



# **Policies and Procedures Manual**

# **VOCATIONAL EDUCATION &**

# **TRAINING**

Chisholm Catholic College  
RTO 30511  
RTO Manager Mala Nair

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School RTO Approval Statement					
<b>School RTO Name</b>	Chisholm Catholic College				
<b>Policy start date</b>	24/01/2022	<b>QCAA school number</b>	089	<b>National provider number</b>	30511
<p><b>The Principal as Chief Executive Officer (CEO) approves:</b></p> <ul style="list-style-type: none"> <li>• the policy, procedure and implementation requirements</li> <li>• all identified attachments to this policy and procedure</li> <li>• all modifications to the policy and procedure prior to implementation</li> <li>• the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure</li> <li>• the allocation of time to ensure delegated officers carry out all components within the prescribed timelines and dates of all activities outlined in the quality calendar detailed through this policy and procedure</li> <li>• the RTO VET Program Leader monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times</li> <li>• QCAA analysing these documents when conducting audits</li> <li>• that email addresses provide the same acknowledgment as a signature.</li> </ul>					
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## **Foreword**

As a Registered Training Organisation Chisholm Catholic College operates under the VET Quality Framework (VQF). The VET Quality Framework comprises:

- The Standards for Registered Training Organisations (RTOs) 2015:  
<https://www.legislation.gov.au/Details/F2019C00503>
- The Australian Qualifications Framework: <https://www.aqf.edu.au/>
- The Fit and Proper Person Requirements: <https://www.asqa.gov.au/standards/compliance-governance/clause-7.1>
- The Financial Viability Risk Assessment Requirements:  
<https://www.asqa.gov.au/standards/compliance-governance/clause-7.2>
- The Data Provision Requirements: <https://www.asqa.gov.au/standards/compliance-governance/clause-7.5>

Chisholm Catholic College is registered to deliver a range of VET qualifications/training products under the direction of Queensland Curriculum and Assessment Authority (QCAA and/or the Australian Skills Quality Authority (ASQA).

This manual provides the details of the policies and procedures that assist the College in the provision of high-quality training and assessment services and in satisfying national requirements governing RTOs.

## Training and Assessment Policy

### Background

#### Clause 1.1

The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training 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.

#### Clause 1.2

For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner regarding:

- The existing skills, knowledge and the experience of the learner
- The mode of delivery; and
- Where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

#### Clause 1.3

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

- Trainers and assessors to deliver the training and assessment;
- Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- Facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

#### Clause 1.4

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

### Policy Statement

The RTO Program Leader/delegated representative will ensure that for all training products on the scope of registration that there is sufficient:

- Trainers and assessors to deliver and assess the training and assessment
- Educational support services to meet the needs of learners (Learning and Support Centre)
- Learning resources to enable the learner to meet the requirements for each unit of competency (textbooks; online resources)
- Facilities and equipment to accommodate and support learners

Training and Assessment Strategies (TAS) will be developed for each cohort for each qualification that is delivered and assessed. These strategies will be developed in consultation with industry.

### Procedure

The RTO VET Program Leader/delegated representative will meet with industry representatives, trainers and assessors regarding the TAS for each VET training product on scope.

The RTO VET Program Leader/trainers will prepare a TAS for each cohort for each training product on scope prior to delivery. All stated requirements of the training product will be reflected in the TAS.

The TAS will be reviewed by the RTO VET Program Leader/delegated representative and updated each

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semester to consider changes in industry, legislation, and the training package itself.

Each TAS shall include:

- Identification of Training Product
- Core and elective components
- Mode of delivery
- Entry requirements
- Duration and scheduling
- Assessment resources, methods and timing
- Learning resources
- Human resources
- Physical resources

## Industry Engagement Policy

### Background

#### Clause 1.5

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

#### Clause 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; and
- The current industry skills of its trainers and assessors.

### Policy Statement

Chisholm Catholic College has a commitment to providing a quality service with a focus on training and assessment practices that are relevant to the needs of industry and informed by industry engagement. Training and assessment strategies will be developed in consultation with industry and will be supported through the moderation and validation procedures.

To provide training relevant to employers and to maximize learners' opportunities for employment, advancement or further education, the College will engage with relevant industry stakeholders to establish appropriate contexts, methods, resources and trainers and assessors to deliver training and to conduct assessment. Information gathered through this process will be used to:

- Design strategies for training and assessment
- Select suitable resources, trainers and assessors
- Industry Representatives will be engaged to provide input into:
- Skills and knowledge trainers and assessors hold
- Resources used for training and assessment

### Procedure

The RTO VET Program Leader/delegated representative will:

- Plan for industry engagement which includes:
  - o Consulting with industry representatives each calendar year regarding each of the College's training products

VET Trainers and Assessors will:

- Engage each semester industry regarding the units of competency in which they train and assess
- Record industry engagement and feedback on Industry Engagement Record

Industry engagement may include but is not limited to:

- Partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
- Involving employer nominees in industry advisory committees and/or reference groups;
- Embedded staff within enterprises;
- Networking in an ongoing way with industry networks, peak bodies and/or employers;
- Developing networks of relevant employers and industry representatives to participate in assessment validation;
- Exchanging knowledge, staff, and/or resources with employers, networks and industry bodies

## **Learner Support Policy**

### **Background**

#### **Clause 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.

### **Policy Statement**

To maximise the chance of learners successfully completing their training, Chisholm Catholic College will:

- Identify any support individual learners need prior to their enrolment or commencement
- Provide access to that support throughout their training.

This may include providing:

- Language, Literacy and Numeracy (LLN) support
- Assistive technology
- Additional tutorials
- Other mechanisms, such as assistance in using technology for online delivery components.

### **Procedure**

As an Education Queensland School, the College fully caters to the needs of students, whether social, financial, emotional or educational. Policies regarding access and equity to education are the foundation of the school's practice. Where necessary, arrangements will be made for students requiring literacy and/or numeracy support programs.

The Chisholm Catholic College has a Student Enrichment Centre which is staffed by a Learning Enrichment Program Leader, Learning Support Teachers, ESL Support Teacher and Teacher Aides.

The College will establish the needs of the students and deliver services to meet their individual needs where applicable. All students will be involved with some or all of the following processes, designed to establish their educational and support needs:

- SET plans
- Subject selection processes
- Career guidance services

The provision of educational services will be monitored to ensure the Chisholm Catholic College continues to cater for student needs through review of student senior education and training (SET) plans, as needed.

RTO VET Program Leader/delegated representative will

- Ensure that potential course participants are aware of the recommended level of LLN required to undertake the various courses on offer through:
  - o information provided in course selection book
  - o set plan meetings
- Promote the language, literacy and numeracy policy to course participants
- Identify course participant's LLN skill level
- Ensure that staff and trainers/assessors can identify course participants with LLN problems and can implement appropriate strategies to assist
- Provide relevant staff development opportunities and publications for employees and contractors to ensure their continued awareness of and competence regarding LLN requirements

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Trainers/Assessors will

- Provide regular guidance, support, direction and monitor the training
- Incorporate literacy and numeracy elements into training and assessment.
- Deliver training using plain English
- Encourage students to approach their teacher or the Learning Support Staff if they feel that they require support.
- Where students have been identified as having requiring assistance, recommend students to RTO VET Program Leader/delegated representative or the learning support team for additional support

# Assessment Policy

## Background

### Clause 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.

#### **Table 1.8-1: Principles of Assessment**

##### **Fairness**

The individual learner's needs are considered in the assessment process.

Where appropriate, reasonable adjustments are applied by the RTO to consider the individual learner's needs.

The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

##### **Flexibility**

Assessment is flexible to the individual learner by:

- Reflecting the learner's needs;
- Assessing competencies held by the learner no matter how or where they have been acquired; and
- Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

##### **Validity**

Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.

Validity requires:

- Assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
- Assessment of knowledge and skills is integrated with their practical application;
- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

##### **Reliability**

Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

#### **Table 1.8-2: Rules of Evidence**

##### **Validity**

The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

### **Sufficiency**

The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.

### **Authenticity**

The assessor is assured that the evidence presented for assessment is the learner's own work.

### **Currency**

The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

## **Policy Statement**

All participants who undertake a qualification or training product that leads to a full or partial completion of a national qualification are assessed in accordance with the relevant training package requirements using the approved assessment tools developed and implemented by Chisholm Catholic College.

## **Procedure**

RTO VET Program Leader/delegated representative will ensure that all assessment tools:

- Comply with the requirements of the relevant training product
- Assessment leads to a qualification or statement of attainment under the Australian Qualification Framework (AQF)
- Is conducted in accordance with the principles of assessment, i.e. Assessment is valid, reliable, flexible and fair
- The rules of evidence (valid, sufficient, current and authentic) guide the collection of evidence to support the principles of validity and reliability
- Meet workplace requirements
- Are version controlled
- Complies with the college's access and equity policy
- Are systematically validated as per the validation policy

Assessors/trainers are responsible for:

- Informing students about the assessment process, including:
  - o What will be assessed
  - o How it will be assessed
  - o When the assessment will be undertaken
  - o Circumstances in which the assessment will take place
  - o Complaints and appeals policy and procedure
- Liaising and negotiating with participants regarding any reasonable adjustments required
- Providing timely and constructive feedback to participants
- Providing time and appropriate feedback to students
- Recording and retaining assessment outcomes
- Retaining student work for six months from the date on which the decision on competence for the individual unit or module was made, in hard copy or electronically
- Use current version of assessment documents

If a student has not achieved an individual competency or an instrument assessing a cluster of competencies within their first attempt, they can then submit their second attempt of this assessment task. When submitting their second attempt they are given the opportunity to obtain competency but addressing the feedback and correcting the errors. The assessor will provide the student with feedback whenever an assessment is not yet competent in the first attempt.

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All students have access to reassessment on appeal. Refer to Complaints and Appeals Policy.

Assessment tools provides a means of collecting evidence. Assessment tools will be developed and reviewed as per the validation policy. The VET Program Leader and Trainer/Assessor will work together to ensure the Assessment Tools meet the Principles of Evidence and the Rules of Evidence.

