

# Policies and Procedures Manual for Quality and Compliance assurance

RTO: 40753

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## Acknowledgements

Where content for this publication has been sourced from an acknowledged copyright owner, a reference has been inserted.

This manual has been written in line with the guidance provided in the “Users’ Guide: Standards for Registered Training Organisations (RTOs) 2015”, compilation No.3 dated July 2019, published by the Australian Government under the Australian Skills Quality Authority.



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## Methodology and purpose of the manual

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

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2021
- the Data Provision Requirements 2020

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



## Code of conduct

The Chief Executive Officer and Senior Management will ensure the staff and students of the Wilson Medic One RTO complies with the requirements of the VET Quality Framework, which includes the following:


- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2021
- the Data Provision Requirements 2020

Wilson Medic One will ensure that compliance applies across all of its operations within the RTO's scope of registration, as listed on the National Register (<http://www.training.gov.au>).

Wilson Medic One has policies and procedures in place for ensuring compliance with the VET Quality Framework, which are distributed to staff as part of their induction process. These policies and procedures include how the RTO will comply with the following:

### Standards for Registered Training Organisations 2015

- Marketing and Recruitment
  - RTOs are responsible for providing accurate and accessible information to prospective and current students about RTO services and performance. (Clause 4.1)
- Enrolment
  - The RTO is responsible for informing and protecting students (Clauses 5.1 – 5.3)
  - The RTO is responsible for protecting pre-paid fees by students (Clause 7.3)
  - The RTO is responsible for providing credit for prior studies (Clause 3.5)
- Support and Progression
  - The RTO is responsible for supporting learners (Clause 1.7)
  - The RTO is responsible for keeping learners informed (Clause 5.4)
  - The RTO is responsible for managing complaints and appeals (Clauses 6.1-6.6)
- Training and Assessment
  - The RTO is responsible for implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 – 1.4)
  - The RTO is responsible for engaging with industry (Clauses 1.5 – 1.6)
  - The RTO is responsible for conducting effective assessment (Clauses 1.8 – 1.12)
  - The RTO is responsible for employing skilled trainers and assessors (Clauses 1.13 – 1.16)
  - The RTO is responsible for providing supervision of trainers where needed (Clauses 1.17 – 1.20)
  - The RTO is responsible for employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)
  - The RTO is responsible for engaging independent validators to conduct the quality reviews or training and assessment qualifications (Clause 1.25)
  - The RTO is responsible for managing transitions from superseded products (Clauses 1.26 – 1.27)
- Completion
  - The RTO is responsible for providing secure certification (Clauses 3.1 – 3.4) The RTO is responsible for



participating in the Student Identifier Scheme (Clause 3.6)

- Standards relevant to regulatory compliance and governance practice
  - The RTO is responsible for ensuring authorised executive officers are in place and assessing financial viability risk (Clauses 7.1 – 7.2)
  - The RTO is responsible for compliance and reporting (Clauses 2.1-2.2; 8.4-8.6)
  - The RTO is responsible for recording, monitoring and reporting third party arrangements (Clauses 2.3-2.4; 8.3)
  - The RTO is responsible for holding public liability insurance (Clause 7.4)
  - The RTO is responsible for meeting data provision requirements (Clause 7.5)
  - The RTO is responsible for providing requested information to ASQA (Clauses 8.1 and 8.2)

#### Australian Qualifications Framework

- Adhere to the requirements of the AQF Qualifications Issuance Policy
- Adhere to the requirements of the AQF Qualifications Pathways Policy

#### Data Provision Requirements

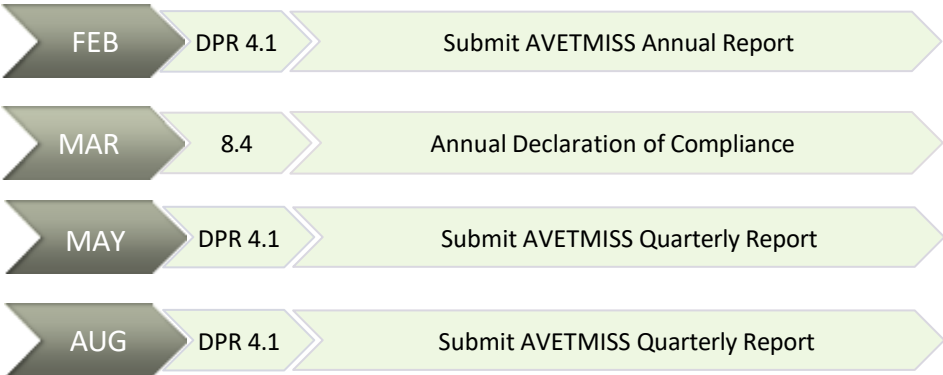
- Collect and store student and training records within an AVETMISS compliant Student Management System (DPR 4)
- Collect data on behalf of the National VET Regulator against the AVETMISS requirements (DPR 4.1)
- Collect data on behalf of the National VET Regulator against the Quality Indicators (DPR 6)
- Submit annual reports to the National VET Regulator on data collected (DPR 7)

#### Working with Children Check

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



**Reporting dates**



**Annual internal audit**

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

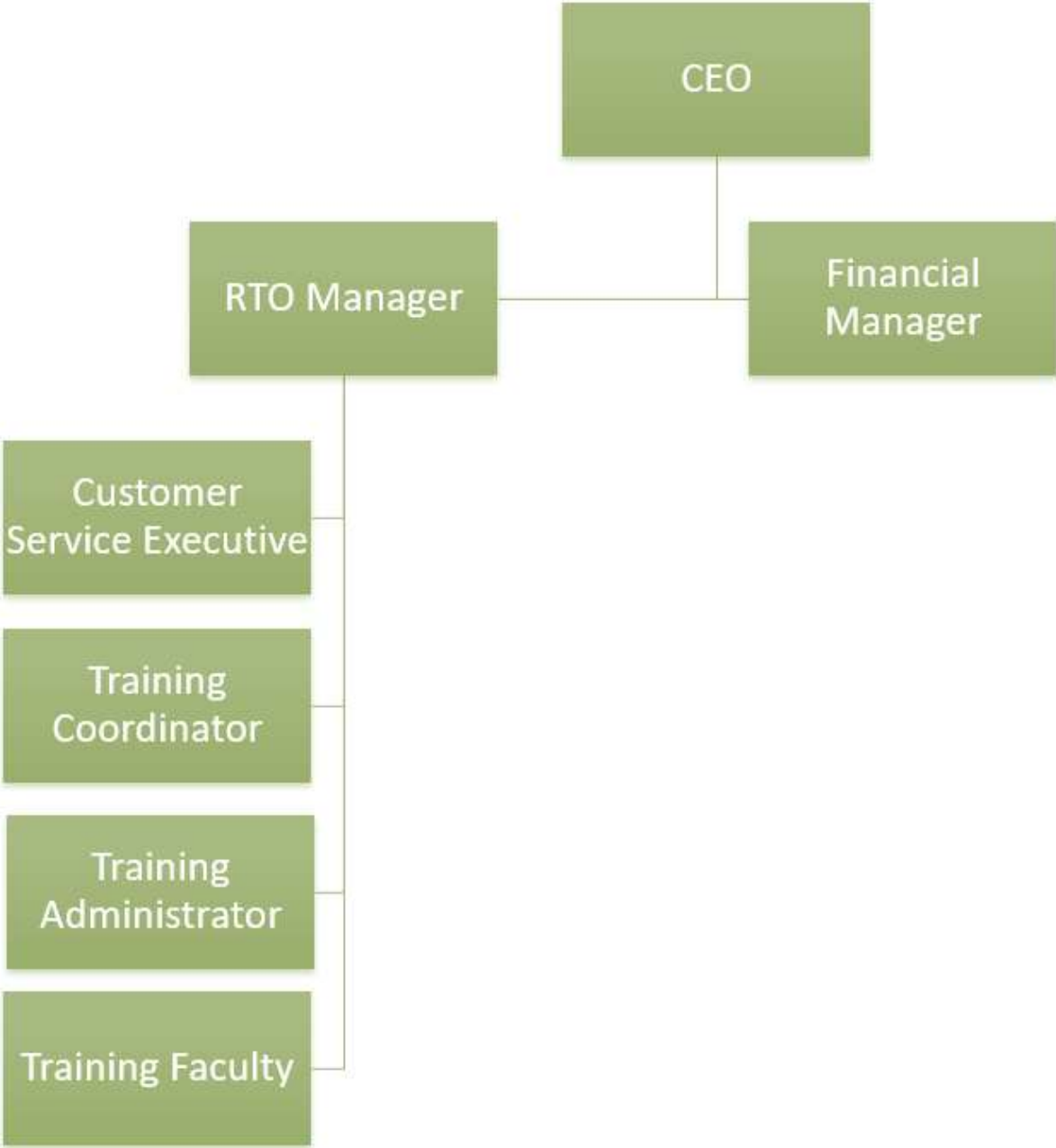


## Key phases of the student journey

| Key phases of the student journey           | Examples of provider practice and behaviour  | Clauses in the Standards for RTOs 2015   |
|---|--|--|
| <b>Marketing and recruitment</b>            | The training provider's marketing practices provide accurate and factual information to allow prospective students to make informed decisions.   | 4.1  |
| <b>Enrolment</b>                            | The training provider ensures students have the existing skills, knowledge and experience required to successfully undertake the course.   | 3.5<br>5.1, 5.2,<br>5.3 and 7.3  |
| <b>Support and progression</b>              | The training provider assesses student needs and provides appropriate support services to enable student progression.  | 1.7<br>5.4<br>6.1-6.6  |
| <b>Training and Assessment</b>              | Trainers assigned to deliver training are qualified.<br><br>The training provider has sufficient and appropriate resources for training and assessment.<br><br>The amount of training and mode of delivery is consistent with requirements.          | 1.1-1.4<br>1.5-1.6<br>1.8-1.12<br>1.13-1.18,<br>1.19, 1.20,<br>1.22, 1.23,<br>1.24, 1.25,<br>1.26, 1.27<br>2.2 |
| <b>Completion</b>                           | Only students assessed as meeting course or training package requirements are issued with certification.   | 3.1-3.4, 3.6   |
| <b>Regulatory compliance and governance</b> | The training provider has appropriate compliance and governance processes in place such as holding public liability insurance, managing its third parties and agents. The training provider meets additional obligations if delivering to under 18s. | 7.1, 7.2<br>2.1 and 8.4 to<br>8.6<br>2.3-2.4 and 8.3<br>7.4, 7.5, 8.1-<br>8.2                                  |



Organisational structure





## Section 1: Marketing and Recruitment

### Provide accurate and accessible information to learners prospective and current students (4.1)

- 4.1 Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:
- a) accurately represents the services it provides and the training products on its scope of registration;
  - b) includes its RTO Code;
  - c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
  - d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
  - e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
  - f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
  - g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
  - h) includes the code and title of any training product, as published on the National Register, referred to in that information;
  - i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
  - j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
  - k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
  - l) does not guarantee that:
    - i. a learner will successfully complete a training product on its scope of registration; or
    - ii. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
    - iii. a learner will obtain a particular employment outcome where this is outside the control of the RTO.





## 1.1 Strategy

Prior to enrolment, students are provided with relevant information that informs them about the training, assessment and support services that will be provided, including their rights and responsibilities as a student so as the student can make an informed decision prior to course commencement. The following documentation is provided to clients/students prior to course commencement:

- Course Flyer
- Enrolment Agreement Form
- Student Handbook
- Website
- Organisational Profile

## 1.2 Policy and Procedure


### 1.2.1 Advertising and Marketing

To maintain accuracy and integrity of marketing materials, the content is developed in consultation with industry and the Training Products for each qualification within the RTO's scope of registration (as per scope of registration for the RTO listed on training.gov.au).

All marketing materials (including websites) need to be clear about who is delivering and assessing the Training Product. Any Training Product delivered under a Third-Party arrangement should identify the Third Party's company name and RTO ID, in accordance with the RTO's Scope of Registration. Any qualifications delivered by a Third Party needs to clearly state "This qualification/unit of competency will be delivered and assessed under a Third Party's arrangement with the RTO (RTO ID)"

In authorising marketing and advertising:

- The Training Manager shall ensure that written permission has been obtained by any person and organisation featured in RTO's marketing or advertising materials in name or image.
- The Training Manager shall ensure that all clients are provided with clear and accurate information relating to Course Fee Schedules for all courses on RTO's scope of registration prior to enrolment. The Course Fee Information shall contain the following:
  - the total amount of all fees including course fees, administration fees, materials fees and any other charges
  - payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
  - the nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
  - the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment, and
  - the organisation's refund policy.
- The Training Manager shall ensure that all advertising contains accurate information regarding current course fees and course refund procedures.
- The Training Manager shall ensure that all promotional and marketing materials contain a confirmation that the RTO will recognise the AQF qualifications and statements of attainment issued by any other RTO.
- The Training Manager of RTO shall ensure that all materials developed for marketing and advertising purposes receive authorisation prior to release.
- The Training Manager shall ensure that the marketing and advertising of RTO accurately



represents its training and assessment services and the AQF qualifications on its scope of registration.

- The Training Manager shall ensure that training and assessment that leads to AQF certifications are marketed and advertised separately from any other non-accredited training service offered by RTO.
- The Training Manager shall ensure that the NRT logo and AQF logo are employed in RTO promotional and advertising materials in accordance with its current conditions of use.

Marketing will not guarantee to a learner that they:

- will successfully complete a training product
- can complete a training product in a manner not compliant with clauses 1.1 or 1.2
- will obtain a particular employment outcome unless this is in the control of the RTO

The Training Manager will ensure that all advertising and marketing is:

- Accurate and factual
- Accurately represents the services provided
- Accurately represents the RTO scope of registration
- Includes the RTO code
- Only refers to a person or organisation with their consent
- Uses the NRT logo in accordance with the conditions of use specific in Schedule 4 of the standards
- Identifies where training and assessment is being provided on behalf of another RTO
- Identifies where training and assessment is being provided by third party
- Distinguishes between national recognised training and other training
- Includes the code and title of each training product as per training.gov.au
- Includes accurate information about licensed or regulated outcomes
- Includes details about financial support provided, including VET FEE-HELP (where permissible)
- Includes details about relevant government funding subsidies

## Marketing Approval

All marketing activities will be undertaken with integrity and accuracy to provide students with sufficient information to make an informed decision.

1. All marketing and advertising material is to be submitted to the Training Manager for approval prior to distribution
2. Written approval from an individual or organisation is to be obtained if reference is to be made to that individual or organisation in any promotional material
3. The printing and publishing of marketing and advertising material can only be authorised by the Training Manager
4. All printed, published or advertising will clearly distinguish between nationally recognised training with scope of registration and non-accredited training offered.

### 1.2.2 Course Flyers and Marketing Material

Course flyers are to include relevant information about the course to be offered, so as the student/client can make an informed decision prior to enrolment based on the information supplied in the course flyer, enrolment form and other marketing materials. Relevant information that should be included on the course flyer include:

- Qualification Code and Title or Unit Code and Title
- Breakdown of units (for full qualifications only)

- Fees including course fees, administration fees, material fees and any other charges (i.e. Police Record Check or First Aid)
- The course flyer will comply with the policies and procedures under Advertising and Marketing.

### 1.2.3 Websites

The organisational website includes information about each course offered by the RTO, including:

- Entrance requirements and pre-requisites
- Course Structure and delivery mode
- Qualification Code and Title or Unit Code and Title
- Breakdown of units (for full qualifications only)
- Fees including course fees, administration fees, material fees and any other charges (i.e. Police Record Check or First Aid)

The website will comply with the Advertising and Marketing policy and procedure.

### 1.2.4 NRT Logo - Conditions of use

The Nationally Recognised Training (NRT) logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to Australian Qualifications Framework (AQF) qualifications or Statements of Attainment.

The NRT logo can only be used by registered training organisations (RTOs), the Australian Skills Quality Authority (ASQA), State and Territory registering/course accrediting bodies and other authorised bodies.

The RTO acknowledges its obligations in ensuring the correct use of the NRT logo. In accordance with these requirements the RTO will ensure that they comply with the guidelines for usage of the logo.

The RTO will only use the NRT logo:

- On AQF qualifications documents within its scope of registration
- In advertisements in accordance with the VET Quality Framework for VET certifications and products
- On certificates for relevant training

### Use of NRT Logo

The following details the situations and conditions for using the NRT logo:

- Advertisements and promotional information in any medium (print, television, radio, banners, internet, websites etc.).
- The RTO may use the NRT logo to promote training products listed on training.gov.au, provided that training is within the RTO's scope of registration.
- The NRT logo must not be used in association with training which does not lead to an AQF qualification or statement of attainment, this includes short courses, non-accredited training and services outside of training such as consulting.
- Use of the NRT logo is only permitted where there is a direct relationship to an accredited Training Product meeting the requirements of the AQF.
- When promoting the training and using the NRT logo, all promotional material such as brochures, handbooks and prospectuses must clearly distinguish between nationally recognised training within the scope of registration and that which is not nationally recognised.



- The NRT logo must not be used on products such as corporate stationary, business cards, building signage, mouse pads, pens, satchels, email signatures, packaging around products or materials supporting training.
- The NRT logo must be depicted on all AQF qualifications and Statements of Attainment. These can only be issued by an RTO when the training delivered is covered by the RTO's scope of registration.
- The NRT logo must not be depicted on transcripts/statements of results.

### Format for Reproduction

- The triangle of the logo is not to be used without the descriptor. The logo and font used are under no circumstances to be altered.
- The complete NRT logo may be varied in size. Although the proportions of the triangle may not be varied. Under no circumstance is the logo to be reproduced in mirror image or be rotated.

### Two Colour Reproduction

Where the NRT logo is reproduced in colour, it must comply with these colour requirements. Deviation from these colours is not permitted, nor are colours to be swapped around or stippled. The only colours to be used are:

- GREEN PMS 343
- RED PMS 192

### One Colour Reproduction

- Where the NRT logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations, the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

### Examples of Logo Reproduction



#### 1.2.5 AQF logo - Conditions of use

The Australian Qualifications Framework (AQF) logo is a distinguishable mark of quality for identifying and promoting AQF qualifications as specified in the AQF.

#### Permission to use the AQF logo

The AQF logo can only be used in association with AQF qualifications.

Authorised issuing organisations and registered providers may use the AQF logo without prior



approval from the Australian Government Department of Education and Training (the Department) on:

- testamurs and graduation statements
- student information, and
- advertising and promotional material.

### Use of the AQF logo on testamurs and graduation statements

For the use of the AQF logo on testamurs and graduation statements, the *Conditions for the use for the Australian Qualifications Framework logo* must be read in conjunction with the *Australian Qualifications Framework Second Edition January 2013*, in particular the full *AQF Qualifications Issuance Policy*.

Either the AQF logo or the words 'The qualification is recognised within the Australian Qualifications Framework' will be used on testamurs or graduation statements for all AQF qualifications as specified in the *AQF Qualifications Issuance Policy*.

The Department's approval is not required for this use by authorised issuing organisations and accrediting authorities, provided the standards are met.

The AQF logo must not be used on:

- Records of results
- Statements of attainment, or
- Testamurs or graduation statements for non-AQF qualifications.

### Use of the AQF logo in other circumstances

The AQF logo may be used in some other circumstances as detailed below. For any use of the AQF logo, the standards must be met.

#### ▪ Student information

Authorised issuing organisations and accrediting authorities may use the AQF logo in any student information about the AQF qualifications that they are authorised to offer or are within their legislated authority. This may include course or institutional brochures, course handbooks and prospectuses.

The AQF logo cannot be associated with education and training that does not lead to an AQF qualification. Any student information which includes the AQF logo must clearly distinguish between AQF qualifications and those which are not AQF qualifications.

The Department's approval is not required for this use by authorised issuing organisations and accrediting authorities, provided the standards are met.

#### ▪ Advertising and promotional information

Authorised issuing organisations and accrediting authorities may use the AQF logo to advertise or promote AQF qualifications that they are authorised to offer or are within their legislated authority. This may include printed documents, the internet or the media (newspaper, journal or television).

The AQF logo cannot be associated with education and training that does not lead to an AQF qualification. If an authorised issuing organisation or accrediting authority is promoting both AQF qualifications and qualifications that do not meet the requirements specified in the AQF, it must be made clear that the AQF logo is not associated with those that are not AQF qualifications. The impression must not be created that may lead an observer to conclude that the AQF logo applies to all education and training provided if this is not the case.



The Department's approval is not required for this use by authorised issuing organisations and accrediting authorities, provided the standards are met.

#### ▪ Corporate use

The AQF logo must not be used by any organisation for corporate use including corporate stationery such as business cards and letterhead; building or other corporate signage; marketing products such as mouse pads, pens, satchels, product packaging; or educational resources used to support teaching and learning.

#### ▪ Standards for the use of the AQF logo

The AQF logo can only be reproduced from electronic copies available from the AQF website.

To preserve the integrity of the logo and maximise its legibility, the following standards apply in all circumstances.

No element of the logo can be altered, moved or changed in any way.

Under no circumstance is the logo to be reproduced in mirror image or be rotated.

#### Shape and wording The AQF logo must:

- consist of both the circular/arrows shape **and** the words 'Australian Qualifications Framework'
- be set in the typeface Gill Sans Light or Gill Sans Regular.

#### Variation in size

The complete AQF logo may be varied in size but the proportions of the circle/arrows and the words in relation to each other may not be varied.

#### Clear space

The minimum clear space required around the logo image is 10mm on all sides. No other graphic or text elements may appear within the clear space.

#### Colour reproduction

The AQF logo must always appear in:

- its principal Pantone spot colours: PMS 144C, 3272C, 258C
- black C and white, or
- reversed out of black

#### Examples of Logo Reproduction





### 1.3 Evidence

- Course Flyers
- Website
- Learner Portal
- Certificates
- Statements of Attainment
- Marketing Materials

### 1.4 Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **October** on an annual basis.

### 1.5 Responsibility

- Chief Executive Officer
- Training Manager



## Section 2: Enrolment

RTOs are responsible for:

- Informing and protecting students (clauses 5.1 – 5.3)
- Protecting pre-paid fees by students (clause 7.3)
- Providing credit for prior studies (clause 3.5)

### Inform and protect students (clauses 5.1 – 5.3)

1. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.
2. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:
  - a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
  - b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
    - ii) estimated duration;
    - ii) expected locations at which it will be provided;
    - iii) expected modes of delivery;
    - iv) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
    - v) any work placement arrangements.
  - c) the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
  - d) the learner's rights, including:
    - i) details of the RTO's complaints and appeals process required by Standard 6; and
    - ii) if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;
  - e) the learner's obligations:
    - i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
    - ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
    - iii) any materials and equipment that the learner must provide; and
  - f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.





## 2.1 Strategy

In order to ensure that learners are adequately informed about the services they are to receive, their rights and obligations and the RTO's responsibilities under these Standards, the RTO will provide learners with information prior to course commencement of services including any third party arrangements affecting the delivery of training and/or assessment. The RTO will provide this information through the following:

- Course Flyer
- Registration Form
- Student Handbook
- Organisational website
- The RTO will provide each learner with a copy of the Course Flyer and Registration Form, which outlines the services the RTO will provide the learner, along with the rights and obligations of the learner and the RTO.

## 2.2 Policy and Procedure Inform and Protect Learners

The RTO has mechanisms in place to ensure that the prospective learner has clear information about the services that will be provided by the RTO prior to course commencement, so that they can make an informed decision to ascertain if the course is suitable for them, considering their existing skills and knowledge and any specific needs.

