQF certification documentation issued by Australian Academy of Trades meets the requirements of Schedule 5.
- Australian Academy of Trades ensures that 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 College have been paid.
- Records of learner AQF certification documentation are maintained by the College in accordance with the requirements of Schedule 5 and are accessible to current and past learners.
- Australian Academy of Trades 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:
 - AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
 - Authenticated VET transcripts issued by the Registrar.
- Australian Academy of Trades will retain client records of attainment of units of competency and qualifications for a period of thirty years and ensures that records are kept in an **accessible format** for this time period.
- Australian Academy of Trades will have a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data.

- Australian Academy of Trades will provide returns of its client records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body.
- The College will provide accurate and current information as required by the *Data Provision Requirements* as updated from time to time.
- Australian Academy of Trades will meet the requirements for implementation of a national unique student identifier, including:
 - Verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
 - 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*;
 - 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
 - Ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Explanatory notes

- The College must have a system in place to issue compliant certificates or statements of attainment to learners as appropriate within a reasonable timeframe after they have been assessed as competent.
- The *AQF Implementation Handbook* provides information on the format of testamurs and can be sourced at www.aqf.edu.au.
- The Nationally Recognised Training (NRT) logo specifications provide information on the use and form of the NRT logo, and can be sourced at www.training.com.au.
- The registering body requires RTOs to provide accurate and complete information on the attainment of each learner engaging in nationally recognised training. The College must therefore have an effective system in place to ensure that these records are kept and reported as required.

Validation_____

Issuing of Qualifications and Statements of Attainment procedure

1. PURPOSE:

To ensure Australian Academy of Trades issues AQF qualifications or Statements of Attainment that comply with the guidelines provided by the Australian Qualifications Framework (AQF).

2. STANDARDS FOR RTO REFERENCE:

- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6) (Appendix 1) (Schedule 5) (Appendix 2).*
- *Standard 7: The College has effective governance and administration arrangements in place (Clause 7.5) (Appendix 1).*

3. RESPONSIBILITIES: College Trainers, Administration officers, Quality Manager

4. REFERENCES: Monitoring Attendance and Course Progress Policies (CRICOS)

5. RECORDS AND FORMS: Award Qualifications Documents

6. ACTION/METHOD:

- 6.1 The Administration Manager/Registrar will load relevant data onto the relevant software package.
- 6.2 The Administration Manager/Registrar will maintain appropriate computer back-up systems. The processes used will comply with guidelines supplied by the Australian Qualifications Framework (AQF).
- 6.3 Trainers and the Faculty manager are accountable and responsible for the maintenance of accurate records of student attendance and academic performance. The Faculty Manager after reviewing the submitted student assessments will forward the results to Administration Officer for data entry. If this is the final assessment, the student administration officer will notify the faculty manager, who will prepare the completion paperwork, contact the student, and organise a meeting time to review results and complete the paper work.
- 6.4 The qualification testamur will be forwarded to the student within 21 days of completion date.
- 6.5 Appropriate qualifications will be issued to students on satisfactory completion of the course assessment requirements. The certification issued will:
 - Have a number unique to the individual student
 - Contain all of the specific course details required by AQF Guidelines
 - Display the Nationally Recognised Training (NRT) logo indicating that it is a nationally registered course
- 6.6 Where students fail to complete the **full course**/program they will be issued with a Statement of Attainment that will specify the units that were successfully completed.

Validation_____

Language, Literacy and numeracy skills policy

1. PURPOSE:

To ensure all students including those experiencing language and literacy difficulties are given appropriate assistance with to succeed in their studies, Australian Academy of Trades staff will observe and implement the following Procedure:

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.5, 1.6, 1.7) (Appendix 1).*
- *Standard 2: The operations of the College are quality assured (Clause 2.2) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clauses 5.1, 5.2) (Appendix 1).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively (Clauses 6.1, 6.2) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

- 6.1** Staff will observe, identify and immediately act when a student has problems with language, literacy, or numeracy
- 6.2** Staff will make every effort to maintain the confidentiality of students language, literacy, or numeracy problems
- 6.3** Staff will not make discriminatory or judgemental statements about any student or other staff member based on the level of language, literacy, or numeracy skills or any other issues
- 6.4** Students with language, literacy, or numeracy problems will be counselled on their skill deficiency, and how Australian Academy of Trades can assist them to achieve the language and literacy requirements the relevant industry related to their course
- 6.5** Recommendations for assistance will be presented to the student to overcome the skill shortfall. However, no student will be rejected because they decline this advice
- 6.6** Specialised training to be suggested such as that offered by TAFE Queensland includes :

- Certificate in Vocational Access Literacy and Numeracy
- Literacy/Numeracy Learning Support

Details of access, cost, entry requirements etc. will be given to the students

- 6.7** Managers will hold (at least) quarterly discussions with staff and trainers at staff meetings to reinforce company policy on Access and Equity, particularly if discriminatory or judgemental behaviour has been observed or identified
- 6.8** Managers will review quarterly (at least) the effectiveness of language, or numeracy support programs and their impact on students undertaking any Australian Academy of Trades training program
- 6.9** Management and staff have the joint responsibility of maintaining a high level of awareness of courses available to students with language, literacy, or numeracy problems or ESL student
- 6.10** Additional time of 25% is allowed in all written assessments. ESL students are also permitted to use foreign language dictionaries and general references or English language dictionaries during written assessments.

Validation _____

Management of operations procedure

1. PURPOSE:

To ensure the College Management System meets The VET Quality Framework and the Legislation and Regulations under which it is registered.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the College are quality assured (Clauses 2.1 – 2.4) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place (Clauses 7.1 – 7.5) (Appendix 1).*
- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times (Clauses 8.1 – 8.6) (Appendix 1).*
- *Schedule 3 (Appendix 2).*
- *Schedule 6 (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: The VET Quality Framework comprises:

- Standards for Registered Training Organisations 2015
- Fit and Proper Person Requirements (Schedule 3) (Appendix 2)
- Financial Viability Risk Assessment Requirements
- Data Provision Requirements, and
- Australian Qualifications Framework.

5. RECORDS AND FORMS:

6. ACTION/METHOD:

Note:

Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met.

Continuous improvement does not relate to actions to achieve compliance as such actions are considered rectifications.

6.1 Action

- The College ensures that its executive officers or high managerial agent:
 - a) are vested with sufficient authority to ensure the College complies with the College Standards at all times; and
 - b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

- The College satisfies the *Financial Viability Risk Assessment Requirements*.
- Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6 (Appendix 2).
- The College holds public liability insurance that covers the scope of its operations throughout its registration period.
- The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.
- The CEO and Principal will ensure there is relevant and sufficient documentation of management systems for the scope and scale of its operations
- Staff know and meet their responsibilities for implementing the system
- The system is systematically monitored and improved.

6.2 Guide to compliance

The CEO and Principal will ensure Management systems are:

- Appropriate for the size and scope of the College's operations
- Focused on providing quality training, assessment and support services
- Consistently implemented across all of the College's operations
- Systematically monitored and improved.

6.3 Management systems

A systematic and continuous improvement approach to managing the College's operations will ensure that it provides quality training and assessment and client service across all of its operations. It will also ensure that the College maintains compliance with the *VET Quality Framework* throughout its registration period.

CEO and Principal will ensure systems are documented so that they can be implemented consistently and so that they can be easily reviewed. This should include up-to-date policies and procedures and work instructions. The amount of documentation the College uses will vary according to its size and complexity.

An RTO's operations refers to all of the College's activities, including partnering arrangements and Offshore and inter jurisdictional activity.

6.4 Maintaining appropriate systems for the size and scope of the College

The CEO and Principal will ensure that the College has effective control over its operations so that it can continuously improve its services and consistently operate in accordance with the *VET Quality Framework*

6.5 Focusing on quality training, assessment and support

Evidence that a management system is focused on quality training and assessment services could include:

- Continuous improvement processes developed to achieve effective client and industry engagement, for example, arrangements are in place to meet regularly with industry and employer groups to seek feedback and make changes in response

- Systematic validation of assessment tools, processes and outcomes in accordance with the requirements contained in Schedule 2
- High value placed on the quality of teaching and learning through rigorous selection processes and ongoing professional development for trainers and assessors
- High value placed on providing client services that meet clients' needs though strong customer service standards
- Maintenance of and improvements to training and assessment environments and resources, and to client services
- Management systems that are consistently implemented across the scope of the College's operations.

6.6 Consistent implementation

Evidence of consistent implementation could include documentation showing that:

- Communication throughout the organisation about management systems and decisions is effective
- Staff are actively engaged in continuously improving the system
- Key policies and processes are documented to an appropriate level and accessible to all relevant staff
- Checks are made to ensure that key policies and procedures are being implemented appropriately
- Regular and systematic reviews of key data are conducted by management.

6.7 Systematically monitoring and improving

Monitoring and reviewing the management system as part of the continuous improvement cycle will help to ensure that the College's operations management is effective.

Strategies to monitor the effectiveness of the management system could include:

- Establishing key performance indicators and monitoring organisational performance against them
- Eliciting and analysing stakeholders' feedback about the College's overall performance
- Benchmarking management systems and organisational performance with other RTOs
- Internal audit and organisational self-assessment against the VET Quality Framework.

Validation_____

Marketing and promotion policy and procedure

1. PURPOSE:

The CEO and Marketing Manager Australian Academy of Trades will ensure its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration of the 'National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007').

2. STANDARDS FOR RTO REFERENCE:

- *Standard 4: Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients (Clause 4.1) (Appendix 1) (Schedule 4) (Appendix 2).*
- *Standard 5: Each learner is properly informed and protected (Clauses 5.1 – 5.4) (Appendix 1)*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively (Clauses 6.1 – 6.6).*
- *Schedule 4 (Appendix2)*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Market Research. The Australian Academy of Trades Marketing representative will plan the timing of market research (surveys, telephone surveys, intelligence gathering).to ensure it collects the appropriate data to identify prospective clients (the target audience), and their requirements in relation to studies.

6.2 The CEO Australian Academy of Trades will ensure the Marketing Officer is conversant with his/ her responsibilities relating to the accuracy and integrity of marketing.

6.3 Australian Academy of Trades will protect clients as consumers. All information about services to be provided will be fully disclosed and the services advertised must match the services provided by the College.

6.4 Permission will be gained and retained for the use of any person's image or name or any other organisation's identity in marketing materials. This question will be asked on the student enrolment form.

6.5 Australian Academy of Trades will not advertise or market in any way accredited courses, qualifications or units of competency that are not on the College's scope of registration.

- 6.6** Australian Academy of Trades recognises that marketing includes any website information, advertising banners, flyers, faxes, emails, handbooks, prospectus or other materials that promote the services of the College.
- 6.7** Written permission will be obtained from any person or organisation for the use of any marketing material that refers to that person or organisation and the company agrees to abide by any conditions pertaining to that permission.
- 6.8** No false or misleading comparisons will be made with any reference to any other training provider or course.
- 6.9** The CEO must approve and sign all marketing material prior to its implementation.
- 6.10** Australian Academy of Trades will ensure that information, whether disseminated directly by the College 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 College 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 (Appendix 2)*;
 - e) makes clear where a third party is recruiting prospective learners for the College 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 College;
 - 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 College'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 College'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 as specified in Standard 1, Clauses 1.1 and 1.2 (Appendix1)
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the College.
- 6.11** Prior to enrolment or the commencement of training and assessment, whichever comes first, Australian Academy of Trades will provide 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.

- 6.12** Prior to enrolment or the commencement of training and assessment, whichever comes first, Australian Academy of Trades 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 College 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 College 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 College's behalf; and
 - v) any work placement arrangements.
 - c) Australian Academy of Trades' obligations to the learner, including that the College 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 College's complaints and appeals process required by Standard 6 (Appendix 1)
 - ii) if the College, 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 College 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.
- 6.13** Where the College collects fees from the individual learner, either directly or through a third party, the College 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 College; 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 College in the event the:
 - i) arrangement is terminated early; or
 - ii) the College fails to provide the agreed services.
- 6.14** Where there are any changes to agreed services, the College 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.

Validation_____

Recognition of AQF Qualifications and Statements of Attainment issued by other RTO's Policy- CREDIT TRANSFER

1. PURPOSE

To ensure that a learner who provides a certified copy of AQF certification documentation or a Statement of Attainment issued by another RTO is granted credit transfer for the relevant unit or qualification.

2. STANDARDS AND SCHEDULES FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.8, 1.12) (Appendix 1).*
- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6 (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clause 5.1) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Application for Credit Transfer Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades has an implemented assessment system that ensures that assessment (including Recognition of Prior Learning):

- a). that complies with the assessment requirements of the relevant training package or VET accredited course; and
- b). is conducted in accordance with the Principles of Assessment and the Rules of Evidence

6.2 Australian Academy of Trades offers recognition of prior learning to individual learners.

6.3 Australian Academy of Trades 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.

6.4 Australian Academy of Trades recognises the AQF qualifications and Statements of Attainment issued by any other RTO in Australia. This means applicants will be recognised with credit transfer of relevant qualifications.

