

Your Logo

RTO Sample

RTO Policies and Procedures

Please note.

This document is a sample only. It includes only XX pages of what would normally be 180-page document. You will find the first page of each policy with some process diagrams to give you a sense of the depth and quality of each policy. The package is also issued with a folder of additional policies that may not be relevant to all RTOs. As an example of this, the folder of additional policies includes a policy for third party arrangements. Enjoy!

Joe Newbery

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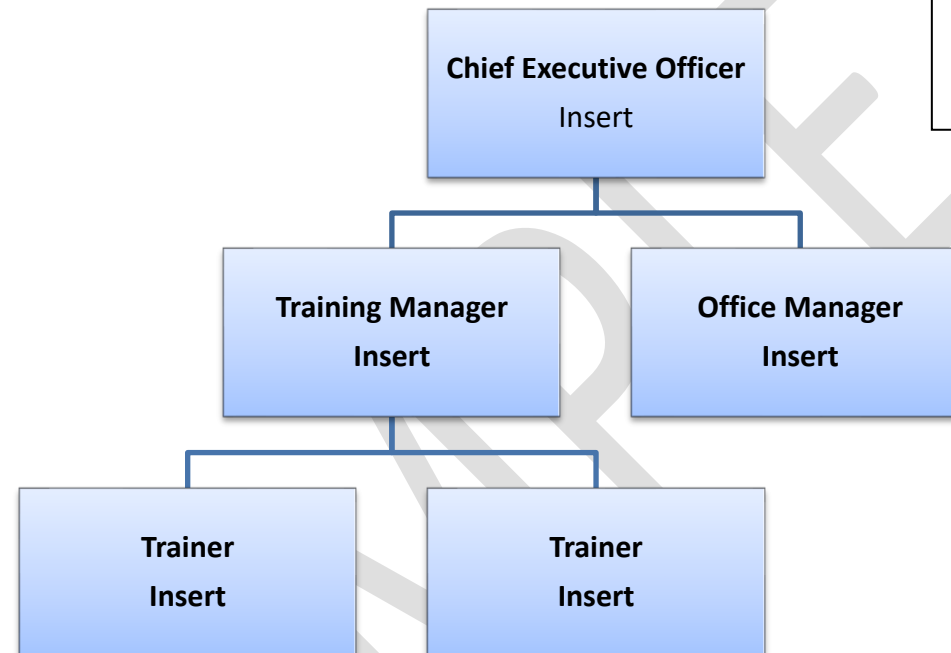
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Organisation Structure Diagram



Adjust this organisational structure diagram to represent your business structure.

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Duty Statements

Duty Statement – Chief Executive Officer

Role:

Adjust these duties statement to align with your organisational structure.

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The role of the Chief Executive Officer is to provide business and educational leadership to all learners within RTO Sample. The Chief Executive Officer is ultimately responsible for organisational governance and compliance.

Main duties

The Chief Executive Officer has the following duties and responsibilities:

- Maintain a systematic approach to the management of operations.
- Collect, analyse and act on relevant data for the continuous improvement of RTO Sample operations.
- Identify and analyse legislative and regulatory requirements.
- Personally, undertake all formal communication with ASQA.
- Manage arrangements to cooperate with ASQA in the conduct of regulatory audits, access to information, retention of records and in keeping registering authorities informed of changes to RTO Sample status.
- Perform duties in an ethical and professional manner that supports an inclusive environment that is free from discrimination and harassment.
- Respect the needs of each learner and make adjustment to administrative processes to accommodate the needs of individuals.
- Prepare and submit reports to ASQA. These reports will include AVETMISS reports, Quality Indicator Reports, training activity reports and others as directed.
- Maintain appropriate insurances to protect RTO Sample from loss and to protect learners and staff in case of injury caused during RTO Sample activities.
- Monitor training and assessment services to remain aware of the quality of services being delivered and the satisfaction of learners and employers.

Management Meetings

RTO Sample will conduct management meetings at least once per fortnight. The purpose of the management meeting is to coordinate the service delivery and governance arrangements of RTO Sample.

Attendance

The meeting is led by the CEO. The following personnel are to attend all management meetings:

- Chief Executive Officer
- Training Manager
- Office Manager
- Trainer

Adjust the frequency and agenda of this management meeting policy to align with your operation.

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Management Meeting Agenda

The following agenda is to be used as a guide for the conduct of management meetings:

1. Open the meeting
2. Welcome and apologies
3. Review minutes from previous meeting
4. Notices or communications received
5. Review training / assessment delivery issues
6. Review administration issues
7. Review compliance issues
8. Review continuous improvement actions
 - Discuss improvement actions currently being implemented
 - Discuss proposed continuous improvement actions
9. Review business development actions

Legislative Requirements

RTO Sample are subject to legislation related to training and assessment as well as general business practice. This legislation governs our obligations as a Registered Training Organisation, our obligations to learners, and relates to the industry in which we conduct training. This legislation is continually being updated and all RTO Sample representatives are made aware of these changes as they occur. Copies of State and Federal legislation can be found on the Internet at <http://www.australia.gov.au/information-and-services/public-safety-and-law/legislation/states-and-territories> (State) and www.comlaw.gov.au (Federal).

The legislation that particularly affects the delivery of our services includes:

Commonwealth legislation:

- *National Vocational Education and Training Regulator Act 2011*
- *Student Identifiers Act 2014*
- *Work Health and Safety Act. 2011*
- *Trade Practices Amendment (Australian Consumer Law) Act (No. 1 and 2) 2010*
- *Competition and Consumer Act 2010*
- *Age Discrimination Act 2004 (Cwth)*
- *Disability Discrimination Act 1992*
- *Disability Standards for Education 2005*
- *Racial Discrimination Act 1975*
- *Sex Discrimination Act 1984*
- *Privacy Act 1988 and Australian Privacy Principles (2014)*
- *Fair Work Act 2009*
- *Copyright Act 1968*

Customise according to the jurisdictions that you intend to operate.

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NSW legislation:

- *Work Health and Safety Act 2011*
- *Anti-Discrimination Act 1977*
- *Workplace Injury Management and Workers Compensation Act 1998*
- *Children and Young Persons (Care and Protection) Act 1998*
- *Disability Services Act 1993 & Disability Services Regulation 2003*
- *Privacy and Personal Information Protection Act 1998*
- *Fair Trading Act 1987*

Training Safety

RTO Sample is committed to the proper management of work health and safety. We will provide a safe and healthy workplace for our staff, learners, contractors and visitors by having a planned and systematic approach to the management of work health and safety. We will provide the necessary resources for the successful implementation of this policy and its supportive procedures. Work health and safety will be managed through RTO Sample management committee and in close consultation with staff, learners, contractors and visitors.

This training safety policy has been developed using the Australian/New Zealand Standard 4801:2001 Occupational Health and Safety Management Systems as a guide. The policy is not intended to cover the entire scope of situations which may arise in a workplace that relate to safety or hazards. RTO Sample recognises this and is committed to applying a continuous improvement approach to robust policy development.

The objectives of this policy are to ensure that:

- Hazards and risks to health and safety are systematically identified, assessed and, where they cannot be eliminated, are effectively controlled;
- Measures to control hazards and risks to health and safety are monitored and evaluated regularly;
- Staff are engaged and sought to contribute to work health and safety matters affecting their health and safety at work;
- Staff, learners, contractors and visitors receive appropriate information, training and supervision to understand and carry out their responsibilities safely.

Responsibilities

The CEO is responsible for:

- Providing a healthy and safe workplace for staff, learners, contractors and visitors;
- Ensuring that adequate resources are provided to meet the health and safety objectives and procedures of RTO Sample;
- Ensuring that RTO Sample complies with all relevant occupational health, safety legislation and standards;

Privacy Protection

RTO Sample is a Registered Training Organisation with responsibility for delivering vocational education and training. RTO Sample collects and stores personal information on our learners and industry clients. RTO Sample complies with the Privacy Act 1988 (Commonwealth). This policy describes how RTO Sample collects, manages, uses, discloses, protects, and disposes of personal information in accordance with the thirteen Australian Privacy Principles (APPs) outlined in Schedule 1 of the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

Definitions

Under the Privacy Act 1988 and Privacy Amendment (Enhancing Privacy Protection) Act 2012 (s6(1)), personal and sensitive information is defined as follows:

- Personal information: “information or an opinion about an identified individual, or an individual who is reasonably identifiable: (a) whether the information or opinion is true or not; and (b) whether the information or opinion is recorded in a material form or not.”
- Sensitive information: “(a) information or an opinion about an individual’s: (i) racial or ethnic origin, or (ii) political opinions, or (iii) membership of a political association, or (iv) religious beliefs or affiliations, or (v) philosophical beliefs, or (vi) membership of a professional or trade association, or (vii) membership of a trade union, or (viii) sexual preferences or practices, or (ix) criminal record, that is also personal information; or (b) health information about an individual; or (c) genetic information about an individual that is not otherwise health information; or (d) biometric information that is to be used for the purposes of automated biometric verification or biometric identification; or (e) biometric templates”.

