



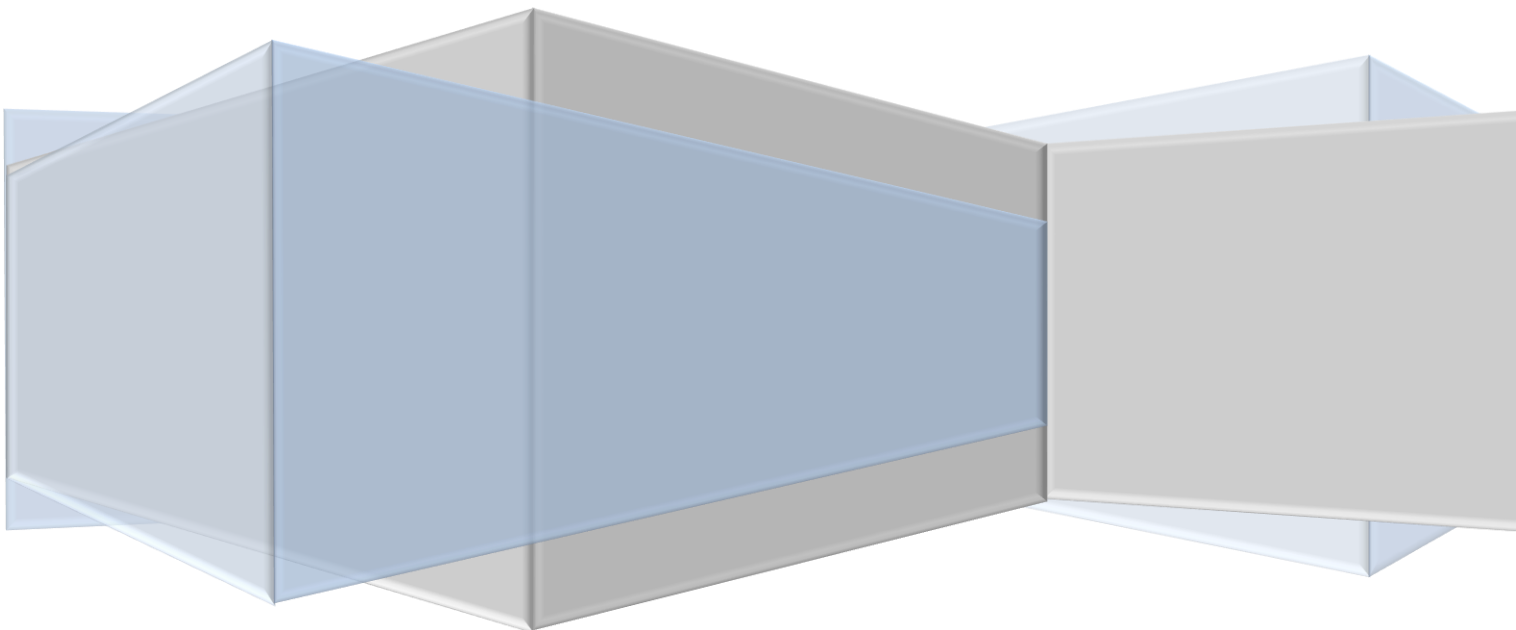
Burnside State
High School

Smaller Smarter Safer

VET QUALITY ASSURANCE MANUAL RTO 30245

VET Quality Framework

April 2019



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Page 1

Correct at time of publication but subject to change

Glossary

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

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

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

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

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

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

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

Current industry skills are the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure

that their training and assessment is based on current industry practices and meets the needs of industry.

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

- a) having knowledge of and/or experience using the latest techniques and processes;
- b) possessing a high level of product knowledge;
- c) understanding and knowledge of legislation relevant to the industry and to employment and workplaces;
- d) being customer/client-oriented;
- e) possessing formal industry and training qualifications; and
- f) training content that reflects current industry practice.

Data Provision Requirements are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.

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

- a) pre-enrolment materials;
- b) study support and study skills programs;
- c) language, literacy and numeracy (LLN) programs or referrals to these programs;
- d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- e) learning resource centres;
- f) mediation services or referrals to these services;
- g) flexible scheduling and delivery of training and assessment;
- h) counselling services or referrals to these services;
- i) information and communications technology (ICT) support;
- j) learning materials in alternative formats, for example, in large print;
- k) learning and assessment programs contextualised to the workplace; and
- l) any other services that the RTO considers necessary to support learners to achieve competency.

Executive officer means:

- a) a person, by whatever name called and whether or not a director of the organisation, who is concerned in or takes part in the management of the RTO; or
- b) an administrator, receiver and manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by a court); or
- c) if the RTO is a body corporate:
 - i. a person who, at any time during a period for which the organisation is registered, owns 15% or more of the organisation; or

- ii. a person who, at any time during a period for which the organisation is registered, is entitled to receive 15% or more of dividends paid by the organisation; or
- iii. the administrator of a deed of company arrangement executed by an organisation; or
- iv. a trustee or other person administering a compromise or arrangement made between the organisation and another person or other persons.

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

Government entity means:

- a) a Department of State of the Commonwealth; or
- b) a Department of the Parliament established under the *Parliamentary Service Act 1999* of the Commonwealth;
- c) an Executive Agency, or Statutory Agency, within the meaning of the *Public Service Act 1999* of the Commonwealth;
- d) a Department of State of a State or Territory; or
- e) an organisation that:
 - (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 RTO to provide training and assessment; and
- b) have no other involvement or interest in the operations of the RTO.

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

- a) enterprise/industry clients, e.g. employers;
- b) group training organisations;
- c) industry organisations;
- d) industry regulators;

- e) industry skills councils or similar bodies;
- f) industry training advisory bodies; and
- g) unions.

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

Industry engagement, for the purposes of Clauses **Error! Reference source not found.** & **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 RTO for the purpose of issuing AQF certification documentation.

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

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

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

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

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

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

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

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

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

- a) participation in courses, workshops, seminars, conferences, or formal learning programs;
- b) participation in mentoring, professional associations or other learning networks;
- c) personal development through individual research or reading of publications or other relevant information;
- d) participation in moderation or validation activities; and
- e) participation in industry release schemes.

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

- a) formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);
- b) non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and
- c) informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

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

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

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

RTO means a Registered Training Organisation.

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

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

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

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

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

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

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

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

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

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

Trainers are persons who provide training

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

Training and assessment credential are those qualifications, skill sets and units of competency, or relevant combination of those qualifications, skill sets and units of competency, specified in the table at Schedule 1.