Each Assessment Tool will include:

- Assessment cover sheet, outlining:
  - o Purpose of assessment
  - o Assessment items/tasks that must be completed
  - o Instructions on how to complete the assessment
  - o Requirements/conditions of assessment
  - o Context/scenario
  - o Submission details, what and when
- Assessment
- Solutions/benchmark answers
- Marking checklist
- Mapping to requirements of unit of competency, including performance criteria, performance and knowledge evidence

A range of assessment methods will be used to suit the unit/s of competency these may include:

- Direct observation
  - o Assessed in real or simulated workplace
- Product based methods, structured assessment activities, such as:
  - o Work samples
  - o Role plays
  - o Presentations
  - o Reports
  - o Displays
- Portfolio, collection of work samples such as:
  - o Written documents
  - o Photographs
  - o Videos
  - o Logbook
- Questioning, generally used for knowledge evidence and can include:
  - o written questions
  - o oral questions
  - o conducting interviews or questionnaires
- Third party evidence (where needed)

Version control procedures

- The initial version of all documents is 1 and is located in the footer of each document
- All modifications made to that document - whether a minor or major restructure - are identified by sequential increases of one on the new document. For example: 2, 3
- The date of the version or version change will also be noted in the document footer
- The decision to modify a document with potential for version change is vested in VET Program Manager

## Reasonable Adjustment Policy

### Background

#### Clause 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.

#### Table 1.8-1: Principles of Assessment

##### Fairness

The individual learner's needs are considered in the assessment process.

Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.

The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

### Definitions

Disability, in relation to a person, means:

- Total or partial loss of the person's bodily or mental function, or;
- Total or partial loss of a part of the body, or;
- The presence in the body of organisms causing disease or illness, or;
- The malfunction, malformation or disfigurement of a part of the person's body, or;
- A disorder or malfunction that results in the person learning differently from a person without the disorder or malfunction, or;
- A disorder, illness or disease that affects a person's thought processes, perception of reality, emotions or judgement, or one that results in disturbed behavior.

Adjustment – a measure or action (or a group of measures or actions) taken by an education provider which has the effect of assisting a student with a disability:

- In relation to an admission or enrolment – to apply for the admission and enrolment, and;
- In relation to a course or program – to participate in the course or program, and;
- In relation to facilities and services – to use the facilities and services, and;
- On the same basis as a student without a disability, and;
- Includes an aid, a facility or a service the student requires because of his or her disability.

Reasonable adjustment – an adjustment is reasonable in relation to a student with a disability if it balances the interests of all parties affected

### Policy Statement

In accordance with the Disability Standards for Education (2005), education providers are under a positive obligation to make changes to reasonably accommodate the needs of a learner with a disability. Reasonable adjustments can be made as required, as long as competence is not compromised. This policy provides a guide to providing reasonable adjustments and ensuring principles of equity and access are applied

## **Procedure**

At enrolment or prior to commencement of training, student will be advised regarding reasonable adjustment options to accommodate their learning needs. Students will be briefed by the Trainer/Assessor about training and assessment requirements so that the student can decide whether she/ he needs adjustments to participate in training and assessment on the same basis as students without a disability.

Students can declare a disability

- During enrolment
- During the course

If a student has declared a disability, the student should be approached in a sensitive and confidential manner and asked whether they may require any adjustment to training and/or assessment being delivered

Before making an adjustment for the student the RTO VET Program Leader/delegated representative will consult with the student or an associate of the student about:

- Whether the adjustment is reasonable
- The extent to which the adjustment would achieve the following aims:
  - o The student will be able to participate in the courses or programs provided and use the facilities and services provided, on the same basis as a student without a disability;
  - o The student will be able to participate in the learning experience of the course or program on the same basis as a student without a disability;
  - o The student will be able to access support services on the same basis as a student without a disability;
  - o The student will be able to participate in the activities in which he or she is enrolled.
- Whether there is any other reasonable adjustment that would be less disruptive or intrusive and no less beneficial to the student.

RTO VET Program Leader/delegated representative will make decision about reasonable adjustments - with the support of a disability specialist if needed.

In deciding whether to make a reasonable adjustment for a student, they will:

- Assess whether there is any reasonable adjustment that would be less disruptive or intrusive and no less beneficial to the student;
- Assess whether the adjustment may need to be changed over the period of the student's education or training;

Reasonable adjustments in assessment

- Reasonable adjustments to assessment methodology and processes should accommodate students' needs and enable them to demonstrate their competencies.
- When making reasonable adjustments, assessors need to focus on validity and fairness of assessment. Adjustments that fall short of these requirements are not allowed. Such adjustments not only unfairly advantage the student with a disability, but also disadvantage all students by invalidating the award being conferred.
- The rigor of the assessment process is not to be compromised, for example, if there is a requirement to complete documentation in a unit of competency, oral assessment would not be appropriate.
- Any adjustment is to be made within a reasonable time. Whether the time is reasonable depends on whether and when the student or his or her associate has provided any relevant information or opinion.
- The Trainer/Assessor will record reasonable adjustments on the Record of Reasonable Adjustment Form which is to be filed with the student assessment.

# Validation Policy

## Background

### Clause 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.

### Clause 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.

### Clause 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 qualification or assessor skill set referred to in Item 1 or 3 of [Schedule 1](#).

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

## Policy Statement

Validation will be systematically undertaken, refer to validation plan, and is designed to ensure the College's assessment instruments effectively address the requirements of the qualification including continuous improvement of strategies, resources and staff. Chisholm Catholic College will validate each training product at least once every five years, validating at least 50% of training products within the first three years of each five-year cycle.

## Procedure

The RTO VET Program Leader/delegated representative will prepare the validation plan. The validation plan details when the validation will occur, which training products will be the focus, who will lead and participate in the validation, how the outcomes will be documented and acted on and saved on the College portal.

The RTO VET Program Leader/delegated representative will verify qualifications and experience of Validator/s through use of the Validator Checklist for each validator.

The RTO VET Program Leader/delegated representative will:

- Inform staff of validation meetings
- Contact external parties, inform them of the purpose of the meeting and how to prepare for the meeting
- Provide full details of the validation including units of competency; assessment tools; judgement sample

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- Meeting members will be provided with enough time to discuss items including:
  - o Suggested changes to assessments to meet changes in industry and policy;
  - o Assessment methods and tasks used;
  - o Evidence of achievement and whether it is sufficient to meet training package and industry requirements.
  - o Verification of consistency of judgement between trainer/assessors in respect to the same unit competency assessed.
  - o Suggestions for improving assessment tools and assessment judgements.
  - o Assessors' understandings of assessment methods and tasks;
  - o Verification that the marking criteria meet the learning outcomes as detailed in the Training Package;
  - o Whether assessment methods and tasks are mapped to the performance criteria, skills and knowledge and learning outcomes in the Training Package.

A detailed assessment of the validation is to be placed in the Validation Assessment Form.

The RTO VET Program Leader/delegated representative will document agreed improvements in the Continuous Improvement Register.

The RTO VET Program Leader/delegated representative will manage the improvements to ensure corrective actions are completed with defined timelines.

## Recognition of Prior Learning (RPL) Policy

### Background

#### Clause 1.12

The RTO offers recognition of prior learning to individual learners.

### Policy Statement

RPL is alternative pathways to achieving an Australian Qualifications Framework (AQF) qualification. RPL is distinguished by the way they relate to learning achieved through recognition of assessment of an individual's relevant prior learning (RPL). By removing the need for duplication of learning, RPL encourages an individual to seek diverse and inclusive pathways to lifelong learning, formal qualifications and improved employment outcomes.

RPL is an assessment process and must adhere to the requirements of assessment.

Students, who are enrolled in a nationally recognised VET qualification, can access the RPL process in order to seek recognition for skills and knowledge previously gained through experience in the workplace, volunteer work, social or domestic duties or through formal and informal studies.

Chisholm Catholic College will ensure that:

- It implements an assessment system that ensures RPL assessments comply with assessment requirements of relevant Training Packages, VET Accredited Courses;
- RPL assessment is conducted in accordance with the Principles of Assessment;
- RPL assessment is conducted in accordance with the Rules of Evidence;
- Recognition is offered to all clients on enrolment;
- Adequate information and support are provided to clients in understanding the process and gathering reliable evidence to support their recognition claim;
- All Recognition applications are processed in accordance with the College Assessment Policy;
- Appropriate recognition will be given to AQF Certification documentation issued by other RTOs.

### Procedure

All students will be given the opportunity to apply for Recognition of Prior Learning (RPL) for industry skills or life skills. The RTO VET Program Leader/delegated representative will inform all students about the RPL procedure at the beginning of their learning.

If the student wishes to apply for Recognition of either their past qualifications or experience, they will need to do so within two weeks of enrolment. Students make an application for RPL using the RPL Application Form.

Students will be provided an RPL kit for the unit/units of competency for which they are applying for an RPL. Students submit the supporting evidence as outlined in the RPL kit by the agreed time

Assessor will

- Review the RPL application and provide feedback within two weeks of receiving the evidence.
- Analyse the evidence against the Unit/s of Competency and determine if the evidence meets the Rules of Evidence and requirements of the Unit/s of Competency.
- Where evidence is lacking, further evidence will be requested, this may also include a competency conversation. The additional evidence must be supplied within two weeks from date of request.
- Student will be notified by RTO VET Program Leader/delegated representative of outcome
- Student may appeal the decision following the complaints and appeals process

## Trainer and Assessor Policy

### Background

#### Clause 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.

#### Clause 1.14

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

- Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of [Schedule 1](#), or demonstrated equivalence of competencies; and
- From 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of [Schedule 1](#).

#### Clause 1.15

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

- Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of [Schedule 1](#), or demonstrated equivalence of competencies; and
- From 1 January 2016, Item 1 or Item 2 or Item 3 of [Schedule 1](#).