The following table includes the information provided to the learner and where the learner will be able to access this information.

| Type of information                                    | Publication              |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
|  | Course Flyer             | Registration Form        | Student Handbook         | Website                  |
| Full course code and title                             | <input type="checkbox"/> |                          |                          | <input type="checkbox"/> |
| Venue, length and mode/s of delivery and/or assessment | <input type="checkbox"/> |                          |                          |                          |
| Third Party arrangements (if applicable)               | <input type="checkbox"/> |                          | <input type="checkbox"/> | <input type="checkbox"/> |
| Entry requirements                                     | <input type="checkbox"/> |                          |                          | <input type="checkbox"/> |
| Support Services                                       |                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Course fee information                                 | <input type="checkbox"/> |                          |                          |                          |
| Additional fees, payments and refunds                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| Funding entitlements                                   | <input type="checkbox"/> |                          |                          | <input type="checkbox"/> |
| Consumer rights  |                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Terms & Conditions of Enrolment                        |                          | <input type="checkbox"/> |                          | <input type="checkbox"/> |



### 2.2.1 Course Flyer

Course flyers are distributed to all potential students prior to course commencement and include the relevant information about the training to be offered, as well as course fees that are relevant to the course.

The course flyer includes the following information:

- Code and title of the training product as per training.gov.au
- Currency of the training product
- Estimated duration of training and/or assessment
- List of unit/s of competencies offered within the course
- Entry requirements (if applicable)
- Expected locations at which the training will be provided
- Expected modes of delivery
- Name and contact details of any third party that will provide training and assessment, and support services to the learner on the RTO's behalf
- Any work placement arrangements
- Course fees and charges, including any additional fees
- Legislative and occupational licensing requirements
- Payment and terms and conditions
- Contact details of the RTO
- Delivery and Assessment Mode
- The learner's obligation to repay any VET FEE-HELP debt
- Any entry requirements
- Any materials and equipment the learner must provide
- Any implications on the learner's entitlement to access government funding by undertaking the training and/or assessment

Course information is also available on the website.

### 2.2.2 Student Responsibilities

As a student with Wilson Medic One, you are responsible for your own actions, this includes:

- Complying with the policies and procedures within the Student Handbook
- Participating in all training activities by asking questions and interacting with other students
- Communicating with the Trainer any struggles that you may be having, especially if it will affect your training and assessment.
- Dressing appropriately for the classroom, as if you would dress for your workplace
- Completing all assessment requirements required to determine your competency
- Cooperating with Trainers, Assessors, RTO Staff and Students in the conduct of training and assessment
- Pay all course fees prior to course commencement for Statement of Attainment courses, and deposit for qualification courses or a Purchase Order from your place of employment.
- During training you will participate in all activities, don't jeopardise your own learning by not participating

### 2.2.3 Registration Form

All students are required to complete an enrolment form prior to course commencement to ascertain contact details, Unique Student Identifier, course of interest, emergency contact details, whether there is any recognition of prior learning and to collect the relevant statistical information required for AVETMISS reporting.



The back of the enrolment form outlines the Terms and Conditions of enrolment, including student's rights and responsibilities. Students are required to sign the back of the form to acknowledge their agreement with the RTO's terms and conditions.

A copy of the Registration Form will be supplied to the learner, in line with the Australian Consumer Law requirements, prior to course commencement.

The Training Administration personnel are responsible for ensuring each student has completed an enrolment form prior to course commencement.

Each student is required to complete an enrolment form prior to course commencement. The form is to be signed by the student stating that they agree with the RTO's policies and procedures, as outlined on the back of the enrolment form.

#### 2.2.4 National VET Data Privacy Notice

The Privacy Notice at Schedule 1 of the National VET Data Policy sets out privacy information a student needs to know before they enroll with a registered training organisation (RTO). Wilson Medic One is responsible for providing this Privacy Notice to students as part of the enrolment process.

The Privacy Notice explains how personal information provided by the student may be collected, used or disclosed, together with training activity information. It also assists to establish a student's expectations of how their personal information and training data may be handled.

The Privacy Notice also makes it clear that the Notice is in addition to any other specific requirements RTOs are obligated to provide to their students, for example, under state or territory privacy laws.

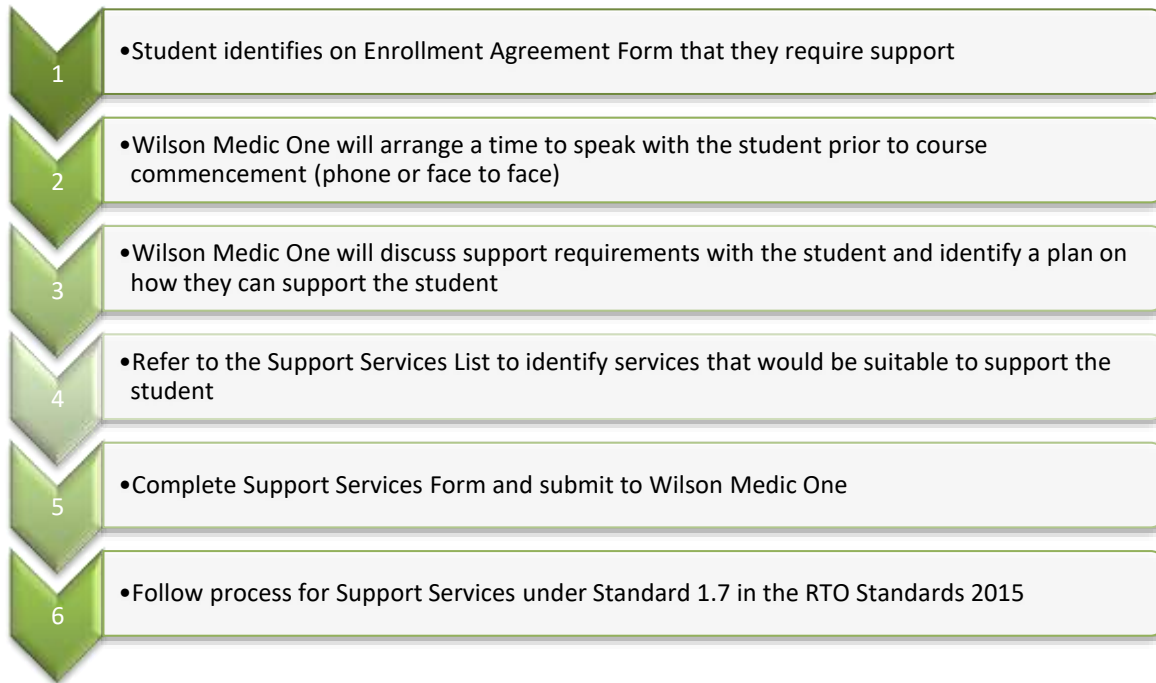
The Registration Form includes the Privacy Notice under the Terms and Conditions.

#### 2.2.5 Enrolment and Selection

1. The student is responsible for notifying Wilson Medic One if they have a medical condition or disability or require assistance in their training.
2. A deposit must accompany enrolment to secure a placement within a course; this fee is also the Administration Fee.
3. It is the student's responsibility to note the date, time and location of the course as advertised.
4. Courses with low enrolments may be cancelled, every effort will be made to contact students, please ensure your contact details are correct.
5. Requests from the student to transfer or credit their course placement due to changed personal circumstances will be considered and every effort will be made to ensure a placement into an alternative course.
6. If you are unable to complete your course due to changed personal circumstances, Wilson Medic One will make every effort to ensure you are placed into an alternative pre-scheduled course.
7. Students can only join after course commencement date if they meet all prerequisites. Full course fees are still payable for late enrolments.
8. The RTO reserves the right to decline admission to a course, terminate a student's enrolment in a class or change a Trainer/Assessor at any time without notice.
9. Students participate in courses involving physical activity; field trips, practical demonstrations etc. and do so at their own risk. The RTO's students are covered by public liability insurance whilst working within the RTO's premises.
10. If a student is identified as having a disability and requiring further support, refer to the Support Services section in this manual.



## 2.2.6 Support Services Process



## 2.3 Evidence

- Course Flyer
- Registration Form
- Student Welcome Presentation
- Student Handbook

## 2.4 Continuous improvement

This standard is reviewed during the month of **November** on an annual basis.

## 2.5 Responsibility

- Chief Executive Officer
- Training Manager



## Inform and protect students (Clauses 5.1 – 5.3) continued.

- 5.3 Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:
- a) all relevant fee information including:
    - i) fees that must be paid to the RTO; and
    - ii) payment terms and conditions including deposits and refunds;
  - b) the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
  - c) the learner's right to obtain a refund for services not provided by the RTO in the event the:
    - i) arrangement is terminated early; or
    - ii) the RTO fails to provide the agreed services.

### 2.6 Strategy

For a client to make an informed decision on course selection and enrolment, the RTO will ensure that clients are provided with the information they need to make that decision.

### 2.7 Policy and Procedure

#### 2.7.1 Course Fees, Payments, Refunds and Certification

- Please refer to the course flyer for information on course fees, including any required deposit; administration fees; materials fees and any other charges (if applicable).
- In line with the RTO's Fee Protection Policy the RTO will not collect more than \$1,500 prior to course commencement.
- Certificates and Statements of Attainment are issued to students who are assessed as competent in the units successfully completed. The cost of the certificates is included in the course fees.
- Refunds may be made in the following circumstances:
  - Participants have overpaid the administration charge
  - Participants enrolled in training that has been terminated by the RTO
  - Participant advises the RTO prior to course commencement that they are withdrawing from the course
  - If the participant withdraws from a course or program prior to course commencement due to illness or extreme hardship as determined by the RTO
  - In the event that the RTO fails to provide the agreed services
- A deposit of no more than \$1,500 is required prior to course commencement; this deposit is to confirm a place in the course. Please refer to the Course Flyer for the deposit amount required.
- No refunds will be issued once the student has commenced the course.
- Students are responsible for the safe storage of their Certificates and Statements of Attainment. If a student requires a reissue of their Certificate or Statement of Attainment, a **certificate re-issue fee of \$55 incl. GST** will be charged.
- The RTO is responsible for issuance of AQF certification documentation within 30 calendar days of course completion.



- If a student is deemed not yet competent on completion of a unit of competency, please refer to the Student Handbook for further details.

### 2.7.2 Cooling Off Period

There is no statutory requirement in Western Australia for a cooling-off period as they are only applicable for unsolicited contracts or agreements. See [www.commerce.wa.gov.au](http://www.commerce.wa.gov.au)

### 2.7.3 Payment Plan

For fees that are more than \$1,500 after the deposit, a payment plan may be offered on application.

A deposit is to be paid prior to course commencement of up to \$1,500.

An example of the payment plan is as follows:

- Initial deposit payment of \$1,000.
- Instalments of \$1,000 on the first of each month until full amount has been paid.

Note: Certificates will not be issued until payment is made in full.

Note: Any payment plan two (2) months overdue will be referred to debt collection and all incomplete course components will be suspended.

### 2.7.4 Consumer Guarantee

Wilson Medic One guarantees that the services provided by the RTO will be:

- provided with due care and skill
- fit for any specified purpose (express or implied)
- provided within a reasonable time (when no timeframe is set for the training).

On the Registration Form the supply of services states when the services will be provided and the date they will be completed. If the Registration Form does not include the dates, i.e. for RPL or on the job training, the RTO guarantees to supply the service within a reasonable timeframe. What is 'reasonable' will depend on the nature of the training and other relevant factors such as the students' ability to complete the training and assessment.

#### What happens if this guarantee is not met?

In the first instance, the student should submit a complaint to the RTO identifying where the RTO has not met its requirements against the Consumer Guarantee. Please refer to the Complaints and Appeals policy for how to submit a complaint.

If a student believes that the RTO has failed to meet one or more of the consumer guarantees, he/she is entitled to a remedy – for example: a refund; a further service to rectify the problem and in some circumstances, compensation for consequential loss. In line with the Complaints and Appeals process, the RTO will provide the appropriate remedy.

If the problem is **minor** and can be fixed, the RTO will choose how to fix the problem.

The consumer cannot cancel and demand a refund immediately as the RTO must have an opportunity to fix the problem. If the complaints process takes too long, the consumer is eligible to cancel the service and request a refund.

In the event of a **major** problem, and the RTO is unable to fix the training service, the consumer can choose to:

- terminate the contract for services and obtain a full refund, or
- seek compensation for the difference between the value of the services provided compared to the price



paid.

A purchased service has a **major** problem when it:

- has a problem that would have stopped someone from purchasing the service if they had known about it
- is substantially unfit for its common purpose, and can't easily be fixed within a reasonable timeframe
- does not meet the specific purpose the consumer asked for and can't easily be fixed within a reasonable timeframe
- creates an unsafe situation.

Wilson Medic One is not required to provide a remedy or refund if a consumer:

- simply changes their mind; decides they do not wish to go ahead with the training or discovers they can buy the training more cheaply elsewhere.

## 2.8 Evidence

- Registration Form
- Student Handbook
- Course Flyers

## 2.9 Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.

## 2.10 Responsibility

- Chief Executive Officer
- Training Manager



## Protecting pre-paid fees by students (clause 7.3)

7.3 Where the RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of \$1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.

### 2.11 Strategy

To comply with the “Requirements for Fee Protection” in Schedule 6 of the Standards for RTOs, this includes fees collected by Third Parties (including by an education agent or broker) and online shopping carts to collect fees online.

### 2.12 Policy and procedure

#### 2.12.1 Fee Protection Policy

Prepaid fees include all fees paid in advance from individual learners and prospective students. These requirements do not apply to employers engaging the RTO to provide training/assessment to its staff.

Fees include **all** fees that the student is required to pay to complete the course, this includes tuition fees.

All student fees will be protected by the Threshold Prepaid Fees policy below.

#### Threshold Prepaid Fee

The RTO requires a minimum deposit, which will not exceed \$1,500 per individual student, prior to course commencement. If the full course fees are below \$1,500, the full fees may be required prior to course commencement.

Following course commencement, full fees will be required to be paid by either a payment plan (if remaining fees are over \$1500), or in full (if the remaining fees are below \$1500) for tuition and other services yet to be delivered.

In order to protect students who prepay course fees in excess of \$1500, the RTO has in place the following policies:

- 1) Students will be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
- 2) The RTO will not collect more than \$1500 prior to course commencement and progress payments will not exceed \$1500 instalments throughout the course.

### 2.13 Evidence

- Registration Form
- Student Handbook
- Course Flyers

### 2.14 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of November on an annual basis.





## 2.15 Responsibility

- Chief Executive Officer
- Training Manager



## Providing credit for prior studies (clause 3.5)

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

- AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or
- authenticated VET transcripts issued by the Registrar.

### 2.16 Strategy

The RTO has in place a credit transfer policy and procedure to ensure that all students are advised that they are eligible to apply for credit transfer for units or modules where evidenced by AQF certification documentation or an authenticated VET transcript (unless licensing or regulatory requirement prevent this).

### 2.17 Policy and Procedure Credit Transfer

AQF Certifications issued by other Registered Training Organisations (RTO) are recognised by Wilson Medic One, this enables individuals to receive national recognition of their achievements.

To apply for a credit transfer, the student is required to complete the following steps prior to course commencement:

- Complete the “Credit Transfer Application Form”
- Attach a certified copy of the authenticated VET transcript from the other RTO and highlight the units you wish to have applied to your current enrolment
- Submit completed “Credit Transfer Form” and VET transcript to the RTO
- Units are verified on [www.usi.gov.au](http://www.usi.gov.au), only applicable if student completed the units after 1 January 2015
- The **RTO** in consultation with relevant Assessor will review and confirm whether student is eligible for Credit Transfer (CT)
- If the student is eligible, the result of CT should be applied to the unit within the Learner Portal
- The **RTO** to advise the student in writing of the outcome of the credit transfer application:
  - Student is eligible for CT and the result has been entered into the Learner Portal
  - Student is not eligible for CT and the reason why

Authenticated copies are to be certified by a Justice of the Peace or someone within the RTO who has sighted the original document and authenticated that they have “sighted the original document and that this is a true and correct copy of the original document”.

### 2.18 Evidence

- Registration Form
- Student Handbook
- Credit Transfer Form



### 2.19 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **November** on an annual basis.

### 2.20 Responsibility

- Chief Executive Officer
- Training Manager



## Section 3: Support and progression

RTOs are responsible for:

- Supporting learners (Clause 1.7)
- Keeping learners informed (Clause 5.4)
- Managing complaints and appeals (Clauses 6.1-6.6)

### Supporting students (clause 1.7)

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

#### 3.1 Strategy

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

- **Registration Form**

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

- **LLN Assessment Quiz**

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

- **Training Needs Analysis**

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

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

#### 3.2 Policy and procedure

##### 3.2.1 Target Group Needs

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

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



Required support services will be identified through the following methods:

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

All identified needs will be included in the TAS.

### 3.2.2 Identify Client Needs

Wilson Medic One caters to a diverse range of learner's needs and aims to identify and respond to these needs for all students. Students are encouraged to express their views about their learning needs at all stages of their learning experience, from the initial counselling and enrolment stage through to completion of their training.

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

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

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

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

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

- Registration Form
- LLN Assessment Quiz
- Industry Consultation
- Training Evaluation
- Complaints and Appeals
- Opportunity for Improvement
- Quality Indicator Surveys

If a staff member identifies that a student needs additional support, they are to contact the Training



Manager and discuss strategies to meet the student needs.

For further information on how to access referral services or how to provide further support for a student.

If an adjustment to training is required the trainer should complete a Training Adjustment Form.

### 3.2.3 Assessing the Students Suitability

#### Full Qualifications

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

1. Potential student to complete the Registration Form, which includes questions to the student on their suitability for enrolment into the course of choice
2. The course flyer outlines the minimum entry requirements that the student must meet to enter the course, including any pre-requisites, age restrictions or required skills and knowledge
3. The RTO will identify the student suitability to commence the course, this includes:
  - LLN Assessment
  - Physical Ability
  - Suitability Checklist
4. Students who do not hold a minimum qualification from an Australian institution will be required to complete an LLN Assessment activity (for single units – prior to course commencement), so that the RTO can determine the level of support the student may need.
5. If required, an interview can be held with the individual candidate by the Training Manager or Training Coordinator to discuss course requirements further.

#### Single Units

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

1. Potential student to complete the Registration Form, which includes questions to the student on their suitability for enrolment into the course of choice
2. The course flyer outlines the minimum entry requirements that the student must meet to enter into the course, including any pre-requisites, age restrictions or required skills and knowledge
3. Trainer will monitor the student throughout their training.



### 3.2.4 Language, Literacy and Numeracy Procedure

This policy outlines Wilson Medic One's practice to identify and assist Vocational Education and Training (VET) students that have language, literacy, and numeracy challenges.

**Definition of “RTO”** – Wilson Medic One trades under Wilson Group. For this Policy, any reference to ‘school’ or ‘RTO’ should be considered a reference to each or any of these respective trading names.

**Use of the term “Course”**– for the purposes of this policy, the term course should be considered identical with the terms “training package”, “qualification” and “accredited course”.

#### Policy Scope:

- Locations delivering VET courses
- VET Students
- VET Staff
- Admissions
- Student Services Staff

#### Policy Statement

The term ‘language, literacy and numeracy’ refers to five core skills: learning, reading, writing, oral communication and numeracy. These five core skills have been identified by the Australian Core Skills Framework (ACSF) as the essential skills for individuals to hold to participate effectively in society including the workplace and the education sector. It is essential that VET students have the language, literacy, and numeracy (LLN) skills sufficient to successfully participate in training and assessment in the Vocational Education and Training (VET) sector. It is also essential that students have sufficient LLN skills at the completion of their training and assessment to work successfully in the chosen vocation. VET staff need to be aware of the LLN skills of a student; the LLN requirements of each course; and the industry’s expectation of LLN skills of its workforce to develop appropriate delivery and assessment materials. Therefore, as a responsible Registered Training Organisation (RTO), Wilson Medic One needs to identify each student’s LLN levels; provide information to students about their LLN levels and inform students how their levels compare to the LLN levels required by a VET course.

#### Language, Literacy & Numeracy Levels

LLN levels are reference numbers given to a student’s performance and/or a Training Package in each of the 5 core skills: learning, reading, writing, oral communication, and numeracy. These levels have been developed by the ACSF. The reference numbers describe the degree of LLN skills performed by a student or what the student needs to demonstrate as per course requirements. The reference numbers range from 1 to 5 and only reflect skills at that point of time. Each level describes the amount of support used by the person to complete the task; how familiar they are with a task; how difficult text is within the task; and how complex the task is itself. The RTO will adopt the ACSF levels in its practices to ensure that Wilson Medic One is in alignment with nationally recognised LLN specifications



ACSF Performance Variables Grid

| ACSF Performance Variables Grid |  |   |   |  |
|---------------------------------|--|---|---|--|
|                                 | SUPPORT  | CONTEXT   | TEXT COMPLEXITY   | TASK COMPLEXITY  |
| 1                               | <ul style="list-style-type: none"> <li>Works alongside an expert/mentor where prompting and advice can be provided</li> </ul>              | <ul style="list-style-type: none"> <li>Highly familiar contexts</li> <li>Concrete and immediate</li> <li>Very restricted range of contexts</li> </ul>                                     | <ul style="list-style-type: none"> <li>Short and simple</li> <li>Highly explicit purpose</li> <li>Limited, highly familiar vocabulary</li> </ul>  | <ul style="list-style-type: none"> <li>Concrete tasks of 1 or 2 steps</li> <li>Processes include locating, recognising</li> </ul>  |
| 2                               | <ul style="list-style-type: none"> <li>May work with an expert/mentor where support is available if requested</li> </ul>                   | <ul style="list-style-type: none"> <li>Familiar and predictable contexts</li> <li>Limited range of contexts</li> </ul>  | <ul style="list-style-type: none"> <li>Simple familiar texts with clear purpose</li> <li>Familiar vocabulary</li> </ul>   | <ul style="list-style-type: none"> <li>Explicit tasks involving a limited number of familiar steps</li> <li>Processes include identifying, simple interpreting, simple sequencing</li> </ul>                                   |
| 3                               | <ul style="list-style-type: none"> <li>Works independently and uses own familiar support resources</li> </ul>                              | <ul style="list-style-type: none"> <li>Range of familiar contexts</li> <li>Some less familiar contexts</li> <li>Some specialisation in familiar/known contexts</li> </ul>                 | <ul style="list-style-type: none"> <li>Routine texts</li> <li>May include some unfamiliar elements, embedded information and abstraction</li> <li>Includes some specialised vocabulary</li> </ul> | <ul style="list-style-type: none"> <li>Tasks involving a number of steps</li> <li>Processes include sequencing, integrating, interpreting, simple extrapolating, simple inferencing, simple abstracting</li> </ul>             |
| 4                               | <ul style="list-style-type: none"> <li>Works independently and initiates and uses support from a range of established resources</li> </ul> | <ul style="list-style-type: none"> <li>Range of contexts, including some that are unfamiliar and/or unpredictable</li> <li>Some specialisation in less familiar/known contexts</li> </ul> | <ul style="list-style-type: none"> <li>Complex texts</li> <li>Embedded information</li> <li>Includes specialised vocabulary</li> <li>Includes abstraction and symbolism</li> </ul>                | <ul style="list-style-type: none"> <li>Complex task organisation and analysis involving application of a number of steps</li> <li>Processes include extracting, extrapolating, inferencing, reflecting, abstracting</li> </ul> |
| 5                               | <ul style="list-style-type: none"> <li>Autonomous learner who accesses and evaluates support from a broad range of sources</li> </ul>      | <ul style="list-style-type: none"> <li>Broad range of contexts</li> <li>Adaptability within and across contexts</li> <li>Specialisation in one or more contexts</li> </ul>                | <ul style="list-style-type: none"> <li>Highly complex texts</li> <li>Highly embedded information</li> <li>Includes highly specialized language and symbolism</li> </ul>                           | <ul style="list-style-type: none"> <li>Sophisticated task conceptualisation, organisation and analysis</li> <li>Processes include synthesising, critically reflecting, evaluating, recommending</li> </ul>                     |





### Provide First Aid

- Achievement of competency in Exit Level 2 score and working at Level 3 within the Australian Core Skills Framework assessment in Literacy and Numeracy.

