

# Corrsafe Enterprises Pty Ltd

## Quality Management & Operational Framework

2023



This Quality Management & Operational Framework  
has been prepared for Garry Matthias, CEO of:

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## Message from the CEO

As CEO of this organisation, I can assure all stakeholders that I will fully support the implementation of all quality, management and operational functions articulated in this document. To ensure we maintain the highest standards in service delivery Corrsafe Enterprises has developed this Quality Management and Operational Framework to demonstrate compliance with the Standards for Registered Training Organisations 2015.

Corrsafe Enterprises recognises the importance and benefits of combining industry experience with tertiary education when striving to deliver programs of highest quality and relevance to the client. All trainers and assessors employed or contracted by Corrsafe have demonstrated significant industry experience in addition to obtaining tertiary qualifications, allowing them to provide a professional, well rounded learning environment for participants. Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively. Corrsafe Enterprises strictly adheres to the Standards for Registered Training Organisations to continue delivering training services of the highest quality to our clients.

This Quality Management and Operational Framework reflects Corrsafe Enterprises' business principle of maintaining the most current information and presenting all information in an easily understood and relevant format. This Framework underpins an efficient and effective business operation. Implementation of this Framework supports the ongoing viability and sustained growth that has resulted in Corrsafe Enterprises remaining an industry leader in the delivery of vocational education and training.

I welcome your input and advice to ensure myself and the Corrsafe adhere to our underlying philosophy of continuous quality improvement in all aspects of Corrsafe Enterprises' operations.

# Contents

<b>Part 1: Introduction and Background</b>	<b>9</b>
<b>1.1 Purpose</b>	<b>9</b>
1.2 Overview of Corrsafe Enterprises	10
1.2.1 Objectives	10
1.2.2 Services	10
1.2.3 Organisational structure	11
<b>1.3 Policy Context</b>	<b>12</b>
<b>Part 2: Training and Assessment</b>	<b>13</b>
<b>2.1 Training and assessment strategies</b>	<b>13</b>
2.1.1 Requirements of training and assessment strategies	14
2.1.2 Volume of learning	14
2.1.3 Training and assessment resources	15
<b>2.2 Principles of training and assessment</b>	<b>15</b>
<b>2.3 Connecting training and assessment with the workplace</b>	<b>17</b>
<b>2.4 Apprenticeships and traineeships</b>	<b>18</b>
2.4.1 Funding and incentive opportunities	19
<b>2.5 Student support</b>	<b>20</b>
2.5.1 Student support policy	20
2.5.2 Flexible delivery and assessment procedures	20
2.5.3 Access and equity	21
2.5.4 Language, literacy and numeracy assistance	22
<b>2.6 Assessment</b>	<b>23</b>

2.6.1 Corrsafe Enterprises' Assessment Policy	23
2.6.2 Overview - assessment validation and moderation	24
2.6.3 Assessment Validation	25
2.6.4 Moderation of assessment procedure	27
2.6.5 Records of assessment and moderation	28
2.6.6 Delivering Training and Assessment qualification and the Skill Set for Assessors	29
2.6.7 Recognition of Prior Learning	30
<b>2.7 Trainers and Assessors</b>	<b>32</b>
2.7.1 Staff Management	32
2.7.2 Human resource policy	32
2.7.3 Recruitment policy	33
2.7.4 Qualifications for trainers and assessors	34
2.7.5 Induction procedure	35
2.7.6 Performance appraisal	36
2.7.7 Professional development	36
<b>2.8 Managing transition of training products</b>	<b>37</b>
2.8.1 Corrsafe Enterprises Transition policy	38
2.8.2 Superseded training products	39
2.8.3 Removed or deleted training products	40
<b>2.9 Continuous Quality Improvement</b>	<b>41</b>
2.9.1 CQI processes	42
2.9.2 Identification of improvement opportunities	44
2.9.3 Best practice strategies	46

<b>2.10 Issuance Policy</b>	<b>50</b>
2.10.1 Issuing qualifications and statements of attainment	50
2.10.2 Recording and reporting qualifications and statements of attainment	51
<b>2.11 Integrity and security of testamurs</b>	<b>52</b>
2.11.1 Use of national and state logos	52
<b>2.12 Recognise qualifications of another RTO</b>	<b>52</b>
2.12.1 Procedure for recognition of qualifications	53
2.12.2 Credit transfer	53
<b>Part 3: Obligations to students and clients</b>	<b>54</b>
<b>3.1 Information and marketing</b>	<b>54</b>
<b>3.2 Unique student identifier</b>	<b>55</b>
<b>3.3 Reporting</b>	<b>56</b>
<b>3.4 Student advice</b>	<b>58</b>
<b>3.5 Student information policy</b>	<b>59</b>
3.5.1 Student Handbook	59
3.5.2 Student selection and enrolment procedure	61
Induction	63
<b>3.6 Fee information</b>	<b>63</b>
3.6.1 Fee structure	64
3.6.2 Receiving payments	65
3.6.3 Methods of payment	66
3.6.4 Refunds	67
3.6.5 Training Guarantee	67