Authority to collect and store information

RTO Sample is an approved Registered Training Organisation by the Australian Skills Quality Authority. This registration is issued under the authority of the National Vocational Education and Training Regulator Act 2011. This legislation requires RTO Sample to collect personal and sensitive information from its learners. This requirement is specified in the Data Provision Requirements 2012 which is one of five legislative instruments that RTO Sample must comply with as a condition of its registration.

The data provision requirements require RTO Sample to collect data from learners in accordance with the Australian Vocational Education and RTO Sample Information Statistical Standard (AVETMISS). This is a complex information standard that defines information about who the learner is, where the training is delivered and what they are studying. The Standards for Registered Training Organisations require RTO

Fees and Refunds

RTO Sample is entitled to charge fees for services provided to learners undertaking training and assessment that leads to a nationally recognised outcome. These charges are generally for items such as course materials, textbooks, learner services and training.

Fees payable

Fees are payable when a learner has received a confirmation of enrolment. Payment must be made prior to commencing training or within 5 days of enrolment. RTO Sample may discontinue training if fees are not paid in a timely manner. The current fees and charges for RTO Sample are published within the current schedule of fees and charges.

Adjust this fees and refund policy to align with your planned arrangements. Be sure to confirm alignment with your fee schedule and student handbook.

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Schedule of Fees and Charges

The Chief Executive officer is responsible for approving RTO Sample Schedule of Fees and Charges. The schedule of fees and charges is to include the following information:

- the total amount of all fees including course fees, administration fees, material fees and any other charges for enrolling in a training program;
- 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 RTO Sample to honour its commitment to deliver services and complete the training and/or assessment once the learner has commenced study;
- any discounts, fee reductions or exemptions available for multiple enrolments, concession card holders, continuing learners, group bookings etc;
- the fees and charges for additional services, including such items as issuance of a replacement qualification parchment or statement of results and the options available to learners who are deemed not yet competent on completion of training and assessment; and
- RTO Sample refund policy.

Issuing Certificates and Outcomes

It is a requirement of the Standards for Registered Training Organisations for RTO Sample to meet the following:

- Clause 3.1. The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package. This means that the learner has been assessed in accordance with the standards and if being issued a qualification has achieved the required units of competency as specified in the training package.
- Clause 3.2. All AQF certification documentation issued by an RTO meets the requirements of Schedule 5. This means that any certificate issued by RTO Sample is produced in the required format as specified in Schedule 5 and includes integrity mechanisms to prevent its fraudulent production.
- Clause 3.3. AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and providing all agreed fees the learner owes to the RTO have been paid.
- Clause 3.4. Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners. This means that RTO Sample must maintain an accurate register of all AQF outcomes it has issued and that current and past learners can access their records including obtaining a record of results or a re-issued certificate if this is requested by a learner.

To provide clarity throughout this policy and procedure, there are three types of AQF certificates that RTO Sample can issue. These are described below:

- **Statement of Attainment.** A statement of attainment recognises that one or more accredited units has been achieved. A statement of attainment is generally issued when the learner has achieved one or more units of competency during a course which included units of competency only. This may include a course such as first aid or may occur where the learner achieved one or more units of competency as part of an enrolment in a qualification-based course, but the learner did not achieve all of the units of competency to receive the full qualification. In these situations, a statement of attainment would be issued.
- **Qualification.** An AQF qualification is the result of a learner achieving all of the units of competency for a qualification outcome as specified in an endorsed industry training package or an accredited course. A qualification is a formal certification that a learner has achieved learning outcomes as described in the AQF. Technically, within the AQF a qualification is comprised of a testamur and a

Advertising and Marketing

RTO Sample will ensure that marketing and advertising of AQF qualifications to prospective learners is ethical, accurate and consistent with its scope of registration.

Critical with this requirement, is compliance with the conditions of use for the Nationally Recognised Training (NRT) logo. These conditions are specified within the Standards for Registered Training Organisations at Schedule 4.

All staff with responsibility to prepare advertising and marketing materials are to be fully conversant with the requirements detailed in this document.

Authorisation

All advertisements and marketing material must be approved by the Chief Executive Officer before it is released. No staff member of RTO Sample is authorised to approve the use of any advertisements or marketing material.

Advertisements and promotional information

The following guidelines are to be followed when preparing advertisements and promotional information.

RTO Sample must:

- include a direct reference to Australian Consumer Law;
- only advertise those qualifications or units of competency that are listed as current on the RTO Sample scope of registration;
- identify qualifications in advertising by their full code and title as they appear in the training package and not to represent these qualifications or units of competency in any other way;
- provide accurate information about the courses being advertised and the outcomes associated with those courses;
- provide accurate information about any work-based training a student is required to undertake as part of the course;
- provide accurate information about any prerequisites for entry to the course (including language literacy and numeracy requirements);

Records Retention and Management

At RTO Sample, we recognise our obligation to retain certain records from our delivery of training and assessment services to clients. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements. We are committed to retain records to ensure their accuracy and integrity.

For the purposes of this policy, records include:

- **AVETMISS Data.** AVETMISS stands for the Australian Vocational Education and Training Management Information Statistical Standard. It is a national data standard which ensures the consistency and accuracy of vocational education and training (VET) information and provides the data to meet the Total VET Activity data collections specified in the mandatory reporting policy. AVETMISS data include all the data collected during the enrolment process and the details of the training products in which the learner is enrolled and completes and details of training delivery locations and about RTO Sample. This data is entered into our student management system and will capture outcomes such as if the learner withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued credit transfer for current competency held. For the purposes of the requirement to retain records of AQF certification documentation issued for a period of 30 years specified within Schedule 5, Paragraph 4c of the Standards for Registered Training Organisations, the retention of the AVETMISS data is sufficient to meet this requirement.
- **Completed learner assessment items.** Completed learner assessment items include documents or other media where assessments evidence has been recorded by learners and assessment decisions are recorded by assessors. It may be a combination of completed assessment tools, templates, questionnaires, checklists, summary sheets, RPL tools, or records of assessment and feedback from assessors to learners. Assessment resources include all those items which substantiate the assessment decision made by an assessor. ASQA refer to these records as “*Completed student assessment items*”².
- **Assessment tools.** Assessment tools refer to the various templates, checklists and assessment records that RTO Sample uses over the term of its operations. This specifically refers to the retention of the versions (master copy) of tools used as opposed to retention of completed resources. The aim of retaining a record of versions used over time is to allow an appropriate record for future review. This

² ASQA General direction: Retention requirements for completed student assessment items, 22 June 2012

Email records and correspondence

In many cases, information relating to RTO Sample operation will be transmitted using electronic communication. It is important that this information is also retained and archived.

Any email record or correspondence which relates to training and assessment services provided by RTO Sample is to be copied or forwarded to a designated archive email address. This email database is to be backed up at least once weekly and a copy kept off-site in a secure location.