### Certificate II Medical Service First Response

- Achievement of competency in Exit Level 3 score and working at Level 4 within the Australian Core Skills Framework assessments in Literacy and Numeracy.

### Certificate III in Non-Emergency Patient Transport

- Achievement of competency in Exit Level 3 score and working at Level 4 within the Australian Core Skills Framework assessments in Literacy and Numeracy.

### Certificate IV Health Care

- Achievement of competency in Exit Level 3 score and working at Level 4 within the Australian Core Skills Framework assessments in Literacy and Numeracy.

### Certificate IV Health Care to Diploma of Emergency Health Care

- Achievement of competency in Exit Level 3 score and working at Level 4 within the Australian Core Skills Framework assessments in Literacy and Numeracy.

### Diploma of Emergency Health Care

- Achievement of competency in Exit Level 3 score and working at Level 4 within the Australian Core Skills Framework assessments in Literacy and Numeracy.

| Learning Level   | Reading Level | Writing Level | Oral Communication Level | Numeracy Level | Pre-requisite Qualification   |
|--|---------------|---------------|--------------------------|----------------|---|
| <b>HLT51020 Diploma of Emergency Health Care</b>                   | 4             | 4             | 4                        | 3              | Australian Year 12 or AQTF Level 4 or higher or; Successful completion of LLN Robot Level 3                 |
| <b>HLT41120 Certificate IV in Health Care</b>                      | 4             | 3             | 3                        | 2              | Australian Year 12 or AQTF Level 2 or higher or; Successful completion of LLN Robot Level 3                 |
| <b>HLT31120 Certificate III in Non-Emergency Patient Transport</b> | 3             | 3             | 3                        | 2              | Australian Year 10 or AQTF Level 2 or higher or; Successful completion of LLN Robot Level 3                 |
| <b>HLT21120 Certificate II Medical Service First Response</b>      | 2             | 2             | 2                        | 1              | Australian Year 10 or; AQTF Level 2 or higher or; Successful completion of LLN Robot Level 3                |
| <b>HLTAID009-<br/>HLTAID015</b>                                    | 2             | 1             | 2                        | 1              | Completion of enrolment form in classroom, reading and answering in handwritten format, enrolment questions |
| <b>HLTPAT005 Collect Specimens for drugs of abuse testing</b>      | 3             | 3             | 2                        | 1              | Australian Year 10 or; AQTF Level 2 or higher OR; Successful completion of LLN Robot Level 3                |

As presented in the table on the previous page, Wilson Medic One has constructed an independent and strategic LLN assessment plan that represents the requirements needed for each course the RTO offers prospective students. The RTO will, for those students not meeting the RTO's LLN levels of their enrolled qualification, identify them as 'at risk'. At risk students are those that are at jeopardy of not successfully completing the qualification in the predicted timeframes. The RTO will not exclude 'at risk' students from the course but offer support for the student can achieve their highest educational potential at the Wilson Medic One.



## Language, Literacy & Numeracy Assessment

LLN assessment will be implemented by the RTO on VET courses and students. Assessment of VET courses will identify the learning, reading, writing, oral communication and numeracy skills required by the VET sector for successful study and the relevant industry requirements. The levels identified the Training Package will be used by the RTO to develop suitable training and assessment materials. It will also be used as one of the RTO's benchmarks to identify students at risk.

## Methods used to identify Language Literacy and Numeracy Levels

The methods used by Wilson Medic One to identify Language, Literacy and Numeracy needs of students are as follows:

- Written Language, Literacy and Numeracy Assessment Screening Tool.
- Discussion with the student about prior education and experience.
- Records of previous skills, education, and training.
- Combination of above.

## Conducting Assessment

- The initial Language, Literacy and Numeracy screening is to be conducted at the time of enrolment.
- The Literacy and Numeracy Screening Tool is to be used in the case of all students undertaking a VET qualification under the VET Quality Framework.
- If the initial screening identifies any concerns that the trainer/assessor believes would impact the student in completing their course, and that the trainer/assessor is unable to make reasonable adjustment for, a further assessment of Language, Literacy and Numeracy will be advised to be completed by a qualified Language, Literacy and Numeracy professional.

## Assessment Screening Tool

LLN Robot

<https://www.llnrobot.com.au/>

Wilson Medic One's chosen LLN screening tool:

- Offers prospective students an online LLN assessment to test the learners' LLN levels.
- The LLN Robot analyses the Australian Core Skills Framework (ACSF) levels of each course.
- The system compares learner results with the ACSF levels of each course.
- The LLN Robot generates individualised LLN Training Programs & Supplements for learners.

The assessment will be used as a tool so students can self-identify their language, literacy and numeracy skills strengths and weakness and compare their results with the Training Package LLN requirement established by the RTO. Self-evaluation aims to increase student engagement and ownership of their learning.

## Modification of Delivery and Assessment Strategies for Students with LLN Challenges

If it is identified that a student requires additional support that can be carried out by the staff at Wilson Medic One, the following process must be followed:

- The student will be advised that there may be a concern over an area that may prevent them from effectively completing the course.
- The trainer is to consult with the student on a more suitable mode of training delivery and/or assessment process.
- The trainer is to identify the material to be adapted and make the necessary changes.
- Specifically, depending on the vocation training area, methods may include but are not limited to employing more demonstrational activities.
- Offering additional assistance on an individual basis.
- Providing more visual/diagrammatic learning material.
- Using verbal rather than written questioning for assessment.



## Support Services

Within the Judgement Record the RTO staff are to record any counselling they may have undertaken with a student, including any discussion about providing extra support or referral to the Support Services.

In this document you should include any of the following:

- Discussions raised by students that may be of a concern, this may have been during class or individually
- Referrals to other Support Services that may have been advised or discussed with the student.
- Any discussion on disabilities that the student has disclosed, whereby they may need further assistance
- Discussions on any adjustments to training that may be required to meet student needs.

You may also complete a Training Adjustment Plan following this meeting to identify a strategy to assist the student. See procedure below for the **Training Adjustment Plan**.

Discussions on Language Literacy and Numeracy and referral to third parties upon completion of the Support Services Form the staff member should submit this form to the Training Manager and arrange a time to discuss the student needs with the Training Manager or other senior management.

## Intervention Plan Form

The Intervention Plan Form will be documented in writing by the Trainer in liaison with the Training Manager and a signed copy of the “*Intervention Plan Form*” will be provided to the student. This will be in the form of a hard copy and via email.

This will include:

- Discussion of progress
- Identified areas requiring improvement
- Action areas for improvement
- Articulation of goals and strategies

During the consultation, the focus of discussion may be on:

- Key weaknesses in skills development
- The skill areas and specific sub-skills requiring improvement and tasks to support the development of these skills.

The Training Manager will explain to the student that due to these areas of weakness the student is at risk of failing the course and that the intervention strategy is an enabling process designed to assist the student. The Trainer is required to document this discussion and the plan for improvement. The student will also sign the Intervention Plan Form as an acknowledgement of understanding and a commitment to co-operate. The Trainer may consult with the Training Manager to articulate strategies, particularly in complex situations.

A written record of the Intervention Plan and discussion must be maintained in the Student File and a record noted on the Database (AXCELERATE).

A range of intervention strategies will be used, which include but are not limited to:

- The trainer is to consult with the student on a more suitable mode of training delivery and/or assessment process.
- The trainer is to identify the material to be adapted and make the necessary changes.
- Specifically, depending on the vocation training area, methods may include but are not limited to employing more demonstrational activities.
- Offering additional assistance on an individual basis.
- Providing more visual/diagrammatic learning material.
- Using verbal rather than written questioning for assessment.

The implementation of intervention strategies may occur earlier in the course as part of proactive measures



taken to counsel students.

The Trainer and the Training Manager will monitor the student's progress regularly following the implementation of the Intervention Plan.

### 3.2.9 Training Adjustment Plan

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

1. Adjustment requirement identified with student
2. Discuss a plan for adjusting training to meet student needs with Training Manager
3. Complete a **Training Adjustment Plan**
4. Review Training Adjustment Plan with student and update, if required.
5. Submit Training Adjustment Plan to Training Manager for approval
6. Implement and monitor Training Adjustment Plan

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

### Language, Literacy & Numeracy Strategies

The RTO acknowledges its responsibility to support students identified as 'at risk' within the scale and scope of its operations. The LLN strategy to provide this support is to recommend individual and/or a group to assistance to improve the language, literacy, and numeracy skills. The following strategies may be implemented by the RTO based on the individual needs of the student:

- Provision of concurrent assistance.
- Planning teaching.
- Provision of a mentor or coach.
- Modifying learning materials where appropriate that do not compromise the integrity of the assessment.
- Referral to external agencies for literacy and numeracy courses.
- Providing flexibility in learning and assessments delivery modes, scheduling, and access to support services.
- One-on-one tutoring if appropriate.

### Recommended External Agencies and Resources

The RTO may also support the student by recommending external agencies and resources that can assist students:

The Reading Writing Hotline

The Reading Writing Hotline (the Hotline) provides a national service for adults seeking English language, literacy and numeracy information, advice, and support. The Hotline provides information on:

- Adult reading, writing and numeracy classes held locally across Australia or via correspondence.
- Becoming a literacy volunteer.
- Adult LLN teaching and learning resources.
- Commonwealth-funded programs for Centrelink clients.
- Commonwealth-funded English as an additional language program for migrants.
- Literacy and numeracy in the workplace for employers.

Further information is available at the Reading Writing Hotline website:

<https://www.readingwritinghotline.edu.au>

or phone 1300 6 555 06.



## Commonwealth

The Australian government provides a wide variety of assistance programs to adults in literacy and numeracy which MAY include:

- Free English lessons.
- Programs to improve basic speaking, reading, writing and math skills.
- Practitioner scholarships.

Further information is available at their website

<https://info.australia.gov.au/information-and-services/education-and-training/literacy-and-numeracy>

The Australian Federation of SPELD Associations

The Australian Federation of SPELD Associations (AUSPELD) provides support to people with specific learning disabilities, such as dyslexia, and those who care for, teach and work with them. They assist people through the dissemination of information, advocacy, research and support. Further information is available at the AUSPELD website <http://auspeld.org.au> or phone (08) 9217 2500.

## Complex Terminology

Where it is a requirement of a unit of competency, qualification, and/or industry that learning outcomes, required skills and/or knowledge may require specific language and terminology, the RTO will implement appropriate strategies such as 'Medical Terminology' workshops during each course.

## English as a Second Language (ESL)

Wilson Medic One recognises that LLN and ESL are not identical however they can be co-existing matters and English as a Second Language should be considered in LLN matters.

## Related Procedures

### Language, Literacy and Numeracy Procedure

#### Definitions:

- Language, literacy, and numeracy - The term 'language, literacy and numeracy' (LLN) refers to five core skills, learning, reading, writing, oral communication, and numeracy. These core skills are required by an individual for educational studies, community participation, and/or meet workplace requirements.
- Language, literacy, and numeracy level – The LLN level is a reference number given to a performance level ranging from 1 (lowest performance level) to 5 (highest performance level). The level can be used to describe an individual's LLN skill and/or to describe the LLN skills required by the Training Package or Course.
- Student – is an individual person who is formally enrolled to study at Wilson Medic One. The individual person is that who appears on the RTO's documents such as enrolment, admission, and payment documents, and who is assigned an individual student ID.

## 3.3 Evidence

- Registration Form
- Training and Assessment Strategy
- Student Handbook
- Trainers Handbook
- Training Needs Analysis Form
- Intervention Plan Form
- Training Adjustment Plan
- Opportunity for Improvement Register



### 3.4 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **February** on an annual basis.

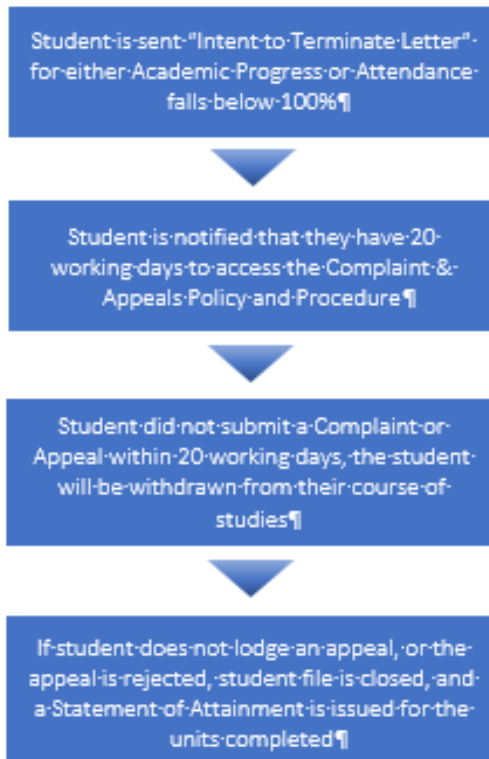
### 3.5 Responsibility

- Chief Executive Officer
- Senior Management
- Trainers and Assessors



## Monitoring and intervention process









## Keeping students informed (clause 5.4)

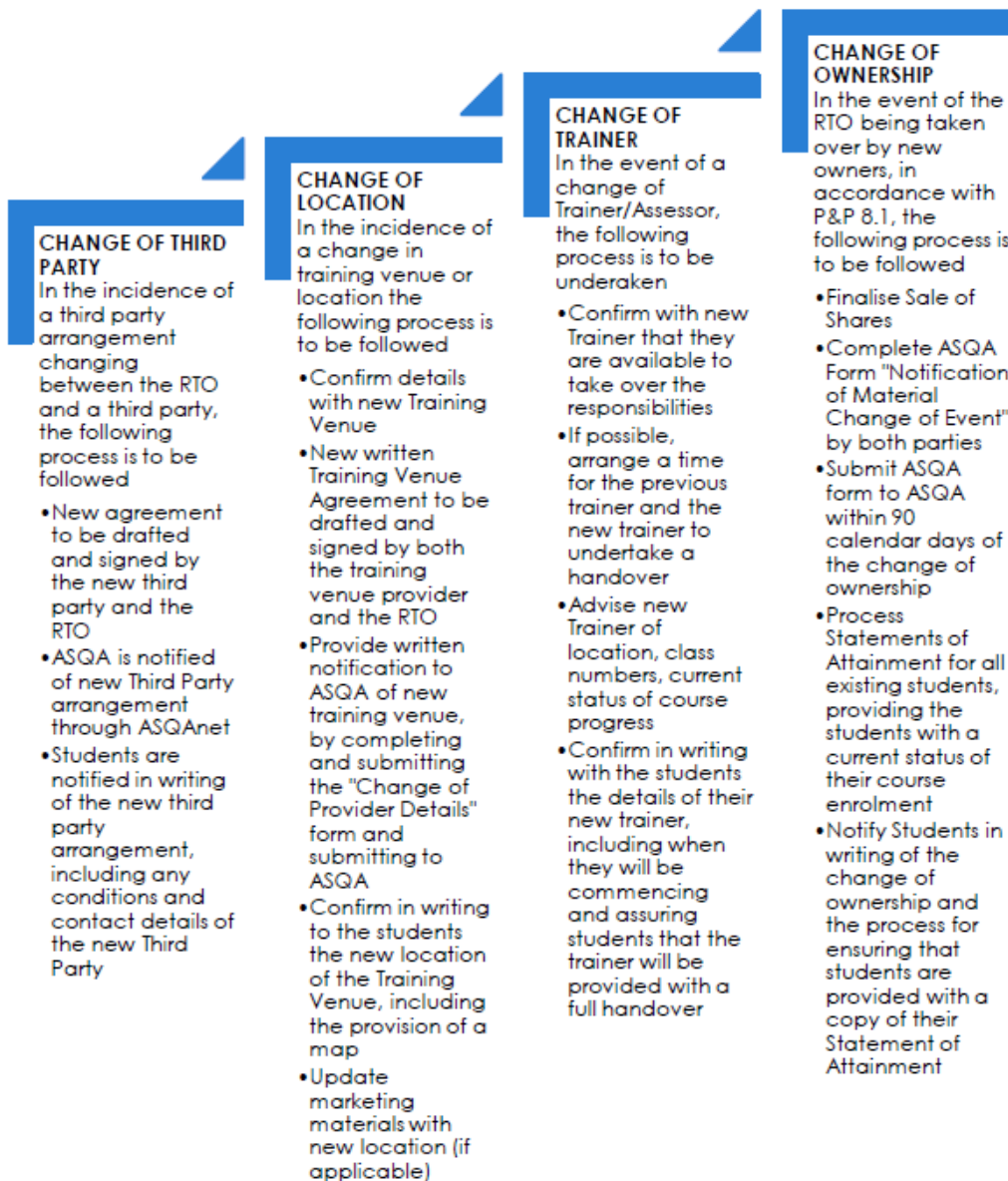
5.4 Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third party arrangements.

### 3.6 Strategy

In order to ensure that clients are advised in writing of any changes to agreed services prior to those services changing.

### 3.7 Policy and procedure Changes to Agreed Services

Where there are any changes to the agreed services that will affect the learner, including in the event of Wilson Medic One closing down, the RTO will advise the learner in writing within 10 business days of the event. This includes changes to any new third-party arrangements or a change of ownership or any changes to existing third party arrangements.



### 3.8 Evidence

- Student Handbook
- Course Flyers

### 3.9 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **February** on an annual basis.

### 3.10 Responsibility

- Chief Executive Officer
- Training Manager



## Managing complaints and appeals (clauses 6.1 to 6.6)

- 6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:
- the RTO, its trainers, assessors or other staff;
  - a third-party providing services on the RTO's behalf, its trainers, assessors or other staff; or
  - a learner of the RTO.
- 6.2 The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third-party providing services on the RTO's behalf.
- 6.3 The RTO's complaints policy and appeals policy:
- ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
  - are publicly available;
  - set out the procedure for making a complaint or requesting an appeal;
  - ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
  - provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.
- 6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
  - regularly updates the complainant or appellant on the progress of the matter.
- 6.5 The RTO:
- securely maintains records of all complaints and appeals and their outcomes; and
  - identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.
- 6.6 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

### 3.11 Strategy

The RTO will ensure that all grievances are dealt with in a timely and fair manner by utilising a mechanism to allow students and staff to submit a complaint through the Complaints and Appeals process. This mechanism is outlined within the Feedback, Grievances, Appeals and Complaints Policy. A clear process for submitting a complaint is included within the Student Handbook and the Trainers Handbook.

### 3.12 Policy and procedure

#### 3.12.1 Complaints Policy

Staff and students have the right to submit a complaint if they wish to express discontent against another person or a complaint against the RTO's process or system. To ensure that complaints are dealt with in a timely manner, Wilson Medic One have implemented a complaints process.



This policy and procedure is relevant to all grievances arising in the following areas:

- a) Student wishes to raise a complaint against another student
- b) Student wishes to raise a complaint against the RTO
- c) Student wishes to raise a complaint about a Third Party
- d) RTO staff wishes to raise complaint about a Third Party
- e) Staff wishes to raise a complaint about another staff member or a student

## Complaints Process

If a student, trainer or staff member is experiencing any difficulties, they are encouraged to discuss their concerns with Senior Management. RTO administrative staff will make themselves available at a mutually convenient time if a student wishes to seek assistance.

If a student or Staff member wishes to make a formal complaint, they are required to complete a Feedback, Grievances, Appeals and Complaints Policy, which is included in the Student and Trainers Handbook. Once the form has been completed, the form should be submitted to the **Training Manager** for actioning.

If required, the student has the right to have a third party/support person assist them through the Complaints Process, this may be due to language barriers or simply at the students' request.

Following is the process for managing complaints:

1. Formal complaint is received from the complainant to the RTO
2. If not already submitted with the complaint, the form contained within the Feedback, Grievances, Appeals and Complaints Policy is to be completed and submitted to the Training Manager
3. A written acknowledgement of receipt of the Complaints and/or Appeal will be forwarded to the complainant following receipt by the Training Manager within 5 business days
4. The Complaint is discussed with ALL parties involved in the grievance, and ALL parties are notified in writing of the complaint, which will ensure the requirements of natural justice and procedural fairness are met
5. Grievances must be kept confidential to protect the complainants
  - a) The Training Manager is to follow the process on the Feedback, Grievances, Appeals and Complaints Policy form
  - b) An initial meeting is to be held within 10 business days
  - c) If further investigation is required, this should be completed within 60 calendar days
6. Each appellant:
  - a) Has an opportunity to formally present his or her case
  - b) Is given a written statement of the complaint outcomes, including reasons for the decision
7. If the Complainant wishes to appeal the Complaint outcome, the student can bring the complaint before senior management for resolution, agreeable to all parties.
8. If Senior Management is party to the grievance, they will not take part in any discussions or decisions made and the appeal will be referred to the CEO.
9. If a solution has not been reached to the benefit of all parties the complainant has the right to request a review by an independent party, who is not part of the RTO
10. The RTO is responsible for acting upon the subject of any complaint found to be substantiated.
11. Feedback, Grievances, Appeals and Complaints Policy forms received are to be entered onto the



## Complaints and Appeals Register

12. If the RTO determines that the complaint process cannot be finalised within 60 calendar days, the Training Manager will:
- Confirm this in writing to the complainant, including reasons why more than 60 calendar days is required
  - Will regularly update the complainant or appellant on the progress of the matter

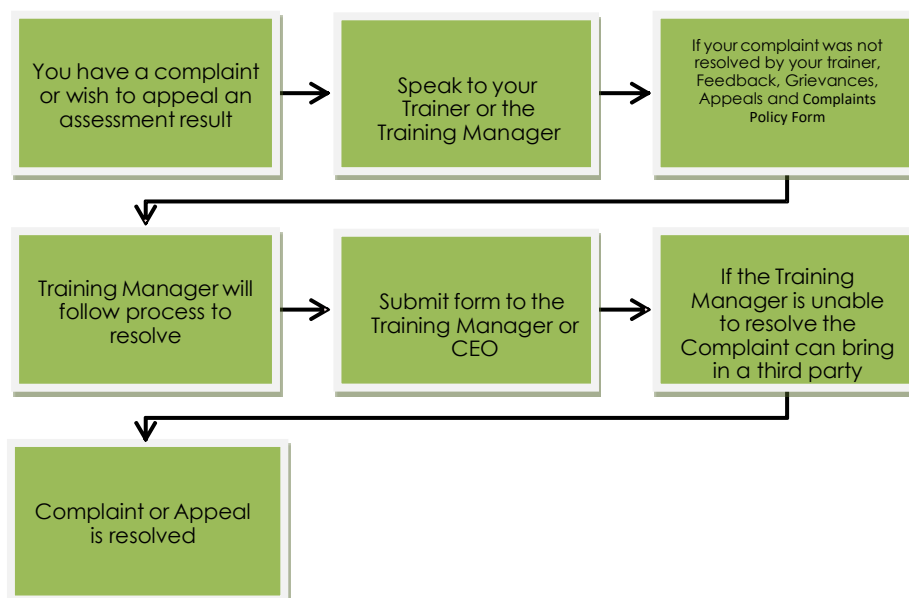
Feedback, Grievances, Appeals and Complaints Policy forms are to be actioned by the appropriate staff member and filed into the Complaints and Appeals Register and a scanned copy saved onto the student file in the database.