#### Clause 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.

### Policy Statement

To provide training that reflects current industry practice and valid assessment, all trainers and assessors must maintain the currency of their skills and knowledge in their industry area and in vocational education and training.

It is also acceptable for an appropriately qualified trainer and assessor to work with an industry expert to conduct assessment together.

### Procedure

It is the responsibility of the RTO VET Program Leader/delegated representative to establish, verify and monitor that trainers and assessors meet the requirements as outlined in the Standards.

Recruitment of staff will be guided by the following principles:

- All prospective staff will be made aware during recruitment that they will undergo a VET induction process if employed by the school to teach in a VET Department.
- Any teacher recruited to deliver and assess a qualification will either meet the requirements of the relevant training package or course or have the ability to meet this standard before commencing the delivery and assessment of the qualification.

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- All staff will undergo a VET induction procedure on employment by the school or when they become involved with VET.

All VET staff recruited from 1 January 2016 will hold either of the following:

- TAE40110 Certificate IV in Training and Assessment or its successor
- Diploma or higher-level qualification in Adult Education

All Trainers and Assessors will hold:

- 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.

VET staff induction procedure:

The induction procedure will introduce the:

- VET quality systems operating within the school.
- VET courses in the school.
- Roles and responsibilities of an RTO
- Human resource requirements for VET.
- Professional development roles and responsibilities for staff and the school
- Relevant policies and procedures of the school relating to VET
- Competency-based training and assessment.
- Requirements for School-based Apprenticeships/Traineeships.

The RTO VET Program Leader/delegated representative will:

- Review the pool of suitably trained staff prior to the commencement of each semester. When this review suggests that the pool is insufficient for the coming semester take steps to increase the number of suitably trained trainers and assessors
- Prior to assigning a trainer or assessor to a unit of competency:
  - o Seek proof that they hold either the current qualification for the delivery and assessment of VET units (presently TAE40110) or a diploma or higher-level qualification in adult education. Sight the original certificates of qualification or certified copies.
  - o Be assured that the trainer or assessor has demonstrated that they have current industry skills directly relevant to the training and assessment being provided.
- Ensure that trainers and assessors maintain currency by undertaking professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment
- Develop Yearly professional development (PD) plan and ensure appropriate PD is undertaken by VET staff
- Ensure Staff profiles for each staff member are updated on a yearly basis.

The Professional Development plan will include:

- Name of staff member undertaking PD
- Name of organisation where PD is to be undertaken
- Time and dates of PD
- Purpose of PD
- Alignment to specific Units of Competency

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Trainers/Assessors are responsible for

- Completing a yearly Staff Profile
- Providing the Staff Profile to the RTO VET Program Leader/delegated representative.
- Providing supporting documents to the RTO VET Program Leader/delegated representative, such as verified copies of qualifications, letters from industry, statements of attendance
- Undertaking professional development to maintain currency
- Completing yearly professional development plan and providing this plan to the RTO VET Program Leader/delegated representative
- Engaging with industry, refer to Industry Engagement Policy

The Staff Profile will illustrate how the teacher meets the following:

- Training and assessment competency
- Training and assessment currency
- Vocational competency
- Vocational currency

## Transition Policy

### Background

#### Clause 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.

#### Clause 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.

### Policy Statement

Learners are entitled to graduate with a qualification that most closely represents the current skill needs of industry. A qualification being superseded or discontinued is a clear indication that industry needs have changed to the extent that the previous qualification is no longer suitable.

To best meet the needs of our learners and of industry, the college will transfer learners from superseded qualifications into a replacement qualification as soon as possible.

### Procedure

It will be the responsibility of each RTO VET Program Leader/delegated representative to plan for the transition to new/revised Training packages as they are endorsed.

The College will manage the transition from superseded Training packages or Accredited courses within 12 months of their publication on Training.gov.au (TGA), the national register.

Where possible, students in existing/expiring training products will be "transitioned" to the new versions of the training product. It is the responsibility of the RTO VET Program Leader/delegated representative to ensure that the replacement qualification is on the College's RTO scope of registration.

Students who complete their study and be issued with a qualification or statement of attainment within the one-year transition period do not need to be transferred to a replacement training product.

If the qualification is removed or deleted without being superseded by another

- The College will ensure that all training, assessment and issuance of certification is completed within two years of the date the qualification was removed

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- The RTO VET Program Leader/delegated representative will not allow a new learner to commence training or assessment from the date a qualification is removed or deleted from TGA, the national register.

Where a skill set, unit, course or module (not attached to a qualification) is removed or deleted, Chisholm Catholic College will ensure that all training, assessment and issuance of certification is completed within one year of the date the skill set, unit or module was removed or deleted. Students will not be permitted to commence training or assessment from the date a skill set, unit, course or module is removed or deleted from the National Register.

Where a qualification or accredited course specifies a core or named elective unit or module that has been superseded, removed or deleted from another training package. The College will continue to include the component/s as named in the qualification or course being delivered.

Upon notification of a training product being superseded or deleted on the National Register the RTO VET Program Leader/delegated representative will document transition arrangements in a Transition Plan. This plan will include:

- A qualification/competency transition mapping matrix showing the relationship between the superseded qualifications/competencies and the new qualification/competencies.
- Arrangements and timelines for the transfer of students to the new training package qualification.
- Arrangements for students to complete the superseded qualification.
- The date (if appropriate) after which no new enrolments are to be taken in the superseded qualification.
- The period of time that the superseded or expired qualification may continue to be delivered.
- Considerations for the best interests of students and existing delivery modes for the qualification.
- The notifications of proposed transition arrangements will be provided students and parents as early as possible with explanations regarding the effects of the transition's arrangements

## **Quality Assurance Policy**

### **Background**

#### **Clause 2.1**

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

#### **Clause 2.2**

The RTO:

- Systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1, and
- 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.

### **Policy Statement**

Chisholm Catholic College is committed to ensuring that the quality of the training and assessment is maintained.

Systematic monitoring of internal systems, strategies and practices will be undertaken to enable the College to respond to changes in the marketplace or to stakeholder expectations. The College ensures quality development, implementation, monitoring and evaluation of training and assessment strategies and practices that meet training packages and VET accredited course requirements. The data from this monitoring shall be used to implement changes that will improve the strategies and practices of training, assessing and other operations of the College.

### **Procedure**

The College will conduct a regular review of its training and assessment, using a range of information including:

- Quality indicator data
- Validation outcomes
- Client feedback
- Trainer and assessor feedback, and
- Complaints and appeals.

This data will be used to inform changes to current strategies or practice as needed. Reviews will be conducted in conjunction with industry engagement activities, refer to Industry Engagement Policy.

The RTO VET Program Leader/delegated representative, or Trainer/Assessor will:

- After completion of their studies issue students a Student Satisfaction Survey/Quality Indicator survey

The RTO VET Program Leader/delegated representative will:

- Conduct annual internal reviews and record outcomes on the Self-Audit Review Form
- Collect and collate feedback from trainers and assessors at regular VET staff meetings
- Review results from quality indicator surveys, validation feedback and trainer feedback and revises systems and practices where needed
- Collect and retain evidence of the review process including:
  - o delivery and performance data

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- client feedback
- trainer and assessor feedback
- validation outcomes
- information from complaints and appeals
- Where issues have been raised about training or assessing complete the following:
  - Discuss any issues raised about a particular trainer or assessor with the trainer/assessor.
- Make changes to the Training and Assessment Strategy (TAS) that will improve training, assessment or other related areas.
- Each year, prepare a formal report for the CEO, summarising the review and including any recommended changes
- Record changes to be made in the continuous improvement register
- Manage and follow up on changes to ensure implementation by agreed dates

The purpose of the annual internal review is to:

- Confirm that the college meets legislated standards for the delivery of VET courses
- Confirm and make recommendations for areas which may need improvement
- Recognise and affirm evidence of quality processes and procedures in VET course provision
- Internal Reviews will be conducted by a panel that may be comprised of:
  - VET Program Leader and
  - VET teachers with experience in each of the frameworks offered at the school
  - VET Compliance officer
  - Personnel from other RTOs with knowledge and expertise in VET
  - Internal reviews will be recorded on a Self-Audit Review Form

# Certification Policy

## Background

### Clause 3.1

The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

### Clause 3.2

All AQF certification documentation issued by an RTO meets the requirements of [Schedule 5](#).

### Clause 3.3

AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

### Clause 3.4

Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of [Schedule 5](#) and are accessible to current and past learners.

## Policy Statement

Chisholm Catholic College will have controls in place to ensure qualifications, statements of attainment and records of results are not issued unless the learner has completed all requirements. Certification will only be issued to learners after they have fully demonstrated competence and where evidence of this is in place.

To ensure credibility of qualifications the College will ensure it meets the requirements of the [AQF Qualifications Issuance Policy](#) and will include any additional information specific to the VET sector, as per [Schedules Four and Five](#) of the Standards (refer to [Appendix two](#)).

## Procedure

The College issues AQF qualifications and statements of attainment within a reasonable time in accordance with the Standards, as follows:

- Within 30 calendar days of the student final assessment being completed; or
- Within 30 calendar days of the student exiting their course

In accordance with the Standards:

- All course participants who complete a course that leads to the award of an AQF qualification receive a record of results.
- All course participants who have not completed a full AQF qualification receive a Statement of Attainment and a record of results

Before a Statement of Attainment is awarded, the VET Program Leader/delegated representative will ensure that:

- The units of competency for the award have been completed and assessed as competent.
- The students Unique Student Identifier has been verified, refer to Student Identifier Policy

Sufficient information is provided on a Testamur and or Statement of Attainment to ensure that the documentation is able to be authenticated and to reduce chances of fraudulent reproduction. To reduce fraudulent reproduction

- All certification will have an identification number that is unique to the course participant who completed the course.

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- All certification will have the College's name, RTO code and Logo
- To ensure templates remain compliant and current, they will be regularly updated.

Electronic copies of course participant data will be maintained in the Colleges Student Management System and back-ups maintained.