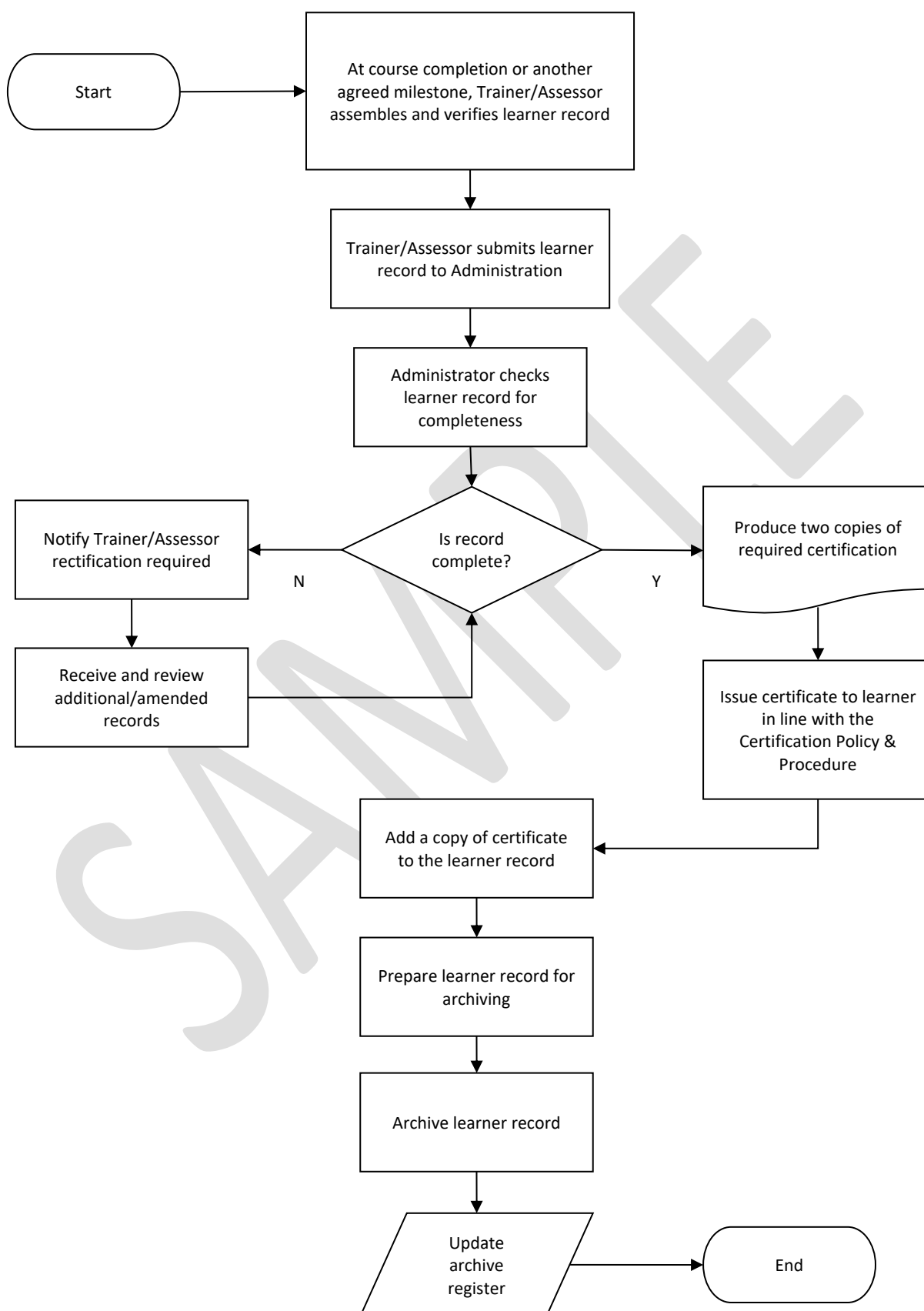
Unique Student Identifier

The *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. Any USI provided to RTO Sample by a learner must be **verified** with the USI Registrar. This may be achieved by inserting the USI into the Learner details within the student management system and changing the USI status to “Verify”. The student management system will verify any records with the USI Registrar with this status every 30 seconds. Once verified the status will have changed to “Valid”. If the status does not change to valid then one of the following learner details is incorrect:

- First name
- Last name
- Date of Birth
- The Unique Student Identifier

These are the only data elements used to verify a USI so if it does not verify then one of these elements is incorrect. A common error is the abbreviation of the learner’s name. The learner may have registered their USI with the first name of “Benjamin” but has completed the enrolment application form with the first name of “Ben”. The first name provided by the learner must align with the name they provided when they registered their USI.

- Learner Identifier details and all related documentation under the control of RTO Sample **must be kept secure**. This includes the information stored within the student management system. User profiles and password protections to the student management system are to be used to prevent any unauthorised access to USI information. Where RTO Sample assisted the learner to create their USI, additional details such as the learners Driver’s Licence information will have been collected and stored within the student management system - Document Verification System (DVS). Once the learner’s USI has been successfully created, these details within the DVS are automatically removed (deleted) from

Records Archiving and Completion Process

Reporting Obligations

Total VET Activity Reporting

RTO Sample is required to maintain the capability to provide AVETMISS compliant data reports to the NCVER on an annual basis. This requirement is specified in the [Data Provision Requirements 2012](#) and the [Total VET Activity Reporting](#) guide on the ASQA website, which explains the requirement for all RTOs to report their nationally recognised training data in accordance with the [National VET Provider Collection Policy](#). RTO Sample will meet this requirement by maintaining its activity data within the student management system.

National VET Provider Collections must be submitted to the National Centre for Vocational Education Research (NCVER) before the end of February each year. The activity report will relate to the previous calendar year. So, a report being made on 28th Feb 2019 will relate to the activity period of 1st Jan 2019 – 31st Dec 2019.

Activity reports including all NAT files are to be submitted to the [AVETMISS Validation Software](#). This system will report any data entry errors which must be corrected and then resubmitted. RTO Sample must be registered with the NCVER to use the AVETMISS Validation Software. This video explains how to use the AVETMISS Validation Software: [Click Here](#)

Please note that the report must include a full set of NAT Files produced from the student management system and must be in the current AVETMISS format which is currently AVETMISS 8.0 VET Provider Collection. The full set of NAT Files include:

- Training organisation (NAT00010) file
- Training organisation delivery location (NAT00020) file
- Program (NAT00030 and if applicable NAT00030A) file
- Subject (NAT00060) file
- Client (NAT00080) file
- Client postal details (NAT00085) file
- Disability (NAT00090) file
- Prior educational achievement (NAT00100) file
- Enrolment (NAT00120) file
- Program completed (NAT00130) file

General information about AVETMISS reporting can be accessed via the NCVER at the following link:

http://www.ncver.edu.au/content/cssfaqs.htm#about_avetmiss

Quality Indicator Reporting

Training Package Transition

At RTO Sample, we acknowledge our obligation to remain informed of changes to training packages and to establish transition arrangements for existing learners and those learners who may be enrolled during a transition period. Our obligation is underpinned by the Standards for Registered Training Organisations requiring RTOs to manage their scope of registration to transition from superseded Training Packages within 12 months of their publication on the national register in order to only deliver currently endorsed Training Packages and currently accredited courses.

Background

Like all things in the national training system, nationally endorsed training packages are amended from time to time under a continuous improvement approach to ensuring that training packages are aligned with industry requirements. In addition to these smaller changes, training packages can be entirely reviewed on a cyclic basis and this often leads to new versions being issued or new training packages being developed and released.

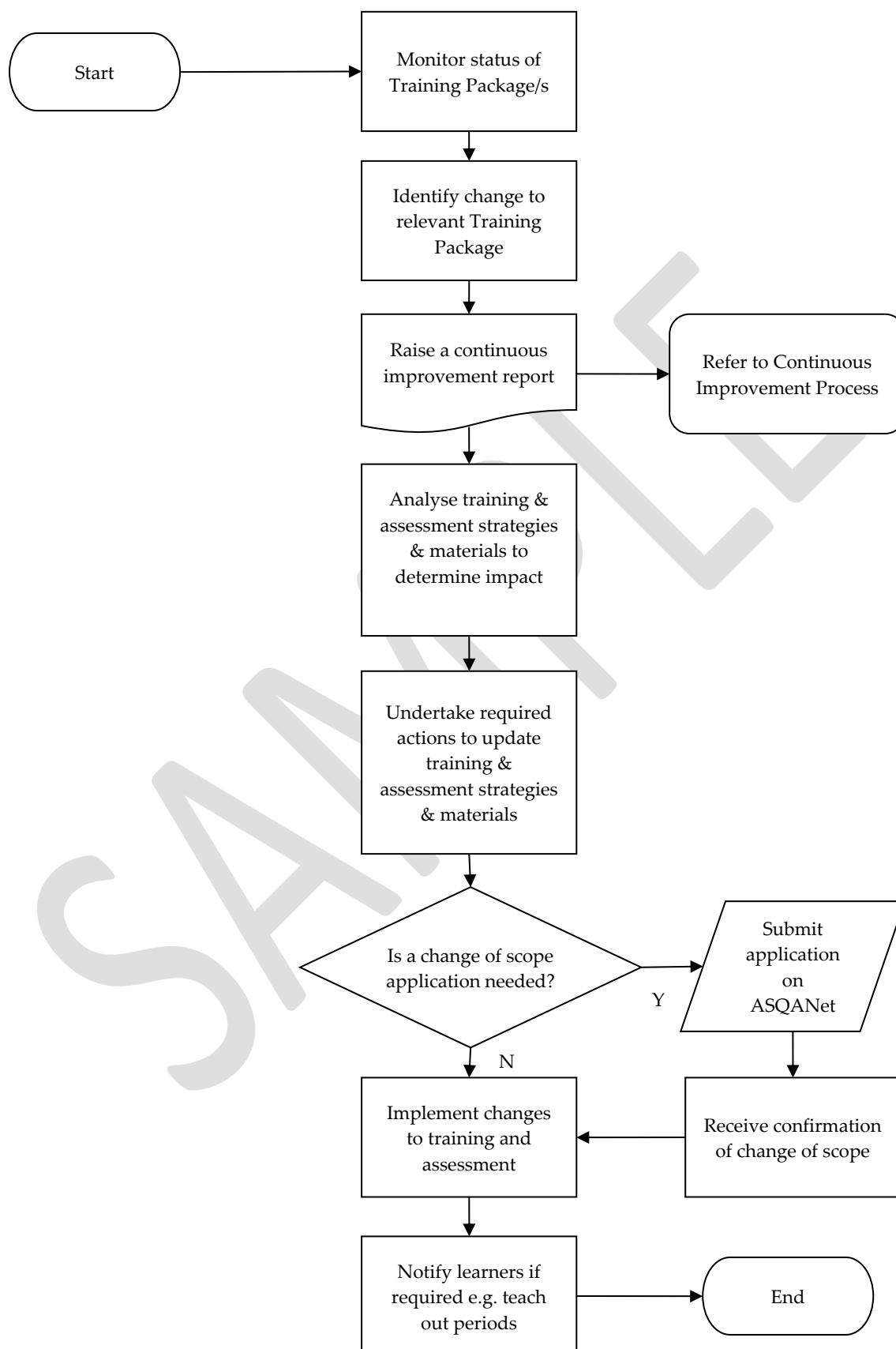
The impact of these changes can mean that qualifications and unit of competency codes and titles can change. Qualification issuing rules can change and units of competency that are superseded may or may not be equivalent. This will all happen at different times during a learner's enrolment and requires RTO Sample to manage the change process so that we comply with the Standards for Registered Training Organisations and ensure that our learners are not disadvantaged by these changes.