- 6.5** Australian Academy of Trades has included its recognition of AQF Qualifications issued by other RTO's in its Code of Practice, Student Handbook, Student and Staff Induction.
- 6.6** Australian Academy of Trades provides information on this recognition to staff and students to ensure no student is disadvantaged when recognition of AQF Qualifications issued by other RTO's is applicable.
- 6.7** Australian Academy of Trades has a procedure for instructing students on the process for Credit Transfer that is included in the student handbook.
- 6.8** Australian Academy of Trades requests students to complete the Application for Credit Transfer Form when applying for academic credit.
- 6.9** On enrolment the Marketing Manager/Agent will ask the student if he/ she holds any AQF Qualifications and Statements of Attainment issued by any other RTO that need to be recognised.
- 6.10** The student will provide a certified copy of the qualifications held
- 6.11** The Administration Officer will provide the documentation to the Principal who will contact the College on the testamurs to verify the documentation.
- 6.12** As the recognition of qualifications and statements of attainment issued by other RTOs is a simple administrative process, students will not be charged fees for this recognition.

Validation _____

Recognition of Prior Learning (RPL) policy

1. PURPOSE:

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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.*
- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.*
- *Standard 5: Each learner is properly informed and protected.*
- *ESOS National Code 12.*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, RPL Assessor

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades has an implemented assessment system that ensures that assessment (including Recognition of Prior Learning):

- a). that complies with the assessment requirements of the relevant training package or VET accredited course; and
- b). is conducted in accordance with the Principles of Assessment and the Rules of Evidence

6.2 Australian Academy of Trades offers recognition of prior learning to individual learners.

6.3 Recognition of Prior Learning means an assessment process that assesses an individual's 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 course.

- 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 instructions, 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)
- 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).

- 6.4** As an RTO, Australian Academy of Trades recognises the AQF Qualifications and Statements of Attainment issued by other RTOs. However, the objective of Recognition of Prior Learning (RPL) is to ensure that a person's prior learning achieved through formal or informal education, training, work experience or other life experiences is appropriately recognised.
- 6.5** Australian Academy of Trades has 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; and
 - b) is conducted in accordance with the Principles of Assessment: Fairness, Flexibility, Validity and Reliability, and the Rules of Evidence: Validity, Sufficiency, Authenticity and Currency.
- 6.6** Australian Academy of Trades encourages students/clients to apply for RPL wherever it is considered appropriate. Assessment processes shall provide for the recognition of current competencies regardless of where they had been acquired.
- 6.7** RPL focuses on identifying the endorsed industry/enterprise competency standards currently held by individuals as a result of formal or informal training, not how, when or where the learning occurred.
- 6.8** RPL underpins any system of competency based training. Australian Academy of Trades demonstrates its commitment to recognizing the prior learning of individuals.
- 6.9** Australian Academy of Trades ensures that RPL shall be available to all potential applicants, the processes shall be fair to all parties and that RPL shall involve the provision of support to potential applicants.
- 6.10** Assessors must be confident that the person applying for RPL or RCC is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in AQF accredited courses. The assessor must also be confident that the evidence is authentic, valid, reliable, current and covers the exemption being sought.

Meeting Training Package/accredited course requirements

- 6.11** Australian Academy of Trades will demonstrate that all components of the Training Package or accredited course are addressed when planning assessment and designing assessment tools. They include:
- Assessment guidelines
 - Employability Skills or Key Competencies
 - Units of competency, including:
 - Elements
 - Performance criteria
 - Range statement
 - Evidence guide.

RPL is offered to clients to ensure that client needs are met and that assessment is fair, flexible, valid and reliable.
If Australian Academy of Trades elects not to offer RPL to its clients it WILL have a clear and defensible argument for this.

Assessing validly, reliably, flexibly and fairly

- 6.12** Principles of Assessment: Fairness, Flexibility, Validity and Reliability.
Assessment processes and tools must satisfy these principles.

Determining the standard of performance required

- 6.13** Competency standards and assessment guidelines (or assessment requirements in accredited courses) provide advice on the application of knowledge and skills to the standard of performance required in the workplace. The whole of the unit of competency must be assessed and RTOs should refer to the Employability skills/key competencies, the range statement and the evidence guide – including the context of assessment and the critical aspects of evidence – to develop appropriate assessment tools.
- 6.14** The College consults with industry when developing training and assessment strategies to gain a clear picture of a competent candidate – any unusual circumstances they need to deal with, any competing pressures they may need to manage and any specific requirements they need to know about (for example, legislation and operating procedures) – in order to work effectively. By addressing these requirements all the dimensions of competency should effectively be covered in training and assessment.

Ensuring that evidence is sufficient, valid, authentic and current

- 6.15** Rules of Evidence: Validity, Sufficiency, Authenticity and Currency.
Providing comprehensive assessment tools including clear information to the assessor and the candidate about the conditions under which assessment is conducted and recorded, helps to ensure that these rules are met.

Incorporating workplace and regulatory requirements

- 6.16** Consultation with enterprises or industry will provide information about assessment requirements relevant to workplaces. Consultation with enterprises will provide information about when and how assessment can take place and the extent to which enterprise staff can contribute to assessment.
- 6.17** If Australian Academy of Trades is not assessing at the workplace, it will consult with industry or enterprises to assist the College understand how to best create a simulated work environment for assessment
- 6.18** Any regulatory or licensing authority requirements that relate to specific units or the qualifications will be met.

Validating assessment tools and evidence

- 6.19** Validation involves focusing on assessment tools and evidence to review and make recommendations for future improvements to the assessment tool, process and/or outcomes (refer to Terminology Section for a definition).
- 6.20** Australian Academy of Trades implements a comprehensive plan for ongoing systematic validation of assessment practices and judgements that includes for

each training product on its scope of registration. The plan for assessment validation and moderation should identify representative samples of tools and judgements to be considered so that conclusions can confidently be made about quality assurance and quality control of assessment. The plan should include:

- When assessment validation and/or moderation will occur
- Which units of competency/modules will be the focus of the activity in proportion to associated risk?
- Who will lead and participate in validation and/or moderation activities
- How the outcomes of these activities will be documented
- How lessons learnt from assessment validation and/or moderation will be acted upon.

6.21 For the purposes of the above dot points, Australian Academy of Trades will ensure that 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 College's scope of registration, including those risks identified by the VET Regulator.

6.22 Australian Academy of Trades also ensures that systematic validation of an it's assessment practices and judgements is undertaken by one or more persons who are not directly involved 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 (Appendix 1).

6.23 Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

6.24 Assessment validation is integrated with the Australian Academy of Trades continuous improvement cycle so that improvements made to assessment tools and outcomes as a result of validation and/or moderation are subject to review in order to maintain quality.

6.25 Independent validation of training and assessment qualifications

Australian Academy of Trades will ensure that an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of **independent validation** and **validation**) (Appendix 2). is undertaken prior to 1 January 2016, such that it is able then to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor).

Improving systems, processes, tools and practices

6.19 Evidence of improvements to assessment should include a combination of:

- Actions taken in response to data from consultation with learners, enterprise clients, industry organisations and licensing bodies
- Revised assessment tools, processes and practices
- Professional development on assessment practices for assessors
- Records of assessment validation and moderation activities and action taken in response to these activities

- Benchmarking assessment with that of other RTOs.

6.20 After outlining the steps involved in the RPL process to students/clients, Australian Academy of Trades will provide a counselling session with an RPL assessor. Charges for this process will be communicated to the student... In every case the RPL assessor will advise the student/client of their responsibilities and any charges that may be applicable.

The RPL/RCC process shall cover the following steps:

- Information;
- Initial support and counselling;
- Application;
- Assessment;
- Post-assessment guidance; and/or;
- Certification.

Validation

RPL procedure

1. PURPOSE:

To establish and maintain a system for RPL application and assessment

This procedure applies to all students who wish to undertake a course or are enrolled in a course at this College

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.8, 1.12) (Appendix 1).*
- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clause 5.1) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration Officers, College Principal, Course Manager and Administrative Assistant Receptionist Faculty Coordinator Assessor

4. REFERENCES: N/A

5. RECORDS AND FORMS: Application for Credit Transfer Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades has an implemented assessment system that ensures that assessment (including Recognition of Prior Learning):

- a). that complies with the assessment requirements of the relevant training package or VET accredited course; and
- b). is conducted in accordance with the Principles of Assessment and the Rules of Evidence

6.2 Australian Academy of Trades offers recognition of prior learning to individual learners.

6.3 Any client who wishes to apply for RPL should read the College Policy on RPL, then complete the RPL Application Form, providing the relevant information and evidence listed on the form

6.4 The student then submits the form to the Receptionist at the College.

6.5 The Receptionist and the student complete and sign the form submission register which records the application and then forwards the application to the relevant Faculty Coordinator

6.6 The Faculty Coordinator will delegate the responsibility of this application to the relevant assessor.

- 6.7** The assessor will review and liaise with the applicant to gather the relevant information that will provide sufficient evidence to gain competency for each individual unit of competency. This will occur through the matching of the evidence provided to the critical evidence required by each unit of competency. The teacher makes a decision and provides feedback to the client on the RPL form.
- 6.8** The assessor records the results on the student file and on the electronic student results system. This is also recorded by the Administration Officer.
- 6.9** If RPL is granted before the visa grant, Australian Academy of Trades will indicate the actual net course duration (as reduced by RPL) in the e COE issued for that student for that course.
- 6.10** If the RPL is granted after the Visa grant, Australian Academy of Trades will report the change of duration via PRISMS under s19 of the ESOS act 2000. In such cases Australian Academy of Trades will remind the student that it is a condition of their visa that they be enrolled in full time study. Should the student finish his/her course early, he/ she must enrol in another CRICOS – registered course or depart Australia immediately unless they have been given authorisation by DIBP to remain in Australia.
- 6.11** If Australian Academy of Trades grants an overseas student RPL that leads to a reduced Study load, Australian Academy of Trades will not allow the student to study less than a full time load.
- 6.12** RPL documents and evidence provided by the student are stored appropriately.

Validation_____

Refund Policy

1. PURPOSE:

To inform prospective and active students of their rights to obtain a refund for services not provided by the Australian Academy of Trades in the event the:

- a) Arrangement is terminated early; or
- b) The College fails to provide the agreed services.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected (Clause 5.3c).*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively (Clause 6.3).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Application for Refund Form, Application for Deferral Form

6. ACTION/METHOD:

6.1 Overseas Students

Lifetime has a fair and equitable refund policy and procedure that is compliant with the VET Quality Framework, ESOS requirements and Standard 3 of the National Code 2007. This policy is provided to students prior to any contract being written, Agreement signed OR prior to any payment of the course (whichever happens first).

6.2 Deposit

A deposit of 25 % of the cost of the course is payable to secure a place in a course at AAT. This fee is non- refundable if visa is refused due to student default.

Tuition fees are refunded in full if you are originally NOT a holder of a student visa (which includes student bridging visa) and your application for a student visa is rejected or College is unable to offer the course.

The term “Overseas Student” includes an intending overseas student

6.3 Definition

Tuition fees are defined as course fees for the entire duration of the program.

6.4 Refund Conditions

Application Fee \$250	Non-Refundable
TUITION FEES	
Visa refusal prior to course commencement	100% (Full) Refund
Withdrawal minimum 10 weeks prior to agreed start date	100% (Full) Refund
Withdrawal minimum 28 days prior to agreed start date	75% (Partial) refund total course fees
Withdrawal less than 28 days prior to agreed start date	50 % (Partial) refund of total course fees
Withdrawal after the agreed start date	No Refund payable
Visa cancelled due to students own actions	No Refund payable
Course withdrawal by Australian Academy of Trades	Full Refund payable including Enrolment Fee
Provider (Lifetime) unable to deliver course	100% (Full) Refund
Compulsory Student Health Insurance	Refer to OSHC provider
Homestay/Accommodation Booking Fees	Full (100%) Refund of unused fees with two (2) week's notice
Airport Pick-Up Service	Full (100%) Refund if service cancelled 72 hours prior to flight departure

Lifetime reserves the right to withhold granting the Award attained by the student, if student tuition fees remain outstanding.

6.5 Application for refund form

- If a student wishes to withdraw their enrolment, they are required to complete a Lifetime Application for a refund form and forward it to The Registrar. Your application will be processed within 28 days of the application being received.
- The application should arrive at College prior to course commencement (see *Refund Conditions* for details of expected refund amounts).
- If the organisation is unable to offer the course, the refund will be processed within 14 days.
- If College defaults the student is covered by the provisions of the ESOS Act 2000 and the ESOS regulations 2001. Please note this before making payment to Lifetime.

6.6 Provider default.

Where the College collects fees from the individual learner, either directly or through a third party, the College provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

The learner's right to obtain a refund for services not provided by the College in the event the:

- i) arrangement is terminated early; or
- ii) the College fails to provide the agreed services.

In the unlikely event that Lifetime is unable to deliver your course in full, you will be offered a refund of all course monies you have paid to date or alternately, Lifetime will offer you the opportunity of studying in an alternative course at no extra cost to you. Students may choose preferred option.

Students will be required to sign an agreement outlining preferred options co-signed by the Chief Executive Officer.

Should students choose the refund option, the refund will be paid with 14 days of the day on which the course ceased being provided.