- The College will retain sufficient data to be able to reissue a qualification or statement of attainment for the 30-year period
- If the College ceases being an RTO, the College will provide this information to ASQA in digital form

When issuing a certificate/statement the following procedure will be followed:

1. The Trainer/Assessor will complete a Student Completion Record for students who have completed their course, exited the qualification early or left the College. The Student Completion Record will indicate any completed or partially completed qualifications.
2. The Trainer/Assessor will forward the Student Completion Record to the VET Administration Officer who will amend student's file on STUDENT MANAGEMENT SYSTEM to indicate that qualification has been issued by placing a "YES" in the "Certificate Issued" column.
3. The VET Administration Officer will produce the qualification and issue directly to the student, via the Teacher, or post to the student if they have left the College
4. The VET Administration Officer will store a copy of issued qualifications in the students electronic file
5. The VET Administration Officer will record details of the issued qualification and/or statement in the Certificate Register

### **Replacement Qualifications**

The College will provide replacement copies of issued qualifications to students and past students. Requests for a replacement qualification or statement of attainment (within the 30-year period) are processed as follows:

- Requests for a replacement qualifications or statements of attainment can be in writing (emails acceptable) or via telephone from the student or past student of the College.
- The request will be forwarded to the Careers Office.
- The VET Administration Officer will re-issue replacement qualifications and statements of attainment as per the original details in the register. Note: There is no cost for replacement copies.
- The replacement qualification will identify that it is a re-issued version
- The replacement qualification will be issued within 14 working days of receipt of written/verbal request.

## Student to Access Records Policy

### Background

#### Clause 3.4

Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of [Schedule 5](#) and are accessible to current and past learners.

### Policy Statement

The College is committed to regularly providing students with information regarding their participation and progress. All student files are kept securely stored. Students wishing to access their own records must make a request to the VET Administration Officer. The VET Administration Officer will arrange supervised access at a mutually convenient time.

### Procedure

Trainers and Assessors/Teachers maintain accurate and current records of each student's progress towards and achievement of competencies.

- These records will be forwarded for entry on the Student Management System prior to each of QCCA's advertised collection dates for data.
- The data recorded on the Student Management System will be printed out and returned to the Trainer Assessor/Teacher annually for checking.
- Once approved as accurate, the RTO VET Program Leader/delegated representative is notified to this effect.
- When the student nears achievement of sufficient competencies for award of the full qualification, the Trainer and Assessor/Teacher checks student achievements against the qualification packaging rules.
- When the student has achieved the requirements for completion of the qualification, the VET Administration Officer is notified to check the "qualification complete" button for that student in that qualification.
- The data recorded on Student Management System will be printed out and returned to the Trainer and Assessor/Teacher for checking. Once approved as accurate, the RTO VET Program Leader/delegated representative is notified to this effect.

As a holistic approach to delivery and assessment is utilised by the College, some units of competency will not be signed off until the completion of the qualification.

## Credit Transfer Policy

### Background

#### Clause 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.

### Policy Statement

Students will not be required to repeat any unit or module in which they have already been assessed as competent, unless a regulatory requirement or license condition (including industry licensing schemes) requires this. Where a student provides suitable evidence, they have successfully completed a unit or module at any RTO, the College will provide credit for that unit or module.

Before providing credit on the basis of a qualification, statement of attainment or record of results, the College will authenticate the information in the document. Providing credit for previous studies is not a recognition of prior learning (RPL) process, refer to Recognition of Prior Learning (RPL) Policy.

### Procedure

Chisholm Catholic College will recognise all qualifications issued by any other RTO. The College will seek verification of the certifications from the relevant RTO where there is some ambiguity.

#### Recognition of Qualifications

- In the first VET class of the year or the first class for new students, as part of the VET student induction process, the teacher shall make students aware that any existing qualifications they possess will be recognised by the College. Trainers and assessors/teachers will remind students of this policy at the beginning of each new term.
- If a student presents a qualification to the teacher, applying for Credit Transfer, the teacher will take a copy and bring it to the attention of the RTO VET Program Leader/delegated representative.
- The RTO VET Program Leader/delegated representative, will if required, verify the authenticity of the qualification.
- The verified copy of the qualification will be given to the VET Administration Officer to enter into the student management system using the "credit transfer" option and will then place the copy in the student file.
- The VET Administration Officer will advise the Trainer/Assessor that the student has been given exemption for the unit/s of competency identified in the qualification and will update the student's data in student management accordingly.
- The Trainer/Assessor will advise the student of the outcome of their application for Credit Transfer

Chisholm Catholic College will complete a mapping exercise to identify common units of competency across qualifications on the scope of registration.

- At the beginning of each year, students are identified who are doing courses where there are common units of competency or have progressed from Certificate I to Certificate II.
- The RTO VET Program Leader/delegated representative and the Trainer/Assessor will meet to establish the processes for delivery and ensuring accurate data.
- The information is entered into student management system using the "credit transfer" option in all instances where the student has already gained the unit of competency.

## Student Identifier Policy

### Background

#### Clause 3.6

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

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

### Policy Statement

The Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) is a national data standard that ensures consistent and accurate capture and reporting of VET information about learners.

A Unique Student Identifier (USI) is a reference number made up of numbers and letters that give students access to their USI account. 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. The online system provides each learner with a USI.

The USI is available online and at no cost to the student. This USI will stay with the student for life and be recorded with any nationally recognised VET course that is completed from 1 January 2015.

### Procedure

Chisholm Catholic College will:

- Provide USI information prior to and on enrolment
- Assist students to apply, or apply on behalf of students (with their permission) for a Unique Student Identifier (USI) from the Student Identifiers Registrar (as defined in that legislation);
- Request the Student Identifiers Registrar to verify USI numbers supplied by the student prior to using it.
- Not issue a AQF certificate without a validated USI

Students can apply for a USI at: [www.usi.gov.au](http://www.usi.gov.au)

### Collect the USI

The process to collect a USI from a student who has created their own USI is as follows:

Students will be asked to provide their:

- USI number
- First name
- Last name
- Date of birth

Important: The details the student provides MUST match the details shown on the form of ID used to create a USI.

**Verify the USI**

The VET Administration Officer will verify that the USI provided is correct through the USI website.

**Report the USI**

Once the USI is verified as valid, the college will then use this USI when reporting to the National Data Collection. The USI number will be provided to the VET Administration Officer to be added to the student's record on the VET management system/Student data capture system (STUDENT MANAGEMENT SYSTEM).

**Copy the Verification**

When the verification is matched, the VET Administration Officer will keep an electronic record of this in the VET electronic file system

**Data Management**

USI numbers are collected and stored for VET data reporting to VET Regulator. USI information will be stored on the College's secured network. The USI will only be used when reporting AVETMISS data via student management system or other to Queensland Curriculum Assessment Authority (QCAA). It will not be placed on the AQF certification documentation.

# Marketing and Information Policy

## Background

Provide accurate information to learners about services and qualifications

### Clause 4.1

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- Accurately represents the services it provides and the training products on its scope of registration
- Includes its RTO Code
- Refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained
- Uses the NRT Logo only in accordance with the conditions of use specified in [Schedule 4](#)
- Makes clear where a third party is recruiting prospective learners for the RTO on its behalf
- 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
- 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
- Includes the title and code of any training product, as published on the National Register, referred to in that information
- Only advertises or markets a non-current training product while it remains on the RTO's scope of registration
- 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
- 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
- Does not guarantee that:
  - o A learner will successfully complete a training product on its scope of registration, or
  - o A training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2, or
  - o A learner will obtain a particular employment outcome where this is outside the control of the RTO.

## Policy Statement

Chisholm Catholic College ensures all information about our services and performance is accurate and accessible to our prospective and current students. All information about our training products is accurate, factual and in accordance with the Standards. All College marketing of Australian Qualifications Framework (AQF) qualifications to prospective students is ethical, accurate, accessible and consistent with its scope of registration, and includes the school's RTO provider code

Students are properly informed about the services they are to receive, their rights and obligations. The College informs and protects students by providing advice about the training product prior to enrolment or the commencement of training and assessment (whichever comes first).

All marketing material will include the code and the full title of the qualification or accredited course as listed on the National Register, [www.training.gov.au](http://www.training.gov.au). The College will not advertise VET qualifications, accredited courses, or units of competency for which it is seeking registration.

The College will not advertise AQF qualifications to prospective students on behalf of other RTOs without their consent.

The Nationally Recognised Training (NRT) logo will be used in marketing material in accordance with its conditions of use specified in [Schedule 4](#).

The Principal (as the chief executive officer) of the College is ultimately responsible for ensuring that the College complies with the VET Quality Framework (VQF). This includes any marketing in print media, electronic media or social networking.

### **Procedure**

All AQF qualification marketing is managed by the RTO VET Program Leader/delegated representative. The staff induction program includes information about how to ensure that marketing is accurate, ethical and is not misleading.

All marketing (including within subject selection documentation) includes a date of publication and the following statement, 'correct at time of publication but subject to change'.

Regular monitoring is carried out on all currently approved material, particularly online material, to ensure it remains consistent with the RTO's scope of registration and operations. All marketing materials are submitted to the RTO VET Program Leader/delegated representative for approval. Marketing material include, but are not limited to:

- Online marketing/College website
- Subject selection book

The RTO VET Program Leader/delegated representative checks that marketing materials meet the mandatory requirements as defined in the Standards, as follows:

- Includes the RTO code of the school RTO
- Accurately represents the services and qualifications on the scope of registration
- Includes the NRT logo (in accordance with its conditions of use defined in [Schedule 4](#))
- Includes the correct and current qualification code and title, and lists the correct and current units of competency for each training product, as per the packaging rules and current scope of registration
- Only advertises current qualifications and units of competency that remain on the National Register. [www.training.gov.au](http://www.training.gov.au)
- Clearly differentiates VET qualifications from other forms of learning (non-VET subjects)
- If the qualification (or part of a qualification) is through an outside provider, the external RTO is identified (including their RTO Code) and the external RTO's provision of a record of consent is acknowledged
- Does not guarantee that:
  - o A student will successfully complete the qualification or units of competency
  - o A student will obtain an employment outcome
  - o A qualification or unit of competency can be completed in a manner that does not meet the Standards (clauses 1.1 and 1.2)
- Consent has been obtained from any person or organisation referred to
- Any other requirements as directed by the RTO VET Program Leader/delegated representative
- Retain a copy of all approved material

The RTO VET Program Leader/delegated representative (as delegated by the CEO) gives the final approval to all VET marketing, regardless of the format or the audience.