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.

Acronyms and abbreviations

ASQA	Australian Skills Quality Authority
AQF	Australian Qualifications Framework
VQF	VET Quality Framework
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
DPR	Data Provision Requirements
FPPR	Fit and Proper Person Requirements
FVRAR	Financial Viability Risk Assessment Requirements
NVR	National VET Regulator
RCC	Recognition of Current Competency
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
SRTO	Standards for Registered Training Organisations (RTO's) 2015
VET	Vocational Education and Training

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Summary of sections

This manual has been adapted to address the requirements of ASQA's Student-centred audit approach. The Standards for RTOs 2015 come within the following 6 areas of compliance:

1. Governance

The RTO has effective governance and administration arrangements in place.

(Clause 1, 2, 3, 4, 5, 6, 7, 8, Schedule 1 – 6)

2. Student Information

(Clause 1.7, 5.1, 5.2, 5.3, 5.4)

The school RTO ensures students have the existing skills, knowledge and experience required to successfully undertake the course.

3. Marketing

(Clause 4.1, 1.1, 1.2 Schedule 4, 5.1, 5.2)

The school RTO's marketing practices provide accurate and factual information to allow prospective students to make informed decisions.

4. Complaints and Appeals

The RTO provides a process whereby complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

(Clause 5.2, 6.1 – 6.5)

5. Third Party Arrangements

Where training or assessment is delivered on behalf of the RTO, arrangements will be monitored to ensure compliance.

(Clause 4.1, 5.2, 5.3, 5.3, 6.1, 6.2, 8.2, 8.3)

6. Industry Engagement

The RTO's training and assessment strategies and practices are responsive to a range of industry engagement.

(Clause 1.5, 1.6, 1.8, 1.13, 1.17)

7. Trainers and Assessors

(Clause 1.3, 1.4, 1.6, 1.13 – 1.20, Schedule 1)

Trainers assigned to deliver training are qualified.

8. Training and Assessment Strategies

The RTO implements training and assessment strategies and practices for all qualifications on the scope of registration.

(Clause 1.1 – 1.4, 2.2, 1.5, 1.6, 1.8 – 1.12, 1.13 – 1.16, 1.17 – 1.20, 1.22 – 1.24, 1.26 – 1.27, 8.2)

9. Assessment

The RTO implements an assessment system that complies with the relevant training package/VET accredited course and is conducted in accordance with the Principles of Assessment and Rules of Evidence.

(Clause 1.1, 1.4, 1.5, 1.8, 1.15)

10. Validation

The RTO plans and conducts validation activities over a 5 year cycle, with 50% of the qualifications on scope are validated within the first 3 years.

(Clause 1.8, 1.9, 1.10, 1.11)

11. Data Management

The RTO provides data which is compliant with the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS), the Student Identifier Act 2014 and the National VET Data Policy 2017.

(Clause 1.26, 2.1, 2.2, 3.4 – 3.6, Schedule 5, 5.2, 7.5, 8.1, AQF, USI, Data Provision Requirements 2012, AVETMISS Standards and National VET Data Policy 2017)

12. Completion

(Clause 3.1 - 3.6, 7.5, 8.1, Schedule 4, Schedule 5, AQF)

Only students assessed as meeting course or Training Package requirements are issued with AQF certificates.

13. Quality Assurance

The operations of the RTO are quality assured.

(Clause 2.1 – 2.4)

1. Governance

Policy

The RTO ensures the following:

1. The executive officers or high managerial agent; ie RTO Manager, Principal have sufficient authority to ensure compliance with the Standards at all times, including where services are being delivered on its behalf.
2. The executive officers or high managerial agent meet the Fit and Proper Person Requirements in Schedule 3.
3. The RTO is compliant with the Financial Viability Risk Assessment Requirements
 - Section 158 (1) of the *National Vocational Education and Training Regulator Act 2011* refers to the 'instrument' called "Financial Viability Risk Assessment Requirement 2011". This 'instrument' contains the capacity for the NVR to waive the requirement for low risk organisations, such as schools or colleges.
4. Student's pre-paid fees are protected.
5. A sufficient amount of public liability insurance is retained throughout its registration period.
6. Accurate and current information on performance and governance is provided under [Data Provision Requirements 2012](#).
7. The RTO ensures that where services are provided on its behalf by a third party a written agreement is completed and retained.
8. The RTO has sufficient resources to systematically monitor all services delivered on its behalf.

Procedure

The Principal ensures that the RTO operation complies with the VET Quality Framework and that any person or entity which exercises a degree of control or influence over the management or direction of the registered training organisation meet the

[*Fit and Proper Person Requirements 2011*](#).

The Principal does this in the following way:

- delegating responsibility for day to day operations to the RTO Manager
- meeting regularly with the RTO Manager to keep informed of those operations
- signing documentation and report data as required
- Completing the QCAA Chief Executive Statutory Declaration
- Completing the Fit and Proper Person Declaration
- Informing the QCAA of any substantial changes and significant events within 90 calendar days

The RTO Manager does this in the following way:

- Meeting regularly with the Principal to inform him/her of RTO operations
- Signing documentation and report data as required
- Completing the Fit and Proper Person Declaration

Further direction can be found in [Schedule 3](#)

The RTO Manager has responsibility and authority for the quality training and assessment system in the schools. They have responsibility to:

- oversee operation of the schools registered training organisation (RTO) status
- liaise with the Registering Body concerning all aspects of the schools RTO status
- keep the principal informed of all matters regarding the schools RTO status
- manage the quality assurance strategies including the Internal Audit process.
- complete the **Annual declaration on compliance** to be provided to the Registering Body (QCAA) with accurate and timely information
- Manage the National Quality Indicator Reporting system.

The school RTO maintains public liability insurance appropriate to the size of the RTO and a certificate of currency is kept in the Business Office.

Organisational Chart and Duty Statements to this effect can be found at:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\Registration>

2. Student Information

Policy

The school RTO provides current and accurate information to learners both prior to enrolment and at the commencement of training. The students will be supported through the school processes where required. The school RTO will inform students of any changes to agreed services. All personal student information will be stored securely.