If Lifetime is unable to provide a refund or place you in an alternative course our Tuition Assurance Scheme (TAS) ACPET – OSTAS will place you in a suitable alternative course at no extra cost to you.

Finally, if the ACPET – OSTAS cannot place you in a suitable alternative course, the ESOS Assurance Fund Manager will attempt to place you in a suitable alternative course or, if this is not possible, you will be eligible for a refund as calculated by the Fund Manager.

6.7 Student rights

“This agreement, and the availability of complaints and appeals processes, does not remove the right of the student to take action under Australia’s consumer protection laws.”

Agreeing to the Refund policy does not remove the right of the student to take further action under Australia’s consumer protection laws or to pursue other legal remedies. **Please see College’s Complaints / Appeals Policy.**

The College’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 College 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.

The processes in the Lifetime Complaints/ Appeals policy do not circumscribe the student’s right to pursue other legal remedies.

When giving a student a refund College will provide a written statement that explains how the amount has been worked out, as required in sub-regulation 3.19 of the ESOS Regulations.

6.8 Protection of fees paid

All monies received are placed in a separate holding account and are not accessed until the course commences. A relevant proportion of the fees for the course will remain in that account until the course is completed to ensure pro-rata refunds are available for eligible students.

6.9 Recipient of refund

The refund will be paid no later than 4 weeks after the application is lodged with Australian Academy of Trades .

Lifetime will pay the refund to the person who enters into the contract with the Registered Training Provider, unless the person gives a written direction to Lifetime to pay the refund to someone else – (The legislation does not allow the refund to be paid to an agent.)

The refund will be paid in the same currency in which the fees were paid unless this is impractical.

The refund will be paid no later than 28 days after the application is lodged with Australian Academy of Trades .

6.10 Provision of refund information to students

The refund policy will be given to students in their handbook prior to enrolment (signing of contract) and made accessible on the Lifetime website. It will also be explained at induction and orientation so that it is clearly understood by overseas students.

Course deferment, suspension of studies, or cancellation (Procedure for application for deferment is available in the student handbook)

6.11 Grounds for deferment

Lifetime may grant deferral of commencement of studies or suspension of studies for students who request such a change to their enrolment status *on the grounds of compassionate or compelling circumstances*. These include but are not limited to:

- serious illness or injury, where a medical certificate states that the student was unable to attend classes;
- bereavement of close family members such as parents or grandparents (where possible, a death certificate should be provided);
- major political upheaval or natural disaster in the home country requiring emergency travel and this has impacted on the student's studies; or
- a traumatic experience which could include:
 - involvement in, or witnessing of a serious accident; or
 - witnessing or being the victim of a serious crime, and this has impacted on the student (these cases should be supported by police or psychologists' reports)
- where Lifetime was unable to offer a pre-requisite unit; or
- inability to begin studying on the course commencement date due to delay in receiving a student visa
- student failure to meet unit prerequisites,
- unavailability of units/subjects,
- non-payment of fees
- student behaviour

You need to complete the Application for Deferral Form and send to the Chief Executive Officer for consideration.

Partnership agreement procedure

1. PURPOSE:

To ensure Australian Academy of Trades can monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

This procedure applies to Australian Academy of Trades and organisations who provide training and/ or assessment services on its behalf

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the College are quality assured (Clauses 2.1, 2.4) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College Principal, CEO, Course Managers

4. REFERENCES: Student Handbook,

5. RECORDS AND FORMS: Partnership Agreement, VET Quality Framework Form

6. ACTION/METHOD:

6.1 . Australian Academy of Trades 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.

Australian Academy of Trades 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.

Australian Academy of Trades will develop document and record:

- Agreements that cover the responsibilities of both parties
- Quality assuring processes of the agreements
- Monitoring the implementation of these agreements
- Making improvements where required.

6.2 Documented agreements

Definition - A partnering arrangement in VET

In the vocational education training sector a partnering arrangement is an agreement between an RTO and another organisation, such as a school, enterprise, industry body, non-registered training organisation or professional association for the provision and/or sharing of training and/or assessment services. This allows an organisation that is not registered to have the outcomes of their training recognised through partnering with an RTO. It also allows RTOs to outsource training and/or assessment to another organisation.

Agreements do not have to be in place in relation to this element when the College is engaging contract trainers/assessors. Contractors are included under elements 1.3 and 1.4.

6.3 Australian Academy of Trades is accountable for the quality of training and assessment provided on its behalf.

It is essential that the provision of those services is the subject of a written agreement.

- The agreed quality assurance strategies
- The arrangements for monitoring the implementation of the agreement,
- The roles and responsibilities of each party.

The level of documentation should be appropriate to the level of complexity of the arrangements with partners and the level of risk to the quality of training outcomes for clients.

Australian Academy of Trades ensures that it 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.

6.4 Responsibilities and management strategies

- The College ensures that it complies with the 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
- The learner has a right to know if the College 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
- Information, whether disseminated directly by the College or on its behalf, is both accurate and factual and 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
- Prior to enrolment or the commencement of training, whichever comes first, the College will provide information that enables the learner to make informed decisions about undertaking training with the College, and about the training and assessment including the 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 College's behalf
- Where there are changes to agreed services, the College advises the learner as soon as is practicable, including in relation to any new their party arrangements or changes to existing third party arrangements

- The College has a complaints policy to manage and respond to allegations involving the conduct of a third party providing services on the College's behalf, its trainers, assessors or other staff
- Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6 (Appendix 2).
- The College ensures that any third party delivering services on its behalf will, in the written agreement, agree to cooperate with the VET regulator by both providing accurate and factual responses to information requests from the VT regulator relevant to the delivery of services, and in the conduct of audits and the monitoring of its operations.
- The agreement should contain clear and agreed roles for each party to the agreement.
- Any arrangement that the College has with a third party will be formally documented and registered with the Regulator
- Commitment from relevant managers and staff in all of the organisations party to the Agreement should be confirmed.

6.5 Additional issues to consider when developing an Agreement include:

- Whether it is necessary to form a committee to oversee the establishment of the agreement and provide support and direction throughout its life
- Whether legal advice about the viability of the agreement is required
- Intellectual property rights of all parties to the agreement
- The availability of a person from each organisation to be responsible for the day-to-day maintenance of the agreement
- Processes for dispute resolution
- How the partnering organisation will be informed about the compliance requirements of the *VET Quality Framework*
- The availability of suitably qualified trainers and/or assessors to deliver and/or assess the relevant competencies/modules
- Legislation that may have an impact on the agreement
- Who will be legally responsible for the agreement.
- The roles and responsibilities specified in the agreements could include arrangements for:
 - Ensuring that marketing is accurate and potential learners receive comprehensive and accurate pre-engagement materials
 - Ensuring that training and assessment and client services are appropriate and continuously improved
 - Developing, monitoring and reviewing training and assessment strategies
 - Ensuring that staff, facilities and equipment are in place, as described in training and assessment strategies
 - Where relevant, ensuring that employers and others are engaged in the development, delivery and monitoring of training and assessment
 - Providing support services to learners
 - Managing records
 - Ensuring that qualifications and statements of attainment are issued
 - Managing complaints and appeals
 - Developing and implementing management systems.
- It is essential that the agreement or its supporting documentation describe the processes to be used for monitoring the implementation of the agreement. The agreement should also include the lifespan of the agreement and a review process

as well as grounds for terminating the agreement and any sanctions to be applied to either party if the terms of the agreement are not met.

6.6 Monitoring agreements

Once agreements have been established they are monitored to ensure that both parties are meeting their obligations and that the services being provided comply with the *VET Quality Framework*. The manner in which the College monitors the quality of its own operations could be broadened to apply to any partner organisation(s).

6.7 Monitoring activities could include:

- Regular management data reports, including client feedback
- Site visits to the organisation to confirm partner practice
- Assessment validation processes
- Moderation of assessment decisions with the partner
- Audits of the partner's training, assessment and administration
- Sharing of professional development activities.

6.8 Improvements

Demonstrated improvements could include:

- Reviewed agreements
- Changes to processes for monitoring the agreements
- Provision of professional development to partnering organisations' staff.

When Australian Academy of Trades includes the review of these improvements in its continuous improvement cycle it will ensure that the agreements continue to satisfy the requirements of the *VET Quality Framework*.

Validation_____

Privacy policy

1. PURPOSE:

To ensure adherence with the Privacy Act 1988 see:

http://www.comlaw.gov.au/Details/C2014C00757/Html/Text#_Toc402953326

2. STANDARDS FOR RTO REFERENCE:

- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times (Clause 8.5) (Appendix 1.*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 We recognise the importance of your personal information. We appreciate that you may have concerns about your privacy and about the confidentiality and security of your personal information. Our organisation only collects information we consider is necessary to deliver you with the best possible service.

Privacy laws are designed to regulate the way organisations, collect, use, disclose, keep secure, and give persons access to their personal information

With respect to this company's operation, it will observe the following National Privacy Principles in the following way.

6.2 Collection of information

The organisation will only collect information that is necessary for the purpose of providing a quality service to its students/clients. The organisation will only collect information that is lawful and this will be done in an unobtrusive manner.

6.3 Use and Disclosure

The organisation will only use and disclose personal information about its students/clients for the purpose for which it is collected, unless consent has been given to use the information for additional purposes. Exceptions would be:

- Where information is required by law;
- Where information is considered necessary to assist a law enforcement agency.

6.4 Quality of Personal Information

The organisation's goal is to ensure that your personal information is accurate, current and complete. It would be appreciated if you could contact us if any of the personal details you have provide change.

You are able to access and update your information at any time that is mutually convenient to both parties if you think we hold information about you that is incorrect or out of date. **As an RTO, we are required to keep student/client records for 30 years.**

6.5 Openness

The organisation is open and ethical about the kind of personal information it keeps about its students/clients. At student induction this policy will be explained in more detail.

6.6 Personal Information of a sensitive nature

The organisation does not collect personal information of a sensitive nature about you (e.g. race, religion, political views). However, should it be necessary to collect information of this nature it will only be done with your consent.

Staff will be required to sign a confidentiality agreement

Validation_____

Protection of fees paid in advance policy and procedure

1. PURPOSE:

To ensure protection of fees paid in advance by prospective learners.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 5: Each learner is properly informed and protected. (Clauses 5.3) (Appendix 1).*
- *Standard 7: The College has effective governance and administration arrangements in place. (Clauses 7.2, 7.3). (Appendix 1).*
- *(Schedule 6) (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades will make adequate arrangements to protect fees paid by students in the event of financial loss of the business.

Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6 (Appendix 2).

6.2 Where the College collects fees from the individual learner, either directly or through a third party, the College 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 College; 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 College in the event the:
 - i) arrangement is terminated early; or
 - ii) the College fails to provide the agreed services.

6.3 Australian Academy of Trades operates a Separate College Account account for domestic students. All student payments from domestic students are lodged in the Separate College Account. Drawing down from the account will occur on a monthly basis.

- 6.4** Australian Academy of Trades is a member of ACPET Tuition Assurance Scheme (TAS). The TAS scheme protects fees paid by overseas students to the college. In the event of a financial loss or closure of the business, ACPET TAS will place any affected students who have paid fees on advance to the College, into similar colleges at no extra cost to the students.
- 6.5** As an extra protection of fees paid by overseas students, Australian Academy of Trades belongs to the ESOS Assurance Fund. The ESOS Assurance Fund refunds fees paid by students in the event that the tuition Assurance Scheme fails to deliver wholly or partly.
- 6.6** Australian Academy of Trades abides by its refund policy in the event that it is unable to deliver agreed services to students.

Validation _____

Records storage, confidentiality, archiving policy

1. PURPOSE:

To establish and maintain a system for records storage.

This Policy applies to the storage of student records for those students who undertake a course at Australian Academy of Trades .

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the RTO are quality assured (Clause 2.1, 2.4) (Appendix 1).*
- *Standard 3: The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6) (Appendix 1).*
- *Standard 7: The RTO has effective governance and administration arrangements in place (Clause 7.5) (Appendix 1).*
- *Schedule 5 (Appendix2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College Principal, Teaching Staff Course Manager and Administrative Assistant

4. REFERENCES: Archiving Procedure N/A

5. RECORDS AND FORMS: This Policy applies to all related student records and forms, e.g. enrolment forms, attendance records, and assessment records.

6. ACTION/METHOD:

6.1 Overview

The College ensures it complies with Quality Assurance 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.

The College ensures it 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.

The College 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.

All AQF certification documentation issued by an RTO meets the requirements of Schedule 5 (Appendix 2).

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 College have been paid.

Records of learner AQF certification documentation are maintained by the College in accordance with the requirements of Schedule 5 (Appendix 2) and are accessible to current and past learners.

The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

6.2 Records storage:
The Administrative officer will ensure that:

All records are secured and confidentiality safeguarded;

Learners' records should include:

- Enrolment details
- Learning support needs
- Attendance records
- Records of complaints and appeals
- Outcomes at unit of competency or module level and qualification level
- Licences gained as a result of training
- Statements of attainment and qualifications issued

Additional copies of records are stored off Australian Academy of Trades premises.