## Learner Information and Protection Policy

### Background

Inform and protect learners

#### Clause 5.1

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.

#### Clause 5.2

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- The code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register
- The training and assessment, and related educational and support services the RTO will provide to the learner including the:
  - o estimated duration
  - o expected locations at which it will be provided
  - o expected modes of delivery
  - o 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
  - o any work placement arrangements.
- 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.
- The learner's rights, including:
  - o Details of the RTO's complaints and appeals process required by Standard 6, and
  - o 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
- The learner's obligations:
  - o In relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services
  - o Any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product, and
  - o Any materials and equipment that the learner must provide, and
- Information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

### Policy Statement

Chisholm Catholic College ensures that all vocational education and training (VET) students are properly informed and protected. This policy and procedure document links closely with the RTOs marketing policy.

Through the SET plan (senior education and training plan) process, the College ensures that all VET students are provided with sufficient advice regarding the appropriateness for them of the qualification and/or

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accredited courses they would like to be enrolled. The advice considers each student's existing skills and knowledge prior to the finalisation of subject selection to ensure that students are able to make informed decisions before undertaking training in a VET qualification or accredited course. In addition, students at our College have access to support services and guidance services, refer to Learner Support Policy. The school RTO has a separate complaints and appeals policy.

**Procedure**

The RTO VET Program Leader/delegated representative has responsibility and authority for the VET student information systems. including:

- Liaising with the Principal and vocational training areas regarding student information documentation, as well as subject selection and course information
- Ensuring that subject selection forms and subject transfer forms include the following statement: 'By signing this form, I agree to all of the policies and procedures related to VET that are outlined in all school documentation pertaining to VET.'
- Ensuring the transfer or late enrolment forms include the statement: 'I am aware late enrolment means that my training and assessment agreement is for the negotiated package of units, which will lead to a statement of attainment.'
- Ensuring all students have been adequately informed about the appropriateness of the qualification or accredited course and whether it meets students' needs
- Ensuring all students have been advised regarding their rights and obligations and the RTO's responsibilities
- Ensuring that all information is provided in print or electronic form, or both
- Advising students about any changes to agreed services
- Ensuring that the provision of educational services is monitored to cater for student needs; this includes reviewing overlaps (i.e. where students are enrolled in more than one VET qualification at the school RTO or another RTO) and any corresponding adjustments to the training and assessment strategies, student enrolments and scope of registration required
- Ensuring all student records are kept securely and backed up in accordance with the Colleges IT practices

The person responsible for school timetabling (Assistant Principal Curriculum) must ensure that:

- They liaise with the RTO VET Program Leader regarding all VET enrolments
- All subject selection forms have been signed by both the student and the parent/carer

Students and their parents/carers have access to the following information prior to enrolment on the system management system, through the documents and/or activities described in the table below:

#	Document description	Document Name
1	Subject selection and enrolment procedures	<ul style="list-style-type: none"> <li>- student subject selection handbook, including SET plans</li> <li>- school calendar</li> </ul>
2	Qualification or accredited course information, including: <ul style="list-style-type: none"> <li>- Code, title, currency of qualification/accredited course (as per the national register)</li> <li>- Code and title of the units of competency to be delivered (as per the national register)</li> <li>- Estimated duration</li> </ul>	<ul style="list-style-type: none"> <li>- student subject selection handbook</li> <li>- school website</li> <li>- VET student handbook</li> </ul>

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#	Document description	Document Name
	<ul style="list-style-type: none"> <li>- Training/assessment locations</li> <li>- Mode/s of delivery</li> <li>- Work placement arrangements (if required)</li> <li>- Obligations to the students (i.e. being responsible for the quality of the training/assessment, issuance of certification)</li> <li>- Entry requirements or pre-requisites (if applicable)</li> <li>- Student obligations related to any materials or equipment</li> <li>- Requirements the student must meet to successfully complete (e.g. apply for a USI, service periods, travel requirements, events or out-of-school hours' functions)</li> <li>- The student's rights if the RTO (or a third party) closes or ceases to deliver any part of the training course</li> <li>- Details of the RTO's complaints and appeals process</li> <li>- Any relevant third-party information (i.e. name and contact details of the third party providing the training and/or assessment, and related educational and support services)</li> </ul>	
3	<p>Fee information (whether collected directly or through a third party) for each qualification prior to their enrolment in STUDENT MANAGEMENT SYSTEM specifying:</p> <ul style="list-style-type: none"> <li>- Fee information (amount, terms/conditions, deposits, refunds)</li> <li>- Student rights as a consumer, including cooling-off period (if applicable)</li> <li>- Student right to obtain a refund if the enrolment is terminated early or services not provided.</li> </ul>	<ul style="list-style-type: none"> <li>- student subject selection handbook</li> <li>- school website</li> <li>- VET student handbook</li> <li>- Subject selection online</li> </ul>
4	<p>How VET qualifications and courses differ from other school courses and criteria-based assessment, by including:</p> <ul style="list-style-type: none"> <li>- Work-like activities</li> <li>- Competency-based training and assessment</li> <li>- Competency standards, which are an industry-determined specification of performance that sets out the skills, knowledge and attitudes required to operate effectively in employment.</li> </ul>	<ul style="list-style-type: none"> <li>- student subject selection handbook</li> <li>- school website</li> <li>- VET student handbook</li> </ul>
5	Student support, welfare and guidance services	<ul style="list-style-type: none"> <li>- school website</li> <li>- VET student handbook</li> <li>- Learner Support policy</li> </ul>
6	Recognition of prior learning (RPL) procedures	<ul style="list-style-type: none"> <li>- VET student handbook</li> <li>- Recognition of prior learning (RPL) policy and procedure</li> </ul>
7	Recognition of Australian Qualifications Framework (AQF) credentials, and statements of attainment issued by other RTOs	<ul style="list-style-type: none"> <li>- VET student handbook</li> <li>- Certification policy</li> </ul>
8	School RTO's obligations to the student in regard to providing quality training and assessment, and issuance of AQF certification	<ul style="list-style-type: none"> <li>- VET student handbook</li> <li>- Assessment Policy</li> <li>- Certification Policy</li> </ul>
9	Student's rights if the College or a third-party delivering training on its behalf ceases to deliver any part of the qualification that a student is enrolled in.	<ul style="list-style-type: none"> <li>- VET student handbook</li> <li>- Learner Information and Protection policy</li> </ul>

## Third Party Arrangement Policy

Policy	Agreement	Notification	Monitoring
<p>The RTO ensures that when services are provided on its behalf by a third party:</p> <ul style="list-style-type: none"> <li>• a written agreement is in place that defines the obligations of all parties under the arrangement</li> <li>• each written agreement is systematically monitored.</li> </ul>	<p>A written agreement outlining the obligations of all parties must be in place when the RTO engages another party to provide one or more of the following services:</p> <ul style="list-style-type: none"> <li>• marketing</li> <li>• recruitment</li> <li>• resources</li> <li>• training</li> <li>• assessment</li> <li>• educational and support services.</li> </ul> <p>Recorded in the Third-Party Arrangement Register</p>	<ul style="list-style-type: none"> <li>• The RTO will notify students and provide them with information on how the TPA affects them: <ul style="list-style-type: none"> <li>– before enrolment</li> <li>– when a change to agreed services occurs.</li> </ul> </li> <li>• The RTO will notify the QCAA with advice of a TPA: <ul style="list-style-type: none"> <li>– commencing</li> <li>– substantially changing</li> <li>– ceasing.</li> </ul> </li> <li>• Trainers and assessors will be provided with an up-to-date TAS.</li> </ul>	<p>Over the life of the agreement, the RTO delegates officers to regularly monitor, evaluate and review TPA services – using the Third-Party Arrangement Monitoring and Review Form</p>

### Requirements of Third-Party Arrangements

Student advice	Information	QCAA advice
<p>The RTO will:</p> <ul style="list-style-type: none"> <li>• provide current and accurate information on any TPA that affects the student, in print or through referral to an electronic copy</li> <li>• advise a student of any substantial change to the agreement as soon as practicable.</li> </ul>	<p>The minimum information an agreement must contain is:</p> <ul style="list-style-type: none"> <li>• name and contact details of any third-party service provider</li> <li>• details of the training, assessment or related educational and support services to be provided to students on the RTO's behalf</li> <li>• identification of the qualification/s and unit/s of competency involved by full code and title.</li> </ul>	<ul style="list-style-type: none"> <li>• Within 30 days of a notifiable event, submit a completed <i>Notification to change organisation details</i> form using the QCAA Portal.</li> <li>• The online form will include a detailed description of the arrangement and identification of the qualification/s and unit/s of competency involved by full code/s and title.</li> </ul>

## Fees Policy

### Background

#### Clause 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 of the commencement of training and assessment, whichever comes first, specifying:

- all relevant fee information including:
  - o Fees that must be paid to the RTO, and
  - o Payment terms and conditions including deposits and refunds
- the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies
- the learner's right to obtain a refund for services not provided by the RTO in the event the:
  - o Arrangement is terminated early, or
  - o The RTO fails to provide the agreed services.

### Policy Statement

This policy sets out Chisholm Catholic College's RTO fee policy, the circumstances under which Students may claim a refund, and the associated procedures for handling refunds. Students for the purposes of this policy are VET Students only. The RTO shall only collect fees once an applicant's enrolment has been confirmed, at which time the course will have been deemed to have commenced.

### Procedure

The College does not charge students fees for VET services, separate to school fees, for courses where the College is the RTO.