This includes but is not limited to:

Code, title and currency of the qualification and/or unit/s of competency

Training and assessment arrangements (including RPL)

- Mode of delivery
- Duration
- Location
- 3rd party details (if relevant)
- Work placement arrangements

Support services

Entry requirements

Licensing requirements (if relevant)

Complaints and appeals process (publically available)

Course outcomes and pathways

Funding entitlements – VETiS arrangements

Fee and refund information

Competency-based training and assessment

Procedure:

Information is found in a combination of the following:

- School's website;
- SET (senior education and training plan) processes;
- VET Student Handbook;
- Senior School Curriculum Handbook.
- Guidance Officer, Deputy Principals, HOD's /HOSES, VET Teachers

The advice given during this process taking into account the student's existing skills and knowledge prior to the finalisation of subject selection to ensure students are making informed decisions prior to enrolling in a vocational subject.

<https://burnsideshs.eq.edu.au/Curriculum/VocationalEducation/Pages/VocationalEducation.aspx>

Student Induction

Upon enrolment, a Student induction will be delivered that will include an Induction Power Point presentation and the VET Student Handbook. A written agreement '*VET Student Enrolment Form/Student Training Agreement Form*' between the school RTO and the student detailing the obligations and responsibilities of both parties is signed by both the school RTO, the student and the parent/guardian and is held by the school RTO for the duration of the training. Student Induction Materials are located:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\Masters\Student Induction materials>

<https://burnsideshs.eq.edu.au/Curriculum/VocationalEducation/Pages/VocationalEducation.aspx>

Fee Protection

The school RTO ensures fees paid in excess of \$1500 (if relevant) meet the requirements set out in [Schedule 6](#).

Should there be any changes to the agreed services, the school RTO will advise the learner as soon as practicable. This includes changes to 3rd party arrangements (if relevant).

Learner Support

The School ensures the individual support needs of the student through the holistic secondary school framework and diverse learning programs. Literacy and numeracy support can be accessed through English and Maths classes, along with specific school support programs. Access to external educational services is provided by the school in consultation with the parent.

3. Marketing

Policy

The school RTO ensures that all information disseminated by the school RTO or on its behalf is both accurate and ethical and adheres to the following guidelines:

Marketing material will include the following:	Marketing material will not :
RTO Code	Guarantee the learner will successfully complete the training
NRT logo must be used in accordance with Schedule Four of the Standards	Guarantee the learner employment
Code and full title of the Qualification	Guarantee the course can be completed in a way that is not consistent with the training and assessment strategies and practices
Consent for photos/testimonials – particularly of resources or delivery sites	
'Current' qualifications on TGA	
Location	
Entry requirements	
Amount of Training	
Mode/s of delivery	
Third party arrangements (if applicable)	
Fee information	
Pathways	
Distinguishes VET training and assessment from non-VET.	

All staff are made aware of marketing requirements in the Staff Induction materials.

All marketing materials will include a statement "***correct at time of publication but subject to change***"

The Principal, as CEO is responsible for ensuring compliance of the school RTO with this Standard 4.

Procedure

All marketing materials will be checked and approved by the RTO Manager (as delegated by the Principal) prior to publication.

Ongoing monitoring of all marketing for currency and accuracy is the responsibility of the RTO Manager (as delegated by the Principal).

Marketing checklist includes (at a minimum):

- Website information
- Curriculum Handbooks
- Student Handbooks
- Faculty Handbooks
- Letters to parents/students
- Online learning/Social media platforms

Marketing checklist is located at:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\Marketing>

<https://burnsideshs.eq.edu.au/Curriculum/VocationalEducation/Pages/VocationalEducation.aspx>

4. Complaints and Appeals

Policy

The school RTO ensures all learners are informed of and understand their rights and responsibilities under the Standards. The school RTO will manage the complaints and appeals process fairly, efficiently and effectively. The school RTO ensures the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process. The complaints and appeals policy is available on the website at:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\ADMIN\Quality Assurance\Policies and Factsheets\Complaints and Appeals>

<https://burnsideshs.eq.edu.au/Curriculum/VocationalEducation/Pages/VocationalEducation.aspx>

Complaints Procedure

Persons with a complaint against the school RTO on how it conducts its responsibilities with regard to:

- The RTO, trainers and assessors or other staff
- A third party providing services on the school RTO's behalf, its trainers and assessors or other staff or
- Another learner of the school RTO

have access to the following procedure:

1. the initial stage of any complaint shall be for the complainant to communicate the complaint at the earliest and lowest level first in an attempt to resolve the issue.
2. person(s) dissatisfied with the outcome of the complaint may then apply to the relevant operational representative (RTO Manager) of the school RTO, who will make a decision and record the outcome of the complaint
3. the complaint and its outcome shall be recorded in writing on the *Complaints and Appeals form*.
4. the RTO manager will attempt to resolve any issues with all parties involved.
5. persons dissatisfied with the outcome may lodge their complaint with the principal (CEO) of the school RTO.
6. on receipt of a formal complaint the principal shall convene an independent panel to hear the complaint; this shall be the 'complaint and appeal committee'
7. the complaint committee shall not have had previous involvement with the complaint and should include representatives of:
 - a. the principal
 - b. the teaching staff
 - c. an independent third party
8. the complainant shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
9. the relevant staff member shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation

10. the complaint committee will make a decision on the complaint
11. the complaint committee will communicate its decision on the complaint to all parties in writing within 5 working days of making its decision.
12. If the complaint will take more than 60 days to finalize, written notification will be given to all people involved explaining the delay.

Appeals Procedure

Learners are informed at their Induction, of their right to request a review of a decision. This may include:

Appeal of an assessment decision made by either the school RTO or a Third Party providing services on behalf of the RTO (if relevant)

1. the initial stage of any appeal shall be for the appellant to communicate the appeal at the earliest and lowest level first in an attempt to resolve the issue.
2. person(s) dissatisfied with the outcome of the appeal may lodge the appeal with the operational representative (RTO Manager) of the school RTO, who will make a record about the nature of the appeal.
3. the appeal and its outcome shall be recorded in writing on the *Complaints and Appeals form*.
4. the RTO Manager will attempt to resolve any issues with all parties involved.
5. Persons dissatisfied with the outcome may lodge their appeal with the principal (CEO) of the school RTO.
6. On receipt of an appeal the principal shall convene an independent panel to hear the appeal; this shall be the 'complaint and appeal committee'
7. the complaint and appeal committee shall not have had previous involvement with the appeal and should include representatives of:
 - a. the principal
 - b. the teaching staff
 - c. an independent third party (if relevant)
8. the appellant shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
9. the relevant staff member shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
10. the complaint and appeal committee will make a decision on the appeal
11. the complaint and appeal committee will communicate its decision on the appeal to all parties in writing within 5 working days of making its decision.
12. If the appeal will take more than 60 days to finalize, written notification will be given to all people involved explaining the delay.