6.3 To ensure Staff know their responsibilities in relation to record storage the Principal will conduct staff training sessions so that:

- Administrative staff know what their record collection, recording and storage responsibilities are and carry out these responsibilities effectively
- The College keeps accurate and current records of assessment results that lead to judgement about competence
- Records can be easily accessed
- Privacy is protected
- Information collected from and about learners meets the requirements of state and territory registering bodies and licensing authorities, where relevant.

A backup of all records stored electronically will be maintained by backing up weekly. If only electronic records are kept, then the mechanism by which the material can be retrieved will be retained both in hard copy and on computer.

Information about a student/client will not be disclosed to a third party without the written consent of the client;

That students/clients have access to their personal records.

6.4 Students' record keeping and archiving, confidentiality and privacy of students records

All information about students details, including addresses, fees, etc are collected through the enrolment application form and the Confirmation of Enrolment form issued to the student

All fees paid by the student are recorded.

The records are kept in student files and also on the computer.

A copy of students' progress, results or any attendance non-compliance issues are documented and kept in the students file.

The student's files are maintained by the Registrar and are to be kept for 3 years after the student stops studying with Australian Academy of Trades . The same applies to the electronic copy of the students' records.

6.4 Electronic Records –backup

All electronic records, which have been stored or amended during the working day, are backed up at close of business each week by the office administrator. Memory Stick used secured in a locked cabinet in the Principal's Office and maintained until a full system back up is completed.

A full system back up, comprising of all electronic records is carried out on the last working day of each week. All files are to be burnt onto a Compact Disc and this disk is secured off site.

6.5 Safeguarding Confidential Information

All confidential information is managed in accordance with the College's Privacy Policy

The College will only collect information that is necessary for the purpose of providing a quality service to its students/clients. Australian Academy of Trades will only collect information that is lawful.

Australian Academy of Trades will only use and disclose personal information about its students / clients for the purpose for which it is collected, unless consent in writing has been given to use the information for additional purposes. Exceptions to this would be:

- Where information is required by law, or
- Considered necessary to assist a law enforcement agency.

Australian Academy of Trades does not collect personal information of a sensitive nature about its staff/students/clients (e.g. race, religion or political views}. However, should it be necessary to do collect information of this nature it will only be done with the person concerned written consent.

6.6 Information/Document Management, Archiving

All student records will be maintained on site for **three years**. After this time all documents are archived in a storage facility. In the archival process the student/clients records are suitably bundled and placed in archival boxes. The archive box is labelled with a sheet describing its contents, date etc. and a copy kept on file/database in Australian Academy of Trades office. Archival boxes are securely stored on site for a period of three years (Refer SNR 16.6 and 23.3).

Scanned copies of documents can be made available from the Office Administrator after the originals have been archived.

A master copy of the assessment instruments and the assessor's marking guide/criteria/observation checklist will be kept for a period of **seven years**. This is to

cover the possible requirement to reproduce evidence as to how a person was assessed as competent.

Student records will be maintained for **thirty years**, after this time all documents will be destroyed.

In the event of Australian Academy of Trades ceasing to operate, all student results, including student records (name, address and any identifier such as date of birth) must be forwarded to ASQA's regional office within 14 days of close of business. The documentation is to be a complete accurate and an ordered copy of all students/clients results/details since Australian Academy of Trades 's registration as a RTO. The records must be forwarded in the form of a disk copy and hard copy and include software details. Copies of Qualifications/Statements of Attainment granted to students, and a list of the competencies achieved for each student must be included.

6.7 Access by Clients to Personal Records

Australian Academy of Trades informs learners about how to gain access to their records in:

- Course information sessions
- Marketing materials
- Handbooks
- Website information

Students/clients wishing to view personal documents are to approach the Principal, Australian Academy of Trades who will arrange a time to have the documents available for perusal.

All student records will be maintained on site for **three years**, after this time all documents may be archived off site in a storage facility and a nominal charge may be imposed for the retrieval of any archived information.

Student records must be maintained by the College for **thirty years**.

6.8 Monitoring and improving

Evidence to demonstrate the effective management of learner records could include:

- Outcomes of internal audits relating to records
- Data on client service standards for records
- Changes to procedures and systems for managing learners' records, including privacy protection
- and security systems
- Client feedback data and responses made to feedback.

6.7 Commitment to Quality

It is the responsibility of Australian Academy of Trades Principal to ensure that office procedures remain at best practice standards.

Validation: _____

Staff Undertaking – All staff should sign a confidentiality agreement or a similar document.

I, _____, undertake NOT to reveal any student information to a third party without the consent of the student.

Signed (Signature and Name) _____

Quality Indicators Explanation

The Quality Indicators form part of the *VET QUALITY FRAMEWORK*

The Quality Indicators provide valuable data for RTOs to identify areas for improvement in training and assessment services and to gauge how well it is meeting its clients' needs.

The Quality Indicator data that is collected will also be used by the registering body in its monitoring of the quality of the Colleges' operations to minimise the risk of poor quality performance having a negative impact on clients or the standing of the Australian VET system. As a result of this monitoring, each RTO will have a risk profile, which will contribute to decisions about the scheduling and scope of auditing.

Three quality indicators have been identified as useful for continuous improvement and determining the risk profiles of RTOs.

The Quality Indicators are:

1. **Employer satisfaction** (competency development, and training and assessment quality). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of the training and assessment

2. **Learner engagement** (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, as well as learners' perceptions of the quality of their competency development and the support they receive from RTOs

3. **Competency completion rate.**

This is calculated for qualifications and units of competency/modules delivered, based on data provided by RTOs on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.

Quality Indicators management procedure

1. PURPOSE:

To ensure RTO is aware of the Quality Indicators data that must be collected and reported against the requirements of the VET Quality Framework including the Data Provision Requirements.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The RTO is quality assured (Clause 2.2b) (Appendix 1).*
- *Standard 7: The RTO has effective governance and administration arrangements in place (Clause 7.5) (Appendix 1).*
- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times (Clause 8.1c) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Director, Principal, Staff,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Employer Satisfaction (all modes), Learner Engagement (all modes). Competency completion Data. This includes enrolment numbers per year, number of enrolments previous year, number of qualifications issued current year and previous year, number of qualifications issued per year, operations off shore in previous year.

6. ACTION/METHOD:

6.1 Overview

The College systematically evaluates and uses the outcomes of the evaluations to continually improve the College's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Standard 7, Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

The College cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the College's registration;
- b) in the conduct of audits and the monitoring of its operations;
- c) by providing quality/performance indicator data;

6.2 Process

The Administration Manager works with the Principal to ensure the relevant feedback is collected at appropriate times. The Administration Manager develops spreadsheets to capture relevant.

Learners are required to provide feedback on sessions, and courses. Instructors will manage the process according to the types of training delivered.

Employers are contacted for feedback identified on the Employer Satisfaction survey form. This could be obtained from discussion groups, meetings, informal contact, telephone contact, focus groups.

When students request their qualifications to be issued to them, the Administration Manager prepares the document.

Australian Academy of Trades systematically evaluates and uses the outcomes of the evaluations to continually improve the College's training and assessment strategies and practices. Evaluation information includes quality/performance indicator data among other evaluation measures.

Australian Academy of Trades will provide accurate and current information as required by the Data Provision requirements as updated from time to time.

Australian Academy of Trades cooperates with the VET Regulator by providing quality/performance indicator data as requested

The Administration Manager ensures data is provided for the following for the previous 12 months:

- For each qualification code which a registered training organisation has delivered, the number of enrolments in the previous year
- For each qualification code which a registered training organisation has delivered, the number of qualifications awarded in the previous year
- For each unit of competency/module code which a registered training organisation has delivered, the number of enrolments in the previous year
- For each unit of competency/module code which a registered training organisation has delivered, the number of units of competency completed in the previous year
- Whether the registered training organisation operated offshore in the previous calendar year.

The College will submit AVETMISS data when requested to do so by ASQA.

Validation_____

Resources policy

1. PURPOSE:

To ensure the Staff, facilities, equipment and training and assessment materials of Australian Academy of Trades are consistent with the requirements of the Training Package or accredited course and the College's own training and assessment strategies.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited course. (Clause 1.3 c,d) (Appendix 1).*
- *Standard 2: The operations of the College are quality assured (Clause 2.4) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clause 5.2e iii) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO, Principal, Trainers, HODS

4. REFERENCES: Assets register, Training and Assessment Strategies, Staff induction register,

5. RECORDS AND FORMS: Training and Assessment Strategies

6. ACTION/METHOD:

6.1 Overview

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

- learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

The College 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.

Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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 College and at a minimum includes the following content:

- iii) any materials and equipment that the learner must provide; and

6.2 Australian Academy of Trades 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.

6.3 Australian Academy of Trades 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 the Standards for RTOs 2015.

6.4 Prior to enrolment or the commencement of training and assessment, whichever comes first, Australian Academy of Trades 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 Australian Academy of Trades and includes any materials and equipment that the learner must provide..

6.5 Assessment materials are systematically reviewed and improvements are demonstrated.

6.6 Australian Academy of Trades HOD's will ensure that:

- The most current version of training and assessment resources is used. This will be managed through appropriate and effective Version Control processes
- HODS will ensure that training and assessment resources are printed or purchased as needed and not stockpiled.
- HODS will ensure Trainers and assessors and learners have access to the required resources, facilities and equipment.
- HODS will ensure trainers and assessors who are using their personal training and assessment resources have them quality assured by The Lifetime Quality Manager and that they are housed on Australian Academy of Trades premises.
- When Australian Academy of Trades purchases commercial training and/or assessment resources, these will be quality assured by the Trainers and Assessors and the HOD for each department. They must contextualise and review these purchased resources against the requirements of the Training Package/accredited course.
- Where resources need to be modified to suit local contexts, these changes will be quality assured.

6.7 To check Currency, sufficiency and effectiveness of resources

The currency, sufficiency and effectiveness of resources may be affected by changes to:

- Training Package content
- Training and assessment activities
- The College's personnel
- Equipment and processes used by industry
- Operating procedures
- Legislation and regulations
- Learners' needs
- Location of delivery
- Modes of delivery.

When such changes occur, the relevant strategies for training and assessment should be revised.

6.8 Systematically reviewing and making improvements

HODS will discuss at Management Meeting agenda's the changes in resources and how the review of resources will take place when there is a change of the kind listed above.

This will occur as part of the continuous improvement cycle and will be reflected in meeting agenda's and minutes

6.9 Evidence of improvements

This should include, where relevant:

- Updated staff qualifications and experience
- Revised training and assessment resources
- New or different equipment and/or learning and assessment materials
- Re-designed simulated work environments
- Changed arrangements for industry placements
- Changed training and assessment facilities to better meet the requirements of learners.
- To ensure that changes to resources are consistently applied, RTOs ensure that staff:
- Know when changes have been made to resources
- Know how to gain access to current resources
- Use updated resources.

Industry regulators and registering bodies may mandate learning and assessment resources for use by RTOs. Auditors would be guided by such requirements when considering the continuous improvement.

Validation_____

Staff appraisal and development policy

1. PURPOSE:

To ensure that all staff at Australian Academy of Trades maintain their current skills and knowledge and develop new skills and knowledge, the organisation will consider appropriate activities, organised internal or external training activities, project involvement, reading, self-study, extra responsibilities, etc.

This Policy applies to the professional development of all staff.

1. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clause 1.16) (Appendix 1).*

2. RESPONSIBILITIES: HODS, College Trainers, Administration officers, All staff particularly teaching staff

3. REFERENCES: Staff Handbook

4. RECORDS AND FORMS: Staff Profile Form, Staff Appraisal Procedure and Form

5. ACTION/METHOD:

6.1 The College 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.

The CEO will meet with each member at least annually to discuss goals, provide feedback on performance and identify opportunities for further professional development

Staff training and development opportunities will be provided as appropriate. This will include product/equipment knowledge updates and changes to training requirements.

It is the responsibility of the CEO to keep abreast of changes required of Registered Training Organisations relating to the VET Quality Framework and the requirements of the Department of Employment and Training.

The College ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

Systematic and continuous improvement approach to the management of its operations

The CEO or nominated representative will provide awareness training for all updates in relation to the VET Quality Framework requirements every 6 months or more frequently if required to other staff member. This will include Competency Based Training, Assessment or Client Service.

The CEO or nominated representative will ensure members of staff have the opportunity to attend relevant workshops/ seminars related to the College's industry. **Staff Members** will notify the Principal in relation to Industry related Training Courses they wish to undertake.

It is the responsibility of the all staff members to keep a record of training of her/his own in their **Professional Development Log folder**. Each **Staff Member** is **responsible for recording training completed on his/ her personal profile /human resource matrix.**

6.2 Meetings

All Academic and Administration staff are required to attend regular staff meetings as planned. This ensures that all staff can communicate directly with each other and that limited ambiguities exist in terms of the day-to-day running of the college/organisation.

Individual Departmental Meetings (Teaching, assessment moderation, monitoring etc):

All Academic Staff meet with the respective Head of Department every month. Each staff member will be notified and a mutually convenient time will be discussed. Academic Staff are required to bring with them, all lesson plans, evaluation tools and assessment material, from their past and future units to discuss with the Head of Department. Should a problem arise at these interviews, he/ she will discuss the situation in depth with the staff, the requirements of the course and provide suitable alternatives. In some cases further training or an alternative will be considered. This can include self-study, organised internal or external courses /workshops or counselling with the HOD. Goals will be set between the individual staff member and the HOD, a plan of action will be implemented and the staff progress will be re-evaluated. This is also a method to monitor and review the performance of the academic staff.