Levies are only collected for consumable costs or other additional services. Any fees and charges that do occur for additional services will be made known to students prior to enrolment. Students who enroll past the commencement of the calendar year will be charged student levies at a pro-rata basis for the duration of the year. Students who leave a VET course before completion may be able to claim a refund for part of the course consumables (levy).

Fees for VET Courses provided by external training providers will be charged as per the third-party arrangements with that provider

In the event of losing the specialist trainer, and the RTO being unable to obtain a suitable replacement, Chisholm Catholic College will, if possible, arrange for agreed training and assessment to be completed through another RTO. (Fees may be incurred.) Prior to the transfer to another RTO, affected students will be formally notified of the arrangements, and an agreement to those arrangements, including any refund of fees, will be obtained. If transfer is not possible, the RTO will gain a written agreement for a subject/course transfer from the student and parent.

## Agreed Services Policy

### Background

#### Clause 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.

#### Policy Statement

The College is committed to completing the outlined training and assessment once students have started study in their chosen qualifications or courses from the course start date. Students who enter the course after the start date will have a negotiated package of units that will lead to a statement of attainment.

#### Procedure

In the event of losing the specialist trainer, and the RTO being unable to obtain a suitable replacement, Chisholm Catholic College will, if possible, arrange for agreed training and assessment to be completed through another RTO. (Fees may be incurred.)

Prior to the transfer to another RTO, affected students will be formally notified of the arrangements, and an agreement to those arrangements, including any refund of fees, will be obtained.

If transfer is not possible, the RTO will gain a written agreement for a subject/course transfer from the student and parent.

# Complaints and Appeals Policy

## Background

Manage complaints and appeals

### Clause 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.

### Clause 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.

### Clause 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.

### Clause 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.

### Clause 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.

### Clause 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 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.

## Policy Statement

Complaints and appeals are managed by Chisholm Catholic College in a fair, efficient and effective manner. The College will create an environment where learner's views are valued. This policy will be made publicly to

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the School/College community by being made available on the College's intranet and in materials provided to learners on commencement of enrolment.

The College ensures that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process. The College ensures that all formal complaints and appeals will be heard with resolutions reached within 60 calendar days of receiving the written complaint or appeal, where possible.

In the case of the time frame being longer than this, the RTO will communicate with the complainant/appellant why the process is taking longer and an estimated timeframe for resolution as well as being kept informed regarding ongoing progress.

If the processes fail to resolve the complaint or appeal, a review by an independent party will be provided if requested.

Details of all formal complaints and appeals will be securely maintained in a Register of Complaints and Appeals and will take appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Any substantiated complaints, as well as the complaints and appeals policy, will be reviewed as part of the continuous improvement processes.

The college as an RTO has a complaints and appeals policy specific to the RTO operations.

A complaint can be made to the College regarding the conduct of:

- The college RTO, its trainers, assessors or other college RTO staff; and
- Students of the RTO.

An appeal can be made to the College to request a review of a decision, including assessment decisions.

## **Procedure**

### **Complaints procedure**

All formal complaints must be in writing and addressed to the Principal, as CEO of the RTO.

On receipt of a written complaint:

- A written acknowledgement is sent to the complainant from the Principal
- The complaint is forwarded to the RTO VET Program Leader/delegated representative.

If the complaint is not finalised within 60 calendar days, the complainant is informed of the reasons in writing and regularly updated on the progress of the matter.

The RTO VET Program Leader/delegated representative will either deal with the complaint or convene an independent panel to hear the complaint; this shall be the complaints and appeals committee. The complaints committee shall not have had previous involvement with the complaint and will include representatives of:

- The RTO VET Program Leader/delegated representative
- The teaching staff
- An independent person

The complainant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.

The relevant staff member, third party or student (as applicable) shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.

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The outcome/decision will be communicated to all parties in writing within 60 days.

If the processes fail to resolve the complaint, the individual making the complaint will have the outcome reviewed (on request) by an appropriate party independent of the RTO.

If the complainant is still not satisfied, the RTO VET Program Leader/delegated representative will refer them to the VET Regulator website for further information about making complaints ([www.QCAA.qld.edu.au/3141.html](http://www.QCAA.qld.edu.au/3141.html)).

The root cause of any complaint will be included in the systematic monitoring and evaluation processes of the RTO so that appropriate corrective action can be instigated to eliminate or mitigate the likelihood of reoccurrence.

### **Appeals procedure**

All formal appeals must be in writing and addressed to the Principal, as CEO of the RTO.

On receipt of a written appeal:

- A written acknowledgement is sent to the appellant from the Principal (via admin support)
- The appeal is forwarded to the RTO VET Program Leader.

If the appeal is not finalised within 60 calendar days, the appellant is informed of the reasons in writing and regularly updated on the progress of the matter.

The RTO VET Program Leader/delegated representative will either deal with the appeal or convene an independent panel to hear the complaint; this shall be the complaints and appeals committee.

The appeals committee shall not have had previous involvement with the appeal, and will include representatives of:

- The RTO VET Program Leader/delegated representative
- The trainers
- An independent person

The appellant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.

The relevant staff member, if applicable, shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.

The outcome/decision will be communicated to all parties in writing within 60 days.

If the processes fail to resolve the appeal, the individual making the appeal will have the outcome reviewed by an appropriate party independent of the RTO.

If the appellant is still not satisfied, the RTO VET Program Leader/delegated representative will refer them to the VET Regulator website for further information about making complaints ([www.QCAA.qld.edu.au/3141.html](http://www.QCAA.qld.edu.au/3141.html)).

The root cause of any appeal will be included in the systematic monitoring and evaluation processes of the RTO so that appropriate corrective action can be instigated to eliminate or mitigate the likelihood of reoccurrence.

Chisholm Catholic College will include the following information on its public website.

- The school, as an RTO, has a complaints and appeals policy specific to its RTO operations.
- A complaint can be made to the school RTO regarding the conduct of:

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- The school RTO, its trainers, assessors or other school RTO staff
- Students of the RTO
- Any third parties providing services on behalf of the school RTO (if relevant).
- An appeal can be made to the school RTO to request a review of a decision, including assessment decisions.
- The school RTO will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process. All formal complaints and appeals will be heard and decided on within 60 calendar days of receiving the written complaint or appeal.
- If the school RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the complainant or appellant will be informed of the reasons in writing and will be regularly updated on the progress of the matter.
- If the processes fail to resolve the complaint or appeal, a review by an independent party will be provided if requested.
- Complaints or appeals should be directed to the Principal as CEO of the school RTO

## Fit and Proper Person Policy

### Background

Ensure authorised executive officers are in place and assess financial viability risk

### Clause 7.1

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

### Policy Statement

This policy ensures that all staff, especially managers, of our organisation are always people of integrity and who adhere to ethical standards . This policy is intended to draw attention to these expectations and promote discussion and commitment across the whole organisation.

The College is committed to effective governance of the company to ensure that clients have full confidence in our ability and suitability to deliver and assess national qualifications. It is therefore essential that the organisation is managed by fit and proper persons who ensure compliance. A person, by whatever name called and whether or not a director of the organisation, who is concerned in, or takes part in, the management of the organisation is deemed to be a manager and will need to meet the RTO Fit and Proper Person Requirements.

### Procedure

As a Registered Training Organisation, the College complies with the Fit and Proper Person Requirements:

- The Principal meets the Fit and Proper Person Requirements
- The Principal will complete a Fit and Proper Person Requirements declaration when and as required.
- If the Principal changed the new office bearer would be able to submit a Fit and Proper Person declaration immediately
- The College ensures that only persons who would meet the Fit and Proper Person Requirements can hold a managerial position within the organisation. As such the College requires that the RTO VET Program Leader/delegated representative must submit an ASQA Fit and Proper Person Requirements declaration to the organisation to be kept on file within the main office
- Declarations are stored in staff files

## Financial Viability Policy

### Background

Ensure authorised executive officers are in place and assess financial viability risk

#### Clause 7.1

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

#### Clause 7.2

The RTO satisfies the Financial Viability Risk Assessment Requirements.

### Policy Statement

The RTO is able to demonstrate to the registering bodies, on request, that it is financially viable at all times during the period of its registration.

ASQA has waived the requirement seeking registration and renewal of registration with VET Regulator as delegate of ASQA, to submit to an assessment of financial viability. The waiver is granted on the ground that the financial viability risk for Queensland's secondary schools is considered low.

## Fee Protection Policy

### Background

#### Clause 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](#).

### Policy Statement

The College does not charge students fees for VET services, separate to school fees, for courses where the College is the RTO. Refer to Fees policy.

## Public Liability Policy

### Background

#### Clause 7.4

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

### Policy Statement

The School will maintain a Certificate of currency for public liability insurance throughout its registration period.

### Procedure

The College will retain evidence that they hold public liability insurance by keeping a copy of a certificate of currency or similar. The evidence provided:

- Identifies that the RTO is covered by the policy, and
- Confirms that training and assessment activities are covered, or that there are no restrictions on the activities covered

## Governance, Data and Administration Policy

### Background

Provide requested information to the VET Regulator, ASQA

#### Clause 8.1

The RTO cooperates with the VET Regulator:

- By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
- In the conduct of audits and the monitoring of its operations
- By providing quality/performance indicator data
- 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
- By providing information about significant changes to its ownership within 90 calendar days of the change occurring, and
- In the retention, archiving, retrieval and transfer of records.

#### Clause 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:

- By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services, and
- In the conduct of audits and the monitoring of its operations.

Notify ASQA regarding third party agreements

#### Clause 8.3

The RTO notifies the Regulator:

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- 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.

Make an annual declaration on compliance with the Standards

**Policy Statement**

Chisholm Catholic College ensures that it adheres to the obligations of the governance, data provision requirements and administration arrangements as set out in the vocational education and training (VET) Quality Framework (VQF).

The Principal of the school RTO, as the chief executive officer (CEO), is ultimately responsible for ensuring that the school RTO complies with the VQF. This applies to all of the operations within the RTO’s scope of registration, as listed on the National Register.