New training packages are published and released using the National Training Register (training.gov.au). It is the date of release that marks the date for subsequent transition arrangements which are covered in this policy.

Aim

The aim of this policy is to ensure RTO Sample is delivering the most current outcomes to learners and to ensure RTO Sample actively manage its scope of registration.

Training Package Transition Process



Interaction with the National VET Regulator

The Australian Skills Quality Authority (ASQA) is the National VET Regulator is established under the National Vocational Education and Training Regulator Act 2011. RTO Sample is registered by ASQA and therefore must comply with requirements set down by ASQA under the VET Quality Framework. The VET Quality Framework is a set of legislative instruments which are empowered under the National Vocational Education and Training Regulator Act 2011. These instruments set the rules by which RTO Sample must operate. Much of the policy within these policies and procedures are framed by the requirement of the VET Quality Framework and directly influence the method of operation of RTO Sample. The following are the legislative instruments that comprise the VET Quality Framework:

- Standards for Registered Training Organisations (RTOs) 2015
- Fit and Proper Person Requirements
- Financial Viability Risk Assessment Requirements
- Data Provision Requirements 2012
- Australian Qualifications Framework, Second Edition 2013

The following page on the ASQA website provides a summary of these legislative requirements and links to access the documents themselves [Click](#)

It is an important requirement that RTO Sample establish arrangements to ensure appropriate cooperation and interaction with ASQA to comply with the VET Quality Framework. The CEO is the person responsible under the legislation to coordinate arrangements to achieve this. The includes keeping ASQA informed of material or significant changes to RTO Sample operations.

The following actions are to be applied to ensure RTO Sample cooperates with ASQA requirements:

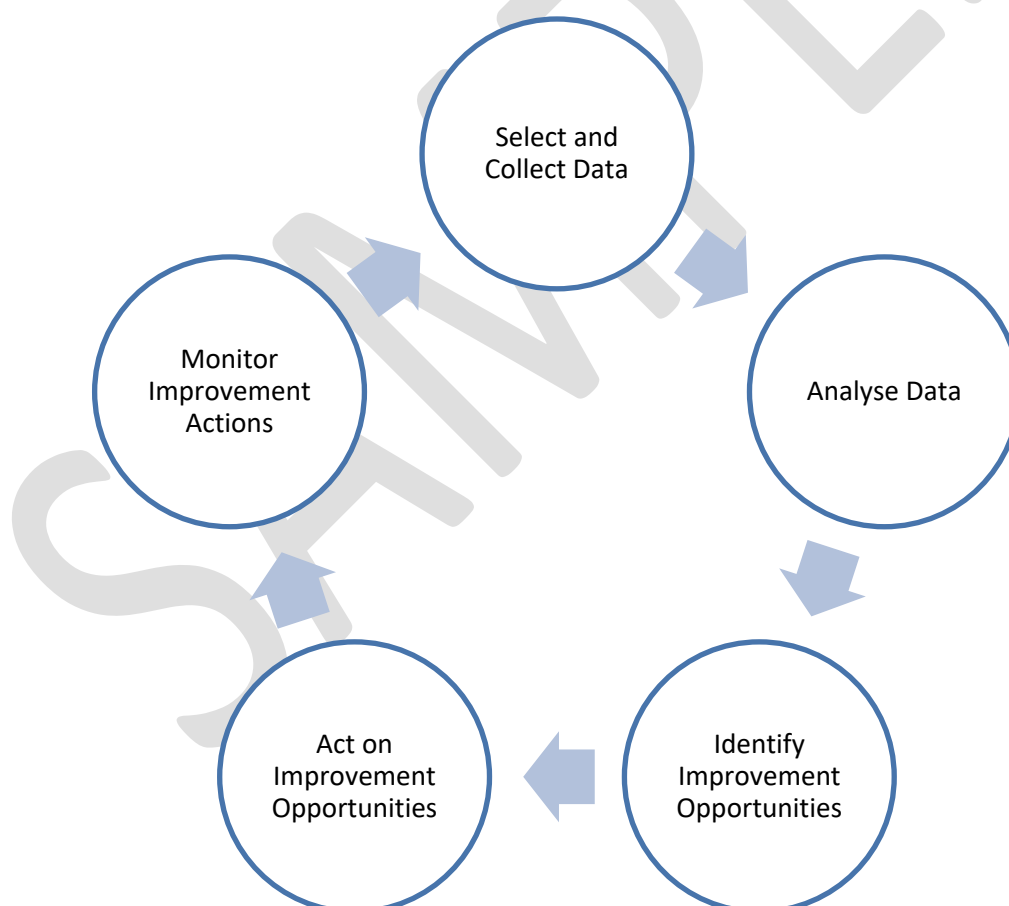
- **Audits and the monitoring of its operations.** The CEO shall act as the designated point of contact during ASQA audits and monitoring activities. The CEO is to coordinate the preparation for external audits and ensure all documentary evidence and access to staff is provided to support the conduct of the audit. The CEO shall also coordinate the response to any request for information or corrective action as a result of a compliance audit. The following audit guide is recommended to help understand the requirements during an ASQA audit and provides tips on what to prepare: [Click](#)

Continuous Improvement

RTO Sample is committed to the continuous improvement of our training and assessment services, learner services and our administrative management systems. Central to this commitment is this policy which outlines our approach to continuous improvement and the procedures we apply to achieve systematic and sustained improvement.

Systematic Approach

RTO Sample applies a systematic approach to support continuous improvement. The following graphic shows the systematic process we apply to collect data that exposes opportunities for improvement, the step to review these and agree on the actions to take and how this then feeds into our current operation with ongoing monitoring:



Industry Engagement

At RTO Sample we recognise that engagement with industry representatives is critically important to developing training and assessment strategies and resources that accurately reflect the needs of industry and the expectation of employees.

Standards for Registered Training Organisations require that RTO Sample's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

That RTO Sample implements a range of strategies for industry engagement and systematically uses the outcomes of industry engagement to ensure the industry relevance of:

- its training and assessment strategies, practices and resources; and
- the current industry skills of its trainers and assessors

To achieve this requirement, we will apply a number of ways to seek industry feedback on the appropriateness of training and assessment strategies and resources. These include:

- **Industry engagement workshop.** Industry engagement workshops are opportunities to invite employers and other industry representatives to a workshop where training and assessment strategies are presented and discussed. We will also use these opportunities to review a number of resources which typify the intent of the delivery and assessment methods. The outcomes of these opportunities are to be recorded in the form of minutes to enable actions to occur and as a point of reference for future activities. Identified opportunities will be recorded in the RTO Sample Continuous Improvement Report.
- **Employer survey.** Employer surveys are part of the QMS. They are used to collect quantitative data on the employer's observations of the performance of their employees and training conditions. The results from surveys are stored in the employer survey database. This software platform also provides a means of recording the determined scale of performance indicators. This report is used by the Quality Management Team.
- **Direct industry engagement.** We will also undertake direct industry engagement. This involves making time to visit a representative selection of employers in their workplace. It will usually involve an interview and a joint review of a resource or strategy with the employer. This may be undertaken by our trainers, assessors or management representatives. The outcomes of direct engagement are to be recorded onto an Industry Engagement Questionnaire. This form records actions to be taken by us

Adjust these industry engagement strategies to reflect how your organisation will engage with industry. You will need evidence to demonstrate that you apply these strategies.

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Complaint Handling Policy

RTO Sample is committed to providing a fair and transparent complaint handling process.

What is a complaint?

A complaint is generally negative feedback about services or people which has not been resolved locally.

Who does this policy apply to?

This policy applies to and may involve issues concerning the conduct of:

- RTO Sample as an organisation, it's trainers, assessors or other staff;
- Third party services provided on behalf of RTO Sample, its trainers, assessors or other staff; or
- A learner of RTO Sample

This is an important point to note in understanding that this policy has a broad application and is not simply relevant to complaints that may be made by learners. A complaint may be made by an employer about RTO Sample or by the trainer about the conduct of the learner. Throughout this policy we refer to the person making a complaint as simply the complainant.

Early Resolution of Complaints

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It is often the case that complaints can be avoided by proper communication and respect between persons involved.

Relationship to Continuous Improvement

Frequently, the complaints handling process will explore weakness in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of complaints handling is very positive and should be actively applied by all persons involved. It is for this reason that complaints received from stakeholders should be seen in a positive light and as opportunities for improvement.

Making a Complaint

A complaint may be received by RTO Sample in any form and does not need to be formally documented by the complainant in order to be acted on. Complaints may be made by any person.