The outcome of all complaints and appeals will be reviewed as part of the school RTO's quality assurance processes. Any rectifications identified by those processes will be acted on in a timely manner.

5. Third Party Arrangements

Policy

The school RTO will create a Third Party Agreement and is responsible for compliance and monitoring of third party arrangements if:

A third party provides resources to meet the needs of the qualification that the school RTO does not have: training facility, commercial kitchen etc.

The school RTO issues the certification.

A third party provides educational and support services for a students enrolled in a certificate/unit of competency that is on the school RTO's scope of registration.

The school RTO issues the certification.

The school RTO will ensure there is a written agreement (MOU or Third Party Agreement) when a third party is training and assessing a unit of competency for 'credit transfer' to meet the packaging rules of a qualification on the school RTO's scope of registration. The third party issues the statement of attainment and the school RTO issues the qualification. The school will monitor the student's progress through this agreement.

The 3rd Party Organisation will be listed on the training and assessment strategy (TAS) for that cohort of learners and a current, signed copy of the agreement will be retained by the RTO.

The written agreement template can be found at:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019>

The school RTO will:

- Identify any 3rd Party arrangements in their marketing materials
- Identify any 3rd Party arrangements in their TAS for that qualification
- Retain agreement to market these 3rd party qualifications/units of competency.

6. Industry engagement

Policy

The School ensures a *range* of strategies for industry engagement within vocational subject areas are implemented that 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.

These strategies ensure the industry relevance of the:

- Training and Assessment strategies, practices and resources; and
- Current industry skills of the trainers and assessors employed by the school.

Procedure

1. Trainers and Assessors will engage with a *range* of industry and gain feedback on the:
 - a. Training and Assessment strategies and practices
 - b. resources and
 - c. currency of the Trainer's industry skill
2. For an AQF level I and II, at least TWO engagements are sufficient
3. For an AQF level III and above, at least THREE engagements are sufficient
4. The Trainer will implement recommendations (if appropriate) to demonstrate its responsiveness to industry feedback.
5. The TAS documentation will be updated with current industry engagement evidence.

7. Trainers and Assessors

Policy

The School ensures that all Trainers and Assessors engaged by the schools for the delivery of VET qualifications and/or VET accredited courses meet the requirements specified under the Standards for Registered Training Organisations (RTOs) 2015.

Trainer and assessor requirements
1st April 2019
All of: <ul style="list-style-type: none">• Vocational competencies at least to the level being delivered• Current relevant industry skills• Current knowledge and skills in VET• Ongoing professional development in VET
Providing both training and assessment
One or more of: <ul style="list-style-type: none">• TAE40116 Certificate IV in Training and Assessment• TAE40110 Certificate IV in Training and Assessment<ul style="list-style-type: none">+ TAE40111/TAELLN401A Address adult language, literacy and numeracy skills+ TAEASS502/ TAEASS502A/ TAEASS502B Design and develop assessment tools• Diploma or higher qualification in adult education
Providing assessment only
One or more of: <ul style="list-style-type: none">• TAE40116 Certificate IV in Training and Assessment• TAE40110 Certificate IV in Training and Assessment<ul style="list-style-type: none">+ TAE40111/TAELLN401A Address adult language, literacy and numeracy skills+ TAEASS502/ TAEASS502A/ TAEASS502B Design and develop assessment tools• Assessor Skill Set (item 5, Schedule 1)

Procedure

Principal/CEO

The Principal is ultimately responsible for ensuring that the school RTO complies with the VET Quality Framework and

- Ratifies all policy and procedure documents for the RTO by signing this Quality manual.

- Ensures that only trainers and assessors who meet the requirements of Clause 1.13-1.16 are employed or timetabled for VET qualifications and accredited course delivery.
- Liaises with RTO Manager regarding the competence and currency of VET trainers and assessors
- Takes appropriate action where trainers and assessors are not meeting the national standards.
- Taking appropriate actions that are necessary resulting from the Quality Assurance procedures pertaining to validation and complaints and appeals.

RTO Manager

- applies and manages all policy and procedures documents for the RTO (under delegation from the principal)
- liaises with the Principal and vocational training areas' head of department (HOD)/co-ordinator regarding the competence and currency of VET trainers and assessors
- liaises with the Principal on all matters pertaining to quality assurance of the RTO; particularly validation outcomes and complaints and appeal outcomes.
- ensures all new VET trainers and assessors undergo an induction process
- ensure copies of Trainers and Assessors qualifications are retained. Any other evidence required to meet the Standards will also be retained.
- ensures all trainers and assessors are engaged in activities that continue to develop their VET knowledge and skills, including competency based training and assessment, industry currency skills directly related their vocational training area
- ensures that trainers and assessors timetabled for VET qualifications and accredited courses meet the national standards within the VET Quality Framework (in conjunction with the principal and the relevant HOD/coordinator).
- Ensures trainers and assessors and Heads of department understand the process for planning and conducting validation.
- Liaise with the Vocational Training Areas (VTA's) and Principal (or Deputy) regarding student information documentation.

Heads of Department/Co-ordinators

- operate in accordance with all policy and procedure documents for the RTO
- ensure that trainers and assessors timetabled for VET qualifications and accredited courses meet the national standards within the VET Quality Framework (in conjunction with the principal and the RTO Manager
- ensure trainers and assessors can demonstrate current industry skills that are directly relevant to the training and assessment that is being undertaken.

- Ensure trainers and assessors have time allocated to conducting validation and acting upon validation outcomes.

Trainers and Assessors / Teachers

- operate in accordance with all policy and procedures documents for the RTO
- Trainers and assessors **must** provide the RTO Manager with verified copies of all qualifications, as well as hard and electronic copies of other information required to meet the national standards within the VQF **before starting delivery.**
- Where trainers and assessors gain additional qualifications related to their industry area, they must provide that information to the RTO Manager.
- Trainers and assessors must complete and maintain current records of their qualifications.
- Trainers and assessors must complete and maintain their staff profiles as evidence of competency and currency in both their vocational training area and VET knowledge and practice, including competency based training and assessment. These documents should be updated at least twice a year and must be produced upon request of the RTO Manager.
- Trainers and assessors must conduct validation according the RTO Validation plan and retain evidence of such for audit.
- Trainers and assessors must show evidence of action required based on validation outcomes.