6.3 External Meetings/workshops:

All staff are encouraged to attend meetings relevant to our client market. This includes attendance at industry meetings, seminars and conferences, ASQA briefings and any other meetings deemed relevant.

The Staff Appraisal will be completed on the Staff Appraisal Procedure and Form

Validation _____

Staff competence policy

1. PURPOSE:

To ensure that all new staff selected are the most appropriate for Australian Academy of Trades

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.13 – 1.15, 1.21 – 1.24) (Appendix 1)*
- *Schedule 1 (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College Principal,

4. REFERENCES:

5. RECORDS AND FORMS: Record of Staff Interview Form

6. ACTION/METHOD:

6.1 Overview

The College'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.

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

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
- b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

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

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 (Appendix 2), or demonstrated equivalence of competencies; and
- b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1 (Appendix 2).

In addition

Delivery of the training and assessment qualifications for trainers and assessors

Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment qualification at least to the level being delivered; or
- b) have demonstrated equivalence of competencies.

From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 (Appendix 1), or any assessor skill set from the Training and Education Training Package (or its successor), the College must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1 (Appendix 1); or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

The College must ensure that any individual working under supervision holds the qualification specified in Item 1 of Schedule 1 (Appendix 1) and does not determine assessment outcomes.

6.2 Australian Academy of Trades ensures that training and assessments are conducted by a person who has the appropriate training and assessment as well as the appropriate vocational qualifications.

Trainers and Assessors must hold a recognised trade, technical or business qualification equivalent to or higher than the qualification being taught. The Human Resource Matrix matches staff qualifications to competencies in the training package.

Australian Academy of Trades ensures that training is delivered by a person who:

I. Have the appropriate competencies from TAA40104 Certificate IV in Training and Assessment Qualification. or the TAE40110 Certificate IV in Training and Education (or has demonstrated the equivalent competencies or who is under the direct supervision of a staff with these competencies; and

II. Is able to demonstrate vocational competencies at least to the level of those being delivered.

Direct supervision is achieved when a staff delivering training at the college has regular guidance, support and direction from a supervising staff designated by the college who has the competencies in (I) above and who monitors and is accountable for the training delivery. It is not necessary for the supervising staff to be present during all training delivery.

The qualifications are stated in all academic positions advertised. Where the relevant Training Package or course specifies higher qualifications, this is specified in the relevant advertisement.

Validation_____

Staff competence compliance

1. PURPOSE:

To ensure all trainers and assessors of nationally recognised training meet nationally agreed competency requirements and continue to develop their competence in regards to training and assessing competencies for trainers and assessors.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.13 – 1.15, 1.21 – 1.24) (Appendix 1)*
- *Schedule 1 (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO, Principal, Trainers, HODS

4. REFERENCES: N/A

5. RECORDS AND FORMS: VET QUALITY FRAMEWORK

6. ACTION/METHOD:

6.1 Australian Academy of Trades HODS and the Principal establish and verify that trainers and assessors meet nationally agreed competency requirements and continue to develop their competence by:

- Supporting them in meaningful engagement with industry and relevant professional bodies
- Supporting their professional development in teaching and learning methods and in understanding the requirements of the VET system
- Fostering a culture of critical evaluation and innovation.

6.2 Guide to compliance

- Trainers' and assessors' **competence**, including vocational currency, is **established, verified** and monitored.
- In some instances, assessors who have the vocational competencies but not the assessment competencies required may **work together to conduct assessment** with a person who has the required assessment competencies.
- **Direct supervision** arrangements for trainers are implemented and managed as required.
- Trainers' and assessors' **competencies are continuously developed**.

6.3 Establishing competence

RTOs establish staff competence by verifying that staff hold the required qualifications and experience.

6.4 Trainers and assessors must:

- Have the training and assessment competencies determined by the National Quality Council or its successors
- Have the vocational competencies they are delivering and/or assessing (or demonstrated equivalent competencies) Where trainers and assessors demonstrate equivalent competency there must be a clear and verified relationship between the trainers' and assessors' formal and/or informal training and experience and each of the units/modules they are delivering/ assessing.
- Be able to demonstrate that they hold the skills and knowledge required by industry
- Meet any additional competency requirements detailed in Training Packages or determined by regulatory or licensing bodies.

6.5 Competence is verified by the College HODS/ Principal:

- HODS or Principal will carry out referee checks, including confirming relevant and current industry experience and vocational competencies
- HODs will sight originals (or certified copies) of qualifications.
- Where trainers and assessors do not hold the competencies they are delivering and assessing they can demonstrate equivalent competency. However, there must be a clear and verified relationship between the trainers' and assessors' experience and each of the units/modules they are delivering/assessing.

6.6 Working together to conduct assessment

- If a person holds the relevant vocational competencies but does not have the appropriate assessor competencies or demonstrated equivalent competencies they may co-assess with an assessor who has these competencies.
- The subject matter expert gathers evidence of the competence, which contributes to the assessment judgements by the assessor.
- The assessor's role is to ensure that the assessment methodology used by the subject matter expert is consistent with Training Package requirements.
- Together they make a decision that the principles of assessment were met and that the rules of evidence were met and together make a determination of competence.
- The responsibilities of the assessor and the subject matter expert are clearly defined and co-assessment arrangements and implementation of these arrangements are recorded to demonstrate that NQC requirements are met.
- Australian Academy of Trades will check for any additional conditions required by licensing authorities.

6.7 Directly supervising

- Where a trainer does not have the appropriate training competencies or demonstrated equivalent competencies they must be under the direct supervision of someone who does.

- The supervising trainer provides regular guidance, support and direction, and monitors the training. Although it is not necessary for the supervising trainer to be present during all training delivery, he or she is accountable for the training delivered by the supervised trainer. The level and type of supervision is agreed between the supervising trainer and the trainer.

6.8 Examples of direct supervision should include a combination of some of the following:

- Providing input to the preparation for training, including planning sessions
- Discussing strategies to support specific learners
- Assisting the trainer to locate appropriate resources
- Observing training sessions and providing feedback
- Debriefing the trainer after training sessions
- Providing regular support, guidance and monitoring
- Australian Academy of Trades will check for any additional conditions required by licensing authorities.

6.9 Continuously developing the competencies of trainers and assessors

The purpose of reviewing and developing the competencies of staff is to ensure that they have the skills and knowledge needed to continuously improve the training and assessment services they provide have a clear strategy in place so that all trainers and assessors:

- Understand the requirements of the VET environment and continue to develop this knowledge
- Continue to update their vocational skills and knowledge so that they are providing learning programs that are in line with current industry requirements and so that they are assessing to the standard required by industry
- Continue to improve the way in which they train and assess.

6.10 Australian Academy of Trades will target opportunities for professional development by responding to:

- Reviews of Training Packages/accredited courses
- Data collected from learners and other stakeholders
- Outcomes of training needs analyses
- Staff self-assessment or peer-assessment
- Changing industry requirements
- Information from regulatory bodies
- Outcomes of assessment validation activities.
- Evidence that trainers and assessors are maintaining and improving their competencies and knowledge of VET could include documentation of:
 - Their attendance at relevant professional development activities
 - Participation in networks, communities of practice or mentoring activities
 - Participation in industry release schemes
 - Personal development through reading of industry journals
 - Participation in projects with industry
 - Shadowing or working closely with other trainers and assessors

Validation _____

Staff recruitment and selection procedure

1. PURPOSE:

To ensure that all new staff selected are the most appropriate for Australian Academy of Trades .

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.1, 1.3, 1.4, 1.5, 1.6, 1.8, 1.9, 1.10, 1.11, 1.13, 1.14, 1.15) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO or nominated representative,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Record of Staff Interview Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades develops staff selection criteria for positions that meet Training Package, AQF and EEO requirements as required, and uses these as the basis for job descriptions, job advertisements and recruitment. Australian Academy of Trades will ensure any advertising for VET trainers and assessors clearly outlines the position description in accordance with the requirements of the Standards for Registered training Organisations 2015, Standard 1. The College provides quality training and assessment across all of its operations. Australian Academy of Trades will only recruit trainers and assessors who meet the requirements of the Standards for Registered training Organisations 2015, Standard 1. The College provides quality training and assessment across all of its operations. Australian Academy of Trades will only timetable trainers and assessors who meet the requirements of the Standards for Registered training Organisations 2015, Standard 1. The College provides quality training and assessment across all of its operations.

6.2 An advertisement for the position will be placed in newspapers/ journals if appropriate, or advertised internally after vacancy is identified. Applicants will be requested to submit an application

Applications will be shortlisted by the CEO or nominated representative and (selection panel if appropriate). Shortlisted applicants will be requested to present for interview

The interview will be conducted by CEO or nominated representative and appropriate panel. The selection process will be conducted according to non-discriminatory policies and the provision of equal employment for all employees

6.3 Selection decisions will be based on a cross referencing between staff resumes and positions description. Applicants for teaching positions must fulfil industry requirements and have a meet Assessor Qualifications:

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

Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 Schedule 1 (Appendix 2), or demonstrated equivalence of competencies; and

- a) From 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 Schedule 1 (Appendix 2)
- b) Vocational competencies at least to the level being delivered and assessed
- c) Current industry skills directly relevant to the training and assessment being provided; and
- d) Current knowledge and skills in vocational training and learning that informs their training and assessment.
- e) Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct assessments.

Notes of the interview will be kept on the Record of Staff Selection Interview form

A criminal check will be conducted on all new staff.

Recommendations are made to the CEO. The recommendations are based on the applicant(s) best suited to the position. Australian Academy of Trades adheres to EEO and anti-discrimination principles throughout the recruitment, selection and induction process.

An applicant who is recommended may be asked to attend another interview. At the interview, conditions of employment, including salary, are discussed and negotiated. An offer of employment is made verbally to the potential employee and, if accepted, a **Letter of Appointment** and a **Position description** is issued.

Successful appointees will be notified and asked to sign an appointment letter containing all relevant details.

If this is applicable to the client group of minors under 18 years of age staff appointed will be required to apply for a "blue card" (as per the QLD government requirement)

Student recruitment and selection procedure

1. PURPOSE:

To ensure that Australian Academy of Trades accurately markets its programs and recruits appropriately to attract sufficient new students to maintain financial viability, adhere to the principles of access and equity, and accurately represent its scope of registration.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 4: Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients (Clause 4.1) (Appendix 1) (Schedule 4) (Appendix 2).*
- *Standard 5: Each learner is properly informed and protected (Clauses 5.1 – 5.4) (Appendix 1)*
- *Standard 6: Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively (Clauses 6.1 – 6.6) (Appendix 1)*
- *Standard 7: The College has effective governance and administration arrangements in place (Clause 7.2, 7.4) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, CEO or nominated representative

4. REFERENCES: N/A

5. RECORDS AND FORMS: Record of Student Selection Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades will ensure that information, whether disseminated directly by the College or on its behalf, is both accurate and factual.

Australian Academy of Trades advertises through agents, newspapers, appropriate magazines, and through contacts with English Colleges.

Prior to enrolment or the commencement of training, whichever comes first, the College 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.

Where there are any changes to agreed services, the College advises the learners as soon as is practicable, including in relation to any new their party arrangements or a change in ownership or changes to existing their party arrangements.

Complaints and appeals are dealt with as per the Complaints and appeals policy.

Applications are sent preliminary information about Australian Academy of Trades and course information. Students may be requested to present for interview.

The College satisfies the *Financial Viability Risk Assessment Requirements*.

The College holds public liability insurance that covers the scope of its operations throughout its registration period.

6.2 Selection

The CEO/Nominated representative assesses the applicant's educational qualifications (either obtained in Australia or overseas) necessary for studying at a certificate or diploma level. The applicant is also assessed to determine whether the applicant has the required entry level competencies for the particular course in which the student wants to enrol.

If the applicant's educational qualifications do not meet the College's admission requirements, other factors will be considered. These are:

- Mature age,
- Work experience,
- Attitude and aptitude,
- Ability and skills to function in an academic environment,
- Possibility to succeed in his/her academic endeavours.
- Industry experience, which will assist in completing successfully a certificate or diploma course.

Having arrived at an admission decision, the English language skills (language and literacy) and numeracy skills will be assessed. If student has a satisfactory IELTS score, the applicant will be admitted to his/her chosen course. If the student is found to have problem with numeracy, the student is made aware of this and a range of support would be canvassed with the student. International students need an IELTS band score to demonstrate their English proficiency for Certificate (IELTS Score of at least 5.0) or Diploma courses (IELTS Score of at least 5.5).

If an applicant cannot produce a satisfactory IELTS score, and there are doubts about the English language skills to cope in an academic environment, the applicant is advised to enrol in an English (ELICOS) course with another provider for an appropriate duration until the student achieves an appropriate language and literacy level.