Should you disagree with the result of the appeal by the RTO, you can lodge a complaint to:

- National Training Complaints Hotline (<https://www.education.gov.au/NTCH>)  
Phone: 13 38 73, Monday–Friday, 8am to 6pm nationally.  
Email Complaints: <https://www.education.gov.au/email-complaints>
- NSW – Office of Fair Trading (<http://www.fairtrading.nsw.gov.au>).
- QLD – Fair Trading Queensland (<https://www.qld.gov.au/law/fair-trading/>)
- SA – Consumer and Business Services SA (<http://www.cbs.sa.gov.au>)
- TAS – Consumer Affairs and Fair Trading (<http://www.consumer.tas.gov.au/>)
- VIC – Consumer Affairs Victoria (<https://www.consumer.vic.gov.au/businesses/fair-trading>)
- WA – Consumer Protection Western Australia (<https://www.commerce.wa.gov.au/consumer-protection>)
- NT – Consumer Affairs Northern Territory (<http://www.consumeraffairs.nt.gov.au/Pages/default.aspx>)

There is no cost involved with lodging a complaint with Wilson Medic One.

### Complaints and Appeals Flowchart





### 3.12.2 Assessment Appeals Policy

The student has the right to appeal on an assessment result if they believe that the result given was unfair or unjustified.

This includes Appeals arising in the following areas:

- a) Student disagrees with the result given by their Assessor (including Third Party)
- b) Student wishes to have their result reviewed by another Assessor
- c) Student wishes to be re-assessed for the same unit
- d) Student believes that they were discriminated against by the Assessor

### Assessment Appeals Procedure

All students have the right to appeal any assessment decision made by the RTO if they:

- Believe that the assessment is invalid and/or
- Feel that the process was invalid, inappropriate or unfair

Before making an appeal, we ask that you discuss the matter with your Trainer/Assessor to reach a decision.

If you are still not happy, you are then entitled to lodge a formal Appeal by completing an “Complaints and Appeals Form” within 7 days of the initial discussion. Once a formal appeal is lodged a new Assessor will be appointed to resolve the appeal. Any decision recommended by this party is not binding to either party in the dispute.

You have the right to a support person to be involved at all times during the appeal process.

Following is the process submitting an Appeal:

1. Student receives a result for an assessment task of which they do not agree with the result
2. Student completed a Complaints and Appeals Form
3. The Complaints and Appeals Form is submitted to the Training Manager
4. A written acknowledgement of receipt will be forwarded to the student confirming receipt of the Complaints and Appeals Form
5. The Training Manager will consult with the trainer/assessor and student individually
6. The Training Manager is to follow the process on the Complaints and Appeals Form for the process under “Recommend Action Required for Improvement”
7. An initial meeting should be held within 10 business days
8. The student will be advised of the outcome of this consultation process within 15 business days of the dispute being lodged
9. All Feedback, Grievances, Appeals and Complaints Policy forms received are to be entered onto the Complaints and Appeals Register

### 3.13 Evidence

- Feedback, Grievances, Appeals and Complaints Policy Form
- Complaints and Appeals Register



### 3.14 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.

### 3.15 Responsibility

- Chief Executive Officer
- Training Manager



## Section 4: Training and assessment

RTOs are responsible for:

- Implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 – 1.4)
- Engaging with industry (Clauses 1.5 – 1.6)
- Conducting effective assessments (Clauses 1.8 – 1.12)
- Employing skilled trainers and assessors (Clauses 1.13 – 1.16)
- Providing supervision of trainers and assessors (Clauses 1.22 – 1.24)
- Engaging independent validators to conduct the quality reviews or training and assessment qualifications (Clause 1.25)
- Managing transitions from superseded training products (Clauses 1.26 – 1.27)

### Implementing, monitoring and evaluating training and assessment strategy practices

(Clauses 1.1 – 1.4)

1. The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.
2. For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:
  - a) the existing skills, knowledge and the experience of the learner;
  - b) the mode of delivery; and
  - c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.
3. The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:
  - a) trainers and assessors to deliver the training and assessment;
  - b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
  - c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
  - d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.
4. The RTO meets all requirements specified in the relevant training package or VET accredited course.

#### 4.1 Strategy

The RTO identifies, negotiates, plans and implements appropriate training and assessment strategies and practices to meet the needs of each of its clients, in consultation with industry, as well as the appropriate Training Product and the requirements of the Australian Qualifications Framework (AQF) for the appropriate AQF level requirements.

#### 4.2 Policy and procedure

##### 4.2.1 Training and assessment strategy

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

When developing or revising a Training and Assessment Strategy, the RTO engages with industry and





students through consultation via meetings, surveys, attendance at industry seminars and employer feedback. This ensures that the training and assessment strategies and practices adopted are relevant to the identified needs of industry and the RTO's clients.

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

|   |  |
|---|--|
| <b>Training product</b>   | Clearly identifying the training product, the strategy relates to, including the code and full title to ensure this is clear.  |
| <b>Core and elective components (full qualifications)</b>       | If delivering a full qualification, identified core and elective components in accordance with the structure defined in the training package or course. Define which elective units or modules are being offered so the RTO can properly plan for all delivery variables. Identify any entry requirements, as well as pre-requisite and co-requisite units, and the sequencing of delivery and assessment.   |
| <b>Target Audience</b>  | Existing skills, knowledge and experience of learners.   |
| <b>Mode of delivery</b>   | Identified how the training and assessment is to be delivered—face-to-face, online, through workplace training or a mixture of different modes.  |
| <b>Entry requirements</b>                                       | Identified any mandatory requirements for learners commencing the program, such as qualifications that must be held or periods of industry experience, any areas where learners may need additional support (e.g., if they have low English levels) and identify whether learners' physical attributes may influence their ability to complete the training and assessment (e.g. if heavy lifting is required).  |
| <b>Duration and scheduling</b>                                  | Analyse the nature of the learner cohort. Use the analysis and any specific requirements of the training product to determine how the RTO will schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed.   |
| <b>Assessment resources, methods and timing</b>                 | Training package and VET accredited courses often specify resources that must be used in assessment at a unit of competency level. The TAS includes details of how the RTO will ensure learners have access to the resources that will give them the best chance of completing their study.<br>Identify: <ul style="list-style-type: none"> <li>▪ assessment resources</li> <li>▪ assessment methods to be used</li> <li>▪ timing of assessment, and</li> <li>▪ any adjustments that may be needed to cater for different learner characteristics.</li> </ul>                          |
| <b>Learning resources</b>                                       | To ensure learners are able to obtain and absorb the required knowledge and skills prior to assessment, the RTO has carefully chosen and planned the learning resources we will use to guide them.   |
| <b>Human resources</b>  | The Staff Matrix identifies the human resources available to deliver the training product, this is recorded at the unit of competency level to ensure any specific requirements are met, and to allow the RTO to deploy staff efficiently.   |
| <b>Physical resources</b>                                       | Compare the physical resources required to deliver a training product with the resources available to the RTO. Many units of competency include detailed specifications of resources required, so conducting this analysis at a unit of competency level ensures these requirements are met.   |
| <b>Strategies for 'stand- alone' single units or skill sets</b> | Develop and implement a strategy in the same way as you would for a qualification, noting that some information may not be relevant, such as information on core and elective units. Often, this type of delivery is aimed at an industry license or accreditation. Identify all of the requirements of that license or accreditation in the strategy (including any possible entry requirements such as minimum age) and explain how learners can readily attain the desired outcome. Identify any pre-requisite and co-requisite units, and the sequence of delivery and assessment. |
| <b>Strategies for 'assessment only' pathways</b>                | Where the RTO offers an 'assessment only' pathway, we have developed and implemented a strategy that covers:   |



|  |   |
|--|---|
|  | <ul style="list-style-type: none"><li>▪ assessment methods, timing and resources, and</li><li>▪ how issues will be addressed (for example, if a learner does not achieve the competency requirements).</li></ul> <p>Specific requirements may be set, such as a minimum period of industry experience before commencing the program, to allow for Volume of Learning.</p> |
|--|---|

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

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

Program context, delivery, material and assessment methods are evaluated and adjusted accordingly through a continuous improvement process.

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

### Volume of Learning

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

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

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

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

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



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

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

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

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

- Support Services
- Training and Assessment Strategies
- Assessing student suitability prior to course commencement

#### 4.2.2 Training and Assessment Strategy Development

The procedure for the development of Training and Assessment Strategies are as follows:

1. Identify the Training Product to be updated or added to the Scope of Registration
2. Conduct Industry consultation through meeting key stakeholders, who are responsible for the recruitment of people from the industry of the training product
3. Undertake industry surveys by distributing the Industry Survey Form to potential employers, supervisors or Human Resources Managers within the industry
4. Research the relevant Industry Skills Council for the Training Package to acquire further information on the training product, industry trends and industry feedback
5. Draft the Training and Assessment Strategy utilising the organisational template addressing each of the following areas:



- a. define the RTO's target client group/s and describe how it will deliver the training product/s to meet client needs
  - b. demonstrate how each strategy has been developed through effective consultation with industry
  - c. demonstrate how each proposed trainer/assessor possesses (equivalence to) all relevant vocational competencies at least to the level of the training or assessment to be delivered
  - d. list all physical resources and equipment that are accessible at each proposed delivery venue
  - e. identify the range and format of all delivery and assessment methodologies and resources/tools to be used
  - f. describe how assessment processes, tools and judgements have been and will continue to be systematically validated
6. Develop a plan on how the RTO plans to deliver and assess, this can be done by either a:
    - a. Session Plan – For single units or skill sets; or
    - b. Delivery and Assessment Plan – For full qualifications
  7. Once a draft TAS has been finalised, have a range of staff and industry review the TAS to ensure currency and validity of proposed training and assessment
  8. Finalise TAS and distribute to relevant staff, including Trainers and Assessors and Administration Staff. If the TAS has been developed for a specific client, distribute to the client.

### Variations to the approved Training and Assessment Strategy

Our organisation recognises that changes may be required to the training and assessment strategy to meet learner, industry and trainer needs. Where changes are required, an Continuous Improvement Form should be submitted for consideration.

The following circumstances would warrant an update of the TAS:

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

### 4.2.3 Staff, Facilities, Resources and Equipment

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

- The resource requirements for each training product is identified during the development of the Training and Assessment Strategy (TAS) and included within the TAS. This includes identifying the "Critical Aspects" for "Assessment Requirements" from [www.training.gov.au](http://www.training.gov.au) and/or the Training Package companion guides.
- Data collected from Industry Consultation are reviewed and identified. Facilities and equipment for training and assessment are included in the Training and Assessment Strategy.
- Trainers are provided access to training and assessment materials either through the RTO or through the Employer for on-the-job training, at the or off-site training facilities.
  - Access to resources may include:



- Staff, including relevant industry professionals; subject matter experts
- Trainer/assessor guides
- Assessment plans/tools
- Relevant online resources
- Delivery and Assessment Plans
- Facilities, including on the job training
- Equipment and resources, as outlined in the training product
- Equipment and processes used by the industry
- Learner tools, including textbooks, workbooks and/or other resources
- Industry specific facilities and equipment
- Resources for learners with special needs
- If a trainer identifies a resource they require, the trainer is to send written request to the Training Manager to validate why the resource is required for approval. If a resource is rejected, the RTO will give a valid reason, which could include:
  - a) Resource is already in stock
  - b) Resource is not in line with Training Product requirements
  - c) A similar resource is already in place
- The TAS is to provide evidence of arrangements for student and trainer/assessor access to suitably equipped workplace or simulated workplace environments for delivery and assessment.

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

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

### Training Facility Checklist

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

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

The Trainer/Assessor is responsible for completing the "Training Facility Checklist" prior to course commencement. If the training facility does not have all the required resources, the trainer/assessor is responsible for notifying the Training Manager. The **Training Facility Checklist** is to be completed to ascertain whether a training room meets the requirements for training. Adjustments can be made to the room if the requirements are not met, but in some cases, another training room may need to be sourced.

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

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



#### 4.2.4 Staff Matrix

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

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

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

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

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

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

#### 4.3 Evidence

- Staff Matrix
- Training and Assessment Strategy
- Delivery and Assessment Plan
- Training Facility Checklist

#### 4.4 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.

#### 4.5 Responsibility

- CEO
- Training Manager
- Trainers & Assessors



## 2.2 The RTO:

- a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

## 4.6 Strategy

Continuous improvement is about applying good business practices within our organisation to ensure the best outcomes for our clients. This involves the collection of relevant information (or data), analysing that data, and then applying corrective actions to improve the practices of the RTO. Relevant information is collected through actively engaging with key stakeholders before, during and after training and assessment.

## 4.7 Policy and procedure

### 4.7.1 Systematic monitoring of Training and Assessment Strategies

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

### 4.7.2 Continuous Improvement Strategy

To ensure that we are systematically monitoring our systems, we have implemented a continuous improvement strategy. Wilson Medic One collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Wilson Medic One's continuous improvement process applies across all sections of the RTO's operations. Continuous improvement is the responsibility of the Training Manager who will:

- Promote awareness and encourage all staff to have a commitment to continuous improvement across all areas of the business operation including all training and assessment services and the administrative support behind those services.
- Provide mechanisms for input and involvement of all staff and clients in identifying and implementing opportunities for improvement
- Act on information gathered both formally and informally

## Mechanisms for collecting data

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

- Completion of Learner Surveys by all VET Students
- Completion of Employer Questionnaires
- Student and Employer Feedback forms
- Trainer/assessor validation and assessment moderation meetings
- Internal and external audits
- Feedback from industry - used during industry consultation
- Industry/enterprise organisations newsletters, journals, papers and/or PD workshops/training
- Management reviews



- Staff performance appraisal and exit interviews
- Unsolicited feedback
- Staff meetings
- Records of risk identification and assessment
- Record of complaints

### Data analyses

Data analysis will inform:

- Quality indicators reporting
- Improvements to training and assessment services
- Training venues, work placement sites, workplaces and their facilities for training and assessment
- Staff recruitment, induction, performance appraisal and professional development
- Budget allocations and expenditure

### Continuous Improvement

Wilson Medic One will use a systematic approach to address continuous improvement opportunities by following a Continuous Improvement Cycle.

Continuous improvement focus areas include:

- Training and assessment services
- Teaching and learning materials
- Assessment processes, tasks and tools
- Facilities and resources
- Organisational planning, policies, systems, capital infrastructure and financial management
- Staff performance and professional development
- Interaction with industry, the VET Sector and other RTOs

### Continuous Improvement Cycle

Continuous improvement aims to improve organisational performance over time. The continuous improvement cycle on which the Wilson Medic One continuous improvement process is based on, has four interrelated phases, often referred to as the Plan, Do, Check, Act cycle:

**PLAN:** Establish the goals and actions necessary to implement the actions needed to address the opportunity for improvement - Conduct a risk assessment on the planned actions to determine if the actions will result in an Acceptable Level of Risk

**DO:** Implement planned processes and allocate the appropriate resources

**CHECK:** Monitor, measure and report on the effectiveness of results - Conduct a risk assessment on the completed actions to determine if the actions resulted in an Acceptable Level of Risk

**ACT:** If there is an Acceptable Level of Risk continue with improvements, if not start again







### 4.7.3 Quality and Compliance Meetings

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

1. Training manager sets the date and time of the next Q&C Meeting to all members at the end of each Q&C meeting.
2. The Minute Taker will request any Agenda items to be added to the agenda at least five business days prior to the scheduled meeting.
3. Minute Taker distributes agenda to all attendees.
4. The Training manager shall ensure that the appointed Minute Taker accurately records the management team meetings.
5. The Training manager shall ensure that all current stakeholder feedback forms presented by staff are reviewed and analysed for relevant corrective actions that may contribute to improvements to the operations.
6. The Minute Taker shall ensure that all stakeholder feedback forms and client feedback surveys are stored in the appropriate files.
7. All items of the agenda shall be allocated to a staff member for action.
8. The Minute Taker shall ensure that the recorded management meeting minutes are stored, and copies of the minutes are circulated to attendees and other relevant staff who should receive the minutes, this includes Trainers, Assessors, and Management and Administration staff.

Standing Agenda Items for the Quality and Compliance Meetings include:

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

### 4.7.5 Opportunity for Improvement

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

- Training and Assessment:
  - Reviewing a Training and Assessment Strategy



- Feedback on Training and Assessment
- Industry Consultation
- Assessment Validation
- Internal Audits
- Client Services:
  - Opportunities for Improvement
  - Training Evaluation Form
  - Registration Forms
  - Internal Audit Reports
  - Complaints and Appeals Forms
- Management Systems:
  - Quality and Compliance Meeting minutes
  - Review of Continuous Improvement Cycle
  - Conducting Annual Internal Audits

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

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

1. An opportunity for improvement is identified
2. An Opportunity for Improvement Form is completed, by outlining the details of the current weakness in the system, process, procedure or practice.
3. To focus on the solution and not the weakness, the person who has identified the improvement is given the opportunity to also identify the “Action required for Improvement”. If they are not able to identify a solution, this will be given to the Training Manager to resolve.
4. Submit the Opportunity for Improvement Form to the Training Manager.
5. Training Manager reviews the Opportunity for Improvement Form, and either reviews the suggested “Action required for Improvement” identified by the person who completed the form or identifies what they believe the “Action required for Improvement”.
6. The Training Manager enters the Opportunity for Improvement into the Opportunity for Improvement Register.
7. Training Manager either then delegates the Opportunity for Improvement to be actioned by another staff member or undertakes the Action to be completed.
8. Once Actioned and finalised, the Opportunity for Improvement Form is to be filed into the Opportunities for Improvement Register.
9. The Opportunity for Improvement is reviewed at the monthly Quality and Compliance Meeting. Minutes from the Quality and Compliance Meeting are distributed to all Training and Administration staff so that they can review the Opportunities identified.

#### 4.7.6 Annual Internal Audits

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

The Training Manager will ensure that all annual Internal Audits conducted by the RTO are against the VET Quality Framework and will apply to all of the RTO’s training delivery and assessment within its



scope of registration.

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

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

### Procedure for conducting Internal Audits

1. Notify all staff by email advising the schedule of the audit and the scale of the audit (including partnership organisations, if applicable)
2. Review the management meeting minutes from the previous 12 months for any inaction from Opportunities for Improvement that were identified.
3. Review the Opportunity for Improvements from the previous 12 months of operation or for the period of registration.
4. Review Assessment Validation activities from the previous 12 months of operation or for the period of registration.
5. Review all Third-Party Arrangements, agreements and assessment validation activities for the previous 12 months.
6. Review the legislation under the VET Quality Framework and all other appropriate legislative requirements.
7. Source the appropriate regulatory authority for updates of compliance requirements.
8. Review all relevant State and Commonwealth Legislation and its availability to all staff.
9. Complete a full report, using the ASQA [Self Assessment Tool](#) identifying non-compliances against the Standards for RTO's
10. Provide the CEO with a copy of the full report of non-compliances.
11. Date and file a copy of the record of internal audit and the full report of non-compliance in the RTO's Audit File.
12. Review Audit non-compliances and identify an action plan at the monthly Quality and Compliance Meeting
13. The RTO may also choose to engage an external consultant to conduct the Internal Audit, which will provide an external view of the RTO's compliance against the VET Quality Framework.

#### 4.7.7 Records required for Audit

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

These documents will include the following:

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



- Completed assessment tools and instruments.
- Recognition of Prior Learning assessment records.
- Complaints, Appeals and the complaints resolution records

#### 4.7.8 Consultation with Trainers and Assessors

Feedback provided by trainers and assessors can contribute to the improvement of the overall service provided as they have the industry experience and are in direct contact with the clients and implementing the training and assessment activities. In order to ensure that Senior Management are able to make informed decisions based on the experiences of our trainers we:

1. Advise all new employees of the importance of communication and sharing any suggestions and recommendations for improvement
2. Make sure that all staff have the necessary documents and procedures to collect feedback (such as feedback forms, session reports, records of meetings, etc.)
3. Hold regular meetings to provide opportunities for open discussions regarding training and assessment services and opportunities for improvement
4. Encourage trainers and assessors to provide feedback and suggestions for improvement as identified and report this feedback through for consideration and where appropriate action/implementation

#### 4.8 Evidence

- Continuous Improvement Strategy
- Complaints and Appeals Register
- Audit Reports

#### 4.9 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.

#### 4.10 Responsibility

- Chief Executive Officer
- Training Manager
- Trainers and Assessors



## Engaging with industry (clauses 1.5 – 1.6)

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

### 4.11 Strategy

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

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

### 4.12 Policy and procedure

#### 4.12.1 Industry Engagement Strategies

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

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

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

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



## Strategies to engage employers

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

1. During the Development of Training and Assessment Strategies, through interviews and requesting that they review our Training and Assessment Strategies
2. When utilising employers and supervisors during traineeship visits or Work Placement to identify whether our training is meeting their needs
3. Meeting with employers and supervisors to identify if training outcomes are meeting industry needs

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

### 1. Development

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

### 2. Delivery and Monitoring

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

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

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

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

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

- a) The RTO has in place an **Industry Consultation Folder**, which includes evidence of consultation including copies of Industry Surveys
- b) Once a month we hold **Quality and Compliance Meetings**, at this meeting one of the agenda items is Industry Consultation, a record of meetings with industry is minuted at this meeting.
- c) If any **Opportunities for Improvement** are identified during **Industry Consultation** or through the monthly Quality and Compliance Meeting an Opportunity for Improvement Form will be completed.

## Industry Survey Forms (AQTF Employer and Student Feedback Forms and Wilson Medic One Learner Feedback Forms)

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

The Industry Survey Form includes questions on the following:

- Relevant units to select for the training product
- Identifies the role of the person completing the form



- What the person completing the form thinks about training currently being supplied
- What do they consider to be essential skills and experience of trainers and assessors

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

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

#### 4.12.2 Trainers Currency

All Trainers and Assessors are required to maintain currency within their industry as a part of their employment.

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

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

#### 4.12.3 Training Evaluations Forms

##### Training Evaluation Form - Student

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

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

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

The Training Manager will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer that delivered the training with positive feedback being acknowledged.

These discussions are to assist in the revision and adjustment of training material and delivery methods and enable to trainers' professional development.

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



## Training Evaluation Form – Employer

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

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

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

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

Any complaints or issues that are identified from feedback are to be recorded in the Continuous Improvement Register for action. and reviewed at the monthly Quality and Compliance Meetings.

### 4.13 Evidence

- Training and Assessment Strategy template
- Industry Survey Form
- Training Evaluation Form - Student and Employer
- Industry Consultation Folder
- Staff Matrix
- Trainers and Assessors Position Description

### 4.14 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **January** on an annual basis.

### 4.15 Responsibility

- Chief Executive Officer
- Senior Management
- Trainers & Assessors





## Conducting effective assessment (clauses 1.8 – 1.12)

- 1.8 The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):
- complies with the assessment requirements of the relevant training package or VET accredited course; and
  - is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.
- 1.9 The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:
- when assessment validation will occur;
  - which training products will be the focus of the validation;
  - who will lead and participate in validation activities; and
  - how the outcomes of these activities will be documented and acted upon.
- 1.10 For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five-year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.
- 1.11 For the purposes of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
- vocational competencies and current industry skills relevant to the assessment being validated;
  - current knowledge and skills in vocational teaching and learning; and
  - the training and assessment credential specified in Item 2, or Item 5 of Schedule 1.
- Industry experts may be involved in validation to ensure there is the combination of expertise set out above.
- 1.12 The RTO offers recognition of prior learning to individual learners.