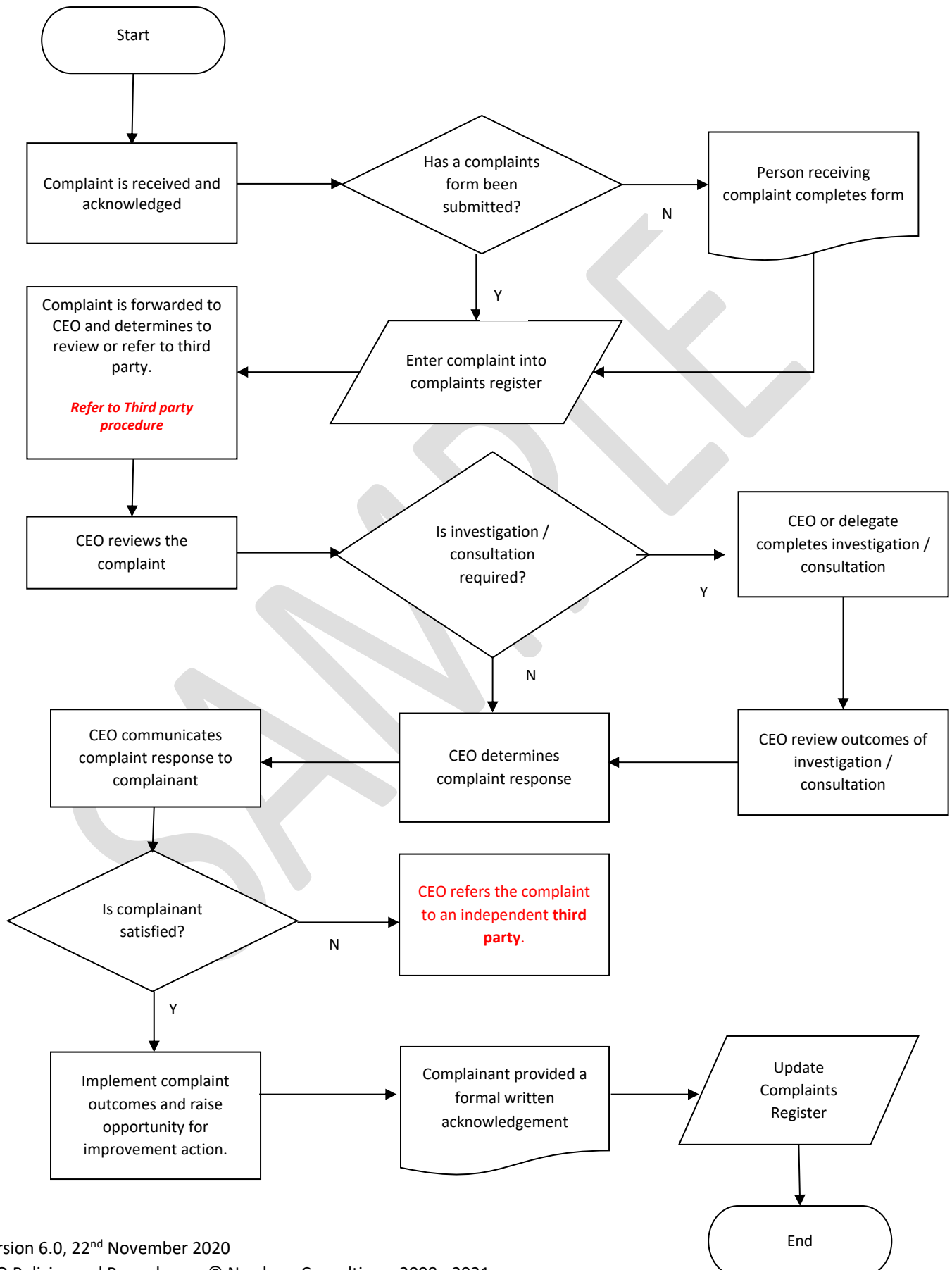
Complaint Handling Timeframe

- Written acknowledgement by RTO Sample **no later than 24 hours** from the time the complaint is received. This acknowledgement is intended to provide the complainant assurance that RTO Sample has received the complaint and will review the relevant issues and provide a response as soon as practical. The acknowledgement must inform the person that they will receive a written response.
- The handling of a complaint is to commence within **seven (7) working days** of the lodgement of the complaint and all reasonable measures are taken to finalise the process as soon as practicable.
- A written response must be provided to the complainant within **fourteen (14) working days** of the lodgement of the complaint.
- As a benchmark, RTO Sample should attempt to resolve complaints as soon as possible. A timeframe to resolve a complaint within **thirty (30) calendar days** is considered acceptable and in the best interest of RTO Sample and the complainant.
- A complainant should also be provided with regular updates to inform them of the process of the complaint handling. Updates should be provided to the complainant at a minimum of **two (2) weekly intervals**.
- Complaints must be resolved to a final outcome within **sixty (60) calendar days** of the complaint being initially received. Where RTO Sample Chief Executive Officer considers that more than 60 calendar days are required to process and finalise the complaint, the CEO must inform the complainant in writing, including reasons why more than 60 calendar days are required.

Principles of Natural Justice and Procedural Fairness

A complainant is to be provided an opportunity to formally present his or her case at no cost. The principles of Natural Justice and Procedural Fairness must be incorporated into the complaint handling process to ensure that decision-making is fair and reasonable. Natural justice must be observed when it affects the rights, interests or legitimate expectations of individuals. The following principles are to be applied:

Complaints Handling Process



Appeals Handling Policy

RTO Sample is committed to providing a fair and transparent appeals handling process.

What is an Appeal?

An appeal is an application by a learner for reconsideration of an unfavourable decision or finding during their time with RTO Sample. An appeal must be made in writing and specify the particulars of the decision or finding in dispute. Appeals must be lodged within twenty-eight (28) working days of the decision or finding being informed to the learner.

It is important to note that a learner may appeal any decision made by RTO Sample or a third-party providing services on RTO Sample's behalf. Contrary to the popular belief that appeal relates only to assessment decisions, appeals can relate to administrative decisions that RTO Sample may make. Examples of this include an appeal of a decision to deny a refund or to deny an application for credit transfer. As the process for handling assessment appeal compared with an appeal of an administrative decision is slightly different, this difference has been catered for within this policy with adjusted processes for both situations.

Who does this policy apply to?

This policy applies to and may involve issues concerning the conduct of:

- RTO Sample as an organisation, its trainers, assessors or other staff;
- Third party services provided on behalf of RTO Sample, its trainers, assessors or other staff; or
- A learner of RTO Sample

Throughout this policy we refer to the person making an appeal as simply the appellant.

Early Resolution of Appeals

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It is often the case that the learner's decision to make an appeal can be avoided by proper communication and consultation with learners at the time a decision is made.

Learner Enrolment and Completion

At RTO Sample our approach to enrolment and induction is to provide a pathway for learners to make informed decisions about their training and assessment and enter a training pathway that is the right for the learner and their current or future employer.

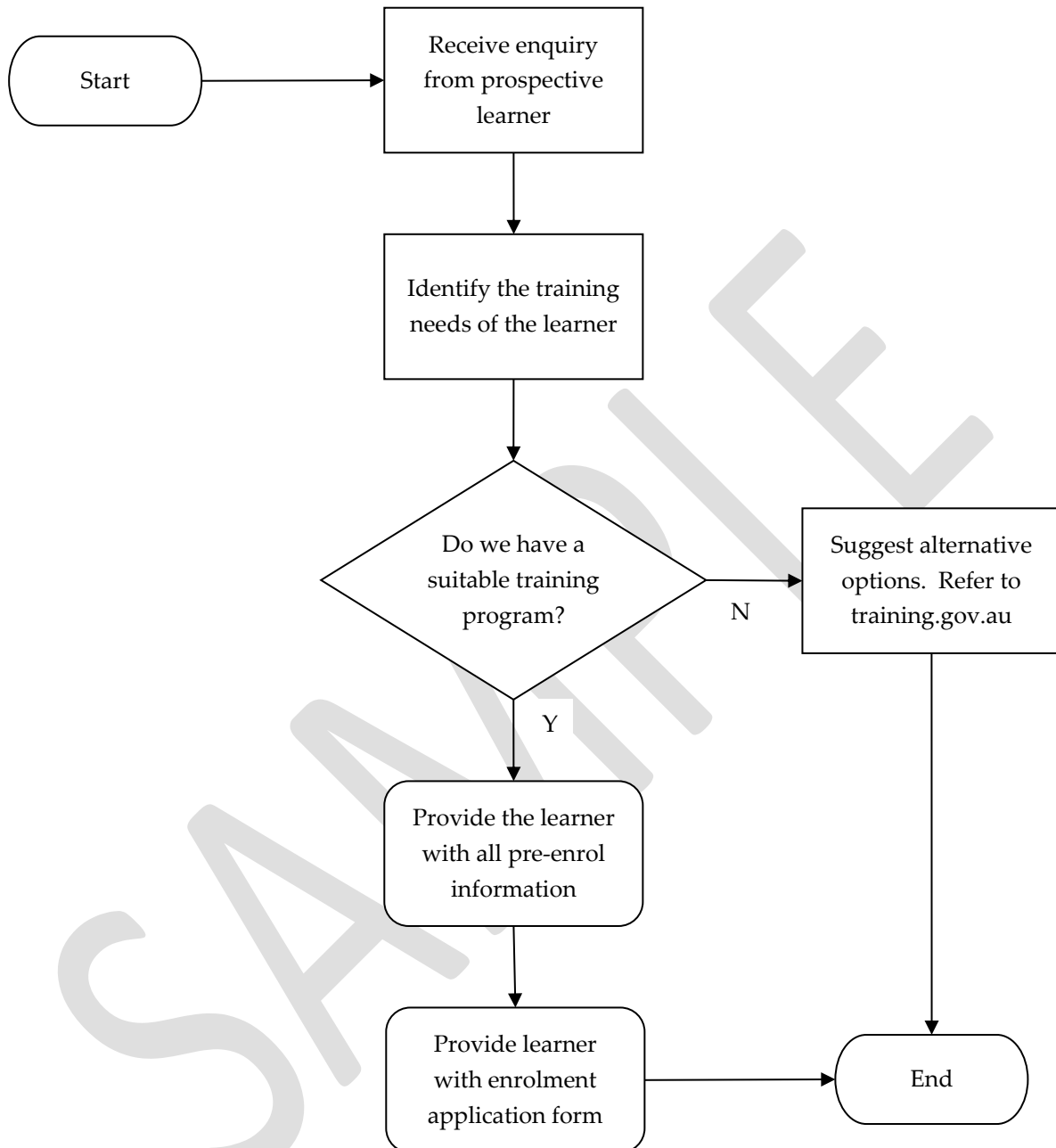
Identifying Learner Needs

We strive to identify a learner's needs during the enrolment process to ensure that our services to each individual learner are appropriately adjusted to allow for their unique requirements.