<b>3.7 Complaints policy</b>	<b>69</b>
<b>3.8 Appeals Policy</b>	<b>70</b>
<b>3.9 Complaints/Appeals Procedure</b>	<b>70</b>
<b>3.10 Discipline</b>	<b>72</b>
<b>Part 4: RTO governance and administration</b>	<b>73</b>
<b>4.1 Corrsafe Enterprises' governance mechanisms</b>	<b>73</b>
4.1.1 Fit and Proper Person Requirements	74
<b>4.2 Financial Management</b>	<b>75</b>
4.2.1 Corrsafe Enterprises' financial management procedures	75
4.2.2 Insurance	76
<b>4.3 Risk Management</b>	<b>76</b>
<b>4.4 Communications with the registering body</b>	<b>78</b>
4.4.1 Annual declaration	79
<b>4.5 Records retention and management</b>	<b>79</b>
4.5.1 Record keeping procedures	80
4.5.2 Security and storage	81
4.5.3 Access to records	82
4.5.4 Student access to records	82
4.5.5 Privacy	83
<b>4.6 Version control procedure</b>	<b>83</b>
<b>4.7 Working with external organisations</b>	<b>86</b>
4.7.1 Subcontracting arrangements	86
4.7.2 Partnerships	86

<b>4.8 Compliance with legislation</b>	<b>87</b>
4.8.1 Work health and safety policy	88
4.8.2 Harassment and discrimination policy	90
4.8.3 Working with persons under 18 years of age	92
4.8.4 The Copyright Act 1968	93
4.8.5 Consumer rights	94
4.8.6 Privacy principles	94
<b>4.9 Informing staff and clients</b>	<b>96</b>
<b>Part 5: Appendices</b>	<b>96</b>
<b>Standard 1</b>	<b>97</b>
<b>Standard 2</b>	<b>103</b>
<b>Standard 3</b>	<b>104</b>
<b>Standard 4</b>	<b>105</b>
<b>Standard 5</b>	<b>106</b>
<b>Standard 6</b>	<b>108</b>
<b>Standard 7</b>	<b>109</b>
<b>Standard 8</b>	<b>110</b>
<b>Schedule 1</b>	<b>112</b>
<b>Schedule 2</b>	<b>113</b>
<b>Schedule 3</b>	<b>114</b>
<b>Schedule 4</b>	<b>115</b>
<b>Schedule 5</b>	<b>116</b>
<b>Schedule 6</b>	<b>118</b>



# Part 1: Introduction & Background

## 1.1 Purpose

This **Quality Management and Operational Framework** provides the direction that informs and guides Corrsafe Enterprises towards the provision of best practice in training development, management and service delivery. For Corrsafe Enterprises, it will facilitate compliance with the Standards for Registered Training Organisations regulated by the Australian Skills Quality Authority.

For clients of Corrsafe, it will ensure that their investment in training provides the best possible training experience and outcomes. The format of this manual will ensure that the staff of Corrsafe, irrespective of their existing knowledge and experience, are able to access and understand the information they need to successfully undertake their role and support students.

It will provide comprehensive information without duplication by linking within the document, as well as to supporting templates and external websites. This document describes the services and structure of Corrsafe Enterprises in relation to its own organisational goals and the overarching policy context relevant to all Registered Training Organisations (RTOs).

Comprehensive information is provided in a logical easy to follow format under the areas of:

- Training and Assessment
- Obligation to Students and Clients
- Governance and Administration

All activity is mapped to Corrsafe Enterprises' compliance with the VET Quality Framework, specifically the [Standards for Registered Training Organisations 2015](#) (The Standards). These and associated standards are identified throughout the Quality Management and Operational Framework and hyperlinked to **Appendix A** providing a quick and accurate reference source.

Also included are:

- **Appendix A:** Standards for Registered Training Organisations and Schedules 1-6
- **Appendix B:** Templates and tools
- **Appendix C:** Useful web links
- **Appendix D:** Frequently asked questions
- **Appendix E:** Definitions and abbreviations

The electronic version of this document includes 'live' hyperlinks and will be regularly updated to ensure that AEMG Academy Aust. remains an industry leader.