### 4.16 Strategy

The RTO acknowledges the National Assessment Principles issued under the Australian Recognition Framework and is committed to validity, reliability, flexibility and fairness in assessment processes for the training products that it delivers to its clients. The RTO aims to provide clients and training/assessment staff with an assessment system that is as fair and equitable as possible.

Assessments are competency based and are designed to determine whether the student can demonstrate the targeted competencies.

Students who are unable to demonstrate competency at any given time, or who successfully appeal assessment results may be reassessed at an appropriate later date, (reassessment may attract an additional fee).

Assessments are set to meet the assessment criteria of the training product or accredited course on which the program is based. Assessment may be undertaken on or off the job. If conducted in the workplace, suitable workplace assessors and assessment procedures are to be used. All assessment materials must be appropriate to the client's needs and program delivery methods.



## 4.17 Policy and procedure

### 4.17.1 Assessment

#### Student Assessment Guideline/Briefing

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

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

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

#### Trainers Assessment Guideline/briefing

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

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

#### Assessment Cover Sheet

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

#### Contextualisation

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

Contextualisation can include:

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

#### Training Product Requirements

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

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

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

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



## Assessment Mapping Tools

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

### 4.17.2 Delivery and Assessment Plans

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

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

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

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

- Delivery methods
- Delivery sites
- Assessment methods

### Session Plan

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

- Activities to be undertaken
- Resources required
- Reference to textbooks and other readings
- Assessment tasks
- Relevant Unit of Competencies
- Excursions
- Goals of the session

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

### 4.17.3 Principles of Assessment and the Rules of Evidence

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

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

**Fairness:** Fairness requires consideration of the individual candidate's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear



communication between the assessor and the candidate to ensure that the candidate is fully informed about, understands, and is able to participate in the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

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

**Validity:** There are five major types of validity: face, content, criterion (i.e., predictive and concurrent), construct and consequential. In general, validity is concerned with the appropriateness of the inferences, use and consequences that result from the assessment. In simple terms, it is concerned with the extent to which an assessment decision about a candidate (e.g., competent/not yet competent, a grade and/or a mark), based on the evidence of performance by the candidate, is justified. It requires determining conditions that weaken the truthfulness of the decision, exploring alternative explanations for good or poor performance, and feeding them back into the assessment process to reduce errors when making inferences about competence. Unlike reliability, validity is not simply a property of the assessment tool. As such, an assessment tool designed for a particular purpose and target group may not necessarily lead to valid interpretations of performance and assessment decisions if the tool was used for a different purpose and/or target group

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

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

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

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

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

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

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

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



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

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

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

#### 4.17.4 Cheating and Plagiarism

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

##### Definition of Cheating

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

##### Definition of Plagiarism

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

It is cheating to:

- use notes or other resources without permission during formal testing
- hand in someone else’s work as your own (with or without that person’s permission)
- hand in a completely duplicated assignment
- take work without the author’s knowledge
- allow someone else to hand up your work as their own
- have several people write one computer program or exercise and hand up multiple copies,



- all represented (implicitly or explicitly) as individual work
- use any part of someone else's work without the proper acknowledgement
- steal an examination or solution from a Trainer/Assessor.

It is not cheating to:

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

### Penalties

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

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

Once you have provided your information, Wilson Medic One may come to one of two decisions:

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

You will be advised of all penalties writing.

### What if I don't agree with the decision?

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

The appeal may be lodged against:

- the process
- the decision
- the penalty

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

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



#### 4.17.5 Assessment Validation Plan

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

#### Assessment Validation Schedule

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

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

Following is an outline of the risk ratings.

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

**Medium** – More technical units that require the use of low-risk equipment that do not have a high-risk impact on the public (i.e. computer skills or office equipment)

**High** – High risk units include units that teach the student a service-based skill that will impact the public.

The Assessment Validation Schedule is to be reviewed as follows:

- a) Minimum of once per year
- b) Updated when a new Training Product is added or removed from the scope of registration
- c) Prior to a regulatory audit
- d) When a Training and Assessment Strategy is updated.

#### Types of Assessment Validation

There are two types of Assessment Validation, they include:

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

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



## Assessment Validation Meeting

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

The aim of validation meetings is to:

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

## Tools required for the Assessment Validation Meeting

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

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

## How to Validate

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

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





8. Once all this has been done, you can sign off the Assessment Validation Report, staple together the tool and the evidence validated
9. If the assessment tool validated met all the Evidence requirements i.e.:
  - Performance Criteria
  - Assessment Requirements
  - Principles of Assessment
  - Rules of Evidence
  - AQF level

You can finalise the validation and review at your next Quality and Compliance Meeting.

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

### Assessment Validation Team

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

- Relevant vocational competencies and current industry skills
- Current knowledge and skills in VET teaching and learning
- TAE40122 Certificate IV in Training and Assessment (or its successor) or TAESS00001 Assessor skill set (or its successor)

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

Final validation decisions are to be made by persons who are not directly involved with the delivery and assessment of the training product being validated.

The Assessment Validation Team may include:

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



#### 4.17.6 Recognition of Prior Learning

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

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

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

In consultation with the trainer/assessor the student should:

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

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

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

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

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

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

#### RPL Fees

Each applicant for RPL will be provided with a quote for RPL based on the following variables:

- The number of units to be recognised
- Whether observation within the Workplace is required
- The amount of evidence to be reviewed
- Whether references need to be interviewed
- Whether units have been clustered

On average RPL for each unit of competency will be \$90 + GST per hour.

Once the quote has been accepted and the invoice has been paid, the student will be issued with an RPL Application Form (see more details below) and an Assessor will be assigned to conduct the assessment.



## RPL Application Form

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

Following is the process for applying for RPL using the RPL Application Form:

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

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

### 4.18 Evidence

- Training and Assessment Strategies
- Equipment
- Training and Assessment tools
- Learner Resources
- Trainers Handbook
- Assessment Validation Report

### 4.19 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **September** on an annual basis.

### 4.20 Responsibility

- Chief Executive Officer
- Senior Management
- Trainers & Assessors



## Employing skilled trainers and assessors (clauses 1.13 – 1.16)

- 1.13 In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:
- vocational competencies at least to the level being delivered and assessed;
  - current industry skills directly relevant to the training and assessment being provided; and
  - current knowledge and skills in vocational training and learning that informs their training and assessment.
  - Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.
- 1.14 The RTO's training and assessment is delivered only by persons who have the training and assessment credential specified in Item 2 or Item 3 of Schedule 1.
- 1.15 Where a person conducts assessments only, the RTO ensures that the person has the training and assessment credential specified in Item 2, or Item 3, or Item 5 of Schedule 1.
- 1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment.

### 4.21 Strategy

To have a systematic approach for engaging Trainers and Assessors who possess the required skills and experience as set out under these Standards. The RTO will do this by requesting that all trainers engaged by the RTO meet the Essential Requirements, which will be assessed against the Selection Criteria within the position description. All Trainers and Assessors will undergo a Performance Review on a yearly basis, to monitor professional development, currency within industry and performance of duties as outlined in their Position Description.

All Trainers are required to hold TAE40116 Certificate IV in Training and Assessment or has demonstrated equivalent competencies (TAE40110 and TAELN411 and TAEASS502) or a Diploma or higher level qualification in adult education.

### 4.22 Policy and procedure Trainers Qualifications and Experience

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

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

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

- TAE40116 Certificate IV in Training and Assessment or equivalent or a diploma or higher-level qualification in adult education and
- have the relevant vocational competencies at least to the level being delivered and assessed

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

- Hold a current vocational qualification at least to the level being delivered and assessed
- Familiarity with the units of competency in the Training Product to be used by the learner as a basis of assessment



- Recent planning, conduct and review of assessment and/or workplace training activities in a workplace context
- Participation in moderation or validation processes
- Attendance at professional development activities focused on assessment and/or workplace training.

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

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

- Have workplace experience for a minimum of 3 years
- Vocational Development
- Attendance at professional development or training and education activities focusing on good practice in the relevant industry competencies
- Participation in professional or industry networks.

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

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

- Attendance in professional development and/or training activities focused on effective communication in assessment and/or workplace training contexts
- Knowledge of language, literacy and numeracy issues in the context of assessment and workplace training
- Attending seminars/webinars in the VET sector
- Recent assessment and/or workplace training activities
- Observe others deliver training and assessment

### Assessors Conducting Assessment Only

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

- TAE40116 Certificate IV in Training and Assessment or its equivalent or its successor
- TAESS00001 Assessor skill set or its successor

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

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

#### 4.22.1 Trainer and Assessor Responsibilities

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

Assessment including Recognition of Prior Learning (RPL):

- a) meets the requirements of the relevant Training Product or VET accredited course;
- b) is conducted in accordance with the principles of assessment and the rules of evidence; and



- c) meets workplace and, where relevant, regulatory requirements; and
- d) is systematically validated.

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

#### 4.22.2 Recruitment Process

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

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

- Vocational competencies at least to the level being delivered and assessed
- Current industry skills directly relevant to the training and assessment being provided
- Current knowledge and skills in vocational training and learning that informs their training and assessment
- TAE40116 Certificate IV in Training and Assessment, or has demonstrated equivalent competencies (TAE40110 and TAELN411 and TAEASS502) or its successor or Diploma or higher qualifications in Adult Education

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

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

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

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

- Identify the need to recruit a trainer and allocate appropriate **Position Description** (Please see Trainer and Assessor Position Description)
- Place an advertisement, on "Seek" or through the newspaper, that includes the key performance criteria from the position description allocated
- Receive applications and address suitability against key performance criteria for each applicant and shortlist.
- Make contact with shortlisted applicants, advise they have progressed in the selection



- process and would like to organise a time for them to attend an interview.
- Email successful candidates an application form to be completed and returned to the RTO
  - Carry out interview using the trainer and assessor interview questions. This may be a one-on-one interviewer or a panel of interviewers.
  - Review the interviewed applicants and select those who are most suitable to progress to the next stage of selection process.
  - Phone applicant to advise that they have progressed to the next stage of the selection process and that they are to complete a staff matrix for each qualification they will be engaged to deliver and assess and supply certified copies of their certificates.
  - Review each completed staff matrix, verify credentials and select the most suitable applicant.
  - If the applicant accepts the position, send via email, a Letter of Offer and Contract of Employment.
  - On receipt of the signed contract, schedule an induction with the successful applicant
  - Notify all staff of new employee commencing, their position and commencement date.
  - On the day of the induction have an induction schedule prepared that will outline what will be covered and the applicants partially completed recruitment checklist
  - Conduct induction using the Staff Induction PowerPoint and complete induction checklist.
  - Take the successful applicant on a tour of the premises (if applicable) and introduce to other staff members
  - Complete employment administration including Tax File Number declaration (if applicable), Staff Details Form, Superannuation Choice Form. At this point provide the applicant with a copy of the signed Employment Contract and Position Description for their records.
  - Begin a detailed review of the Trainers Handbook, relevant Forms and training/assessment tools.
  - Issue the applicant with the required resources and equipment to undertake their duties.
  - Review the **Position Description** and discuss the expectations of the position.
  - Develop a **Professional Development Plan** and **Schedule** for the trainer, identifying PD that the trainer could undertake in the next 12 months
  - Create a trainer file

#### 4.22.3 Records Management – Staff Files

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

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



development schedules for all Administration, Training and Assessing staff.

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

#### 4.22.4 Professional Development

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

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

All Training and Assessing staff are required to:

- Attain the full trainers and assessors' qualification, TAE40116 Certificate IV in Training and Assessment.
- Attend induction training with the RTO
- Attend at least two professional development activities each year, either with the RTO or through other VET and Industry bodies
- Attend an assessment validation meeting at least once per year
- Trainers/assessors are required to document and submit a record of their currency and professional development activities at least annually, this can be provided through an updated Staff Matrix and by providing certified copies of certificates and or letters of support.

Every 12 months Trainers/assessors are required to submit an updated Staff Matrix, this should include details and supporting documentation of all activities to demonstrate that relevant industry skills and knowledge and professional development completed.

#### Professional Development Plan

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

#### Professional Development Schedule

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

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

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





#### 4.23 Evidence

- Position Descriptions
- Professional Development Plan
- Professional Development Schedule
- Trainer/Assessor File
- Trainer contract
- Staff Matrix
- Performance Review Form
- Trainers Handbook

#### 4.24 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.

#### 4.25 Responsibility

- Chief Executive Officer
- Senior Management
- Trainers and Asses



## Providing supervision of trainers where needed (clauses 1.17 – 1.20)

- 1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.
- 1.18 The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:
- holds the training and assessment credential specified in Item 6 of Schedule 1.
  - has vocational competencies at least to the level being delivered and assessed; and
  - has current industry skills directly relevant to the training and assessment being provided.
- 1.19 Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.
- 1.20 Without limiting Clauses 1.17 - 1.19, the RTO:
- determines and puts in place:
    - the level of the supervision required; and
    - any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
  - ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

### 4.26 Strategy

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

Persons that may undertake training under the supervision of a suitably qualified trainer may include:

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

### 4.27 Policy and procedure

#### 4.27.1 Trainers and Assessors under Supervision

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

- holds the TAE40116 Certificate IV in Training and Assessment, or has demonstrated equivalent competencies (TAE40110 and TAELLN411 and TAEASS502), from the TAE16 Training and Education Training Package
- be able to demonstrate vocational competencies at least to the level being delivered and assessed; and
- be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence.

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

- work under the supervision of a trainer with the **TAE40116 Certificate IV in Training and Assessment** or of a person who has demonstrated equivalence of competencies (TAE40110 and TAELLN411 and TAEASS502); and
- be able to demonstrate vocational competencies at least to the level being delivered and assessed as well as maintaining their industry currency.

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



#### Schedule 1:

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

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

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

#### Notes:

1. Evidence used to demonstrate competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development.
2. Supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the **TAE40110 Certificate IV in Training and Assessment**. The supervising person monitors and is accountable for the training delivery.

#### C - Assessors must:

- i. hold the **TAESS00001 Assessor Skill Set**
- ii. be able to demonstrate vocational competencies at least to the level being assessed; and
- iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence.

#### Note:

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

#### Training and Assessment under supervision (1.17-1.18)

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

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

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

#### 4.28 Evidence

- Trainers Files
- Trainers Handbook

#### 4.29 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **April** on an annual basis.



#### 4.30 Responsibility

- CEO
- Training Manager
- Trainers and Assessors



## Employing experts to teach trainers and assessors (clauses 1.22 – 1.24)

- 1.22 to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.
- 1.23 To deliver the training and assessment credential specified in Item 1 or Item 2 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:
- hold the training and assessment credential specified in Item 7 of Schedule 1; or
  - work under the supervision of a trainer that meets the requirement set out in a) above.
- 1.24 The RTO must ensure that any person working under supervision for the purposes of Standard 1.23 b):
- does not determine assessment outcomes; and
  - holds the training and assessment credential specified in Item 2 of Schedule 1.

### 4.31 Strategy

To deliver the training and assessment qualification specified in the RTO standards 2015 Item 1 or 2 of Schedule 1.

### 4.32 Policy and procedure

#### 4.32.1 TAE Trainers Qualifications

As of January 2017, RTOs delivering the Certificate IV in Training and Assessment or any assessor skill set from the TAE Training Package are required to hold a relevant credential or alternatively, they can work under the supervision of a person that holds of the relevant credentials sated in the [Standards for Registered Training Organisations \(RTOs\) Amendment 2017](#)

Wilson Medic One retains evidence of the qualifications of all trainers and assessors delivering TAE qualifications or skill sets.

As with any other training product, trainers and assessors delivering TAE training products must hold current industry skills and knowledge. While the Standards do not prescribe how trainers and assessors must maintain this currency, it is the responsibility of our RTO to retain evidence showing:

- the current industry skills and knowledge of trainers and assessors
- that their skills and knowledge directly relate to the training and/or assessment they are providing.

The industry skills and knowledge held by trainers and assessors must be consistent with:

- those identified through your industry engagement activities
- any specific requirements expressed in the TAE Training Package.

### 4.33 Evidence

- Trainer/Assessor File

### 4.34 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.



#### 4.35 Responsibility

- CEO
- Training Manager



## Engaging independent validators to conduct the quality reviews of training and assessment qualifications (1.25)

1.25 to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

### 4.36 Strategy

A systematic approach to independent validation of all assessment systems, tools, processes and outcomes for all AQF qualifications or assessor skill set for the Training and Education Training Product.

### 4.37 Policy and procedure

#### 4.37.1 Independent Validation of TAE

All validation of assessment tools processes and outcomes for any AQF qualification or assessor skill set from the Training and Education Training Product (or its successor) must be independently validated, this includes if the RTO applies to deliver qualifications from the TAE Training Package.

Independent validation must be conducted by one or more persons who collectively have:

- a) Current knowledge and skills in vocational teaching and learning
- b) The training and assessment qualification or assessor skill set at least to the level being validated.

The validation must be carried out by someone who is not involved with the RTO other than conducting the validation activity.

### 4.38 Evidence

- Trainer files
- Assessment tools

### 4.39 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **June** on an annual basis.

### 4.40 Responsibility

- CEO
- Training Manager



## Managing transitions from superseded training products (clauses 1.26 – 1.27)

- 1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:
- where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
  - where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;
  - where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and
  - a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.
- 1.27 The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

### 4.41 Strategy

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

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

National Standards clarify requirements to:

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

### 4.42 Policy and procedure

#### 4.42.1 Training Product Transition

The Training Manager is required to register with [www.training.gov.au](http://www.training.gov.au) to receive updates when Training Products on the RTO's Scope of Registration has been updated.

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

1. Review and map old Training Product with the new Training Product
2. Review all training and assessment systems, tools and processes to be mapped across to the new Training Product
3. Make necessary changes to the training and assessment materials in consultation with all training and assessment staff in preparations for addition to scope
4. Complete an Assessment Validation Schedule with all units to be validated within a 5-year period. High-risk units are to be validated before low risk.
5. Update the Training and Assessment Strategy to meet the new requirements of the Training Product
6. Complete a Change of Scope Application using ASQAnet if training product is not a direct equivalent or not eligible for a direct transition. Follow the instructions provided on ASQAnet – [asqanet.asqa.gov.au](http://asqanet.asqa.gov.au)
7. Once the new training product has been added to the Scope of Registration, courses can be





- scheduled with the new training product
8. Once added to scope, ensure that all material, assessment, marketing information and statements of attainment reflect changes with correct codes, names and titles
  9. The RTO will disseminate the updated Training and Assessment Strategy to all its relevant staff
  10. During the 12-month transition period the Training Manager will review the status and progress of existing participants to determine which participants can complete their studies during the transition. Participants who cannot complete their studies within the transition period are to be transitioned to the new units.
  11. If learners have not completed within 12 months of being superseded, learners are transferred to the replacement training product within the year of training product being superseded.
  12. All learners will have completed and been issued a certification within two years of qualification being removed or deleted.
  13. Learners have been issued certification within one year of skill sets, units, modules or short courses being removed or deleted.
  14. The Training Manager is required to advise all current participants and employers (if relevant) about the revised units and the requirement to complete studies within the transition period or transition to the new training product

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

#### Superseded Units imported into a training product

Where a unit of competency is superseded but the qualification requires delivery of that superseded unit, the unit can continue to be delivered as requested by the Training Product.

#### 4.43 Evidence

- Training and Assessment Strategy

#### 4.44 Continuous Improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **May** on an annual basis.

#### 4.45 Responsibility

- CEO
- Training Manager



## Section 5: Completion

RTOs are responsible for:

- Implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 – 1.4)
- Engaging with industry (Clauses 1.5 – 1.6)
- Conducting effective assessment (Clauses 1.8 – 1.12)
- Employing skilled trainers and assessors (Clauses 1.13 – 1.16)
- Providing supervision of trainers where needed (Clauses 1.17 – 1.20)
- Employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)
- Engaging independent validators to conduct the quality reviews or training and assessment qualifications (Clause 1.25)
- Managing transitions from superseded training products (Clauses 1.26 – 1.27)

### Providing secure certification (3.1 – 3.4)

- 3.1 The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.
- 3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.
- 3.3 AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and providing all agreed fees the learner owes to the RTO have been paid.

### 5.1 Strategy

The RTO ensures that only students who have met the qualification requirements, in all of the required units, have been deemed competent and will be issued with an AQF Certification. All AQF Certification meets the requirements of Schedule 5 of the Standards (2015) and will be issued to the student within 30 calendar dates of the learner being deemed competent.

A register of all qualifications issued will be maintained on the AVETMISS compliant database

### 5.2 Policy and procedure

#### 5.2.1 Certification

In determining whether a student is competent/or not yet competent, the student is assessed against the requirements of the qualification, including the units of competencies and the performance criteria and assessment requirements within the units of competency.

Students are issued with a VET Statement of Attainment or VET Qualification once competency has been achieved, as outlined within the Training Product. The testamur for all AQF qualifications issued will identify the qualification as an AQF qualification with the words “The qualification is recognised within the Australian Qualifications Framework”.

#### 5.2.2 Issuing AQF Qualifications

Application of the AQF Qualifications Issuance Policy within the VET Sector

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



## Issuing AQF Qualifications

RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:

- the name, National RTO code and logo of the issuing organisation
- the code and title of the awarded AQF qualification, and
- the NRT Logo in accordance with the current conditions of use contained in Schedule 4.

The following elements are to be included on the testamur as applicable: the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts)

- the industry descriptor, e.g., Health
- the occupational or functional stream, in brackets, e.g. (Healthcare)

RTOs must not include the learner's Student Identifier on the testamur consistent with the Student Identifiers Act 2014.

RTOs will:

- retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued
- retain records of AQF certification documentation issued for a period of 30 years, and
- provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

### 5.2.3 Issuing Statements of Attainment

RTOs must include the following information on a statement of attainment: the name, National RTO Code and logo of the issuing organisation

- a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency
- the authorised signatory
- the NRT Logo
- the issuing organisation's seal, corporate identifier or unique watermark
- the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'

The following elements are to be included on the statement of attainment as applicable:

- the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)
- the words 'These competencies form part of [code and title of qualification(s)/course(s)]'
- the words, 'These competencies were attained in completion of [code] course in [full title]', and
- where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the Student Identifier Act 2014. RTOs will:

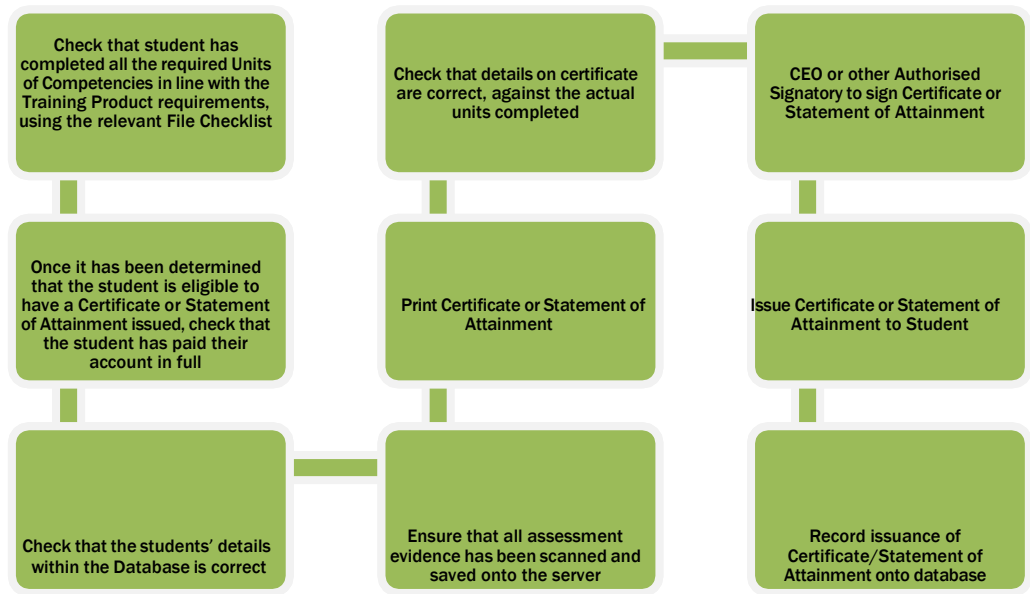
- maintain registers of all statements of attainments issued
- retain records of statements of attainment issued for a period of 30 years, and
- provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.