To achieve this, we will:

- Provide persons making an enquiry with accurate and ethical marketing and pre-enrolment information that enables them to make confident and suitable decisions about selected training programs;
- Conduct a one-on-one enrolment interview either face-to-face or over the telephone to individually assess the persons needs and circumstances and provide them information about their rights and obligations;
- Provide information about special requirements for their desired training program and pathways to obtain these;
- Provide information about the occupational outcomes produced by their selected program and discuss how these align with their occupational goals and aspirations;
- Validate that applicants meet the entry requirements for their selected program to ensure that they have the greatest opportunity for success and completing the course;
- Determine if the applicant has the required access to information technology including modern computer systems and access to the internet if applicable;
- Determine that the applicant has any need for reasonable adjustment at the point of enrolment to allow training programs to be suitably adjusted;
- Ensure there are no unnecessary barriers for persons to participate in the training program of their choice;
- Provide comprehensive administrative support that allows the applicant to complete enrolment efficiently and commence training at an agreed time and place; and

Initial Contact Process



Learner Support Services

During the enrolment process RTO Sample personnel will engage with a prospective learner in a number of ways in order to understand their individual needs and how we can best provide services to each learner in order to maximise their chances of successfully completing the selected training program. We engage with learners in the following ways:

- **First Point of Contact.** During the first point of contact, the learner will be engaged either over the phone or in person to determine their training requirements and their vocational goal. This information will be used to align the learner with a particular program that we offer or to refer the learner to a different training organisation. Following the first point of contact, the learner sent an enrolment package which includes the enrolment form to gather personal information about the learner.
- **Enrolment form.** Enrolment form includes specific questions for the learner in regard to their cultural and educational background. Enrolment form also includes questions relating to their spoken English ability and their skill in literacy and numeracy. There is also a specific question which asks the learner if they have any individual needs that may prevent their full participation in the training program. This information is gathered and considered during the enrolment interview.
- **Enrolment interview.** Once the enrolment form is received, RTO Sample personnel will review the information and arrange to engage with the learner to undertake the enrolment interview. This interview may be undertaken over the phone or face to face and is supported by an enrolment interview for which provides specific points for discussion during the interview relating to individual needs, LLN, rights and obligations, recognition opportunity, et cetera.

This multipoint approach ensures that learners entering a training program with RTO Sample will have their individual needs identified which enables the allocation and arrangement for the applicable support services which may be supplied internally or by an external provider

Core Skills Support

Core skills are critical to almost all areas of work. This is particularly true in many vocations where language, literacy and numeracy skills influence the performance of workplace tasks such as comprehending written work instructions and producing written documents. The Australian Core Skills Framework (ACSF) describes each of the five core skills of learning, reading, writing, oral communication and numeracy. Staff not familiar with the ACSF are recommended to study the information available at the following two sites:

<https://www.education.gov.au/australian-core-skills-framework>

www.precisionconsultancy.com.au/acs_framework

Research has indicated that many adult learners do not have the language, literacy and numeracy skills they need to effectively participate in vocational education and training. The increasing importance of core skills such as communication in the workplace highlights the need for underpinning language, literacy and numeracy skills.

To support this approach RTO Sample will:

- Assess a learner's core skills during their enrolment on an as needed basis to ensure they have adequate skills to complete the training;
- Support learners during their study with training and assessment materials and strategies that are easily understood and suitable to the level of the workplace skills being delivered;
- Provide clear information to learners about the detail of the core skills assistance available;
- Refer learners to external language, literacy and numeracy support services that are beyond the support available within RTO Sample and where this level of support is assessed as necessary; and
- Negotiate an extension of time and other support arrangements to assist learners to complete training programs if necessary.

Core skills assessment

The following procedure is to be followed in order to assess a learner's core skills:

- **Initial assessment.** When completing the enrolment form, the prospective learners is asked: Do you consider that you have the literacy and numeracy skills to undertake the course? The learner is then required to complete an initial core skills assessment. This information is reviewed to

Credit Transfer

RTO Sample acknowledges the requirement as a Registered Training Organisation to recognise the awards issued by other RTOs. This is limited to outcomes that are drawn from the national skills framework being units of competency awarded and accurately identified in statements of attainment and qualifications.

What is credit transfer?

Credit transfer (also referred to as national recognition or universal recognition) is the recognition of learning achieved through formal education and training. Under the Standards for Registered Training Organisations, qualifications and statements of attainment issued by any RTO are to be accepted and recognised by all other RTOs. Credit transfer allows the unit of competency previously achieved by a learner to be recognised when they are enrolling in a related course where those units can assist them in meeting the requirements for a qualification. It is important to note that **credit transfer is not recognition of prior learning (RPL)**. RPL is assessment and is addressed within the Recognition policy.

When unit codes and titles are different

If credit transfer is being sought for a unit of competency which has a different title or code, then it is necessary to establish the equivalence status between the unit held and the unit being sought. In many cases this information can be found in the mapping guide published on the National Training Register www.training.gov.au. Our administrative staff will obtain this information and validate claims of equivalence. Administrative staff should note that the mapping notes within the National Training Register are sometimes very clear and in general will use language such as “Not equivalent” or “Is superseded by and is equivalent to”. In some cases, there will appear to be no direction, and this may be because the unit is new and has no previous version of the unit. In some cases, it will say words to the effect: “Is superseded by:” without any clarification about the equivalence status. In these cases, the new unit should be considered as not equivalent. If in doubt, admin staff are to seek the advice of the Chief Executive Officer or the related industry skills council.

If there is no mapping available, the unit is deemed not equivalent then we are not to recognise the unit through credit transfer. In these circumstances, the applicant should be referred for RPL in accordance with our Recognition policies and procedures. Under no circumstances is a comparison between units to be used as the basis for issuing credit transfer. If the skills council has not determined it to be equivalent, then it is not. Subjective comparisons by the RTO are not valid.

Evidence requirements

An applicant will be required to present his or her statement of attainment or qualification for examination by RTO Sample. These documents will provide the detail of what units of competency the applicant has been previously issued. Applicants must provide satisfactory evidence that the statement

Assessment

At RTO Sample, we recognise that assessment is a core service offered to our learners (candidates) and is at the centre of our operation as a Registered Training Organisation. Quality assessment ensures that the skills and knowledge of candidates are assessed using four principal determinants:

- That assessment decisions are based on the assessment of skills and knowledge compared with units of competency drawn from nationally endorsed Training Packages or accredited courses.
- That the target industry or enterprise requirements are contextualised and integrated within the assessment.
- That evidence is gathered that meets the rules of evidence.
- That assessment is conducted in accordance with the principles of assessment.