## 1.2 Overview of Corrsafe Enterprises 1.2.1 Objectives

Corrsafe Enterprises will remain at all times committed to providing the highest quality training and assessment services designed to meet the needs of students and industry within a framework that ensures compliance with the national standards and relevant legislation.

### 1.2.2 Services

All programs offered by Corrsafe Enterprises are aligned to the RII Resources & Infrastructure Industry; TLI10 Transport & Logistics and CPC Construction, Plumbing & Services training packages for quality assurance and best practice.

Currently Corrsafe Enterprises is able to offer students accredited training in the following:

Units of competency:

- CPCCLDG3001 License to perform dogging
- CPCWHS1001 Prepare to work safely in the construction industry
- RIICOM201E Communicate in the workplace
- RIIERR205D Apply initial response First Aid
- RIIERR302E Respond to local emergencies and incidents
- RIIGOV201E Comply with site work processes/procedures
- RIIHAN203E Conducting lifting operations
- RIIHAN305D Operate a gantry or overhead crane
- RIIHAN309F Conduct telescopic materials handler operations
- RIIRIS201E Conduct local risk control
- RIISO0034 Surface Coal Mine Safety Skill Set
- RIIWHS201E Work safely and follow WHS policies and procedures
- RIIWHS202E Enter and work in confined spaces
- RIIWHS204E Work safely at heights
- TLILIC0024 Licence to operate a vehicle loading crane (capacity 10-meter tonnes and above)
- TLILIC0003 Licence to operate a forklift truck
- TLILIC0005 Licence to operate a boom-type elevating work platform (boom length 11 meters or more)
- TLILIC0040 Licence to operate a non-slewing mobile crane (greater than 3 tonnes capacity)

Corrsafe Enterprises is based in Queensland and will provide services to a number of clients across Australia.

Corrsafe Enterprises recognises the importance and benefits of combining industry experience with tertiary education when striving to deliver programs of highest quality and relevance to the client.

All trainers and assessors employed or contracted by Corrsafe have demonstrated significant industry experience in addition to obtaining tertiary qualifications, allowing them to provide a professional, well rounded learning environment for participants.

Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively. Corrsafe Enterprises strictly adheres to the Standards for RTOs 2015 to continue delivering training services of the highest quality to their clients.

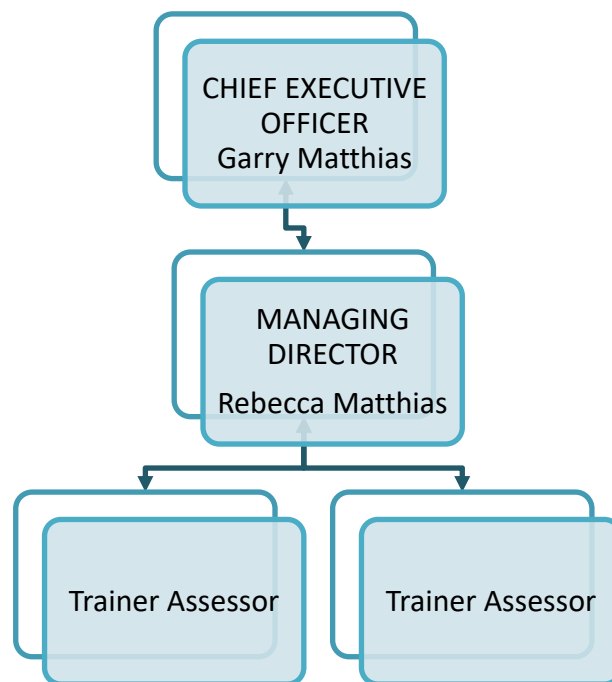
The CEO recognises that opportunities for improvement arise in every aspect of business and has developed an organisational culture within Corrsafe Enterprises to capitalise on these opportunities for improved practice.

Corrsafe Enterprises supplies feedback forms to all students at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, ensuring the ever-changing needs and expectations of clients are being met.

The CEO also welcomes feedback from other improvement opportunities such as risk assessment, student suggestions, complaints and appeals, validation sessions and audit reports. Student feedback is critical to our continuous improvement policy. Along with the formal feedback mentioned earlier, students are encouraged to give feedback throughout their enrolment.

In order to encourage and achieve continuous improvement based on the collection of the above-mentioned data, Corrsafe Enterprises has developed a best practice register which will include a written record of all improvement strategies.