When an interview occurs, it will be conducted by a relevant staff member of Australian Academy of Trades . The selection process will be conducted according to non-discriminatory policies and the provision of equal employment for all employees Notes of the interview will be kept on the Record of Interview Student Selection Form Successful applicants are given all course information and will complete an Enrolment Form

Validation_____

Student file management policy

1. PURPOSE:

To ensure compliance regulated by the National Vet Regulator; Australian Skills Quality Authority.

Management of student files

2. STANDARDS FOR RTO REFERENCE:

- *Standard 7: The College has effective governance and administration arrangements in place (Clause 7.5) (Appendix1).*
- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all times (Clause 8.1) (Appendix1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Australian Academy of Trades teaching staff and administrative staff.

4. REFERENCES: N/A

5. RECORDS AND FORMS: Registration form, notification form, enrolment form, results of assessment, other relevant student documentation.

6. ACTION/METHOD:

6.1 The College provides accurate and current information as required by the Data Provision requirements as updated from time to time.

6.2 Course and Student Files

Note: Course files will be constructed as follows. Files may be colour coded or identified accordingly.

The College cooperates with the VET regulator in the retention, archiving, retrieval and transfer of records.

The Administration Officer will prepare the following:
Admission file and Academic file for each student.

The Admission file will contain:

- Application form
- Letter of offer
- COE copy
- IELTS results
- Copy of Passport including visa
- Student Id application form
- Student induction signed form
- Complaints form if relevant
- Withdrawal forms
- Records of dealings with students
- Student satisfaction with Unit delivery

The student academic file contains:

- Student academic assessments
- Any other Correspondence or notes on telephone calls
- Attendance and course monitoring
- Copy of results notification letter (if applicable);
- Copy of Certificate/Statement of Attainment issued.

Validation_____

Student welfare and support policy

1. PURPOSE:

To provide students with counselling and support services to enable them to complete their course of study on time.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clause 1.7) (Appendix 1).*
- *Standard 5: Each learner is properly informed and protected (Clauses 5.1, 5.2) (Appendix 1).*
- (National Code 2007 Objective 3.1, 6.3).

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

Australian Academy of Trades has student welfare and guidance services relevant to the training products.

Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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.

Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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 College 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 College 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 College's behalf; and
 - v) any work placement arrangements.
- c) the college's obligations to the learner, including that the College 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 College's complaints and appeals process required by Standard 6; and
 - ii) if the College, 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 College 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 information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of services.

The College 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.

Where necessary, arrangements will be made for students requiring Language, Literacy and/or Numeracy support. This will be outsourced to the relevant qualified experts. Any fees incurred are the responsibility of the student
 Australian Academy of Trades has access to personnel with experience in developing diagnostic assessment services for diverse clients.

Australian Academy of Trades student information will ensure that all fees and charges are known to students prior to enrolment. Students are advised of course content, outcomes, and assessment procedures prior to commencing training.

For any matter outside its expertise or control, Australian Academy of Trades will make every attempt to refer the student or the relevant agency or expert.

The student is provided with information on the following

- Course information
- Study pathways
- Fees and charges
- Counselling
- Academic support
- Administrative support
- Technical support
- Recognition of Prior Learning (RPL)
- Complaints
- Industry placement, where necessary
- First Aid

For international students additional services will relate to:

- VISA requirements
- Language requirements
- Enrolment information
- Health coverage
- Accommodation needs

Validation_____

Training and assessment strategies development procedure

1. PURPOSE:

To ensure that Training and Assessment strategies are developed for each qualification and that these accurately reflect how a course will be delivered and assessed. The Training and Assessment strategy should be a “Road Map” for the delivery and assessment of a qualification.

This procedure applies to the Teaching Staff, HODS, and the College CEO, Deputy CEO and administrative staff.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College’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.*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO and HODS and Trainers

4. REFERENCES: Education Services for Overseas Students Act Training and Employment Act 2000, Relevant Training Package

5. RECORDS AND FORMS: Client Entry Requirements for the Australian Academy of Trades

6. ACTION/METHOD:

6.1 The Heads of Department will meet with Trainers and industry representatives to seek their input into the Training and Assessment Strategies and Practices. Industry input will be documented.

6.1 Strategy for training and assessment

Each training and assessment strategy is a ‘roadmap’ for the delivery and assessment of a qualification (or unit of competency) or accredited course (or unit/module). The strategy, which could be one consolidated document or a range of documents, shows how the requirements of the Training Package or the accredited course are addressed, **and should include where relevant:**

- Qualification packaging requirements
- Co-requisites and pre-requisites
- Entry requirements
- Required trainer and assessor competencies
- Assessment evidence requirements.

6.2 The training and strategy and practices describe the training program and should include:

- The **amount of learning** to be undertaken which is consistent with the requirements of training packages and VET accredited courses **and enable each**

learner to meet the requirements for each unit of competency or module in which they are enrolled

- The **mode of delivery** to be used by the College (for example, online, classroom, on-the-job, mixed mode)
- **The learning approaches** or styles that will be used to suit the identified needs of learners
- How the **needs of groups or individual learners will be met** (for example, reasonable adjustment in assessment)
- **How Recognition of Prior Learning (RPL)** will be provided to participants
- Advice to assessors about how assessment will be conducted. **The training and assessment strategies should accurately describe the assessment methods that relate to the tools used.** A strategy should also indicate the characteristics specific to workplaces, or to candidates, that need to be accommodated in assessment.

6.4 Trainers and assessors should have input to the strategies for training and assessment. The College must ensure that trainers and assessors understand the strategies for training and assessment and apply them.

Information collected through consultation with industry could include:

- Regulations or laws governing the industry and/or standard operating procedures, equipment and machinery used at the enterprise level
- Information about the work environment (for example, shifts or seasonal changes to schedules)
- that will affect delivery and assessment
- Employer preferences about the way in which a program is delivered
- Information about how qualifications should be structured and delivered/assessed in communications from industry skills councils, licensing bodies and similar groups
- Industry training needs identified in reports from industry bodies
- Characteristics of the client group that need to be accommodated in training and assessment.
- Industry consultation should have a clear impact on the strategies for training and assessment.
- *Learners' needs*

Learners could have needs related to:

- Relevant prior training and/or employment
- Learning styles
- Physical or intellectual ability
- Language, literacy and numeracy levels
- Their location
- Cultural or ethnic background
- Socio-economic factors.

Where learners' needs are identified and met, programs will have a real 'customer focus'.

6.6 Industry

- The College's training and assessment practices are relevant to the needs of industry and informed by industry engagement
- The College 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.

6.7 Strategies for Industry Engagement:

- Regular and systematic meetings with workplace supervisors and management
- Focus groups and market research
- Questionnaires about industry specific needs before commencement of programs
- Industry research reports, journals and/or studies
- Industry conferences
- All above incorporated into Australian Academy of Trades staff meetings and actioned as necessary
- Currency of the Australian Academy of Trades Trainers and Assessors Industry Skills is informed by Industry Engagement.

Industry could include:

- Industry organisations
- Industry training advisory bodies and skills councils
- Unions
- Specific enterprise/industry clients
- Occupational licensing bodies.

Where a qualification does not have a clear vocational outcome, industry could mean other bodies, such as community groups.

Resources

Resources specified in each training and assessment strategy should include:

- The training and assessment materials that will be used
- The facilities and equipment that will need to be available or accessed, including industry placement arrangements
- Simulated work environments to be used
- Support staff or resources that may be required to meet the needs of learners
- Agreements for the use of resources and facilities.

Monitoring and improvements

Evidence that RTOs monitor and review their training and assessment strategies should include:

- Training and assessment strategies and training programs revised in response to industry input
- Outcomes of consultations with trainers and assessors, learners, enterprise clients, industry organisations and, where relevant, licensing bodies, and the changes made to training and assessment and supporting resources in response to such consultations
- Records of staff meetings, dependant on the size and scope of the College's operations, about training and assessment strategies and programs, and the agreed actions.

Industry:

Doing it better

The College considers:

- Giving industry and enterprises the opportunity to collaborate in making joint decisions about training and assessment strategies
- Encouraging industry representation on committees and participation in award ceremonies

Taking the initiative for the review of strategies for training and assessment and anticipating issues or requirements 'on the horizon' that will need to be addressed in training and assessment

Please see "Industry Consultation Policy" for full explanation of how the College systematically uses outcome of industry engagement:

"Systematic use of the outcome of industry engagement training and assessment strategies, practices and resources, and the current industry skills of its trainers and assessors".

6.8 Systematic validation

The College implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the College'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.

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 College's scope of registration, including those risks identified by the VET Regulator.

Systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved 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.

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

Validation_____

Training procedure

1. PURPOSE:

To ensure that potential clients are given entry requirements prior to being accepted or accepting an offer at the Australian Academy of Trades and to ensure the training process is transparent and of a high standard.

This procedure applies to the Marketing Representatives, Teaching Staff and the College CEO.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.1. – 1.8) (Appendix 1).*
- *Standard 3: The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records (Clauses 3.1 – 3.6) (Appendix 1).*
- *Standard 4: Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients (Clause 4.1) (Appendix 1)*
- *Standard 5: Each learner is properly informed and protected*
- *Schedule 4 (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO and Marketing Liaison Officer

4. REFERENCES: Education Services for Overseas Students Act Training and Employment Act 2000

5. RECORDS AND FORMS: Client Entry Requirements for the Australian Academy of Trades

6. ACTION/METHOD:

6.1 Quality of training starts at the first contact, and the Australian Academy of Trades Principal and staff are responsible for a professional transparent service, from first contact to the issue of the student's Qualifications.

The following steps are to be followed when an enquiry for training occurs. Overseas enquires are managed by the International Marketing agency.

Australian enquires will be managed as follows:

- Enquiries can be made by telephone, facsimile, email or face-to-face.
- When an enquiry is made by telephone, the telephone call is attended to by the Australian Academy of Trades receptionist
- The receptionist completes an enquiry form.
- The registrar receptionist responds to the student.

- Information must go out to the prospective students/clients within 24 hours. The order of preference for delivery is:
 1. Face to Face
 2. Email
 3. Facsimile
 4. Ordinary mail.

Information to be sent includes:

- Schedule of courses;
- Overview of relevant course/s / Marketing Materials
- Registration/enrolment forms;
- Course costs and cancellation conditions;
- Refund policy
- RPL information
- Covering letter if required or Business Card if by post.

All prospective clients are followed up 2 weeks prior to course by the Administration Officer

6.2 A qualified trainer from Australian Academy of Trades will assess applications for RPL and the results of that assessment will be forwarded to the applicant within 10 working days of receipt of the application.

Australian Academy of Trades 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

6.3 The College 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.

6.4 In addition, the College 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.

6.5 The College meets all requirements specified in the relevant training package or VET accredited course.

6.6 All information, whether disseminated directly by the College 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 (Appendix 2);
- e) makes clear where a third party is recruiting prospective learners for the College 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 College;
- 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 College'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 College'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 contravenes the information contained in the training and assessment strategy, and the requirements of training packages and VET accredited courses; or
 - iii) a learner will obtain a particular employment outcome where this is outside the control of the College.

6.7 Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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.

Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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 College 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 College 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 College's behalf; and
- v) any work placement arrangements.
- c) the College's obligations to the learner, including that the College 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 College's complaints and appeals process required by Standard 6 (Appendix 1); and
 - ii) if the College, 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 College 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
- g) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

6.8 Where there are any changes to agreed services, the College 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.

- Enrolments are only accepted if received **with a deposit** prior to the course commencing, (if charges apply) as specified in the course costs document. The Australian Academy of Trades Office Administrator processes all enrolments and a course file commenced.
- Payments will be accepted by cheque, credit card or cash. The Office administrator who handles all payments will issue a receipt and deposit the monies into a special account set up especially for collection of student/clients fees.
- All payments for training by students/clients must be made before the completion of any course, unless the Australian Academy of Trades CEO or nominated representative has approved an alternative payment process.
- If a staff member receives notification from a client that they wish to withdraw their nomination for a course, the client is to be reminded of Australian Academy of Trades refund policy. The name and telephone number of the student/client will be passed to The Australian Academy of Trades CEO or nominated representative; who will in turn contact the learner and process their enrolment cancellation in accordance with Australian Academy of Trades refund policy.
- Once a course is completed, assessments will be marked immediately, and Diplomas, Certificates and/or Statements of Attainment will be dispatched to successful students 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 the College have been paid.
- A student file is to be maintained and will include; course nomination/registration forms student agreements, student records of training and copies of issued Certificates/Statements of Attainment. **These documents must meet the requirements of the AQF Implementation Handbook and the endorsed Training Packages and/or accredited courses within the scope of the College's registration.** Enough information to reproduce the Qualifications/Statements of

Attainment including date of issue is required. **A list of units of competency achieved by each individual student/client must also be retained.**

- A training checklist is to be completed by office administrator for each course, and kept in the training file.
- At the completion of the course, the trainer who conducted the course will ask all participants in the course to complete the student feedback (course quality assessment form), and these will be returned to the trainer. The trainer, at the next meeting with Australian Academy of Trades , CEO or nominated representative must raise any problems regarding the quality or delivery of the training. A remedial strategy or improvement process will be agreed at this meeting.
- All students/clients will be notified if they do not reach the required competency level within **two working days of the marking being completed.** For courses conducted by Australian Academy of Trades , the trainer/assessor marking the assessment will make that notification.
- As much help as possible will be given to the student/client in understanding the reason for the outcome of the assessment, and guidance will be given to rectify the problem. A time for re-sitting the assessment will be made that is convenient to both the student and the trainer.