Assessing the Unit of Competency

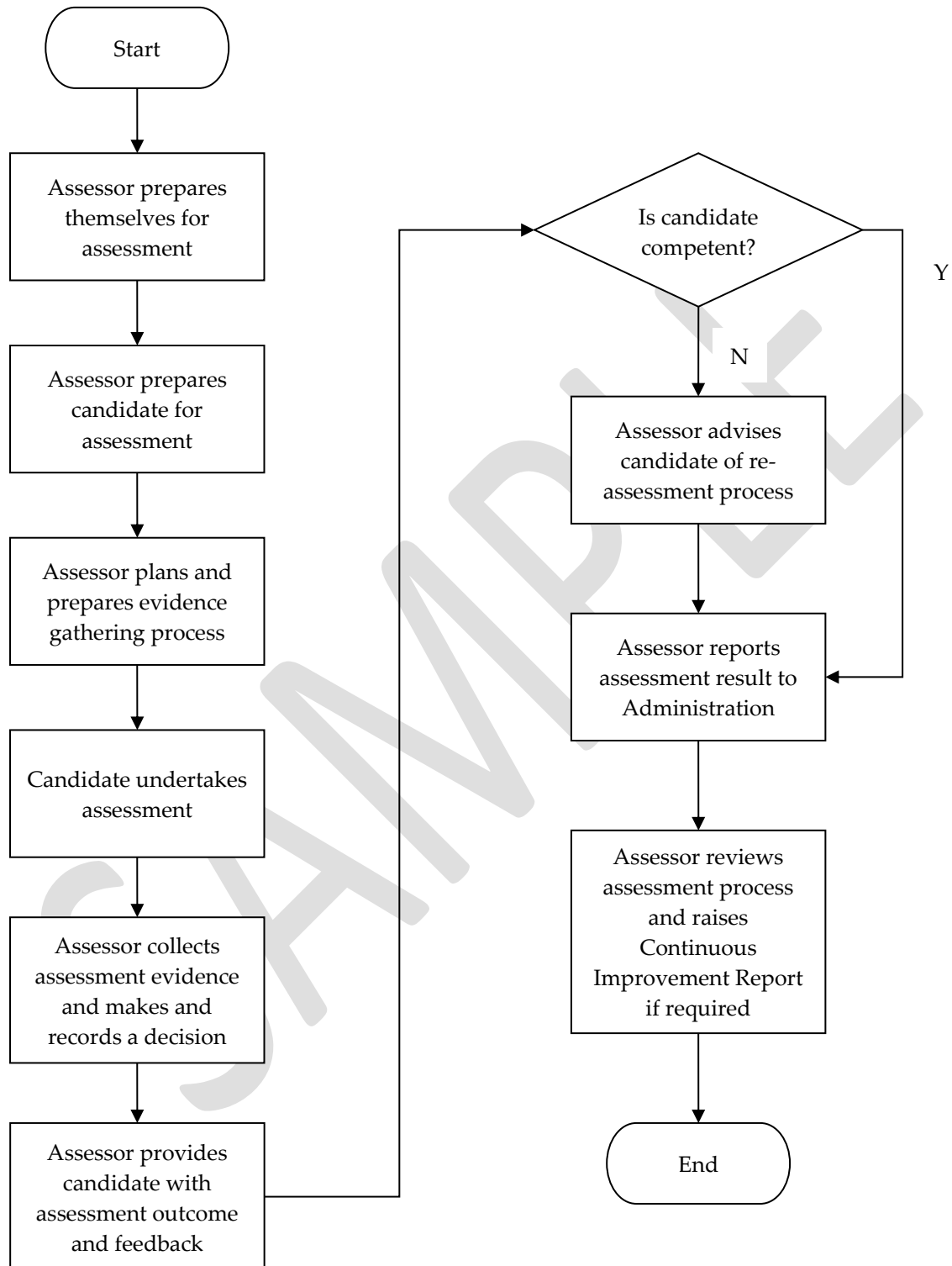
RTO Sample uses units of competency drawn from nationally endorsed Training Packages as the primary benchmark for assessment. Supporting these sometimes are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.

In order to identify the precise assessment criteria, we apply a methodology of unpacking a unit of competency in order to assess the full scope of the unit including elements of competence, performance evidence, knowledge evidence and the requirements of the evidence conditions. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package and are valid. To ensure alignment with all components of a unit of competency, unit mapping must be undertaken during the design and development of assessment. Unit mapping must also be undertaken when carrying out assessment validation.

Unit mapping will show the relationship between the planned assessment activities and each component of the unit. This must be conducted at a micro level of detail to allow the mapping to be useful later on as a reference to demonstrate the validity of the assessment. An assessment mapping document is available for this purpose.

Assessment context

RTO Sample recognises the importance of establishing the right context for candidates during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. This may be a workplace such as an office setting or a manufacturing workshop. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo

Assessment Process

Assessment Quality Control

RTO Sample must comply with various obligations in the National Quality Framework requiring it to ensure that any competency issued to the learner is justified and can be verified. These obligations are principally specified within the following regulatory requirements:

- Standards for Registered Training Organisations (RTOs) 2015, Clause 1.8, the RTO must ensure that the assessment evidence being used in support of competency decisions complies with the rules of evidence of validity, sufficiency, authenticity and currency.
- Standards for Registered Training Organisations (RTOs) 2015, Clause 3.1, the RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package.
- NVR General Direction - Retention requirements for completed student assessment items, 22 June 2012, the RTO retains the completed student assessment items including the actual piece(s) of work completed by a student or evidence of that work. The retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required.

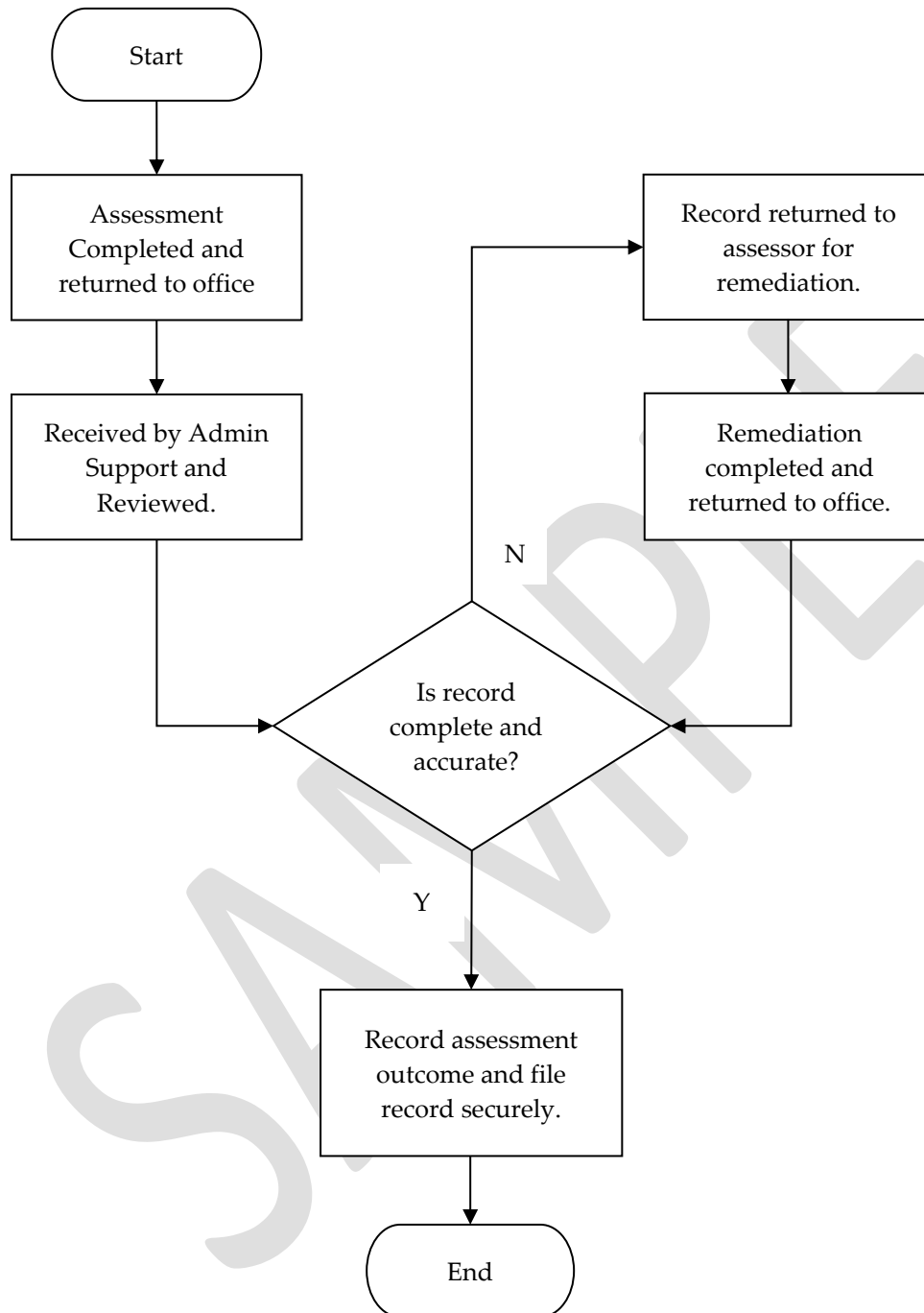
These obligations mean that RTO Sample must put in place appropriate procedures and quality control arrangements in support of finalising and reporting assessment results. These procedures will be carried out by assessors who are completing assessment and finalising assessment documentation and by administrative support personnel who will receive completed assessment records, undertake a quality check, input results and file assessment records. This procedure describes the responsibilities of both parties who must work collaboratively together to ensure that RTO Sample is complying with its obligations and can have confidence in the assessment outcomes being issued to learners.

Assessment completion and submission

The trainer / assessor is responsible for completing assessment and submitting these for reporting. To support the assessment quality control process, the trainer and assessor is to comply with the following:

- Completed assessment records must be returned to the office and received by administrative support no later than **five days** after the date on which the assessment was conducted.
- The complete assessment record and evidence must be submitted for each assessment that is undertaken. This must include all completed assessment records and all work that was submitted by the candidate for assessment. Other than the assessment record itself, this will include items such as completed written knowledge assessments, project submissions, portfolio submissions, case study responses, completed workplace documents, et cetera. It is critical that

Assessment Quality Control Process



Recognition

In accordance with the requirements of the Standards for Registered Training Organisations, RTO Sample provides the opportunity for learners to apply to have prior learning recognised toward a qualification or units of competency for which they are enrolled.