### **1.2.3 Organisational Structure**



This organisational chart illustrates the two-way lines of communication between the CEO, management and trainers which ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

## 1.3 Policy Context

**Australian Skills Quality Authority (ASQA)** is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers according to the Standards for Registered Training Organisations 2015 to ensure nationally approved quality standards for training are met.

The legislative framework established by the [National Vocational Education and Training Regulator Act 2011](#) and related legislation:

- Gives ASQA the power to audit an RTO at any time.
- Gives ASQA the power to apply sanctions (including applying conditions to, suspending or cancelling a registration).
- Allows providers to seek a review of ASQA decisions.

**The VET Quality Framework is comprised of:**

- [Standards for Registered Training Organisations 2015](#)
- [Australian Qualifications Framework](#)
- [Fit and Proper Person Requirements](#)
- [Financial Viability Risk Assessment Requirements](#)
- [Data provision requirements](#)

[Standards for Registered Training Organisations 2015](#) form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications. These Standards underpin the risk based regulatory system that aims to increase the confidence of students and employers in the integrity of VET qualifications.

The Standards set out the requirements that an organisation must meet to be an RTO in Australia; ensure that the training courses delivered by RTOs meet the requirements of the training packages or accredited courses and has integrity for employment and further study; and ensure RTOs operate ethically and consider the needs of both students and industry.

There are eight (8) Standards and under each Standard is a set of Clauses. To comply with a Standard, the RTO must meet each of the Clauses for all of its scope of registration.

Each Standard consists of:

- The Standard itself, which provides a broad statement about the required outcomes of that Standard.
- A context statement, which provides background information to aid understanding, but is not part of the Standard itself and does not describe any compliance requirements.
- One or more clauses that describe the outcomes an RTO is required to achieve to comply with the Standard.

# PART 2: Training & Assessment

## Responsive Training & Assessment Strategies & Practices

### Standard 1

The following section describes the core business of Corrsafe Enterprises, that is the provision of training and assessment strategies and practices are responsive to both industry and student needs. Corrsafe Enterprises prioritises its responsibility to students and the trainers and assessors it engages.

Corrsafe Enterprises also recognises its responsibility to the stakeholders more broadly who will benefit from the skills that students acquire as a result of being trained by Corrsafe Enterprises. The comprehensive training and assessment strategies of Corrsafe Enterprises, including opportunities to connect training and assessment with the workplace, are identified in this section.

In addition, the processes of assessment validation and moderation are described in sufficient detail to ensure these processes are clearly identified and understood. This ensures so the systematic validation and moderation of training and assessment is effectively implemented, and any contentious issues may be avoided.

In prioritising the needs and interests of students, Corrsafe Enterprises provides access to the highest standard of resources, facilities and trainers. Corrsafe Enterprises also recognises the need to maintain the highest quality in training and assessment services in order to attain and retain the status of a preferred provider in workplace safety training.

## 2.1 Training & Assessment Strategies

### Clauses 1.1 - 1.4

Corrsafe Enterprises' training and assessment strategies are consistent with the requirements of training packages and VET accredited courses and with advertising and other material provided to prospective students.

Core requirements are adhered to; ensuring students have the best opportunity to develop the specified skills and knowledge. The amount of training required may be determined by Corrsafe Enterprises based on a student's existing skill and knowledge, and the mode of delivery.

Most importantly, Corrsafe Enterprises' strategies are regularly updated to take into account changes in industry and technology, legislation and the training package itself thereby enabling each student to meet the requirements of training achieve their desired employment outcome.

Underpinning the training and assessment strategies developed by Corrsafe Enterprises are the principles of assessment and rules of evidence detailed in this section.

## 2.1.1 Requirements Of Training & Assessment Strategies

Training and assessment strategies and practices developed and implemented by Corrsafe Enterprises will meet the following requirements:

- Training and assessment strategies are developed and maintained for each qualification/unit of competency that will be delivered and assessed.
- All training programs will require the development of a training and assessment strategy for full and partial completion of a qualification.
- Each training and assessment strategy will be developed in consultation with industry representatives, trainers, assessors and key stakeholders.
- Training and assessment strategies will reflect the requirements of the relevant training package and will identify target groups.
- Training and assessment strategies will be validated at least annually through the internal review procedures.

### **Each strategy developed by Corrsafe Enterprises will comprise:**

Identifying information including title and context; units of competency, target students; duration; delivery methods; organisation and sequencing; strategies for evaluation; trainers; assessment mapping (which may enable the assessment of multiple units of competency in one assessment event); environment (workplace or simulated workplace); process(steps for gathering evidence of competence); resources; validation; RPL; reasonable adjustment; and assessors (name, vocational qualifications and experience relevant to competencies being assessed); and information regarding team or partnership arrangements in relation to the training and assessment,

Strategies are supported by Corrsafe Enterprises' specifically developed learning and assessment resources as well as those developed by industry, e.g., industry regulations or equipment operating instructions.