The RTO will issue Certificates and/or Statements of Attainment 30 calendar days of the student being deemed competent, providing all agreed fees the student has outstanding to the RTO have been paid.

### 5.2.4 Process for Issuing Certification



Following is the process for ensuring that accounts have been paid prior to a Certificate and/or Statement of Attainment is issued, as well as ensuring that the student has completed all the required competencies.





### 5.2.5 Logos on Certification

Following is an outline of what logos should be used on each type of certification. All staff are required to adhere to these requirements.

|   | Full Qualification | Statement of Attainment | Non-Accredited |   |
|---|--------------------|-------------------------|----------------|---|
|  | Yes                | Yes                     | No             | <ul style="list-style-type: none"> <li>RTOS must include the Nationally Recognised Training (NRT) logo on testamurs and statements of attainment</li> <li>The NRT logo is not to be used on the record of results</li> </ul>  |
|  | Yes                | No                      | No             | <ul style="list-style-type: none"> <li>RTOs must include the AQF logo or the words "The qualification is recognised within the Australian Qualifications Framework" on the testamur</li> <li>The AQF logo or words are not to be used on the record of results</li> <li>The AQF logo or words are not to be used on statements of attainment</li> <li>The AQF logo is available from the AQF website</li> <li>RTOs must comply with the AQF's Conditions for use of the AQF logo</li> </ul>   |
| Other logos   |                    |                         |                | <ul style="list-style-type: none"> <li>ASQA RTOs must not include state or territory registering body logo on testamurs, statements of attainment or record of results</li> <li>In some cases (for example within User Choice contracts) RTOs may need to include a state or territory training body logo on testamurs or statements of attainment, where directed by a state or territory training body</li> <li>RTOs must not use the Australian Government Crest logo (eg the crest used as ASQA's logo). The Australian Government Crest is only to be used by authorised government departments and agencies.</li> </ul> |

### 5.3 Evidence

- Accelerate
- Certificates
- Statements of Attainment
- Marketing Materials

### 5.4 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.



## 5.5 Responsibility

- Chief Executive Officer
- Training Manager



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.

## 5.6 Strategy

Employees and Third Parties of Wilson Medic One must ensure that student records are kept up-to-date so that current and accurate records can be provided to students upon request.

The RTO will securely retain and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, as per the definition outlined in “ASQA’s General Direction: Retention Requirements for Completed Student Assessment Items”, for a period of six months from the date on which the judgement of competence for the student was made.

## 5.7 Policy and procedure

### 5.7.1 Certificate Register

A register of all certificates will be maintained on the AVETMISS Compliant database and will be kept for a period of 30 years. The database will keep a record of all required information that will enable reissuance of certification.

In line with the AQF Qualifications Register Policy the RTO will maintain a register that will contain sufficient information to identify correctly the:

- Authorised issuing organisation;
- Responsible person or persons and contact details of the organisation, including contact details for public enquiries; and
- AQF qualifications the organisation is authorised to issue, including the full and correct AQF qualifications titles, the accreditation period, and any caveats.

These registers will clearly distinguish AQF qualifications from non-AQF qualifications. The RTO will maintain an auditable-quality register of the AQF qualifications that they have issued.

- The registered will contact sufficient information to identify correctly the:
- Holder of the qualification;
- AQF qualification by its full title; and
- Date of issue/award/conferral.

### 5.7.2 Records management – paper based

In accordance with [The AQF Qualifications Register Policy](#), the RTO will ensure that all records kept for students meets the requirements of the AQF Qualifications Register Policy.

The RTO is committed to implementing best practice in its records management practices and systems. All student records are to be entered and maintained on the AVETMISS compliant Student Management System.


All staff employed by the RTO will be required to apply themselves to the following written procedures and safeguard confidential and personal information according to the Privacy Act 1988:

- All staff are responsible for recording all student fee payments and details of refunds paid.
- Upon enrolment each student’s personal details are to be entered into Accelerate
- A student file will be created in hard copy and on the database
- Paper based file will include
  - Record of Attendance for class



- Record of enrolment
- Completed assessment tasks
- Record of progress
- Copies of any forms completed, i.e. Complaints and Appeals, Opportunities for Improvement, WHS Incidents
- All paper-based files are kept for a minimum period of 6 months post course completion for each student
- Paper based files will be stored in a locked filing cabinet under the students surname and course intake
- Electronic file will include
  - Participants name, address and contact details
  - Record of participation
  - Qualifications and Statements of Attainment issued
  - Record of Units of Competencies completed
  - Trainer/Assessor details
  - Place of Training
  - Dates of Training
- All electronic records will be kept for a period of 30 years.
- Student personal details and records shall be maintained in a current up to date condition, updating of records will be actioned as advised by the student/client.
- Student records are backed up and maintained electronically daily through Axcelerate
- Only RTO staff directly involved with student welfare and or student results will have access to personal student details.
- Upon written request and given sufficient notice administrative staff shall provide a student with access to their personal student records for progress information
- cre
- The CEO permits the replacement of certification documentation. All re-issuance of certification documentation will be based on the verification and authentication of testamurs issued by the RTO prior to issue.
  - Where a request for a replacement testamur is received from a current or past student, the student's identification must be verified by sighting the clients photo ID, such as a driver's license or Passport.
  - The student's records of course achievement will then be accessed, and any issued testamur may be reissued in accordance with the RTO's Issuance Policy and current fee structure.
- All staff will comply with all 'external reporting responsibilities' at the required date to do so. (i.e., AVETMISS and Quality Indicator Reporting) including returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis (as determined by the Australian Skills Quality Authority).
- Designated RTO staff will maintain up to date records of the employment history and qualifications of all staff employed by the RTO.
- Designated RTO staff shall ensure that all student records are maintained in an accurate manner providing for the safekeeping of all student assessment results for a term no less than 30 years.
- On cessation of services and the discontinuation of its business, the CEO shall ensure that all student records are made available to the National VET Regulator.
- Electronic copies of records will be maintained through the database.
- Hard copies of records will be kept for a period of "no less than" 6 months on the RTO





site. Following this period an electronic record will be maintained and the hard copy will be destroyed by either shredding or burning. No confidential records will be kept as these will be destroyed.

- If student records are required to be stored for more than 6 months, in accordance with agreements for Government funded contracts, records will be archived at an offsite location which will be secure from water or pest infestation, which will ensure the integrity of the data is kept on the files.

### 5.7.3 Access to Records

All student records, such as personal details and records of participation and progress (this includes data collected on the Registration Form and assessment results that are collected), are kept within a secure area (both electronic and hard files). An electronic record of each Student's enrolment and participation is kept on the Student Management System for a period of 30 years. This record is password protected and is only accessible by employees of the RTO.

All students have the right to access their record of participation and progress within a timely manner. For a student to access their records they are required to submit a request in writing to the RTO. If the student wishes to provide a third party with access to their records, they should state this in their formal request in writing.

The RTO will provide, within 48 hours of receiving the written request, a confirmation in writing that the RTO has received a request for Access to Records and confirmation of how long it will take for the access to be granted.

In no more than 5 business days the RTO will provide the student with access to their records as well as a transcript of the student's participation and progress.

### 5.7.4 Records Management – Electronic

To ensure accuracy, integrity and currency of student record of participation and progress, all data collected from the Registration Form and Assessment results (this includes personal details and records of participation and progress are collected are entered into the Student Management System in a timely manner.

Following is the procedure for ensuring records are current:

1. Data to be entered into the Student Management System includes personal details and records of participation and progress
2. Assessments are given to the students by the trainer, who also sets a reasonable due date for the assessment within the timeframe of the course.
3. Students are to submit their completed assessments to their trainer by no later than the set due date. In certain circumstances trainers may give an extension after reviewing such a request for a student. Any such extensions to be noted in the student file and Student Management System.
4. Assessments that are deemed Not Yet Competent are to be resubmitted by the student for reassessment.
5. Prior to Certificate issue, all records of competency are to be verified against the Judgement Record.
6. The Training Manager is responsible for ensuring that all data is entered within the Student



Management System. The Training Manager can delegate these duties to appropriate personnel.

7. The CEO is responsible for issuing the Certificate and ensuring that the correct units of competencies are on the Certificate prior to distribution. The following are triggers for Certificates or Statements of Attainment to be issued a record of their results and has successfully completed some UOC's and is eligible to receive a Statement of Attainment:
  - Student has requested
  - Student has completed all requirements of training and has been signed off by their trainer.
  - Student has withdrawn from training and submitted in writing a request to withdraw, who has successfully completed some UOC's and is eligible for a Statement of Attainment
  - Student has dropped out of training, but may not have provided a formal request for withdrawal, and has successfully completed some UOC's and is eligible for a Statement of Attainment
8. Students are required to have paid their account in full prior to the RTO issuing the student a Certificate or Statement of Attainment. It is the responsibility of the Training Manager to ensure that all accounts have been paid IN FULL
9. If the account has not been paid in full, the RTO is to print the Certificate or Statement of Attainment and store on the Paper Based File until such time as the account being paid in full.

### 5.7.5 Version Control

To ensure that the current documentation is being used, the RTO has implemented a Version Control system to identify the following:

- Name of the document (Document Name)
- Date the version was released (MMYY)
- Version number (v01)

Following is an example of how the version control should look on the bottom of the document:

**RTO Policies and Procedures Manual | v1.0 | Feb 23 | Wilson Medic One**

### 5.7.6 Assessment Verification

To ensure consistency of both paper-based and electronic records of assessment, all training staff are required to complete a Judgement Record. This form identifies all the units that are to be assessed for each qualification against the assessment methods used to assess the student as well as includes the results of assessment (i.e., Competent, Not Yet Competent, RPL etc.).

Results recorded onto the Judgement Record are to be entered into the Student Management System or verified against the database.

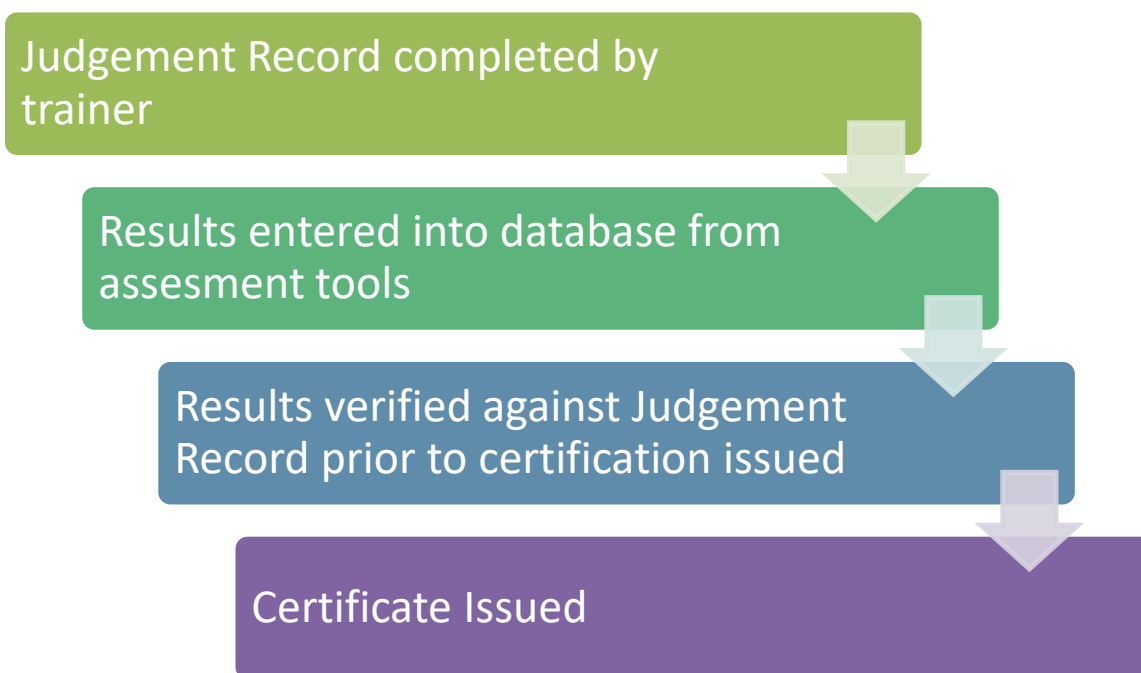
The assessor is responsible for the safe storage of the Judgement Record.

### Process for Verification

- Trainer to record details of the student and their course enrolment onto the Judgement Record
- As the student completes a Unit of Competency, the Assessor records the result and

method of assessment onto the form

- The Assessor continues to record results until the student has completed all the required units
- On completion of training and assessment for each student, the Assessor returns the completed form to the Training Manager for verification.
- The Training Manager is to utilise the form to check student completion against the database
- Once the records are verified between the Judgement Record and the database, a certificate can be issued
- If the records are inconsistent the Training Manager is responsible for:
  - Following up with the trainer to ensure the student has met the requirements of their course of enrolment
  - Monitor and review Accuracy and Integrity of Records



### 5.7.7 Archiving Procedure

When a student has completed all the requirements for a course, all student files are to be entered into the database and archived for a period of six months.

### 5.8 Evidence

- Student Management Database
- Student and class files
- Student Handbook
- Archiving records
- Accounting system



## 5.9 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.

### 5.10 Responsibility

- Chief Executive Officer
- Senior Management



## Participating in the student identifier scheme (clause 3.6)

3.5 The RTO meets the requirements of the Student Identifier scheme, including:

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
- d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

### 5.11 Strategy

The RTO has in place an AVETMISS compliant database that is USI compliant, for managing student files including the recording of the students Unique Student Identifier (USI).

The RTO will not issue any qualifications or statements of attainment without being in receipt of a verified Student Identifier for that individual unless an exemption has been applied under the Student Identifiers Act 2014.

### 5.12 Policy and procedure

#### 5.12.1 Unique Student Identifier

The Unique Student Identifier (USI) scheme, enabled by the Student Identifiers Act 2014, allows learners to access a single online record of their VET achievements. The scheme also allows for reliable confirmation of these achievements by employers and other RTOs.

Unless exempt, the RTO must only issue a qualification or statement of attainment to a learner after:

- The learner has provided the RTO with a verified USI, or
- The RTO has applied for a USI on the students' behalf only if the student has agreed to by signing

A USI gives you access to your online USI account, which is made up of ten numbers and letters. It will look something like this: 3AW88YH9U5.

A USI account will contain all your nationally recognised training records and results from 1 January 2015 onwards. When applying for a job or enrolling in further study, you will often need to provide your training records and results. One of the main benefits of the USI is that you will have easy access to your training records and results throughout your life. You can access your USI account online from a computer, tablet or smart phone anywhere and anytime.

#### Do you need a USI?

You will need a USI when you enrol or re-enrol in training from 1 January 2015 if you are a:

- student enrolling in nationally recognised training for the first time, for example if you are studying at TAFE or with a private training organisation, completing an apprenticeship or skill set, certificate or diploma course; or
- school student completing nationally recognised training; or
- student continuing with nationally recognised training.

You are a continuing student if you are a student who has already started your course in a previous year (and not yet completed it) and will continue studying after 1 January 2015.



Once you create your USI you will need to give your USI to each training organisation you study with so your training outcomes can be linked, and you will be able to:

- view and update your details in your USI account;
- give your training organisation permission to view and/or update your USI account;
- give your training organisation “view access” to your transcript;
- control access to your transcript; and
- view online and download your training records and results in the form of a transcript which will help you with job applications and enrolment in further training.

If you are an international, overseas or an offshore student please visit [usi.gov.au](http://usi.gov.au) for more information.

While students may create their own USI, our RTO is also able to create USIs for our students. As a part of the enrolment process, we have included on the Registration Form a section for the student to provide their USI. If you do not have a USI in place, we can provide you with a USI Privacy Notice so that we can apply for a USI on the students’ behalf.

### Enrolment Process for USI


1. All clients are to complete a Registration Form, which includes a section for the student to provide their USI.
2. RTO to verify the USI supplied by the student before visiting
3. If the student does not currently have a USI, the RTO can apply for a USI on their behalf, by providing the following forms of ID to the RTO:
  - Driver’s License
  - Medicare Card
  - Australian Passport
  - Visa (with Non-Australian Passport) for international students
  - Birth Certificate (Australian)
  - Certificate of Registration by Descent
  - Citizenship Certificate
  - Immi Card (international students)
4. Completed enrolment forms are entered into the Student Management Database creating a client record within the database
5. The client record will be retained within the Student Management System with all records of attainments in an accessible format for a period of thirty (30) years.
6. Where a qualification or statement of attainment is recorded in the USI scheme, no additional records are required to be kept, as the records required will exist within the USI scheme.

### Security of the Student USI

The RTO will ensure the security of USIs and all related documentation for verifying the student identity, all personal information collected solely for the purpose of applying for a USI on behalf of a student will be destroyed in manner that will keep all personal information confidential, this includes digital and hard copy of records.

The following process is in place for ensuring the security of a student’s USI:

- Only authorised personnel will have access to a student’s personal information, for both hard copy and electronic records.
- All student records, including evidence collected for verifying the students record, are stored in “locked” filing cabinets within the head office.
- Strong passwords on all network-connect computers are in place, which is only accessible by



authorised personnel.

- Back-up copies of the database is automatic as the Database is cloud based.

## USI Privacy Notice

All students who do not currently have a Unique Student Identifier (USI) in place and want the RTO to apply for a USI on their behalf, will be issued with a USI Privacy Notice. The student will be required to sign this form prior to the RTO setting up the students USI.

## Issuance of recognised qualifications or statements of attainment

Once a USI has been collected and stored into the RTO's database, and on successful completion of training, the RTO will provide nationally recognised qualifications or statement of attainments to students in a variety of different formats.

Below are some examples that are considered a statement of attainment and they cannot be issued until the student has supplied the RTO with a USI that has been verified. They can include:

- A certificate
- A building industry white card
- A stamp on their license to certify they can now drive heavy machinery

When a student logs into their USI account it will link to the national data collection using the USI. The student will then be able to see their records and results completed.

## International students in Australia

For international students studying in Australia the RTO's students will also need a Unique Student Identifier (USI).

All international students in Australia must have been issued with an Australian Visa. This will let those students use their passports as their form of ID when creating their USI as their Visa is linked to their passport number.

## USI Exemption - RTO

An RTO may be exempt from issuing a USI or recoding results within the USI database if they meet certain criteria.

If the RTO is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.

## USI Exemption - Student

A student may be exempt from applying for a USI or recoding results within the USI database if they work within an industry that could affect the security of the nation, for example if they work in the military, State or Federal Police Departments.

In addition, individuals who have a genuine personal objection to being assigned a student identifier will be able to apply for an exemption to the [Student Identifiers Registrar](#).

If the student is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or



be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.

### 5.13 Evidence

- Student Management Database
- Registration Form
- USI Privacy Notice

### 5.14 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.

### 5.15 Responsibility

- Chief Executive Officer
- Senior Management





## Section 6: Regulatory compliance and governance

- RTOs are responsible for:
- Ensuring authorised executive officers are in place and assessing financial viability risk (Clauses 7.1 and 7.2)
- Compliance and reporting (Clauses 2.1-2.2, 8.4-8.6)
- Recording, monitoring and reporting third party arrangements (Clauses 2.3-2.4; 8.3)
- Holding public liability insurance (Clause 7.4)
- Meeting data provision requirements (Clause 7.5)
- Providing requested information to ASQA (Clauses 8.1 and 8.2)

### Ensuring authorised executive officers are in place and meet fit and proper person requirements (clause 7.1)

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

#### 6.1 Strategy

To ensure that the RTO complies with the RTO Standards at all times, its executive officers and high managerial agents are responsible for the implementation of these policies and procedures.

All executive officers (CEO, Training Manager or an owner who owns more than 15% of the RTO) and the “high managerial agent” of the RTO must satisfy the requirements of Schedule 3 of the Standards for RTO’s, which are the Fit and Proper Person requirements.

#### 6.2 Policy and procedure

##### 6.2.1 Executive Officer or High Managerial Agent’s Responsibilities

Senior Management is responsible for ensuring the RTO complies with the VET Quality Framework as well as ensuring that all staff and students comply with the Standards for RTO’s.

The Position Description for the CEO and/or Training Manager outlines the responsibilities according to compliance requirements with the VET Quality Framework including the Standards for Registered Training Organisations 2015.

#### Key accountabilities

Ensures that the operations, staff and students of the RTO comply with the VET Quality Framework, which comprises of the following:

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

This applies to all of the operations within the RTO’s scope of registration, as listed on the National Register



(<http://www.training.gov.au>).

1. The CEO will ensure that the RTO cooperates with the National VET Regulator:
  - In the conduct of audits and the monitoring of its operations
  - By providing accurate and timely data relevant to measure of its performance
  - By providing information about significant changes to its operations
  - By providing information about significant changes to its ownership; and
  - In the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements.
2. Ensure that the RTO and its staff/students comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its scope of registration
3. Ensure that the staff and students are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.
4. Public Liability insurance is kept current and the level of insurance is suitable for the intended size and scope of operations.
5. Monitors the outcomes of its operations and compliance with the Standards as a basis for improvement and can demonstrate that improvement action is taken as appropriate.
6. Manages risk within the RTO, part of this responsibility includes determining the level of risk that is tolerable for the RTO and for ensuring that the necessary treatment plans are implemented for those risks that are considered to be unacceptable.
7. Responsible for providing the regulatory body with a formal assurance that the company has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.

### 6.2.2 Fit and Proper Person Requirements

The Fit and Proper Person Requirements are designed to ensure that key personnel have the characteristics and principles necessary to ensure the delivery of high-quality services and outcomes for students. These requirements are set to protect and inspire confidence in the VET system, and to safeguard Australia's reputation as a premier provider of VET (both locally and internationally).

Executive Officers and/or High Managerial Agents of the RTO will ensure that they meet the requirements of Schedule 3 of the Standards for RTO's 2015, which includes the following considerations (taken from the Users' Guide to the Standards for Registered Training Organisations 2015):

- a) whether the person has been convicted of an offence against a law of the Commonwealth or a State or Territory of Australia, or of another country, and if so, the seriousness of the offence and the time elapsed since the conviction was recorded
- b) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO had its registration on the National Register cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration
- c) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a condition of its registration under the Education Services for Overseas Students Act 2000 or the Tertiary Education Quality and Standards Agency Act 2011
- d) whether the person has ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors, and if so, the time elapsed since this event occurred
- e) whether the person has ever been disqualified from managing corporations under Part 2D.6 of the Corporations Act 2001, and if so, whether the disqualification remains in place
- f) whether the person was involved in the business of delivering courses or other services on



behalf of a person that was the subject of regulatory action described in points b) or c) above, and if so, the relevance of the person's involvement

- g) whether the person has ever provided a VET Regulator with false or misleading information or made a false or misleading statement to a VET Regulator, and if so, whether it is reasonable to assume that the person knew that the statement made, or information provided to the VET Regulator was false or misleading
- h) whether the person has ever been determined not to be a fit and proper person as prescribed under any law of the Commonwealth or of a State or Territory of Australia, and if so, whether that determination remains in place
- i) whether the public is likely to have confidence in the person's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications
- j) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a government training contract, and
- k) any other relevant matter.