Administration Officer

- manages all policy and procedures documents for the RTO in conjunction with the RTO Manager.

Staff Induction procedure

During the Staff Induction procedure, the RTO Manager will include:

- a VET Induction checklist
- VET qualifications and courses offered in the school
- RTO Quality Management System operating within the school and policies and procedures, particularly:
 - trainers and assessors (including professional development)
 - strategies, practices and resources
 - training and assessment, including validation and RPL
 - student information and support services
 - record management.
 - quality assurance strategies (Internal Reviews/Audits)
 - communication procedures and VET meetings schedule

- general VET information regarding competency based training and assessment, training package and qualification information
- roles and responsibilities of VET staff including heads of department, RTO Manager and administration.
- Marketing procedure for qualifications

Heads of department will support all trainers and assessors of qualifications within their departments regarding the relevant training packages, competency-based assessment, vocational competence and vocational and industry currency.

Staff Induction Materials can be found at:

G:|Coredata|Curriculum|SENIOR SCHOOL|VOCATIONAL EDUCATION|2019|VET Teachers Toolbox|Staff Induction

Direct Supervision

Where the School RTO engages an individual who is not a trainer and assessor, the individual will work under the supervision of a trainer and ***will not*** determine assessment outcomes.

The School RTO will ensure:

- A Direct Supervision agreement is formed including:
 - The level of supervision required
 - The requirements, conditions or restrictions necessary
- A Monitoring schedule is completed and reviewed regularly.
- The Supervisor appointed retains the appropriate trainer and assessor credential as specified [above](#) and ensures they are aware of their accountability for all training provision and collection of assessment evidence.
- The Supervisee will be compliant with the following requirements:

Requirements for individuals working under supervision
All of: <ul style="list-style-type: none"> • Vocational competencies at least to the level being delivered • Current relevant industry skills
Enterprise Trainer Skill Set
Hold the training and assessment credential specified below (Schedule 1) <ul style="list-style-type: none"> • TAESS00007 Enterprise Trainer – Presenting Skill Set OR • TAESS00014 Enterprise Trainer – Presenting Skills Set or its successor OR • TAESS00008 Enterprise Trainer – Mentoring Skill Set OR

- TAESS00013 Enterprise Trainer – Mentoring Skill Set or its successor OR
- TAESS00003 Enterprise Trainer and Assessor Skill Set OR
- TAESS00015 Enterprise Trainer and Assessor Skill Set or its successor.

8. Training and Assessment

Policy

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

Where a training package/accredited course has been superseded or deleted on the National Register, transition timeframes will be adhered to.

Procedure

1. Training and Assessment Strategy (TAS) documents are developed for each qualification on the RTO's scope of registration.
2. The Training and Assessment Strategy (TAS) document will be checked prior to cohort enrolment for currency on the National Register at www.training.gov.au .
3. The school RTO ensures that new learners are not enrolled into a training product that has been removed or deleted.
4. Upon notification of a training product being superseded or deleted on the National Register the following process will take place:
 - a. A decision will be made by the Trainer and Assessor in consultation with the HOD/RTO Manager as to when the transition of students is to take place, in accordance with the policy above.
 - b. If the new qualification is equivalent, the QCAA will register the school RTO for the latest qualification automatically.
 - c. If the new qualification is NOT equivalent or the school RTO wishes to add units of competency not listed, then the school RTO will need to complete the appropriate forms on the: [QCAA Portal](#)
 - d. Both students and parents will be advised of these arrangements prior to delivery
 - e. If learners cannot complete their training in the required time frame, then a Statement of Attainment for the units completed will be awarded and these credit-transferred into the new qualification, if equivalent. If not equivalent, new units (closely matched to existing units) will be chosen by the trainer and assessor and any gaps addressed.
5. The TAS documents are responsive to industry and learner needs.
6. All sections of the TAS will be completed and verified by the RTO Manager
7. The School has access to qualified staff, facilities, equipment, training and assessment materials (electronic and physical) required to provide the training and/or assessment services within its whole scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements.

Training and Assessment Strategy (TAS) documents are located at:

G: |Coredata |Curriculum |SENIOR SCHOOL | VOCATIONAL EDUCATION |2019 |Subjects

9. Assessment Policy

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

1. compliance with the assessment requirements from the relevant Training Package or VET accredited course
2. assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
3. assessment complies with the **Principles of Assessment** (Ref to **1.8-1** below) and informs the student of the context and purpose of the assessment
4. assessment complies with the **Rules of Evidence** (Ref to **1.8-2** below) which guides the collection of evidence
5. timely and appropriate feedback is given to students on their assessment outcome

All students have access to reassessment on appeal.

Procedure

1. Trainers will design and develop assessment tools that meet the Principles of Assessment and Rules of Evidence
2. Trainers will design and develop assessment tools that meet the requirements of the Training package/Accredited course.
3. Feedback will be provided to students in an ongoing basis both verbally and in writing.
4. All assessment tools will:
 - a. Be approved by the delegated officer (RTO Manager)
 - b. Be mapped to the assessable components of the unit/s of competency
 - c. Be consistent with the TAS
 - d. Contain solutions/benchmarks with sufficient decision-making rules
 - e. Trialled and/or Reviewed prior to delivery and improvements made based on feedback (new assessment tools)
 - f. Systematically validated as per 5 year validation schedule
 - g. Contextualised to the school environment
 - h. Demonstrate reasonable adjustment (if required)
5. All student assessment will be retained for a minimum of 6 months according to [General Direction - Retention requirements for completed student assessment items](#)

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 RTO to take into account the individual learner's needs.</p> <p>The RTO 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 RTO 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.

Recognition of Prior Learning (RPL)

Procedure

The students are made aware of the School's RPL policy at Student Induction upon enrolment into the course. Trainers will remind students of this policy regularly and will provide opportunities to engage in the RPL process.

When approached by a student seeking RPL, trainers will follow the procedure below:

1. Informally discuss the student's skills or knowledge and provide verbal feedback as to the procedure
2. Provide the student with information about the types of evidence that can be used to support an RPL application
3. Provide the student with an RPL Application Form
4. Make a prompt decision and notify students of the outcome of the RPL process
5. Update the student's records if RPL is granted
6. Retain copies of all evidence and the application form for the required timeframe as stipulated in the [ASQA General Direction – Retention requirements for completed student assessment items](#)

RPL application forms can be found at:

<G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\Masters>

10. Validation

Policy

The school will ensure an implementation plan for ongoing assessment validation of assessment practices and judgements that include each training product (full qualification for QLD schools) on the School RTO's scope of registration.