Validation_____

Verification and recording of trainer and assessor qualifications and experience policy

1. PURPOSE:

To ensure that Australian Academy of Trades 's trainers and assessors have the relevant vocational and trainer and assessor competencies

2. STANDARDS FOR RTO REFERENCE:

- *Standard 1: The College'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 (Clauses 1.13; 1.14; 1.15) (Appendix 1).*
- *Schedule 1 (Appendix 2).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Monitoring Schedule

6. ACTION/METHOD:

6.1 Australian Academy of Trades ensures that its 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.

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

6.2 Australian Academy of Trades 's training and assessment is delivered only by persons who have:

- a) Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1 (Appendix 2), or demonstrated equivalence of competencies; and
- b) From 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1 (Appendix 2).

6.3 Where a person conducts assessment only, the College ensures that the person has:

- a) Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 (Appendix 2), or demonstrated equivalence of competencies; and
- b) From 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1 (Appendix 2).

6.4 The College 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.

Individuals working under the supervision of a trainer

6.5 Where the College, 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.

6.6 The College ensures that any individual working under the supervision of a trainer:

- a) Holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- 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.

6.7 Where the College engages an individual under Point 6.5 above, it ensures that the training and assessment complies with Standard 1 (Appendix 1).

6.8 Without limiting Points 6.5 and 6.7 above, the College:

- a) Determines and puts in place:
 - i) The level of the 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.

6.9 Delivery of the training and assessment qualifications for trainers and assessors

Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College will ensure all trainers and assessors delivering the training and assessment:

- a) Hold the training and assessment qualification at least to the level being delivered; or
- b) Have demonstrated equivalence of competencies.
- c) Have at least three years industry experience

6.10 From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College will ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

6.11 From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1 (Appendix 2), or any assessor skill set from the Training and Education Training Package (or its successor), the College must ensure all trainers and assessors delivering the training and assessment:

- a) Hold the qualification specified in Item 5 of Schedule 1 (Appendix 2); or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

- 6.12** The College will ensure that any individual working under supervision under Point 6.10 (b) above, holds the qualification specified in Item 1 of Schedule 1 (Appendix 2) and does not determine assessment outcomes.

Note: from 1 January 2017, the requirements set out in Point 6.10 above, continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

6.13 New Staff prior to Appointment

The Australian Academy of Trades advertisement will outline the required Vocational and Training and assessment qualifications and experience required for the position

At the interview new applicants will be asked to forward their CV and qualifications to the college within 5 working days. The information is to include where possible the contact details of workplaces identified by the applicant in his/her resume. Contact details for the Organisations providing the awards should be on the document. Otherwise contact details must be provided. by the applicant.

The HOD will verify that the information given is accurate through the following process:

- A phone call or email to the organisation granting the award qualification to verify the applicant claims, or
- Written confirmation from the organisation that the documents are bona fide.

6.14 Trainers and assessors already on staff

For Trainers and assessors already on staff at Australian Academy of Trades the HOD will be responsible for verifying provided in CV's and Staff Profiles . The HOD must identify who was contacted, the date and the method of verification.

The above verification will be included in the Australian Academy of Trades Monitoring Schedule and will be a standing agenda item at Staff Management Meetings.

Validation _____

Version control policy

1. PURPOSE:

To ensure all materials that relate to the organisation's scope of registration including, policies and procedures, training packages, accredited course documents and learning and assessment materials will be managed via a version control system. This system will comprise of the document issue number and the date of revision, for example, Version no1.0 (Jan 2010).

This Policy applies to the documents related to Australian Academy of Trades 's Scope of Registration documents

2. STANDARDS FOR RTO REFERENCE:

- *Standard 2: The operations of the College are quality assured (Clauses 2.1, 2.4) (Appendix 1)*
- *Standard 7: The College has effective governance and administration arrangements in place (Clause 7.1) (Appendix 1).*

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, Australian Academy of Trades 's CEO, Deputy CEO, Principal teaching staff and administration staff, Quality Manager.

4. REFERENCES: N/A

5. RECORDS AND FORMS: Version Control and Master Documents Register Form

6. ACTION/METHOD:

6.1 The Quality Manager will ensure:

All materials are reviewed for currency by an authorised and competent staff member prior to issue or re-issue.

A version control list is maintained, which will document all materials relating to the organisation's scope of registration and will include all issues and revisions.

All persons who are required to perform any function under the organisation's scope of registration are afforded ready access to all necessary current materials.

New versions of documents are distributed and superseded versions removed. Electronic versions of all documentation are to be "READ ONLY" The only person/position having authority to change forms, policies and procedures is the CEO.

The currency of the list and version numbers are updated whenever changes to the list or any update to any document occurs.

The CEO and the Quality Manager ensures the accuracy and currency of documents.

The Quality Manager circulates information about updated versions to all staff.

Copies of current documents are also available at the reception and can be accessed by any staff.

Each document will be clearly identified by its date of origin. **Obsolete versions of documents will be destroyed to avoid any possible confusion on the current arrangements.**

For a copy of the version control chart, see Version Control Master List.

Distribution of New Policies/Procedures

Upon implementation of new or revised policies and procedures all staff will be provided with a copy, either electronically or in hard copy.

Any issues or suggestions relating to the New Policy or Procedure are to be noted on the Corrective Action Form and the issues are to be raised at the next staff meeting. Any critical issues are to be raised with the Quality Manager as soon as practicable.

Validation_____

Work experience policy

1. PURPOSE:

To provide an opportunity for students to undertake unpaid work in their chosen field, which aims to ensure that they:

- Gain practical experience
- Develop workplace skills
- Increase self confidence
- Increase their understanding of the work involved in a particular field
- Develop a greater understanding of work life issues.

2. STANDARDS FOR RTO REFERENCE:

Standard 1: The College'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.(Clauses 1.5, 1.6, 1.8) (Appendix 1).

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers,

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Work experience is conducted on a continual and ongoing basis with students working in the relevant industry

Students are required to provide evidence that they can demonstrate critical aspects of evidence of the unit of competency working across a range of variables that would occur in the workplace.

Work experience is a hands-on practical experience designed to integrate learning from all competency units within the course of study.

6.2 Requirements of Students for work experience

- Prompt arrival. It is most important that if for some very good reason you are unable to attend work experience, you (1) notify Australian Academy of Trades and (2) notify your employer as early as possible prior to the time you were to commence.
- Work with your trainer. Each trainer has full jurisdiction over what the student does or does not do.
- Make sure you ask questions if you do not understand an instruction or do not understand some procedures that are followed.
- Show initiative- once you know the routine. Don't always wait to be told what to do. Show that you can help without being asked.

6.3 Work experience is conducted on a continual and ongoing basis with students working in the relevant industry.

Students are required to provide evidence that they can demonstrate critical aspects of evidence of the unit of competency working across a range of variables that would occur in the workplace.

Work experience is a hands-on practical experience designed to integrate learning from all competency units within the course of study.

Validation_____

Workplace, health and safety policy

1. PURPOSE:

To ensure that the CEO, Deputy CEO, Principal, staff, and students comply with the relevant Workplace Health and Safety legislation.

2. STANDARDS FOR RTO REFERENCE:

- *Standard 8: The College cooperates with the VET regulator and is legally compliant at all time (Clauses 8.5, 8.6) (Appendix 1).*
- VQF 2011

3. RESPONSIBILITIES: HODS, College Trainers, Administration officers, College CEO Principal, Deputy CEO Trainers, WH&S Officer

4. REFERENCES: N/A

5. RECORDS AND FORMS: Form

6. ACTION/METHOD:

6.1 Australian Academy of Trades complies with the Workplace Health and Safety Act through the following:

Individual trainers and staff members are responsible for identifying risks.

At staff meetings staff will discuss identified or risks.

It is the responsibility of the CEO/Principal to address issues raised and implement safety measures to comply with legislation both in theory classes and practical sessions.

6.2 Appropriate Persons will conduct workshops on WH&S when required.

The Principal and WH&S Officer or nominated person will:

- Ensure the health and safety of each of their workers and students/clients;
- Ensure the health and safety of other people who are not workers or students; e.g. visitors and guest presenters;
- Ensure people can come to work or a training venue with a minimum of risk of injury or illness;
- Ensure that any equipment used by staff or students is safe when properly used.

6.3 Students/clients are obliged to

- Obey instructions regarding their health and safety and the health and safety of others;
- They must not deliberately interfere with or misuse anything that has been provided for workplace health and safety;
- They must not deliberately endanger the workplace health and safety of others, or deliberately injure themselves.

Copies of this legislation are available in the office of the CEO or on the relevant website

Validation_____

Appendix 1

Standards for Registered Training Organisations (RTOs) 2015

Standard 1. The College'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

Context:

Learners, employers and industry must have confidence in the integrity, currency and value of certification documents issued by RTOs, through high quality training and assessment practices that:

- ☐ meet the requirements of training packages and VET accredited courses;
- ☐ is responsive to industry and learner needs; and
- ☐ is delivered by appropriately qualified trainers and assessors with the right support services, facilities and equipment.

The College's training and assessment strategies and practices must have regard to the amount of training required for the learner to gain the competencies as specified in the relevant training package or VET accredited course. The amount of training will vary depending on the existing skills and knowledge of the learner, the mode of delivery and include any work placement arrangements.

To ensure thorough and rigorous assessment practices and results, RTOs must implement a comprehensive plan of systematic validation. RTOs must use a risk-based approach to developing the plan considering risk indicators such as the potential safety concerns to clients from an assessment outcome that is not valid, the mode of delivery, changes to training packages and/or licensing requirements.

Trainers and assessors who are involved in training and assessment delivery being considered as part of the validation process may also participate in the validation process.

There are differences in the operating characteristics and business objectives of RTOs and the evidence RTOs use to demonstrate compliance with this Standard will reflect those differences.

To be compliant with Standard 1 the College must meet the following:

1.1. The College's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages 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 College 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 College 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 College meets all requirements specified in the relevant training package or VET accredited course.

Industry relevance

1.5. The College's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

1.6. The College 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.

Learner support

1.7. The College 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.

Assessment

1.8. The College 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; and
- 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.

Table 1.8-1: Principles of Assessment

Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the College to take into account the individual learner's needs.</p> <p>The College informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> • reflecting the learner's needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	<p>Any assessment decision of the College is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> • assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

Table 1.8-2: Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

1.9. The College implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the College'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 College'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 involved 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.

Industry experts may be involved in validation to ensure there is the combination of expertise set out in (a) to (c) above.

1.12. The College offers recognition of prior learning to individual learners.

Trainers and assessors

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

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
- 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 College ensures that the person has:

- a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
- b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

1.16. The College 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.

Individuals working under the supervision of a trainer

1.17. Where the College, 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.

1.18. The College 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 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- 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 College 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 College:

- a) determines and puts in place:
 - i) the level of the 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.

Delivery of the training and assessment qualifications for trainers and assessors

1.21. Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College must ensure all trainers and assessors delivering the training and assessment:

- a) hold the training and assessment qualification at least to the level being delivered; or
- b) have demonstrated equivalence of competencies.

1.22. From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the College must ensure all

trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

1.23. From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the College must ensure all trainers and assessors delivering the training and assessment:

- a) hold the qualification specified in Item 5 of Schedule 1; or
- b) work under the supervision of a trainer that meets the requirement set out in (a) above.

1.24. The College must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Independent validation of training and assessment qualifications

1.25. From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the College must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of **independent validation** and **validation**).

Transition of training products

1.26. Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the College 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.

Standard 2. The operations of the College are quality assured.

Context:

The College is ultimately responsible for ensuring quality training and assessment within their organisation and scope of registration, regardless of any third party arrangements where training and/or assessment is delivered on their behalf. This includes where the College subcontracts the delivery of services to a third party and the third party further subcontracts the delivery of services, but the AQF certification documentation will be issued by the College. The College must have a written agreement with any party that delivers services on its behalf.

The College is responsible for developing, implementing, monitoring and evaluating quality training and assessment strategies and practices that meet training package and VET accredited course requirements.

Evaluating information about performance and using such information to inform quality assurance of services and improve training and assessment is sound business and educational practice. The information used to evaluate RTO performance must be relevant to the operating characteristics and business objectives of the College and will vary from one RTO to another.

To be compliant with Standard 2 the College must meet the following:

2.1. The College 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.

2.2. The College:

- a) systematically monitors the College's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the College'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.

2.3. The College 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 College 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.

Standard 3. The College issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

Context:

To maintain the integrity and national recognition of training products, AQF certification must be consistent in presentation and RTOs must accept the certification issued by other RTOs. This is the purpose of nationally agreed requirements about the nature of certification content and presentation and maintenance. Learner needs should be met through timely issuance of AQF certification documentation and access to their records.

RTOs are not obliged to issue any certification that would be entirely comprised of units or modules completed at another RTO or RTOs.