### 6.3 Evidence

- Chief Executive Officer's Position Description
- Training Manager's Position Description

### 6.4 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.

### 6.5 Responsibility

- Chief Executive Officer
- Senior Management



## Satisfying financial viability risk assessment requirements (clause 7.2)

7.2 The RTO satisfies the Financial Viability Risk Assessment Requirements.

### 6.6 Strategy

The CEO will report to its registering body any change to its business or financial circumstances that may negatively impact its operations.

In maintaining the RTO alignment with the requirements of Clause 7.2, the CEO must ensure that its own financial management policy is followed and understood by relevant staff. The minimum Enrolment Fee Information must accompany Course Fee advice provided by the RTO to enrolling students.

### 6.7 Policy and procedure

#### 6.7.1 Financial Viability Risk Assessment Requirements

The [National Vocational Education and Training Regulator \(Financial Viability Risk Assessment Requirements\)](#) aim to ensure that an RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

The Financial Viability Risk Assessment Requirements provide clear guidance to RTOs on the common indicators for financial risk assessment, and on the information that may be included in assessment of financial viability.

#### 6.7.2 Financial viability

The CEO will ensure that the RTO cooperates with the National VET Regulator, on request, that it will be financially viable at all times during the registration. The CEO will do this by:

- Assisting in the conduct of audits and the monitoring of its financial operations
- providing accurate and timely data relevant to measures of its performance
- providing information about significant changes to its operation
- through the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.

The CEO monitors the outcomes of its operations and compliance with the National VET Regulator as a basis for improvement and can demonstrate that improvement action taken is appropriate.

The CEO is responsible for ensuring the RTO's accounts are certified, at least annually, by a qualified accountant with a membership of:

- Certified Practicing Accountant Australia
- The Institute of Chartered Accountants in Australia, or
- The National Institute of Accountants



## 6.8 Evidence

- Accounting records

## 6.9 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.

## 6.10 Responsibility

- Chief Executive Officer
- Senior Management



## Complying and reporting (clauses 2.1 and 8.4 to 8.6)

1. The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

### 6.11 Strategy

Maintain compliance by monitoring and improving practices through its continuous improvement practices and by instilling a quality and compliance culture throughout the organisation.

### 6.12 Policy and procedure

The CEO will ensure that the RTO will comply with the VET Quality Framework by:

- Adhering to the Code of Conduct outlined within this Policies and Procedures Manual, Student Handbook and Trainers Handbook
- Implementing and updating these policies and procedures
- Ensuring that all staff and students understand their rights and responsibilities through the policies, procedures and other support documentation
- The RTO's systems and practices are reviewed on a monthly basis
- Implement systems to manage the RTO's continuous improvement, including creating a culture of continuous improvement throughout the RTO
- Ensuring that key management staff are kept up to date with the changes with the VET industry
- Undertake annual internal audits to ensure compliance is monitored and rectified to maintain compliance with the VET Quality Framework.
- If applicable, monitor all partnering arrangements to ensure that Third Parties comply with the RTO's policies and procedures and with the requirements of the VET Quality Framework.

### 6.13 Evidence

- Chief Executive Officer's Position Description
- RTO Manager's Position Description
- Continuous Improvement Cycle
- Quality and Compliance Meetings
- Staff Meetings
- Assessor and Trainer Meetings
- Network Meetings

### 6.14 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.

### 6.15 Responsibility

- Chief Executive Officer
- Senior Management



- 8.4 The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
- a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and
  - b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

### 6.16 Strategy

Each year the Chief Executive Officer is responsible for signing an Annual Declaration stating that the RTO is compliant with the standards to the VET Regulator. To ensure that the RTO is compliant, the RTO has in place a policy that an Annual Internal Audit will be conducted to ensure compliance with the standards, this audit will include a review of the following:

- Training and Assessment Strategies
- Training and assessment tools
- Policies and Procedures Manual
- Student Handbook
- Trainers Handbook
- Self-Assessment Tool

### 6.17 Policy and procedure

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

The CEO will ensure that all annual Internal Audits conducted by the RTO are against the VET Quality Framework and will apply to all of the RTO's training delivery and assessment within its scope of registration.

The CEO shall ensure that all Internal audits conducted has an action plan for addressing the non-compliances. The RTO should utilise the ASQA Audit Report template.

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

### Audit procedures

1. Notify all staff by email or memo advising the schedule of the audit and the scale of the audit (including partnership organisations, if applicable)
2. Review the Opportunity for Improvements from the previous 12 months of operation or for the period of registration.
3. Review Assessment Validation activities from the previous 12 months of operation or for the period of registration.
4. Review all Third-Party Arrangements, agreements and assessment validation activities for the previous 12 months.
5. Review the legislation under the VET Quality Framework and all other appropriate legislative requirements.
6. Source the appropriate regulatory authority for updates of compliance requirements.
7. Review all relevant State and Commonwealth Legislation and its availability to all staff.



8. Complete a full report, identifying non-compliances against the Standards for RTOs 2015
9. Provide the CEO with a copy of the full report of non-compliances.
10. Date and file a copy of the record of internal audit and the full report of non-compliance in the RTO's Audit File.
11. The RTO may also choose to engage an external consultant to conduct the Internal Audit, which will provide an external view of the RTO's operations.

### 6.17.1 Annual Declaration

Each year the CEO is responsible for submitting an Annual Declaration of Compliance to ASQA. This Annual Declaration includes questions regarding *whether the RTO*:

- *currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and*
- *has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.”*

In February of each year, ASQA will invite the Chief Executive Officer of each ASQA-registered provider to submit an annual declaration on compliance by 31 March of that same year.

Wilson Medic One will ensure that the listed contact for the Chief Executive Officer is accurate on training.gov.au by notifying ASQA of any changes to the CEO by making a Minor Update on <https://asqanet.asqa.gov.au>.

Statements and commitments made in Section 2 of the declaration are to cover the entire scope of operations of the RTO, including any services provided on its behalf by external organisations, either within Australia or abroad.

A response to each question and to each part of each question will be provided.

### Commitment

In submitting this form, the chief executive officer of the RTO declares:

- That he/she is the legally responsible person for the registration of the RTO referenced in Section 1 of the declaration.
- That to the best of his/her knowledge, all answers provided to questions in the declaration are true and accurate.
- That response actions referenced in Section 2 of the declaration, if applicable, have been implemented in full or will be implemented in full within the coming year.
- That to the best of his/her knowledge and considering all influential owners, executive officers and high managerial agents, the RTO satisfies the ***Fit and Proper Person Requirements*** at Schedule 3 of the Standards.

### Submitting the declaration

The declaration is to be completed and submitted by 31 March of each year. Regulatory penalties may be imposed by ASQA for late or non-submission.





### 6.18 Evidence

- Internal Audit Reports
- Continuous Improvement Register

### 6.19 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.

### 6.20 Responsibility

- Chief Executive Officer
- Senior Management



8.5 The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

## 6.21 Strategy

The RTO will comply with this standard by ensuring that staff and students are advised of their rights and responsibilities against the relevant Commonwealth, State or Territory legislation and regulatory requirements through the following Policies and Procedures documents:

1. Student Handbook (All students and staff are required to be given access to this manual)
2. Trainers Handbook (All staff, including training and administration staff, are required to be given access to this manual)
3. Policies and Procedures Manual (All Administrative and Management staff are required to be given access to this manual).

Students will also be notified of all other Commonwealth, State or Territory legislation and regulatory requirements that is relevant to their specific type of training or course area, through their training/assessment materials and/or their allocated trainer.

## 6.22 Policy and procedure

### 6.22.1 Legislative and Regulatory Requirements

In consideration of all the RTO clients and students it is important that adherence to all legislative acts and regulations are observed while undertaking training.

The student acknowledges that they must observe the RTO's policies and procedures, according to State and Federal Government legislative and regulatory requirements, as set out in the Student Handbook.

### 6.22.2 Statutory Education License

Provisions under Part VB of **The Copyright Act 1968** allow all educational institutions to copy and communicate third party material to distribute to students, within the limitations of the Statutory Education license. [The Copyright Agency Ltd\(CAL\)](#) administers the Statutory Education license on behalf of the Attorney General's Department.

Any RTO electing to rely on this license is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner. It facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

Without this license an educational institution is generally not allowed to reproduce any third party material from any source, other than where there is a direct license/subscription in place, or permission has been granted by the creator of the work.

For further details about the Statutory Education license and/or how to apply, call CAL's education team on

02 9394 7600 or email [educationlicences@copyright.com.au](mailto:educationlicences@copyright.com.au).

### 6.22.3 Standards for Registered Training Organisations 2015

The [Standards for Registered Training Organisations 2015](#) form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications. These Standards set out the



requirements that Wilson Medic One are required to meet in order to be an RTO.

RTOs are required to comply with these Standards and with the:

- National Vocational Education and Training Regulator Act 2011 or equivalent legislation covering VET regulation in a non-referring State as the case requires
- VET Quality Framework

Note – the National Vocational Education and Training Regulator Act 2011, or equivalent legislation covering VET regulation in a non-referring State, provides the VET Regulator with the powers necessary to carry out its functions. Nothing in these Standards may be read as limiting or diminishing those powers.

These Standards should be read in conjunction with the:

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

All employees, including contractors of Wilson medic One are required to comply with the regulatory requirements of these standards across the RTO's operations and scope of registration. Compliance with the Standards includes ensuring that training products delivered by the RTO meets the requirements of training packages and have integrity for employment and further study and ensure that the RTO operates ethically with due consideration of learners' and enterprises' needs.

#### 6.22.4 National Vocational Education and Training Regulator Act 2011

The [National Vocational Education and Training Regulator Act](#) establishes the regulatory requirements for registration of a RTO's. The objectives of this act are:

- a) to provide for national consistency in the regulation of vocational education and training (VET); and
- b) to regulate VET using:
  - i. a standards-based quality framework; and
  - ii. risk assessments, where appropriate; and
- c) to protect and enhance:
  - i. quality, flexibility and innovation in VET; and
  - ii. Australia's reputation for VET nationally and internationally; and
- d) to provide a regulatory framework that encourages and promotes a VET system that is appropriate to meet Australia's social and economic needs for a highly educated and skilled population; and
- e) to protect students undertaking, or proposing to undertake, Australian VET by ensuring the provision of quality VET; and
- f) to facilitate access to accurate information relating to the quality of VET.

#### 6.22.5 Australian Qualifications Framework (AQF)

Applicants and RTOs are required to comply with the [Australian Qualifications Framework](#) (AQF), in particular when developing materials or writing Training and Assessment Strategies. The AQF is the quality assured national framework of qualifications in the school, vocational education and training, and higher education sectors in Australia. The AQF Handbook outlines the requirements for setting up Certificates and Testamurs.



### 6.22.6 Fit and Proper Person Requirements

The Fit and Proper Person Requirements are designed to ensure that key registered training organisation (RTO) personnel have the characteristics and principles necessary to ensure the delivery of high-quality services and outcomes for VET graduates.

These requirements are set to protect and inspire confidence in the VET system, and to safeguard Australia's reputation as a premier provider of VET (both locally and internationally).

For relevant applicants and RTOs, the **Fit and Proper Person Requirements** replace the fit and proper person requirement in Conditions of Registration (COR) 1 in the **Australian Quality Training Framework** (AQTF).

### 6.22.7 Financial Viability Risk Assessment Requirements

The National Vocational Education and Training Regulator (Financial Viability Risk Assessment Requirements) aim to ensure that an applicant or RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

The new Financial Viability Risk Assessment Requirements provide clearer guidance to relevant applicants and RTOs on the common indicators for financial risk assessment, and on the information that may be included in assessment of financial viability.

### 6.22.8 Data Provision Requirements 2020

The Data Provision Requirements 2020 outlines the requirements for applicants and registered training organisations (RTOs) to capture and provide data to the regulatory body.

The data required relates to registration and performance information, including [quality indicator data](#) and information derived from the Australian Vocational Education and Training Management of Information Statistical Standard (AVETMISS).

The Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) for VET providers is a national data standard for VET providers that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.

(Note: AVETMISS is revised from time to time to maintain relevance and appropriateness. The current version can be accessed from the NCVET website.

The Data Provision Requirements require relevant applicants and RTOs to show that they have adequate systems to capture and report on this data against the agreed quality indicators.

### 6.22.9 Privacy Protection Act 2012 & Privacy Act 1988

Wilson Medic One respects the importance of securing any form of personal information which is collected from the student(s) and/or other Stakeholders.

Information collected from students is only utilised for the purpose gathering information on the student as part of their enrolment, training, assessment and certification process. All data is kept securely within either a locked filing cabinet or filed electronically within a password protected database.

Wilson Medic One has an obligation under Commonwealth and State legislation to provide information to certain government departments for the purpose of reporting data to the government. On occasion, the government regulatory body will require access to student records for the purpose of auditing the RTO against the Standards for RTO's. No student files will be removed from the RTO's site, unless a student is notified beforehand.



The RTO promotes and conducts the following policy in accordance with the privacy Amendment (enhancing Privacy Protection) Act 2012, which amends the Privacy Act 1988.

### **Australian Privacy Principle 1 – Open and transparent management of personal information**

#### **– Types of information which will be collected and where it is held**

The RTO collects information for training purposes and compliance against the Standards for RTO's to ensure quality service is given to its students in an open and transparent way.

The information collected and stored in the RTO's AVETMISS database includes:

- Student Name
- Age, sex
- Contact information
- Record progress

#### **– How information is gathered**

This information is collected for statistical purposes by the Government & regulating bodies. The RTO gathers such information through the AVETMISS data collected on the enrolment form and the Q1 AQTF feedback form.

### **Australian Privacy Principle 2 – Anonymity and Pseudonymity**

Should the student and/or stakeholder choose to remain anonymous or use a pseudonym the individual has the right when it is lawful and practicable to do so.

In the case of enrolling into a nationally recognised qualification, all students must use the identity details on their photo ID which will be verified by the RTO.

### **Australian Privacy Principle 3 – Collection of solicited personal information**

#### **– Personal information other than sensitive information**

The RTO will only collect personal information that is reasonably necessary for one or more of their functions or activities.

#### **– Sensitive information**

Sensitive information in which the RTO may collect and/or solicit, would be for lawful means as authorised by or under an Australian Law or a court/tribunal order. Should sensitive information related to student's health and safety, the RTO may collect this information with the consent of the individual or authorised by or under Australian Law.

### **Australian Privacy Principle 4 – Dealing with unsolicited personal information**

Should the RTO receive personal information although not solicited such information, they will determine as soon as practicable and lawful to do so, destroy the information or ensure the information is de-identified. The RTO will also, within a reasonable period after receiving the information, determine whether it could have been collected under APP 3.



### Australian Privacy Principle 5 – Notification of the collection of personal information

At or before the time, or if that is not practicable as soon as practicable after, the RTO collects personal information about an individual, such steps will be taken to inform the individual:

- The identity of the RTO and contact details
- If the RTO collects or has collected person details from someone other than the individual
- If the collection of personal information is required or authorised by or under an Australian law or a court/tribunal order.
- The purpose for which the RTO has collected the information
- The consequences (if any) for the individual if all or some of the personal information is not collected by the RTO
- Whom the RTO discloses the personal information to
- How the individual may access the personal information and seek correction of such information
- Please refer to Access to Records Policy and Procedure
- How the individual may complain due to any form of breach

### Australian Privacy Principle 6 – Use or disclosure of personal information

The RTO will ensure and promote to its staff that disclosure of personal information for another purpose such as direct marketing, public relations and relationship building is not prohibited unless the individual has consented to the use of disclosing information.

Where State or Commonwealth funding supports training, we are obliged to submit personal and progress details for research, statistical analysis, program evaluation, post completion survey and internal management purposes.

### Australian Privacy Principle 7 – Direct marketing

The RTO will not use or disclose personal information for the purpose of direct marketing as outlined in APP 6 unless consent is made by the individual.

This includes sharing your personal details with another organisation unless it is a government department.

### Australian Privacy Principle 8 – Cross border disclosure of personal information

The RTO will only transfer personal information to an individual or someone overseas if:

- The receipt of the information is subject of law
- The RTO believes that the disclosure of the information is reasonably necessary for one or more enforcement activities.

### Australian Privacy Principle 9 – Adoption, use or disclosure of government related identifiers

The RTO must not adopt a government related identifier of an individual as its own identifier of the individual unless required or authorised by or under an Australian law or a court/tribunal order; if:

- The identifier is prescribed by the regulations
- The organisation is prescribed by the regulations
- The adoption, use or disclosure occurs in the circumstances prescribed by the regulations

In the case of the Unique Student Identifier (USI) all students will be required to produce this number prior to enrolment.



### **Australian Privacy Principle 10 – Quality of personal information**

All personal information collected by the RTO must be accurate, up to date, complete and relevant.

### **Australian Privacy Principle 11 – Security of personal information**

The RTO must ensure that personal information is protected from misuse, interference and loss from unauthorised access, modification or disclosure. To ensure this, all data is collected and stored on the student management system with limited access to authorised personnel only.

### **Australian Privacy Principle 12 – Access to personal information**

All students have the right to gain access to information on request that fall within the definition of personal information. Should the information be withheld from the individual, the RTO should provide reason why access will not be made available within lawful reasons.

### **6.22.10 Western Australia’s Work Health and Safety Act 2020**

The RTO is committed to providing and maintaining a safe and healthy environment for the benefit of all clients, visitors and employees.

The RTO monitors and maintains the appropriate Workplace Health and Safety levels and obligations under the Federal and State rules and regulations of Western Australia’s Work Health and Safety Act 2020.

If students have any concerns or notice a condition or practice that seems unsafe, it is important that it is brought to the attention of the RTO management this generally occurs through the Trainer / Assessor.



According to Section 19 - Primary duty of care a person conducting a business or undertaking (PCBU) must ensure, so far as is reasonably practicable:

- the provision and maintenance of a working environment that is safe and without risks to health, including safe access to and exit from the workplace
- the provision and maintenance of plant, structure and systems of work that are safe and do not pose health risks (for example, providing effective guards on machines and regulating the pace and frequency of work)
- the safe use, handling, storage and transport of plant, structure and substances (for example, toxic chemicals, dusts and fibers)
- the provision of adequate facilities for the welfare of workers at work (for example, access to washrooms, lockers and dining areas)
- the provision of information, instruction, training or supervision to workers needed for them to work without risks to their health and safety and that of others around them
- that the health of workers and the conditions of the workplace are monitored to prevent injury or illness arising out of the conduct of the business or undertaking
- the maintenance of any accommodation owned or under their management and control to ensure the health and safety of workers occupying the premises

According to Section 28 of the Act – while at work, workers must take reasonable care for their own health and safety and that of others who may be affected by their actions or omissions: They must also:

- comply, so far as they are reasonably able, with any reasonable instruction given by the PCBU to allow the PCBU to comply with WHS laws
- cooperate with any reasonable policy or procedure of the PCBU relating to health or safety at the workplace that has been notified to workers.

Duties of other persons at the workplace – Section 29

Similar duties apply to other persons at a workplace. Any person at a workplace, including customers and visitors, must take reasonable care of their own health and safety and that of others who may be affected by their actions or omissions. They must also comply, so far as they are reasonably able, with any reasonable instruction that is given by the PCBU to comply with WHS laws.

### 6.22.11 WHS Incident Policy

A WHS incident is defined as being an incident that has affected a student or staff member that involves an event that has caused emotional or physical harm to that person (e.g. death or serious injury to themselves or other persons within their life).

Should a WHS incident occur to any student or member of staff at the RTO, it is vital that a process of support is initiated and carried out.

An incident must be recorded as per the Wilson Group WHS Policy and Procedure.

A WHS incident may occur:

- On the Institute premises during the institute hours.
- To students of the RTO, outside of the RTO hours, affecting particular groups of the community. (e.g. bus or train accident on which a student may be travelling has an accident and serious injury or death may occur to a student)
- To friends/acquaintances of certain members of the RTO which can affect all at the RTO. E.g., the death of a student or member of staff known to all or some of the students.

In an incident of theft within the RTO:

- Individuals within the RTO is responsible for their belongings.





- Items or money stolen is not the responsibility of the RTO and cannot be replaced by Wilson Medic One

This policy provides a procedure on the following:

- Action to be taken in the event of a WHS incident
- Follow-up of the incident
- Records of the incident and action taken plan

### 6.22.12 WHS Incident/Hazard Report

The WHS Incident/Hazard Report is utilised to record injuries and incidences that occur within the RTO/workplace and must be completed whenever an injury, incident or hazard is identified. The form collects data on the incident/hazard, personal details of the person who was injured and further action to be undertaken.

In the incident of a student injury, it is the responsibility of the Trainer/Assessor to complete the form with all the relevant details. In the incident of a staff member being injured, it is the responsibility of Administration Staff to complete the form with all the relevant details. Everyone is responsible for identifying and reporting hazards, which includes students, sub-contractors and employees of the RTO. If you identify a hazard, please report it to either your Training Manager or the administration office.

All staff and students are required to be safety aware and report all incidents, including an identified hazard or an injury that has occurred on the RTO premises or whilst on work placement. These should be either reported to your trainer or to the administration office at the RTO.

The following procedure should be followed when reporting an incident/hazard after the event and when the area/person has been declared safe:

1. A copy of the "WHS Incident/Hazard Report" form can be accessed through the Wilson Group portal
2. Complete the form to the best of your abilities, by ensuring all fields are completed
3. Click 'Submit' once completed.
4. In the case of minor incidences an "Opportunity for Improvement" form should be completed.

### 6.22.13 Emergency Procedures

An emergency situation may be described as an incident that has the potential to cause loss of life or serious injury to personnel, or major damage to equipment or property. An emergency develops suddenly and unexpectedly and requires immediate action to bring under control.

In the event of an emergency, if practical, save human life or prevent the emergency from escalating e.g., remove people from the area, fight the fire with appropriate firefighting equipment or turn off services.

A list of Emergency contacts is displayed in each classroom and in the Student Hub

In the case of an emergency requiring assistance, call **000** for Fire, Ambulance or Police.

### Fire Emergency

If the emergency situation involves a fire the following points should be remembered if attempting to fight the fire:

1. Ensure that everyone is out of danger
2. Notify the Fire Warden
3. Follow instructions of the Fire Warden



4. Call 000 and ask for Fire Department, report incident including location of incident to Emergency Services
5. You will be required to provide your name, the type of emergency, location of the emergency and assistance required.
6. If you are able, access the nearest fire extinguisher
7. When using a fire extinguisher do not aim the nozzle at the center of the fire. Work from near edge and with a sweeping motion drive the fire to the far edge.
8. Do not stand down wind or downhill of a fire.
9. If there is any chance of chemicals or explosives in the fire, evacuate the area.
10. If there is any doubt about it being an electrical fire, treat it as an electrical fire.
11. If unable to immediately control the situation it must be reported by available means such as, telephone, etc.
12. Never take any unnecessary risks in attempting to control the situation. Evacuate first.

You need to make yourself aware of Emergency Procedures, the location of fire extinguishers or hose reels and the location of the Evacuation Meeting Point.