Procedure

This will include:

1. Schedule of validation of products taking into account:
 - a. Each training product must be validated at least once every 5 years with;
 - b. At least 50% of the products validated in the first 3 years of the 5 year cycle
 - c. Risk level of each training product (identified either by the School RTO and/or the VET Regulator)

The 5 Year Validation Schedule can be accessed at:

[G:\Coredata\Curriculum\SENIOR SCHOOL\VOCATIONAL EDUCATION\2019\VET Teachers Toolbox\Standard 1 \(Staff responsibilities\)\Standard 1- Validation](#)

2. Validator Requirements

Validator requirements 1 st April 2019	Appropriate Persons – could include:
(a) Vocational competencies and current industry skills relevant to the assessment being validated.	Trainer and Assessor (not involved in that instance of delivery) HOD Industry expert
(b) Training and assessment credential specified in item 2 or 5 of Schedule 1	Trainer and Assessor (not involved in that instance of delivery) RTO Manager with appropriate credential listed in Schedule 1 Independent Consultant with credential listed in Schedule 1
(c) Current knowledge and skills in VET teaching	Trainer and Assessor (not involved in delivery) RTO Manager Independent Consultant

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

The school RTO will ensure that an appropriate validator has been sourced by retaining evidence of the following: a current **Staff Profile** or **Validator Competency Verification Form** for the Validator of all qualifications.

3. The school RTO may use the following table to identify a ***randomly selected sample size*** for validation.

Qualification	High Risk	Medium Risk	Low Risk
Total no. of units of competency	12	12	12
% units recommended for validation	50%	33%	20%
No. of units to be validated	6	4	2.4
Total number of students in cohort	20	20	20
% of students to be included in validation sampling (<i>if more than 20 students in cohort</i>)	20%	15%	10%
Number of student profiles to be included	4	3	2
% of students to be included in validation sampling (<i>if less than 20 students in cohort</i>)	30%	25%	20%

4. All qualifications on the school RTO's Scope of Registration have been risk-rated according to (but not limited to):
- the use of new assessment tools
 - delivery of training products where safety is a concern
 - the level and experience of the assessor
 - changes in technology, workplace processes, legislation and licensing requirements
 - ASQA published risks
 - RTO-determined risks.
5. Validation meetings are held annually and if scheduled, the VTA attends these and gains feedback on the Assessment System.
6. Validation feedback is retained in either the QCAA TAS document for that VTA or in separate documentation linked to the QCAA TAS document.

11. Data Management

Student Data

Policy

The RTO maintains current enrolment and completion data using a combination of the Queensland Curriculum and Assessment Authority (QCAA)'s AVETMISS compliant Student Management (SM) system, Student Data Capture System (SDCS) and Student Learner Information System (SLIMS) from the beginning of 2018.

NOTE: There is a three year transition period (2018-2020), for the decommissioning of Student Data Capture System (SDCS) and Student Learner Information System (SLIMS).

Information can be found at:

[QCAA Student Management](#)

All school enrolment data will be consistent with both the requirements of the Training Package/Accredited course packaging rules and the Training and Assessment Strategy (TAS) document for each VTA.

All students will be enrolled into the Student Management (SM) system/SDCS by the end of Term 1 of each calendar year.

The RTO will cooperate with the QCAA in the submission of all required data, including:

- Student enrolment
- USI
- Quality Indicator reports

The Trainers and Assessors will provide accurate and current data to the Data Operator, when requested.

The RTO will store student final outcome data for a period of 30 years.

Signed student consent regarding sharing of data and personal information will be retained by the RTO via the VET Student Enrolment Form as per the:

[National VET Data Policy](#)

Procedure:

1. Students will be enrolled in each unit of competency by the Data Operator, consistent with the training package/accredited course packaging requirements and TAS for that VTA by the end of Term 1 each year.
2. Upon enrolment students will complete the VET Student Enrolment Form, which contains consent by the student regarding sharing of data and personal information.
3. Enrolment data is checked for accuracy and verified by the Trainers and Assessors.
4. Student outcomes are updated regularly throughout the year and checked for accuracy by the Trainers and Assessors.
5. If a student leaves early, the records will be updated immediately to enable certification within the 30 day timeframe.

Quality Indicators

- Learner Engagement data

This data collected throughout the year with a report lodged with the Registering Body on or before the 30th June annually, reporting on the previous calendar year's results. Resources can be found at the following sites:

- Quality Indicators: National Centre for Vocational Education and Research (NCVER)
<http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html>
- ASQA – Data provision
<http://www.asqa.gov.au/for-training-organisations/rto-obligations/data-provision.html>
- General questions regarding VET:
[QCAA Ask the VET team a question](#) or phone 07 3864 0381

This quality indicator focuses on the extent to which learners engage in activities that are likely to promote high quality skill outcomes. A **Learner Questionnaire** is given to all currently enrolled VET Students. Results are collated and compiled into the [Quality Indicator annual summary report](#) that is submitted to QCAA on or before the 30th June each year. This report is also used to inform the school RTO's quality assurance strategies.

Unique Student Identifier (USI)

Policy

The school RTO ensures compliance with the [Student Identifiers Act 2014](#) including:

- Verifying a student's identity with the Registrar before issuing AQF certification or using the number for anything else.
- Notifying a student under exemption that the results of the training they are undertaking will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.
- Ensuring the security of Student Identifiers and all related documentation.

Procedure

1. Upon enrolment into a VET qualification students will provide their Unique Student Identifier (USI) to the designated person for verification.
2. If the student does not have a USI they will create one online using verifying documentation such as:
 - a. Birth Certificate
 - b. Passport
 - c. License
 - d. Medicare card
3. The USI will only be used when reporting AVETMISS data via SDCS/SM or other to Queensland Curriculum Assessment Authority (QCAA). It will not be placed on the AQF certification documentation.
4. USI information will be stored on the school RTO's secured network.

12. Certification

Policy

The school RTO ensures that learners receive AQF certification documentation when they have met the requirements of the training package or VET accredited course.

The AQF certification documentation will be issued by the RTO within 30 calendar days of the learner completing all requirements of the course and providing all fees have been paid.

The school RTO maintains AQF certification documentation in accordance with [Schedule 5](#) of the Standards for Registered Training Organisations (RTOs) 2015 and ensures access by current and past learners.