Recognition generally takes two forms: recognition of prior learning, which is the focus of this policy, and credit transfer which is dealt with in the Credit Transfer section of this manual. For the purposes of this policy, recognition of prior learning will be referred to simply as recognition.

What is recognition?

Recognition involves the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. Recognition assesses this unrecognised learning against the requirements of a unit of competency, in respect of both entry requirements and outcomes to be achieved. By removing the need for duplication of learning, recognition encourages an individual to continue upgrading their skills and knowledge through structured education and training towards formal qualifications and improved employment outcomes.⁵ This has benefits for the individual and industry. Most importantly, it should be noted that recognition is just another form of assessment and requires the same application of policy and procedures outlined in the Assessment section of this manual.

Recognition guidelines

The following guidelines are to be followed when an application for recognition is received:

- Any learner is entitled to apply for recognition in a course or qualification in which they are currently enrolled.
- Learners may not apply for recognition for units of competency or qualification which are not included in RTO Sample's scope of registration.
- Whilst learners may apply for recognition at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the learner down a more efficient path to competence.

⁵ Australian Qualifications Framework (AQF) Advisory Board, 2004

Assessment Validation

Assessment validation is a quality review process designed to check that the assessment process is resulting in assessment in accordance with the rules of evidence, the principles of assessment and aligns with the requirements of the training package. The Assessment Validation model utilised at RTO Sample is adapted from the publication *Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, NCVER, 2002*. This relies on the review of quantitative data and qualitative based questions framed around the principles of assessment and the rules of evidence to examine how assessment for a particular unit is occurring.

The Standards for Registered Training Organisations specify that assessment validation includes reviewing a statistically valid sample of the assessments. This implies that validation is being conducted after a period of implementation of assessment and that the review is based on actual completed assessments. This aligns with identifying assessment validation as a quality review process which is the monitoring of an activity which is ongoing as opposed to a quality control process which examines something before its release or implementation. This is an important facet of the model adopted in this policy and the requirements of the RTO Standards. We are not just validating the arrangements for assessment, but, are validating the actual conduct of assessment and the outcomes being produced.

Definitions

Throughout this policy and procedure, the following definitions apply:

- **Assessment Judgement.** Assessment judgement is the judgement to make a student competent in a unit of competency and in the context of this policy informs the process of determining a statistically valid sample size.
- **Assessment Tool.** An assessment tool includes information and templates to communicate the context and conditions of assessment, tasks to be administered to the candidate, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of their performance (i.e. the assessment decision-making rules). The assessment tools will also set the procedure for the administration, recording and reporting requirements following the completion of the assessment.⁶

⁶ Guide—Developing assessment tools, ASQA, 1 April 2015

Conducting Assessment Validation

The assessment validation activities may be conducted using teleconference or conducted face-to-face. Ideally, these activities are conducted face-to-face to enable better interaction and discussion.

Participants will gather for the assessment validation where the lead validator will provide an outline of the approach being taken and of the process to be followed. The lead validator will issue each participant and themselves with the assessment tools and resources and an equal number of sampled completed student assessment items. The lead validator will brief the participants on the use of the assessment validation tool and the criteria which comprise the tool and need to be responded to.

At the beginning of the activity, each participant should be allocated an hour or so to individually review the assessment tools and resources, the training and assessment strategy and their allocated sample of completed student assessment items relevant to the training product being validated. During this time each participant will make their own notes against the criteria within the assessment validation tool. Whilst this is a time for individual review, it is acceptable for participants to ask each other questions and exchange views about the assessment and the evidence they are reviewing. At the end of this initial time it is expected that each participant will have formed their own views and recorded their notes within an assessment validation tool and be ready to contribute to a group discussion.

The assessment validation team must determine whether the assessment sample is valid, reliable, sufficient, current and authentic. The assessment validation checklist tool is to be used by RTO Sample and validators. The assessment validation checklist identifies whether the assessment:

- is compliant with training product requirements
- adheres to the principles of assessment; fairness, flexibility, validity and reliability
- produces valid, sufficient, authentic and current evidence
- meets industry requirements and reflects real work-based environments
- assesses the right level of difficulty aligned with the skills and knowledge requirements of the unit of competency
- includes assessment instructions are clearly explained, logically structured
- provides adequate benchmarks for assessment
- identifies areas for improvement

Staff Induction Policy

At RTO Sample, we are committed to meeting our obligations under legislation as an employer and ensuring that staff are appropriately inducted and given the organisational knowledge to perform their duties.

Aims

The aim of this policy is to:

- Ensure that all staff receive timely and appropriate information, instruction and training to commence their duties;
- Ensure that all staff receive information to enable them to understand our policy and procedure particularly with regard to training operations;
- Ensure that all staff are aware of relevant employment and other administrative procedures;
- Ensure that staff details are accurately recorded by us including certification of required qualifications and credentials;
- Ensure that all staff receive adequate and appropriate support during their preparation to undertake their duties.

Responsibilities

The following personnel are responsible for the application of this policy:

- The Chief Executive Officer is to provide adequate induction programs and procedures which achieve the aims of this policy and which foster cohesion and a productive work environment.
- Supervisors are to implement induction programs and procedures and work closely with staff to ensure that they are prepared for their duties in accordance with the aims of this policy. Supervisors are to monitor the induction of new staff members and report progress and finalisation of induction.
- Current staff members are to actively engage with new employees to guide their induction and to provide support during their transition to their new duties. Current staff members play an important function in the peer support component of professional development particularly as it relates to our own approach to training and assessment.
- New staff members are to actively participate in induction programs and procedures and seek out information rather than waiting for it to be provided to them. Active participation includes reviewing

Trainer Competency Requirements

Competency is defined as an individual's 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 environments⁹.

In accordance with the Standards for Registered Training Organisations trainers and assessors employed by RTO Sample are required to meet specific competency requirements to deliver training and assessment services as a Registered Training Organisation. It is summarised here to provide clarity on the preferred approach to this requirement by RTO Sample.

Vocational Competency

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. In determining requirements for vocational competency, RTO Sample will have regard to Training Packages which include advice specific to the industry related to the vocational competencies of trainers and assessors. RTO Sample will also have regard to information collected during industry engagement activities that inform the current industry skills required of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing.

RTO Sample require that training and assessment is delivered only by persons who have:

- Vocational competencies at least to the level being delivered and assessed. This means that they either hold the actual unit of competency or hold an equivalent unit of competency.
- If the nominated trainer does not hold the actual or an equivalent unit of competency then they may provide other supporting evidence to demonstrate their competency to the level being delivered and assessed. This other evidence should be presented like an RPL application and should overwhelmingly demonstrate the trainer's competency. Evidence may include certified copies of higher or related qualification or statements of attainment, work samples, employer references, resume, referees contact, etc. It must be very clear from the presented evidence that the trainer is competent in each and every unit of competency they are delivering.

Training and Assessment Competency

⁹ Standards for Registered Training Organisations 2015

Trainer Currency and Professional Development

It is a requirement as a Registered Training Organisation to provide for the continued professional development of staff members. Specifically, RTO Sample is required to apply systems to maintain and develop the professional competence of trainers and assessors and training support personnel. This includes ensuring that staff maintain the currency of their knowledge and skills relevant to the training and assessment being delivered or the role they perform. This requirement has three specified components:

- Continued development of their vocational competence (i.e. trade / industry skills and knowledge);
- Continued development of their training and assessment competence (if applicable to role); and
- Continued development of their awareness of applicable legislative and enterprise requirements.

To achieve this, RTO Sample will implement professional development in two strategies:

- Individual professional development, and
- Collective professional development.

Aim

The aim of this policy is to:

- Provide support for career advancement, so that we will retain staff who perform well;
- Prepare staff members for possible future responsibilities within RTO Sample;
- Enhance the standard of performance of all staff members in their current jobs;
- Maintain and increase job satisfaction;
- Improve and develop the ability of staff members to initiate and respond constructively to change;
- Maintain and continuously improve the vocational skills and knowledge of trainers and assessors;
- Provide a procedure for staff to play an active role in their own professional development; and
- To ensure trainers and assessors maintain the currency of vocational skills and knowledge.

Individual professional development

Trainer Records Management

It is a requirement as a Registered Training Organisation to retain verified copies of relevant staff records. It is good management to ensure that these records are retained with accuracy and integrity. RTO Sample is to retain these records in both hard copy and electronic format.

Hard copy records are to be maintained in a designated HR file and be stored in accordance with the records retention and reporting policy. Electronic files are to be stored in a structured folder and hyperlinked within the student management system “Staff Register”. The attachment field may be used to attach and retain commonly used electronic copies of staff records.

The following list defines what documents must be maintained in both hard copy and electronic format:

- Completed staff induction record - signed by staff member and CEO
- Certified true copy of trainer / assessor qualifications
- Certified true copy of vocational qualifications
- Evidence of equivalent competence if applicable
- Updated Curriculum Vitae or Resume detailing professional history
- Duty statement, signed by staff member
- Employment contract / Service Agreement, signed by staff member and CEO
- National Police Check if applicable
- Relevant licence documentation / working with children check, etc
- Evidence of recent professional development
- Individual professional development plan, signed by staff member and CEO