The Principal as CEO of the school RTO:

- represents the RTO in all dealings with QCAA as delegate for ASQA, the national regulator
- provides leadership and advocates delivery of quality VET within the school curriculum
- ratifies all policy and procedure documents for RTO operations
- vests the RTO VET Program Leader with sufficient authority to ensure the RTO complies with the Standards and regulatory requirements at all times.

**Governance and administration**

Governance and administration policy and procedure			
Policy	Governance	Administration	RTO officers
<p>The Principal as CEO of the school RTO:</p> <ul style="list-style-type: none"> <li>• represents the RTO in all dealings with QCAA as delegate for ASQA, the national regulator</li> <li>• provides leadership and advocates delivery of quality VET within the school curriculum</li> <li>• ratifies all policy and procedure documents for RTO operations</li> <li>• vests the RTO VET Program Leader with sufficient authority to ensure the RTO complies with the Standards and regulatory requirements at all times.</li> </ul>	<ul style="list-style-type: none"> <li>• The Principal ensures the RTO’s organisational structure caters for effective implementation of:               <ul style="list-style-type: none"> <li>– a documented Quality Management System (QMS)</li> <li>– quality-assured operations of the RTO, including a coordinated set of policies and procedures</li> <li>– roles and responsibilities, defined timelines and activities in the QMS calendar</li> <li>– an internal audit review of:                   <ul style="list-style-type: none"> <li>▪ the RTO’s assessment system</li> <li>▪ its systematic validation of</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The Principal approves the RTO’s policies and procedures.</li> <li>• The RTO VET Program Leader:               <ul style="list-style-type: none"> <li>– establishes and implements the RTO’s QMS calendar</li> <li>– records and addresses all recommendations for improvement identified through analysis of data collected by the RTO</li> <li>– administers all components of the RTO’s QMS to ensure compliance with the Standards, including implementation of the checklists contained within the policy and procedure manual</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The Principal:               <ul style="list-style-type: none"> <li>– ensures the safety and well-being of all students and officers</li> <li>– ensures all RTO officers are suitably qualified to fulfil the duties and meet the responsibilities of their position</li> <li>– provides each RTO officer sufficient time to complete their assigned duties and responsibilities.</li> </ul> </li> <li>• The RTO VET Program Leader:               <ul style="list-style-type: none"> <li>– oversees the RTO’s complaints and appeals processes</li> <li>– monitors each RTO officer’s staff profile and continuing professional</li> </ul> </li> </ul>

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	<p>assessment</p> <ul style="list-style-type: none"> <li>▪ the systematic monitoring and evaluation, including training and assessment strategies</li> <li>▪ the RTO's practices and behaviours.</li> </ul> <ul style="list-style-type: none"> <li>• The RTO VET Program Leader reports directly to the Principal on all matters relating to compliance with the Standards.</li> </ul>	<ul style="list-style-type: none"> <li>– retains sufficient evidence of all past compliance activities or plans in accordance with each respective policy and procedure for internal and external audit purposes.</li> </ul>	<p>development to ensure ongoing compliance with the Standards</p> <ul style="list-style-type: none"> <li>– monitors all marketing activities and materials</li> <li>– monitors all information provided to current and prospective students and other stakeholders to ensure they are transparent and accurate at all times.</li> </ul>
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**Quality Assurance**

Requirements of governance and administration		
The Principal	RTO VET Program Leader	RTO officers
<p>The Principal:</p> <ul style="list-style-type: none"> <li>• promotes and monitors educational and business practices that are focused on continually providing and improving services and student outcomes while minimising the risk of harm to students, officers and operations resulting from non-compliance</li> <li>• ensures the combined duties and responsibilities of delegated officers enable the RTO to operate in compliance with the Standards and regulatory requirements for RTOs at all times</li> <li>• ensures the RTO meets its legislative obligations through ongoing implementation of its QMS.</li> </ul>	<p>The RTO VET Program Leader:</p> <ul style="list-style-type: none"> <li>• identifies and implements business practices that focus on continually improving services and student outcomes</li> <li>• uses the outcomes of systematic evaluations, including the feedback of students, trainers, assessors and other stakeholders, to continually improve the RTO's training and assessment strategies and practices</li> <li>• informs the QCAA of substantial changes to the RTO's operations or any event that would significantly affect the RTO's ability to comply with the Standards within 90 days of the change occurring.</li> </ul>	<p>All RTO officers:</p> <ul style="list-style-type: none"> <li>• acknowledge their individual responsibilities as delegated by the Principal and specified in the RTO's policies and procedures</li> <li>• act at all times in accordance with the RTO's current policies and procedures</li> <li>• carry out all duties relevant to responsibilities delegated to them by the Principal</li> <li>• identify and recommend to the RTO VET Program Leader educational and business practices that focus on continually improving high quality services and student outcomes.</li> </ul>

Requirements of an internal audit review			
Quality-assured management system	Monitoring	Evaluation	Continuous improvements
<p>Dynamic and ongoing internal audit/review of all RTO operational practice and processes confirming how all RTO officers are aware of and comply with all relevant criteria or requirements specified in</p>	<p>The RTO has and can provide documented evidence that matches the quality calendar as approved for the following:</p> <ul style="list-style-type: none"> <li>• accuracy of Training and Assessment Strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Executive summary of current and recent performance and practice in accordance with the policies and procedures within the approved timelines.</li> </ul>	<p>Records of:</p> <ul style="list-style-type: none"> <li>• immediate action taken or planned timelines by the RTO to rectify any non-compliances</li> <li>• program development</li> </ul>

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the Standards and timelines.	(TAS) program/s and assessment system aligned with current scope of registration <ul style="list-style-type: none"> <li>• all policies and procedures</li> <li>• student data records</li> <li>• vocational competence, currency and professional development of all trainers and assessors</li> <li>• reporting.</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of recommendations, outcomes or required changes for continuous improvements or timing of activities.</li> </ul>	<ul style="list-style-type: none"> <li>• implementation of best practice and/or</li> <li>• modification of current procedures.</li> </ul>
<b>Timing</b>	The QMS calendar is a dynamic record and is updated as required to reflect the RTO's day-to-day practices and is reviewed at least once annually to maintain compliance at all times.		

**Procedure**

**The Principal** ensures compliance with all the VQF requirements by:

- The Principal ensures the RTO's organisational structure caters for effective implementation of:
  - a documented Quality Management System (QMS)
  - quality-assured operations of the RTO, including a coordinated set of policies and procedures
  - roles and responsibilities, defined timelines and activities in the QMS calendar
  - an internal audit review of:
    - the RTO's assessment system
    - its systematic validation of assessment
    - the systematic monitoring and evaluation, including training and assessment strategies
    - the RTO's practices and behaviours.
- The RTO VET Program Leader reports directly to the Principal on all matters relating to compliance with the Standards.
- The Principal approves the RTO's policies and procedures
- The Principal has delegated responsibility and sufficient authority to the RTO VET Program Leader for all day-to-day operations of the RTO, ensuring compliance at all times.
- The Principal:
  - ensures the safety and well-being of all students and officers
  - ensures all RTO officers are suitably qualified to fulfil the duties and meet the responsibilities of their position
  - provides each RTO officer sufficient time to complete their assigned duties and responsibilities.

The Principal confirms that the RTO's organisational structure adequately supports the:

- quality-assured operations of the RTO including its policies and procedures
- RTO's assessment system
- RTO's systematic validation of assessment
- systematic monitoring of its TASs
- systematic monitoring of its practices and behaviours

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The Principal has submitted to the QCAA a Chief Executive Statutory Declaration.

The Principal and RTO VET Program Leader have submitted to the QCAA all Fit and Proper Person Declarations.

The Principal has authorised all RTO's policies and procedures, including a documented policy regarding student fee protection (if required).

The Principal has:

- informed the QCAA within 90 calendar days of any substantial changes and significant events
- ensured the RTO has public liability insurance that covers the scope of its training and assessment activities throughout the registration period
- provided the QCAA with an annual declaration of compliance with the Standards within communicated timelines
- ensured compliance with Commonwealth and State regulatory requirements relevant to its operations
- as required, informed students, parents/carers and RTO officers of any changes to legislative and regulatory requirements that affect the RTO's services
- ensured the safety and wellbeing of all students and officers
- ensured all RTO officers are suitably qualified to fulfil the duties and meet the responsibilities of their position
- provided each RTO officer sufficient time to complete their assigned duties and responsibilities.

#### **Executive management team**

The College executive leadership team reviews:

- The outcomes of the systematic monitoring and evaluation of the school's RTO training and assessment strategies and practices
- Progress on any actions taken to meet compliance as well as actions taken for course development
- Ongoing compliance with the VQF.

The school executive management team ensures the RTO will act on any opportunities for improvement. RTO VET Program Leader/ delegated representative.

#### **RTO VET Program Leader**

The RTO VET Program Leader reports directly to the Principal on all matters relating to compliance with the Standards.

The RTO VET Program Leader/delegated representative. has responsibility and authority for the day-to-day management of the RTO systems including:

- Managing operation of the school's RTO status as per the high managerial agent duty statement
- Liaising with the VET Regulator concerning all aspects of the school's RTO status
- Keeping the Principal informed of all matters regarding the school's RTO status
- Managing the systematic monitoring of the school's training and assessment strategies and practices
- Completing a Fit and Proper Person Requirements declaration when required
- oversees the RTO's complaints and appeals processes
- monitors each RTO officer's staff profile and continuing professional development to ensure ongoing compliance with the Standards
- monitors all marketing activities and materials
- monitors all information provided to current and prospective students and other stakeholders to

ensure they are transparent and accurate at all times.

The RTO VET Program Leader has endorsed and implemented the School RTO's quality calendar.