A certification document will only be issued to students who retain a verified USI.

When issuing AQF certification documentation, the school RTO will adhere to the [Australian Qualification Framework – Qualifications Issuance Policy](#)

Recognition of qualifications

The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

- a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
- b) Authenticated VET transcripts issued by the Registrar.

Procedure

Upon course completion or withdrawal:

- The RTO Manager/VET Administrator will ensure all students have a verified USI prior to awarding of any certification documentation.
- The SDCS/SM outcome of 'competent' is verified by the Trainer and Assessor and authenticated by the RTO Manager before issuance of the qualification or statement of attainment.
- Anti-fraud mechanisms are in place and include things such as:
 - The paper stock reserved for printing of qualifications and statements of attainment is stored in a secure location with Administration.
 - A seal or watermark is printed onto the qualification/statement of attainment.
- A Register of qualifications and Statements of attainment issued is kept in the school RTO management system.
- Records of all AQF certification issued will be kept for 30 years.
- Replacement qualifications can be accessed through the RTO Manager at any time but may incur a fee.

13. Quality Assurance

Policy

The school RTO systematically monitors the training and assessment strategies and practices against Standard 1, and systematically evaluates and uses the outcomes of the evaluations to continually improve the school RTO's training and assessment strategies and practices.

The following areas will be reviewed and evaluated annually at either the Internal Review or Internal Audit.

- Quality Indicator Data – Learner Engagement
- Validation outcomes
- Learner feedback
- Trainer and Assessor Feedback
- Complaints and appeals (if any)
- Third Party Arrangements (if any)

Procedure

Internal review

An Internal review will be conducted for each qualification/vocational area annually. Standards 1- Training and Assessment Strategies and Practices will be reviewed for each vocational training area. The Internal review results are compared and evaluated by the RTO Manager, Principal and Trainer and Assessor. Any rectifications identified relating to the training and assessment strategies and practices are addressed by the appropriate people. These could include, but is not limited to the Trainer and Assessor, RTO Manager, Head of Department. This process also informs any transition arrangements that may be required.

The Principal appoints the RTO Manager to instigate the Internal Review. An external auditor may be appointed by the RTO Manager to maintain objectivity.

A written report will be compiled either by the RTO Manager (or the external auditor) and submitted to the Principal annually along with the Internal Audit report. Rectifications will include a timeframe for completion which will be reviewed at the Internal Audit.

Internal Audit

An audit team consists of one or more people with the necessary skills and knowledge to carry out the audit.

When conducting internal audits, school RTO personnel will complete an internal audit checklist and report by collecting objective evidence. They may use the following processes to ensure that the stated policies and procedures of the school RTO are being circulated, understood and implemented consistently throughout the school RTO and that these procedures are compliant with the Standards for Registered Training Organisations (RTOs) 2015:

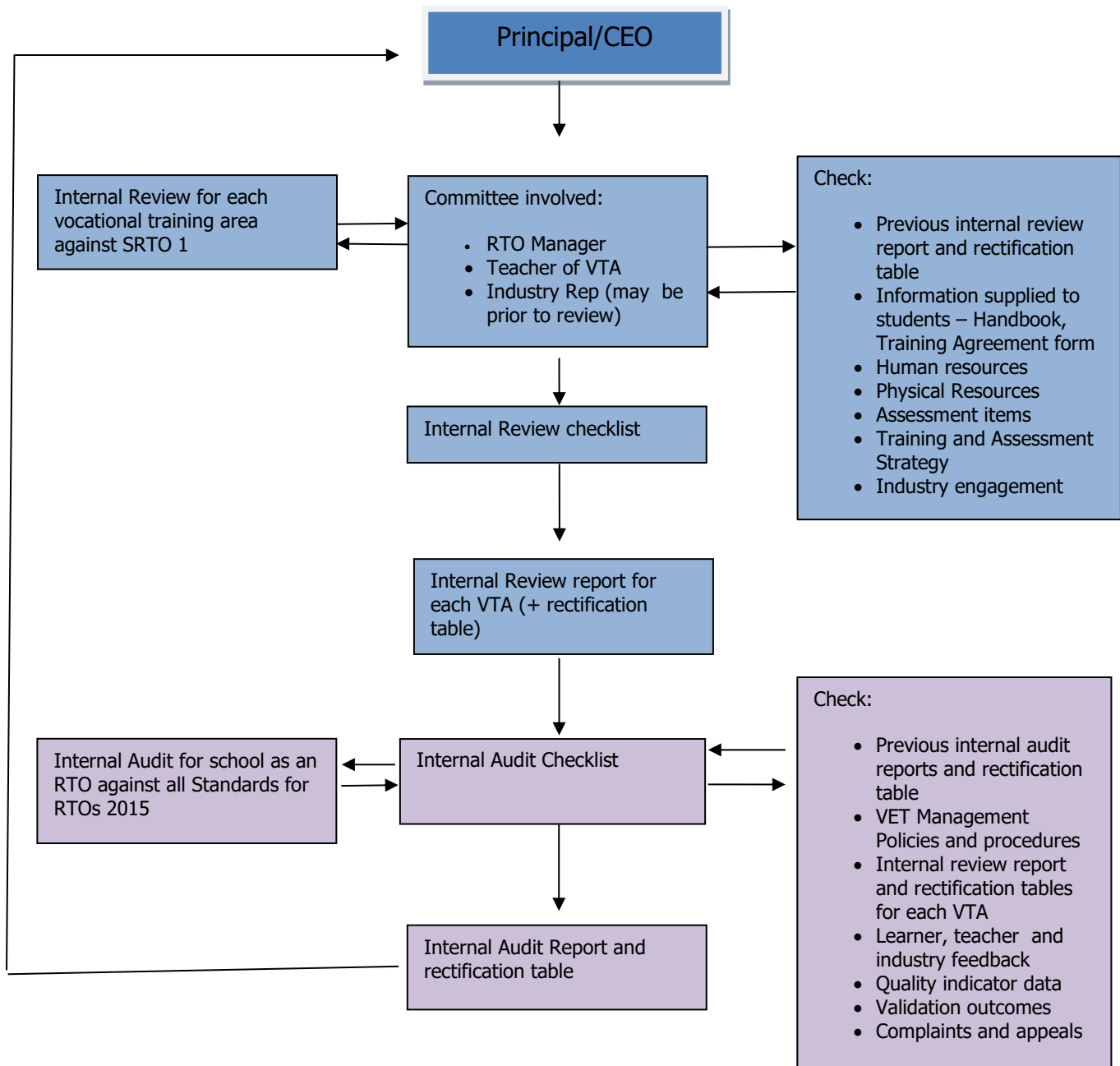
1. Training and Assessment rectifications from Internal Review

2. Information to learners – handbooks, presentations
3. RPL procedures
4. Sample student work
5. Policies and procedures of the VET Management system
6. Certification procedures
7. Evaluation reports of the following:
 - a. Quality Indicator data
 - b. Validation outcomes
 - c. Learner feedback
 - d. Trainer and assessor feedback
 - e. Complaints and appeals

A written report will be compiled either by the RTO Manager (or the external auditor) and submitted to the Principal annually. Rectifications will include a timeframe for completion which will be reviewed at the next Internal Audit.