### Medical Emergency

In the event of someone requiring assistance for medical assistance, the following procedure should be followed:

1. In the first instance, call the First Aid Officer
2. If the incident is urgent, call 000 and ask for Ambulance, report incident including location of incident to Emergency Services
3. You will be required to provide your name, the type of emergency, location of the emergency and assistance required.
4. Follow the instructions of either the First Aid Officer or Emergency Services
5. First Aid Officer and the person who identified the incident is to record the incident on the HSE Incident/Hazard Report Form

### Police Emergency

Only call 000 in an emergency or life-threatening situation, when urgent police assistance is required. Following is a list of incidences that should be reported to police:

- A serious crime is in progress, being witness or just committed
- Any situation where life or serious injury is threatened
- A car accident where people are trapped or seriously injured
- A serious air, rail or water incident
- Any incident which poses an immediate threat of danger to people or property, or
- An explosion or bomb incident or threat

Under Australian Commonwealth and State laws, it is an offence to misuse the 000 emergency services number. Action will be taken against those who misuse or make nuisance calls on the 000 line.

### Evacuation Procedure

In the event of an emergency situation e.g.: a fire, bomb threat, gas leak etc... each employee/contractor is required to follow the Evacuation Procedure found in the Emergency Management Plan specific to 190 Abernethy Road.



### 6.22.14 Equal Opportunity Act 1984

The Act's objectives are:

- a) to eliminate, so far as is possible, discrimination against persons on the grounds of sex, marital status, pregnancy, family responsibility or family status, race, religious or political conviction, impairment, age or gender history in the areas of work, accommodation, education, the provision of goods, facilities and services and the activities of clubs;
- b) to eliminate, so far as is possible, sexual harassment and racial harassment in the workplace, and in educational institutions and sexual harassment and racial harassment related to accommodation;
- c) to promote recognition and acceptance within the community of the equality of men and women; and
- d) to promote recognition and acceptance with the community of the equality of persons of all races, regardless of their religious or political convictions, their impairments or ages.

<https://www.wa.gov.au/government/publications/equal-opportunity-act-1984>

The RTO is committed to ensuring that all its representatives, clients and participants are treated fairly and equally in their employment and training.

1. All opportunities are determined on the basis of merit without regard to nationality, race, religion, sex, sexuality, marital status, pregnancy, politics or impairment.
2. Trainer/Assessors are accountable for the implementation of this policy.
3. The RTO and its representatives have a responsibility to provide an environment which is free from any form of discrimination, harassment, insult, ridicule, and victimisation or bullying either directly or indirectly.

All representatives of the RTO are required to note and agree to comply fully with the regulations and legislation preventing Sexual Harassment and ensure that all training participants are made aware of and comply with such regulations and legislation requirements.

Sexual Harassment includes but is not limited to:

1. Making unsolicited and unwelcome written, verbal, physical or visual contact with sexual overtones (for example: jokes, slurs, assault, touch or posters)
2. Continuing to express sexual interest after being informed that the interest is unwelcome
3. Masking reprisals, threats of reprisal or implied threats of reprisals following a negative response. (for example, suggesting a poor performance report will be given)
4. Engaging in implicit or explicit coercive sexual behaviour which is used to control, influence or affect the career, salary or environment of another
5. Offering favours or benefits such as promotions, favourable reviews, favourable assigned tasks, etc. in return for sexual favours

The RTO strives for an environment free of sexual harassment. These policies against harassment apply to both the training and work environments for participants, clients, staff and contractors.

Anyone found to be in violation of this policy will be subject to appropriate disciplinary action, which includes warnings, reprimand, suspension, dismissal or cancellation of contract.

### 6.22.15 Bullying and Harassment

Harassment, victimisation, bullying or any such conduct that has the purpose or effect of interfering with an individual's work performance or creating an intimidating, hostile, or an offensive learning environment, will not be tolerated. This includes harassment, victimisation, bullying because of sex, race, national origin, religion, disability, sexual preference or age.

Harassment is unlawful under Commonwealth and State legislation and all harassment, bullying and victimisation are contrary to the duty of care to provide a safe environment for work and learning.



Harassment, victimisation and bullying can take many forms. It can be overt or subtle, direct or indirect.

Examples of Harassment may include:

- Unwelcome physical contact
- Repeated unwelcome invitations
- Insulting or threatening language or gestures
- Continual unjustified comments about a client's work or work capacity
- Jokes and comments about someone's ethnicity, colour, race
- Pictures, posters, graffiti, electronic images, which are offensive, obscene or objectionable.

Examples of victimisation may include:

- Unfavourable treatment like aggression
- Refusing to provide information to someone
- Ignoring a person
- Mocking customs or cultures

Examples of bullying may include:

- A person who uses strength or power to coerce others by fear
- Behaviour that intimidates, degrades or humiliates a person
- Aggression, verbal abuse and behaviour which is intended to punish
- Personality clashes and constant 'put-downs'
- Persistent, unreasonable criticism of client work performance

Staff and students should be aware that differing social and cultural standards may mean behaviour that is acceptable to some may be perceived as offensive by others. Such conduct, when experienced or observed, should be reported to your trainer or the Chief Executive Officer. All complaints will be promptly investigated.

### 6.22.16 Anti-Bullying

Violence, harassment and bullying are human rights issues that profoundly affect the lives of many people in Australia.

We all have a right to feel safe and respected. We all have a right to live our lives free from violence. Violence, harassment and bullying can violate these rights. They can also impact on other rights, such as the right to education and the right to health.

Violence, harassment and bullying affect well-being and quality of life.

Victims can experience significant social isolation and feel unsafe. Bullying can lead to emotional and physical harm, loss of self-esteem, feelings of shame and anxiety, and concentration and learning difficulties. Tragically, violence, harassment and bullying can lead to suicide in extreme cases.

We all have a responsibility to create a safe environment by standing up against violence, harassment and bullying. If bystanders take safe and appropriate action to stop bullying, we can all be a part of the solution. In the event of a situation that is considered by clients to be in violation of the RTO harassment, victimisation and bullying policy, report the situation to management.

### 6.22.17 AFP National Police Check

A number of industries require students and staff to complete a National Police Check before the students can commence Work Placement. To meet the requirements of these industries, the RTO may be required to undertake Police Record Checks of staff and students.



### 6.22.18 Copyright Act 1968

The copyright Act 1968 is an Act relating to copyright and the protection of certain performances, and for other purposes.

Students and staff need to be aware that photocopying of text books and assessment tools may be in breach of the Copyright Act. Please adhere to the copyright requirements listed within the relevant documents you wish to copy.

### 6.22.19 Working with Children Check Who needs a Working with Children Check?

A Working with Children Check is a prerequisite for anyone in child-related work in Western Australia. All training and administration staff who may come into contact with students under the age of 18 years, this includes the delivery of training and assessment, are required to complete a Working with Children Check before they are able to work with students under the age of 18.

As a Registered Training Organisation, we have adopted child-safe policies and practices to help keep students under the age of 18 safe.

A Working with Children Check includes a national police check and review of findings of misconduct involving children. The result is either a clearance or a bar.

## 6.23 Evidence

- Student Handbook
- Trainers Handbook
- Policies and Procedures Manual
- Registration Form
- Position Descriptions
- WHS Incident/Hazard report form

## 6.24 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis

## 6.25 Responsibility

- Chief Executive Officer
- Senior Management



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

### 6.26 Strategy

Staff and clients of the RTO will be made aware of their rights and responsibilities through Position Descriptions and relevant Policies and Procedures. RTO Staff will be kept up to date with changes to relevant legislation by subscribing to updates from the relevant websites such as <https://www.legislation.gov.au/Login?ReturnUrl=%2fMyAccount>

### 6.27 Policy and procedure

#### 6.27.1 Changes in Legislation

Senior Management who are responsible for Compliance are required to subscribe to updates to changes in legislation, including the legislation under the VET Quality Framework.

When a change in legislation or regulations occurs, Senior Management are responsible for ensuring that:

- All staff, students and clients are notified of changes in writing
- Student Handbook is updated, and the new version is provided to current students, clients and staff.
  - New version is uploaded to Website
- Trainers Handbook is updated, if required
- Policies and Procedures Manual is updated, if required

If it is determined that the change in legislation will have a significant impact on the organisation, Senior Management should undertake a risk assessment to identify how the RTO will need to adapt, this could include:

- Re-writing or implementation of new policies and procedures
- Implementation of new safety equipment
- Changes in organisational structure

#### 6.27.2 Induction Process - Legislation

During the Induction process, staff will be informed of legislative and regulatory requirements that are mandatory to their position. All staff are issued with a Position Description prior to commencement, outlining the role and responsibilities, as well as a Trainers Handbook and Student Handbook, which outlines the legislative and regulatory requirements that affect their duties.

All students will undergo an induction with the RTO, which will include the student's rights and responsibilities against the relevant Commonwealth, State or Territory legislation and regulatory requirements. Students are issued with a Student Handbook, which also includes the Student's rights and responsibilities that will affect their participation in vocational education and training.

All staff are required to comply with the VET Quality Framework, which includes:

- the Standards for Registered Training Organisations (RTOs) 2015
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements 2011
- the Financial Viability Risk Assessment Requirements 2011
- the Data Provision Requirements 2012
- other Commonwealth, state or territory regulatory requirements

### 6.28 Evidence

- Policies and Procedures Manual



### 6.29 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **March** on an annual basis.

### 6.30 Responsibility

- CEO



## Recording, monitoring and reporting third-party arrangements (clauses 2.3, 2.4 and 8.3)

- 2.3 The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.
- 2.4 The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

### 6.31 Strategy

The RTO is responsible for ensuring the quality of all training and assessment undertaken by third parties, including ensuring that all training and assessment undertaken by the third party on its behalf meets the requirements of the VET Quality Framework.

All training delivered by a third parties, that is not an employee or staff member of the RTO, are subject to a written agreement being in place which is signed by the authorised person of each party.

Training delivered by the Third Party on behalf of the RTO, for which the RTO issues the AQF qualification or statement of attainment, will be the subject of a commercial arrangement only as each RTO is fully accountable for the training it delivers, and assessment conducted.

Third Parties can also be known as a Partner of the RTO.

### 6.32 Policy and procedure

#### 6.32.1 Third Party Arrangement

A written agreement is to be implemented which clearly specifies the roles and responsibilities of each party to the third parties' agreement including the responsibilities for compliance with the VET Quality Framework.

The written agreement is to be signed by each party to the agreement and the RTO shall maintain an up-to-date register of all/any agreements entered into by the RTO.

- Name and address of both parties
- Name of the authorised person of each party
- Name and primary contact details of both parties
- Compliance with the VET Quality Framework
- Training Products offered, codes, titles and units
- Services offered – i.e. training only, assessment only or training and assessment
- Level of service offered by each party
- Statement acknowledging that the RTO is always responsible for training, assessment and certification to be issued in its name
- Verified copy of the RTO's certificate of registration and scope certification
- Signed by both parties
- Dates for period of agreement
- Fees related to agreement

#### What is a third-party arrangement?

The Standards for Registered Training Organisations 2015 define a 'third party' as any party that provides services on behalf of the RTO. This definition does not include a contract of employment between an RTO and an employee.





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

Educational and support services may include:

- pre-enrolment materials
- study support and study skills programs
- language, literacy and numeracy (LLN) programs or referrals to these programs
- equipment, resources and/or programs to increase access for learners with disabilities and other learners
- learning resource centers
- flexible scheduling and delivery of training and assessment
- learning materials in alternative formats, for example, in large print
- learning and assessment programs contextualised to the workplace, and
- any other services that the RTO considers necessary to support learners to achieve competency.

### What kind of third-party arrangements could RTOs have?

An RTO might be involved in third-party arrangements with:

- other RTOs
- non-registered training providers
- recruitment agents or brokers
- employment/job services agencies

### When to notify the Regulator

Your RTO must notify ASQA whenever you start or end a third-party agreement. The RTO notifies the Regulator:

- Of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and
- Within 30 calendar days of the agreement coming to an end.

To notify ASQA:

- Log into ASQAnet.
- Go to the 'Notifications' tab and select 'Third-party service arrangements'

### 6.32.2 Marketing – Third Parties

All marketing materials, for the purpose of the training and assessment outlined within the agreement, is to be approved by the RTO prior to distribution. Following is the procedure for approval of marketing:

1. Third Party drafts an advertisement, course flyer or other marketing material. All marketing includes the wording: "This qualification/unit is delivered in partnership with RTO NAME and ID"
2. All marketing and advertising material is to be submitted to the CEO of the RTO for approval
3. Written approval from an individual or organisation is to be obtained if reference is to be made to the individual or organisation on any promotional material
4. A copy of the authorised marketing and advertising material, together with any approvals are to be kept on the Third Parties file.



5. The printing and publishing of marketing and advertising material can only be authorised by the CEO
6. All printed, published or advertising will clearly distinguish between nationally recognised training with scope of registration and non-accredited training, offered.
7. The CEO gives approval to the Third Party to utilise the marketing material
8. The Third Party can then commence marketing utilising the approved marketing material

### 6.32.3 Monitoring of Third-Party Arrangements

In order to ensure that all training and assessment services being provided on behalf of the RTO complies with the VET Quality Framework, the following is to be implemented for each Third Party:

- Annual Audits to be undertaken by the RTO or an external qualified consultant, against the requirements of the VET Quality Framework. Refer to the policy and procedures for the process for conducting internal audits.
- Post Assessment validation is to be undertaken by the RTO on an annual basis. Refer to policy and procedure for the process on Assessment Validation.
- Verification of assessment tools to be undertaken by the RTO
- Completion of Continuous Improvement forms by the Third-Party organisation, these include:
  - Trainers Report
  - Training Evaluation Forms
  - Industry Consultation
  - Opportunity for Improvement
  - Complaints and Appeals
  - WHS Incident Reporting
- Monitoring of Continuous Improvement process by the RTO. Refer to the Policies and Procedures on continuous improvement.
- Professional development of Trainers/Assessors from the Third Party. Refer to the policies and procedures on trainer's responsibilities.
- Internal audit of third parties, notifying the VET Regulator of Third-Party arrangements.

### Auditing Third Parties

Auditing of Third parties is conducted at least once a year as part of your continuous improvement strategy. When developing a strategy to monitor your agreements, you should consider:

- Timeframes for monitoring—when and how often?
- Procedures for monitoring—who will conduct the review and how will outcomes of the review be acted upon?
- How will you monitor student assessments, pre-enrolment information given to students, training and assessment resources, facilities and equipment, trainer/assessor competencies and qualifications, marketing/advertising information, issuance of qualifications/statements of attainment and records management practices?
- How will you implement strategies for two-way feedback between your RTO and the third party?

### 6.32.4 Third Party Trainers and Assessors

Third Party trainers and assessors are required to be notified that they are delivering training and assessment under a third-party agreement with the RTO.



As per clauses 1.13 to 1.16, all Third-Party trainers and assessors must comply with the requirements of the Policies and Procedures for trainers and assessors. Third Party trainers and assessors' responsibilities include:

1. Maintain professional development in both the VET and Vocational sector
2. Attend trainer meetings when requested and at least one (1) validation meeting per year
3. Prepare delivery and assessment plans as requested
4. Maintain accurate course administration material including the submission of: Competency assessment records, attendance records, course timetables, course session plans, course/trainer notes, assessment tasks, benchmark answers and resources for all accredited training programs
5. Distribute and collect Quality Indicator Surveys
6. Comply with the Policies and Procedures set out in the Trainers Handbook
7. Comply with the requirements and regulations of appropriate legislation
8. Report student grievances using the RTO's documented complaints and appeals process
9. Ensure training is delivered as per the approved delivery and assessment plan

### 6.33 Evidence

- Trainers Files
- Third Party Files
- Record of Third-Party Agreements lodged on ASQAnet

### 6.34 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **July** on an annual basis.

### 6.35 Responsibility

- CEO



### 8.3 The RTO notifies the Regulator:

- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

### 6.36 Strategy

To ensure that the regulatory body is notified within 30 calendar days of any Third-Party Agreements, whereby another organisation is delivering training and assessment under the scope of registration of the RTO, being commenced or ceased

### 6.37 Policy and procedure

#### 6.37.1 Notify ASQA of Third-Party Arrangements

Using ASQAnet the RTO must notify ASQA of the commencement and cessation of any third-party service arrangements.

To notify ASQA of a third-party arrangement:

- Log in to [ASQAnet](#)
- Go to the 'Notifications' tab and select 'Third-party service arrangements'

There is no cost associated with submitting the notification form. ASQA will process the form and send an email confirming the update to your organisation's registration details.

It is an explicit requirement of all RTOs under the *Standards for RTOs 2015* that they notify ASQA within 30 days of entering a written agreement with another organisation for the delivery of services—including training, assessment, related educational and support services and/or any activities related to the recruitment of prospective learners—on your RTO's behalf.

### 6.38 Evidence

- Completed Regulatory Body forms

### 6.39 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **July** on an annual basis

### 6.40 Responsibility

- CEO
- Senior management



## Holding public liability insurance (clause 7.4)

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

### 6.41 Strategy

The RTO will ensure that it has in place a level of insurance that is suitable for the size and scope of the RTO's operations that provides coverage for the RTO.

Public Liability insurance will specifically cover "Training and Assessment" activities.

### 6.42 Policy and procedure

#### 6.42.1 Insurance

The RTO maintains public liability Insurance throughout its registration with adequate cover suitable for the RTO's size and scope of registration, which is generally set as \$10,000,000.

The CEO is responsible for ensuring that sufficient cover is in place to cover the usual risks associated with the operations of an RTO including coverage for training and assessment activities. Other insurances relevant to the RTO's operations may include:

- Professional indemnity, workers compensation (as required)
- Building and contents (where appropriate)

### 6.43 Evidence

- Student Handbook
- Organisational Profile

### 6.45 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.

### 6.46 Responsibility

- Chief Executive Officer
- Senior Management



## Meeting data provisioning requirements (clause 7.5)

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

### 6.47 Strategy

To collect AVETMISS and Quality Indicator data in accordance with the Data Provision requirements.  
Policy and procedure

#### 6.47.1 AVETMISS Reporting

Data collected for AVETMISS reporting, which is collected in the Registration Forms, will be sent to the National VET Regulator as determined by the National VET Regulator. The CEO will ensure that the report is submitted by implementing the following procedure.

1. All students are required to complete an enrolment form, which includes data to be collected for the purpose of AVETMISS reporting
2. All data collected on the enrolment form is to be entered into the Student Management System
3. By no later than the end of February each year, the RTO is to produce an AVETMISS report from the Student Management System
4. On or before the end of February each year, the CEO is responsible for ensuring that an AVETMISS report is submitted to the regulatory body as required.

#### 6.47.2 Quality Indicator Reporting

The RTO will distribute to every student an AQTF Quality Indicator Lerner Engagement Survey and to each employer an AQTF Quality Indicator Employer Satisfaction Survey. The data collected on these surveys will be compiled into a summary report which will be submitted annually to the Regulator.

#### 6.47.3 Exemptions

The RTO will collect and report full AVETMISS data and Quality Indicator reports for all learners, unless it is exempt under the “National VET Provider Collection Data Requirements Policy”.

### 6.48 Evidence

- Student Management Database
- AVETMISS Reports

### 6.49 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis.

### 6.50 Responsibility

- Chief Executive Officer
- Senior Management



## Providing requested information to asqa (clauses 8.1 and 8.2)

8.1 The RTO cooperates with the VET Regulator:

- a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- b) in the conduct of audits and the monitoring of its operations;
- c) by providing quality/performance indicator data;
- d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;
- e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- f) in the retention, archiving, retrieval and transfer of records.

8.2 The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

### 6.51 Strategy

The CEO ensures compliance with the regulatory body requirements by ensuring that they keep up to date with the requirements under the following:

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

The CEO will keep up to date with the changes by registering to receive updates from the following industry organisations and websites:

- ASQA alerts and newsletters, including General Directions
- [www.training.gov.au](http://www.training.gov.au)
- Industry Skills Council updates
- Australian Qualifications Framework updates
- NCVET Updates
- VET network updates

### 6.52 Policy and procedure

As outlined within the Position Description the CEO is responsible for ensuring that the RTO cooperates with the National VET Regulator. Following is an outline of how the CEO will be required to co-operate with the National VET Regulator:

- a) By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
- b) In the conduct of audits and the monitoring of its operations – the CEO is responsible for ensuring that all staff participate in the conduct of audits and the monitoring of its operations.
- c) By providing accurate and timely data relevant to measures of its performance – the CEO is responsible for ensuring that relevant data, including AVETMISS and Quality Indicator Reporting, is provided to the National VET Regulator in an accurate and timely manner.
- d) By providing information about significant changes to its operations – the CEO is responsible for ensuring that the "Notification of Change of Provider Details" form, which can be accessed from the ASQA website, is completed and submitted to ASQA whenever there is a significant change to operations within the RTO. Following is an extract from the "Notification of Change of Provider Details" form, which outlines the use of

the form within 90 days.

### Notification of Change of Provider Details

Use this form to:

- provide written notification of change to the details of a registered training organisation (RTO) and/or a Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) provider
- informs the regulatory body about changes to permanent RTO delivery sites.

Do not use this form to:

- notify the regulatory body of a material change to the organisation's operations or management (use the 'Notification of material change of event' form)
- notify the regulatory body that an event has occurred that may impact on the organisation's ability to comply with the VET Quality Framework (use the 'Notification of material change of event' form)
- request a change to RTO scope of registration (use the 'Application to change RTO scope of registration' form in ASQAnet)
- make changes to CRICOS scope of registration, including changes to courses or delivery sites or capacity (use the 'Application to amend CRICOS registration' form) where ASQA is the designated authority

The information above has been derived from the "Notification of change of provider details" form, which can be accessed from [www.asqa.gov.au/forms.html](http://www.asqa.gov.au/forms.html).

- e) By providing information about significant changes to its ownership – the CEO is responsible for ensuring that the "Material Change or Event" form, which can be accessed from the ASQA website, is completed and submitted to the regulatory body whenever there is a material change or event that has occurred within the RTO. Following is an extract from the "Material Change or Event form, which outlines the use of the form within 90 days.

### Material Change or Event

A material change includes changes to an RTO's or a CRICOS provider's:

- Chief Executive Officer/Principal Executive Officer/Executive Officer/High Managerial Agent
- financial administration status
- legal name or type of legal entity
- ownership, directorship and/or control (including sale of RTO business).

An event that may significantly affect the RTO's ability to comply with the VET Quality Framework would include events such as:

- information arising that may impact on the 'Fit and Proper Person' status of an influential representative of the RTO or CRICOS provider
- commencing or dissolving an arrangement with another organisation to conduct training and/or assessment on the RTO's behalf
- significant change to a fundamental funding/revenue source of the RTO (e.g. Government funding contract allocation)
- significant change to the RTO's business strategy driven by a change to Government policy
- commencing delivery to apprentices or trainees employed under a training contract, or
- another significant event not classified elsewhere.

Some changes may affect the organisation's registration status. ASQA will investigate all material changes and events and inform the organisation about any further action required.

- f) **In the retention, retrieval and transfer of records consistent with the National VET Regulator's requirements** – The CEO is responsible for ensuring that all records are retained, are easy to retrieve or access and data can be transferred to the Regulatory body as required.





By signing the CEO Position Description and Statutory declaration Change of chief executive and the Fit and Proper Person Requirements Declaration Form (ASQA forms can be accessed from [www.asqa.gov.au/forms.html](http://www.asqa.gov.au/forms.html)) the CEO agrees that they are responsible for ensuring that the RTO complies with the National VET Regulator requirements and will ensure all staff will cooperate with the National VET Regulator when requested.

### 6.53 Evidence

- Chief Executive Officer's Position Description
- Completed Regulatory Body forms

### 6.54 Continuous improvement

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **December** on an annual basis

### 6.55 Responsibility

- Chief Executive Officer
- Senior Management