The RTO VET Program Leader have systematically analysed the RTO's practices and behaviours by:

- identifying and recording changes that improve the quality of services and student outcomes
- maintaining the schedule of quality assurance activities outlined in the RTO's quality calendar
- systematically working through the internal audit review process as it applies to the RTO's 12 policies and procedures and the RTO's quality calendar

The RTO VET Program Leader has:

- overseen the completion of all complaints and appeals processes
- reviewed all trainers'/assessors' staff profiles in accordance with the School RTO's quality calendar
- monitored all trainers'/assessors' professional development to ensure ongoing compliance with the Standards

monitored all marketing activities and materials and information provided to current and prospective students to ensure it is transparent and accurate.

### **Interactions with the registering body procedures**

The Principal is ultimately responsible for ensuring that the school RTO complies with the VQF. Interactions with the registering body (VET Regulator) are managed by the RTO Manager.

The school RTO will cooperate with the VET Regulator by:

- Allowing VET Regulator to conduct audits and monitor its operations
- Providing accurate and timely data relevant to measures of its performance (including quality indicator data and Student management data), which is collected as per policies and procedures and duty statements
- Providing information about any event that would significantly affect the school RTO's ability to comply with the Standards within 90 calendar days, including but not limited to:
  - o Substantial changes to its operations
  - o Change of Principal or RTO Manager
  - o Significant changes to ownership
- Ensuring information on the National Register, [www.training.gov.au](http://www.training.gov.au) is correct (see 3. Updating RTO details procedures)
- Complying with the Standards regarding the retention, archiving, retrieval and transfer of records
- Providing evidence of satisfying the Fit and Proper Person Requirements and Chief Executive Statutory Declaration Requirements when necessary
- Submitting the VET Regulator school RTO verification form when requested, including checking scope of registration details thoroughly to ensure they are accurate
- Submitting the annual declaration on compliance to the VET Regulator when requested to confirm compliance with the VQF
- Informing the VET Regulator of any third-party agreements via the appropriate notification form within 30 calendar days
- Complying with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations
- Providing any other information as requested in writing by the registering body

### **Updating RTO details procedures**

As a condition of registration, the school RTO must notify the VET Regulator in writing of:

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- Any changes to contact details
- Any changes or events that affect the operation of the RTO.

Note: Any RTO VET Program Leader change will require the completion of both a [Notification of change of provider details](#) and a [Notification of material change or event](#).

**Provider details change**

The RTO VET Program Leader, in consultation with all relevant RTO personnel, submits (within 90 calendar days) the [Notification of change of provider details](#) form to the VET Regulator regarding any of the following changes:

- Change of details for registration enquires person on [www.training.gov.au](http://www.training.gov.au)
- Change of public enquiries person on [www.training.gov.au](http://www.training.gov.au)
- Changes to any contact details
- Changes to permanent RTO delivery site/s

**Material change or event**

The RTO VET Program Leader, in consultation with all relevant RTO personnel, submits (within 90 calendar days) the [Notification of material change or event](#) form to the VET Regulator regarding the following changes:

- Change of Principal (i.e. chief executive officer)
- Change of RTO VET Program Leader/delegated representative
- Change to ownership or legal name
- Significant or unexpected turnover of staff
- Commencement or dissolution of an arrangement with another organisation to conduct training and/or assessment on the RTO's behalf
- Other significant change to RTO operation.

A change of Principal also requires the submission of a [Fit and Proper Person Requirements Statutory declaration](#) and a [Chief Executive Statutory Declaration](#).

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<b>Internal audit review and confirmation</b>	Yes	No
<b>Record of systematic monitoring and evaluation of all operational policies and procedures</b>		
<b>1. Governance and administration</b> — Relevant Standards: 1, 2, 3, 4, 5, 6, 7, 8, Schedules, AQF, Data Requirements, Fit and Proper Person Requirements and Student Identifier Scheme. Ensuring RTO operations are quality assured through implementing, monitoring and evaluating quality training and assessment, business and educational practices.	<input type="checkbox"/>	<input type="checkbox"/>
<b>School RTO quality calendar</b> — Relevant Standard: 2 Operational policies and procedures, TASs and practices, staff profiles and third-party arrangements are monitored, evaluated, reviewed and outcomes recorded as per the QMS calendar.	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. AQF issuance and replacement</b> — Relevant Standard: 3 Issuance, replacement, records and registers.	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Assessment system</b> — Relevant Standard: 1 Coordinated set of documents that ensures quality assessments. Includes requirements for assessment tools, TAS documents, records of systematic monitoring and outcomes.	<input type="checkbox"/>	<input type="checkbox"/>
<b>4. Complaints and appeals</b> — Relevant Standard: 6 Publicly available policy. Register of complaints and appeals, outcomes, monitoring and mitigation records.	<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Data management and USI</b> — Relevant Standards: 3, 7 Student enrolments, outcomes, quality indicator surveys, reporting timeliness, AVETMISS compliant format, data and USI verification, accuracy, retention and security.	<input type="checkbox"/>	<input type="checkbox"/>
<b>6. Industry engagement</b> — Relevant Standard: 1 RTO implements a range of strategies for industry engagement and systematically uses the outcomes to inform training and assessment practices.	<input type="checkbox"/>	<input type="checkbox"/>
<b>7. Marketing</b> — Relevant Standard: 4 Student handbooks, website, social media and prospectus accurately represent the services it provides. RTO code, code and title of any training product on scope, Nationally Recognised Training (NRT) logo used in accordance with conditions of use and third-party services clearly defined.	<input type="checkbox"/>	<input type="checkbox"/>
<b>8. Student information</b> — Relevant Standard: 5 Students are properly informed and protected. Subject selection documentation, SET plan, marketing material, complaints and appeals policy, student fee protection and TAS documents.	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Validation</b> — Relevant Standard: 1 Validation plan, procedures, records of actions and outcomes.	<input type="checkbox"/>	<input type="checkbox"/>
<b>10. Third party arrangements</b> — Relevant Standards: 1, 2, 4, 5, 6, 7, 8 Third party arrangements are documented, monitored and transparent to students, staff and QCAA.	<input type="checkbox"/>	<input type="checkbox"/>
<b>11. Trainers and assessors</b> — Relevant Standard: 1 Verifiable staff profiles with customised vocational competency evidence tailored to each unit, current industry skills relevant to the qualification, TAE40110 or higher qualifications and evidence of RTO ensured PD. Supervisory arrangements and monitoring.	<input type="checkbox"/>	<input type="checkbox"/>
<b>12. Training and assessment strategy</b> — Relevant Standards: 1, 2, 8 An up-to-date TAS document is in place for every qualification on scope. Systematically monitors the TAS and practices to ensure ongoing compliance.	<input type="checkbox"/>	<input type="checkbox"/>

## Systematic Monitoring

Systematic compliance monitoring checklist	
Date of successive monitoring activities	Name of person/s conducting successive monitoring activities
[Date]	
[Date]	
[Date]	
[Date]	

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
<b>School RTO approval statement</b> (Page 1 of this document)	The following details are current and complete:		
	• school RTO name	<input type="checkbox"/>	<input type="checkbox"/>
	• the policy and procedure document is dated (start date)	<input type="checkbox"/>	<input type="checkbox"/>
	• QCAA school number	<input type="checkbox"/>	<input type="checkbox"/>
	• national provider number	<input type="checkbox"/>	<input type="checkbox"/>
	• Principal's name and contact details	<input type="checkbox"/>	<input type="checkbox"/>
	• RTO Manager's name and contact details	<input type="checkbox"/>	<input type="checkbox"/>
	• all delegated officers' names and contact details.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Policy and procedure manual</b>	The current version of this policy and procedure manual has been made available to all RTO officers.	<input type="checkbox"/>	<input type="checkbox"/>
	The RTO has current policies and procedures addressing all RTO compliance requirements.	<input type="checkbox"/>	<input type="checkbox"/>
	The RTO Manager has endorsed and monitored the RTO's assessment system.	<input type="checkbox"/>	<input type="checkbox"/>
	The RTO Manager has endorsed and monitored the RTO's systematic assessment validation process and schedule.	<input type="checkbox"/>	<input type="checkbox"/>
	The RTO Manager has developed and implemented a process for systematically reviewing the RTO's practices and behaviours to identify areas for improvement in the services it provides, and student outcomes achieved.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Governance and administration checklist</b>	All recommendations for improvement identified by the RTO delegated officers have been provided to RTO staff and other relevant stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>

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Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
(Section 2 of this document)	All recommendations for improvement identified by the RTO have been implemented.	<input type="checkbox"/>	<input type="checkbox"/>
	Internal audit review procedure checklist has been used for monitoring the quality assurance process.	<input type="checkbox"/>	<input type="checkbox"/>

RTO Manager notes	
Comment on the last monitoring activity	
List any non-compliances	
List any rectifications	-

## Glossary

AQF qualification	AQF qualification type endorsed in a training package or accredited in a VET accredited course
ASQA	Australian Skills Quality Authority
Assessment	the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course
Australian Qualification Framework (AQF)	the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.
Code	the unique identifier for units of competency, skill sets, VET accredited courses, modules, AQF qualifications or training packages as required by the Standards for Training Packages and Standards for VET Accredited Courses
Competency	the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments
National Register	the register maintained by the Commonwealth Department responsible for VET and referred to in section 216 of the National Vocational Education and Training Regulator Act 2011.
RTO	Registered Training Organisation
RTO code	the registration identifier given to the RTO on the National Register.
Scope of Registration	the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to: <ul style="list-style-type: none"><li>- Both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or</li><li>- Provide assessment resulting in the issuance of AQF certification documentation by the RTO.</li></ul>
Student/learner	a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.
Standards	Standards for Registered Training Organisations (RTOs) 2015
Statement of attainment	a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.
Training Product	an AQF qualification, skill set, unit of competency, accredited short course and module
Unit of Competency	means the specification of the standards of performance required in the workplace as defined in a training package
VET	Vocational education and training
VET Regulator	ASQA is the regulatory body for RTOs in the Australian Capital Territory, New South Wales, the Northern Territory, Queensland, South Australia and Tasmania. The Queensland Curriculum and Assessment Authority (QCAA) acts as delegate for the Australian Skills Quality Authority for Qld Schools