To be compliant with Standard 3 the College must meet the following:

3.1. The College 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 College have been paid.

3.4. Records of learner AQF certification documentation are maintained by the College in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

3.5. The College 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.

3.6. The College 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.

Standard 4. Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

Context:

The College is ultimately responsible for ensuring transparent and accurate information about RTO services and performance is accessible to prospective and current learners and clients of the College, regardless of any arrangements to have this information distributed on behalf of the College.

Transparent and accurate information about RTO services and performance enables prospective and current learners and clients to make informed decisions regarding their training and/or assessment needs.

The information about RTO services and performance provided by the College must be relevant to and reflect the needs of the client which will vary from RTO to RTO.

To be compliant with Standard 4 the College must meet the following:

4.1. Information, whether disseminated directly by the College 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 College 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 College;
- 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 College'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 College'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 College.

Standard 5. Each learner is properly informed and protected.

Context:

In order to ensure that learners are adequately informed about the services they are to receive, their rights and obligations, and the College's responsibilities under these Standards, the College must provide learners with information prior to commencement of services including any third party arrangements affecting the delivery of training and/or assessment. This is to occur regardless of the manner in which the learner has been engaged, and whether the learner was initially engaged by the College itself or a third party.

The College is to provide or make readily available information to the learner that outlines the services the College will provide the learner, along with the rights and obligations of the learner and the College.

The College may provide information to the learner through one or more documents, for example an enrolment form, policy, employment contract or agreement, induction handbook or documented practice, training plan or training contract.

To be compliant with Standard 5 the College must meet the following:

5.1. Prior to enrolment or the commencement of training and assessment, whichever comes first, the College 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 College 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 College 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 College 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 College's behalf; and
 - v) any work placement arrangements.
- c) the College's obligations to the learner, including that the College 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 College's complaints and appeals process required by Standard 6; and
 - ii) if the College, 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 College 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
- h) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

5.3. Where the College collects fees from the individual learner, either directly or through a third party, the College 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 College; 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 College in the event the:
 - i) arrangement is terminated early; or
 - ii) the College fails to provide the agreed services.

5.4. Where there are any changes to agreed services, the College 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.

Standard 6. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Context:

RTOs must implement a transparent complaints and appeals policy that enables learners and clients to be informed of and to understand their rights and the College's responsibilities under the Standards.

Enterprise RTOs and volunteer associations that do not charge fees for the training and/or assessment and only provide training to employees or members are not required to maintain a separate complaints and appeals policy in relation to their training and assessment. These organisations must ensure, however, that their organisation's complaints policy is sufficiently broad to cover the activities as an RTO.

Subject to Clause 6.6, to be compliant with Standard 6 the College must meet the following:

6.1. The College has a complaints policy to manage and respond to allegations involving the conduct of:

- a) the College, its trainers, assessors or other staff;
- b) a third party providing services on the College's behalf, its trainers, assessors or other staff; or
- c) a learner of the College.

6.2. The College has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the College or a third party providing services on the College's behalf.

6.3. The College'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 College 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 College considers more than 60 calendar days are required to process and finalise the complaint or appeal, the College:

- 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 College:

- 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 College 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 College.

PART 4 – RTO governance and administration

Standard 7. The College has effective governance and administration arrangements in place.

Context:

Business viability is critical to the ongoing sustainability of an RTO and the investment it makes in its services. If RTOs are not viable, then this negatively impacts on the quality of its training and assessment outcomes and on learners.

Operational and financial business standards therefore provide important protective measures for the learner and RTOs, as well as acting as a disincentive for underprepared organisations to enter the market.

The factors determining the viability of an RTO are dependent upon the business objectives and operating characteristics of the College. For example, the factors determining the business viability of an enterprise RTO embedded within a major Australian business may be different to those impacting upon a private provider or a publically-owned TAFE Institute.

To be compliant with Standard 7 the College must meet the following:

7.1. The College ensures that its executive officers or high managerial agent:

- a) are vested with sufficient authority to ensure the College complies with the College Standards at all times; and
- b) meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

7.2. The College satisfies the *Financial Viability Risk Assessment Requirements*.

7.3. Where the College 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 College must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

7.4. The College holds public liability insurance that covers the scope of its operations throughout its registration period.

7.5. The College provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Standard 8. The College cooperates with the VET Regulator and is legally compliant at all times.

Context:

RTOs need to comply with the requirements of the College Standards as well as other relevant Commonwealth, State and Territory legislation. This is critical if RTOs are to deliver training products that have integrity and which fulfil their obligations to their clients.

It is important that third party arrangements are documented and transparent to facilitate the Regulator's knowledge that such arrangements exist. This will enable them to factor this into the risk profile they apply when enforcing compliance with the Standards and to review, in the context of RTO audits, the terms of the third party arrangements and the effectiveness of the arrangements in facilitating compliance with these Standards.

To be compliant with Standard 8 the College must meet the following:

8.1. The College cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the College'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 College'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 College 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.

8.3. The College 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.

8.4. The College 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.

8.5. The College complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

8.6. The College ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

In addition:

- **Fit and Proper Person Requirements**
 - **Financial Viability risk Assessment Requirements**
 - **Date of Provision Requirements**
 -
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Appendix 2

SCHEDULE 1

Item	Relevant Standard	AQF Qualification or Unit of Competency
1	1.14 1.15	TAE40110 Certificate IV in Training and Assessment or its successor.
2	1.14 1.15	A diploma or higher level qualification in adult education.
3	1.15	TAESS00001 Assessor Skill Set or its successor.
4	1.18	4. a) TAESS00007 Enterprise Trainer – Presenting Skill Set or its successor; or 5. b) TAESS00008 Enterprise Trainer – Mentoring Skill Set or its successor; or 6. c) TAESS00003 - Enterprise Trainer and Assessor Skill Set or its successor.
5	1.23	7. a) TAE50111 Diploma of Vocational Education and Training or its successor; or 8. b) TAE50211 Diploma of Training Design and Development or its successor; or 9. c) A higher level qualification in adult education.

SCHEDULE 2

Independent validation requirements for RTOs delivering training and assessment qualifications or assessor skill sets from the Training and Education Training Package (or its successor)

For the purposes of Clause 1.25, the requirements for independent validation will apply as follows:

- a) For an RTO applying to extend its scope of registration to include the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:
 - i) the College's assessment tools, processes and outcomes in relation to other AQF qualifications and/or units of competency on its scope of registration, as directed by the VET Regulator; and
 - ii) the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set.
- b) For an RTO where its scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:
 - i) the assessment system for delivery of the training and assessment qualification or assessor skill set; and

- ii) the College's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set.

For the purposes of Clause 1.25, independent validation of AQF qualifications or the assessor skill set from the Training and Education Training Package (or its successor) must be conducted by one or more persons who collectively have:

- a) current knowledge and skills in vocational teaching and learning; and
- b) the training and assessment qualification or assessor skill set at least to the level being validated.

SCHEDULE 3

Fit and Proper Person Requirements

Criteria for suitability

In assessing whether a person meets the Fit and Proper Person Requirements, the VET Regulator will have regard to the following considerations:

- 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 College 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 College 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 College was determined to have breached a government training contract; and
- k) any other relevant matter.

SCHEDULE 4

Conditions of Use of NRT Logo

The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to AQF certification documentation. The NRT Logo is a registered trade mark.

The following describes a range of situations and conditions for using the NRT Logo.

Advertisements and promotional information in any medium (print, television, radio, banners, internet, etc.)

1. RTOs registered by any VET Regulator may use the NRT Logo to promote nationally recognised training provided that training is within the College's scope of registration.
2. Impressions must not be created that may lead an observer to conclude the NRT Logo applies to all training provided by the College, if this is not the case. The NRT Logo cannot be used by an RTO where the training is accredited, but is outside the scope of registration of the College. Where training is being promoted and does not meet the requirements stipulated in the VET Quality Framework or is outside the College's scope of registration, it must be made clear the NRT Logo is not associated with that training.
3. Use of the NRT Logo is only permitted where there is a direct relationship to an AQF qualification and/or unit of competency as specified within training packages or VET accredited courses.

Student information (brochures, course handbooks, prospectuses, etc.)

4. When an RTO is promoting the training it offers and wishes to use the NRT Logo, its 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.

Corporate stationery, business cards, buildings, training resources and marketing products

5. The NRT Logo must not be used on products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, packaging around products nor learning resources supporting training.

Certificates, Statements of Attainment and other testamurs

6. The NRT Logo must be depicted on all AQF certification documentation issued by the College. These can only be issued by an RTO when the qualification and/or unit of competency are within the College's scope of registration. The NRT Logo must not be depicted on other testamurs or transcripts of results.

APPENDIX.....

SCHEDULE 5:

Application of the AQF Qualifications Issuance Policy within the VET Sector

10. 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

1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:
 - a) the name, RTO code and logo of the issuing organisation;
 - b) the code and title of the awarded AQF qualification; and
 - c) the NRT Logo in accordance with the current conditions of use contained in Schedule 4.
2. The following elements are to be included on the testamur as applicable:
 - a) 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);
 - b) the industry descriptor, e.g. Engineering;
 - c) the occupational or functional stream, in brackets, e.g. (Fabrication);
 - d) where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and
 - e) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
3. RTOs must not include the learner's Student Identifier on the testamur consistent with the *Student Identifiers Act 2014*.
4. RTOs will:
 - f) retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued;
 - g) retain records of AQF certification documentation issued for a period of 30 years; and
 - h) 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

5. RTOs must include the following information on a statement of attainment:
 - a) the name, RTO Code and logo of the issuing organisation;
 - b) 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;

- c) the authorised signatory;
 - d) the NRT Logo;
 - e) the issuing organisation's seal, corporate identifier or unique watermark;
 - f) the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';
6. The following elements are to be included on the statement of attainment as applicable:
- a) the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities);
 - b) the words 'These competencies form part of [code and title of qualification(s)/course(s)]';
 - c) the words, 'These competencies were attained in completion of [code] course in [full title]'; and
 - d) where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
7. RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the *Student Identifiers Act 2014*.
8. RTOs will:
- a) maintain registers of all statements of attainments issued;
 - b) retain records of statements of attainment issued for a period of 30 years; and
 - c) provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

SCHEDULE 5

11. **Application of the AQF Qualifications Issuance Policy within the VET Sector**

12. 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

13. 1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:
- a) the name, RTO code and logo of the issuing organisation;
 - b) the code and title of the awarded AQF qualification; and
 - c) the NRT Logo in accordance with the current conditions of use contained in Schedule 4.
14. 2. The following elements are to be included on the testamur as applicable:
- a) 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);
 - b) the industry descriptor, e.g. Engineering;
 - c) the occupational or functional stream, in brackets, e.g. (Fabrication);
 - d) where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and
 - e) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
15. 3. RTOs must not include the learner's Student Identifier on the testamur consistent with the *Student Identifiers Act 2014*.

16. 4. RTOs will:
- f) retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued;
 - g) retain records of AQF certification documentation issued for a period of 30 years; and
 - h) 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

17. 5. RTOs must include the following information on a statement of attainment:
- a) the name, RTO Code and logo of the issuing organisation;
 - b) 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;
 - c) the authorised signatory;
 - d) the NRT Logo;
 - e) the issuing organisation's seal, corporate identifier or unique watermark;
 - f) the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';
18. 6. The following elements are to be included on the statement of attainment as applicable:
- a) the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities);
 - b) the words 'These competencies form part of [code and title of qualification(s)/course(s)]';
 - c) the words, 'These competencies were attained in completion of [code] course in [full title]'; and
 - d) where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
19. 7. RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the *Student Identifiers Act 2014*.
20. 8. RTOs will:
- a) maintain registers of all statements of attainments issued;
 - b) retain records of statements of attainment issued for a period of 30 years; and
 - c) provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

SCHEDULE 6

Requirements for protecting fees prepaid by individual learners, or prospective learners, for services

1. These requirements do not override obligations and requirements of the *Education Services for Overseas Students Act 2000* (Cth).

Type of RTO	Requirement
Government Entity or an Australian university	<p>The College implements a policy addressing learner fee protection arrangements. This policy details how, if the College is unable to provide services for which the learner has prepaid, the learner will:</p> <ul style="list-style-type: none">• be placed into an equivalent course such that:<ul style="list-style-type: none">• the new location is suitable to the learner; and• the learner receives the full services for which they have prepaid at no additional cost to the learner; or• be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
All other RTOs	<p>The College addresses learner fee protection by implementing one or more of the following arrangements:</p> <ol style="list-style-type: none">1. The College holds an unconditional financial guarantee from a bank operating in Australia where:<ol style="list-style-type: none">a) the guarantee is for an amount no less than the total amount of prepaid fees held by the College in excess of the threshold prepaid fee amount for each learner for services to be provided by the College to those learners; andb) all establishment and ongoing maintenance costs for the bank guarantee are met by the College.2. The College holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the College is unable to provide services for which the learner has prepaid, must ensure:<ol style="list-style-type: none">a) the learner will be placed into an equivalent course such that:<ul style="list-style-type: none">- the new location is geographically close to where the learner had been enrolled; and- the learner receives the full services for which they have prepaid at no additional cost to the learner; orb) if an equivalent course cannot be found, the learner is paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.3. Any other fee protection measure approved by the VET Regulator.