The RTO ensures any third party delivering services on its behalf (if relevant) cooperates with the VET Regulator in the following areas:

- Providing accurate and truthful responses with regard to requested information
- Conduct of audits and monitoring of operations



Schedules to the Standards for RTOs 2015

Schedule 1

Item	Standard	Training and assessment credentials
1	1.11 1.14 1.15 1.24	The following credential: <i>TAE40110 Certificate IV in Training and Assessment.</i>
2	1.11 1.14 1.15 1.24	One of the following credentials: Credential: <i>TAE40116 Certificate IV in Training and Assessment <u>or</u> its successor</i> <u>or</u> Credential: <i>TAE40110 Certificate IV in Training and Assessment,</i> <u>and one of the following:</u> (i) <i>TAELLN411 Address adult language, literacy and numeracy skills <u>or</u> its successor <u>or</u></i> (ii) <i>TAELLN401A Address adult language, literacy and numeracy skills</i> <u>and one of the following:</u> (iii) <i>TAEASS502 Design and develop assessment tools <u>or</u> its successor <u>or</u></i> (iv) <i>TAEASS502A Design and develop assessment tools <u>or</u></i> (v) <i>TAEASS502B Design and develop assessment tools.</i>
3	1.14 1.15	The following credential: <i>A diploma or higher level qualification in adult education.</i>
4	1.11 1.15	The following credential: <i>TAESS00001 Assessor Skill Set</i>

Item	Standard	Training and assessment credentials
5	1.11 1.15	<p>One of the following credentials:</p> <p>Credential: <i>TAESS00011 Assessor Skill Set <u>or</u> its successor</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00001 Assessor Skill Set,</i></p> <p><u>and one of the following:</u></p> <p>(i) <i>TAEASS502 Design and develop assessment tools <u>or</u> its successor <u>or</u></i></p> <p>(ii) <i>TAEASS502A Design and develop assessment tools <u>or</u></i></p> <p>(iii) <i>TAEASS502B Design and develop assessment tools.</i></p>

Item	Standard	Training and assessment credentials
6	1.18	<p>One of the following credentials:</p> <p>Credential: <i>TAESS00007 Enterprise Trainer – Presenting Skill Set</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00014 Enterprise Trainer – Presenting Skill Set <u>or</u> its successor</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00008 Enterprise Trainer – Mentoring Skill Set</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00013 - Enterprise Trainer - Mentoring Skill Set <u>or</u> its successor</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00003 Enterprise Trainer and Assessor Skill Set</i></p> <p><u>or</u></p> <p>Credential: <i>TAESS00015 - Enterprise Trainer and Assessor Skill Set <u>or</u> its successor.</i></p>

Item	Standard	Training and assessment credentials
7	1.23	<p>One of the following credentials:</p> <p>Credential:</p> <p><i>TAE50111 Diploma of Vocational Education and Training</i></p> <p><u>or</u></p> <p>Credential:</p> <p><i>TAE50116 Diploma of Vocational Education and Training <u>or</u> its successor</i></p> <p><u>or</u></p> <p>Credential:</p> <p><i>TAE50211 Diploma of Training Design and Development</i></p> <p><u>or</u></p> <p>Credential:</p> <p><i>TAE50216 Diploma of Training Design and Development <u>or</u> its successor</i></p> <p><u>or</u></p> <p>Credential:</p> <p><i>A higher level qualification in adult education.</i></p>

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 RTO had its registration on the National Register cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration;
- c) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a condition of its registration under the *Education Services for Overseas Students Act 2000* or the *Tertiary Education Quality and Standards Agency Act 2011*;
- d) whether the person has ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors, and if so, the time elapsed since this event occurred;
- e) whether the person has ever been disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*, and if so, whether the disqualification remains in place;
- f) whether the person was involved in the business of delivering courses or other services on behalf of a person that was the subject of regulatory action described in points b) or c) above, and if so, the relevance of the person's involvement;
- g) whether the person has ever provided a VET Regulator with false or misleading information or made a false or misleading statement to a VET Regulator, and if so, whether it is reasonable to assume that the person knew that the statement made or information provided to the VET Regulator was false or misleading;
- h) whether the person has ever been determined not to be a fit and proper person as prescribed under any law of the Commonwealth or of a State or Territory of Australia, and if so, whether that determination remains in place;
- i) whether the public is likely to have confidence in the person's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications;
- j) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a government training contract; and
- k) any other relevant matter.

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 RTO'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 RTO, 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 RTO. Where training is being promoted and does not meet the requirements stipulated in the VET Quality Framework or is outside the RTO'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 RTO. These can only be issued by an RTO when the qualification and/or unit of competency are within the RTO's scope of registration. The NRT Logo must not be depicted on other testamurs or transcripts of results.

Schedule 5

Application of the AQF Qualifications Issuance Policy within the VET Sector

RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

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 6

Requirements for protecting fees prepaid by individual learners, or prospective learners, for services

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 RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO 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 RTO addresses learner fee protection by implementing one or more of the following arrangements:</p> <p>The RTO holds an unconditional financial guarantee from a bank operating in Australia where:</p> <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 RTO in excess of the threshold prepaid fee amount for each learner for services to be provided by the RTO to those learners; and b) all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO. <p>The RTO holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the RTO is unable to provide services for which the learner has prepaid, must ensure:</p> <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; 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. <p>Any other fee protection measure approved by the VET Regulator.</p>

RTO Approval

RTO Manager:	Name: Mr Scott Sergeant	Signature: sserg10@eq.edu.au
Principal/CEO:	Name: Ms Kerri Dunn	Signature: kdunn32@eq.edu.au
Date:	23/01/2019	