## 2.1.2 Volume Of Learning

### Clause 1.2

Training and assessment strategies developed by Corrsafe Enterprises will meet the [AQF](#) requirements for volume of learning. The AQF describes how long a student who does not hold any of the competencies being offered will take to develop the required skills and knowledge.

The volume of learning includes all teaching and learning activities such as guided learning (classes, lectures, tutorials, online or self-paced study), individual study, research, learning activities in the workplace and assessment activities.

The amount of training provided by Corrsafe Enterprises is part of the overall volume of learning and relates primarily to formal activities. Training and assessment strategies implemented by Corrsafe Enterprises allow students the opportunity and the time to acquire the relevant skills and knowledge and demonstrate that these can be effectively combined in the workplace to meet expected industry standards as described in the training package or accredited course.

## 2.1.3 Training & Assessment Resources

Corrsafe Enterprises has access at all times to the staff, facilities, equipment, required resources, and training and assessment materials required to provide training and/or assessment services within its scope of registration as outlined in the relevant training package, qualification or course.

The scale of operations of Corrsafe Enterprises will remain sufficient to accommodate client numbers and needs, delivery methods and assessment requirements. In the exceptional circumstance where Corrsafe Enterprises cannot maintain access to the required resources to deliver the training package, qualification or course, Corrsafe Enterprises will endeavour to provide students with alternative opportunities to complete their training and achieve the relevant qualification.

## 2.2 Principles Of Training & Assessment

### Clause 1.8

### Quality Training & Assessment Principles

Throughout the quality management and operational framework of Corrsafe Enterprises the Principles of Assessment and the Rules of Evidence will be applied. While closely related, a distinction can be made in that Principles of Assessment relate to processes and the Rules of Evidence relate to the content of training and assessment.

### Principles Of Assessment

To ensure quality outcomes, assessment should be:

- Fair
- Flexible
- Valid
- Reliable

### Fair

Fairness in assessment requires consideration of the individual student's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. This includes adjustment in recognition of prior learning. It requires clear communication between the assessor and the student to ensure that the student is fully informed about, understands and is able to participate in the assessment process, and agrees that the process is appropriate.

It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

### Flexible

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

## **Valid**

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- Assessment against the units of competency must cover the broad range of skills and knowledge that are essential to competent performance.
- Assessment tasks and methods must match the assessment requirements.
- Assessment of knowledge and skills must be integrated with their practical application.
- Judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency.

## **Reliable**

Reliability refers to the degree to which evidence presented for assessment is consistently interpreted and results are consistent with assessment outcomes. It requires a system designed to minimise variation between assessors which can only be achieved when assessors share a common interpretation of the assessment requirements of the unit(s) being assessed.

Reliability requires the assessor to have the essential competencies in assessment and relevant vocational competencies (or to assess in conjunction with someone who has the vocational competencies).

## **Rules Of Evidence**

These are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is:

- Valid
- Sufficient
- Authentic
- Current

## **Valid**

Assessment is valid when the process is sound and assesses what it claims to assess.

Validity requires that:

- Assessment against the units of competency must cover the broad range of skills and knowledge that are essential to competent performance.
- Assessment of knowledge and skills must be integrated with their practical application.
- Evidence must directly relate to the competency being assessed.
- Judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency.

## **Sufficient**

Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly.



Supplementary sources of evidence may be necessary. The quantity of evidence required may vary between students. The specific evidence requirements of each unit of competency provide advice on sufficiency.

### **Authentic**

To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the student's own work. Although this may be challenging in relation to distance training and online methods this does not remove the responsibility of the assessor to verify the identity of the student.

### **Current**

In assessment, currency relates to the age of the evidence presented by a student to demonstrate that they are still competent. Competency requires a demonstration of current performance, so the evidence collected must be from either the present or the very recent past.

Currency is a risk to be considered in recognition of prior learning. Interpretation of currency may also vary across industries.

## **2.3 Connecting Training & Assessment With The Workplace**

### **Clauses 1.5, 1.6**

All aspects of Corrsafe Enterprises training and assessment are informed by meaningful industry engagement. To maximise the outcomes for students, Corrsafe Enterprises ensures that every opportunity to connect training and assessment with the workplace is utilised.

Opportunities will be developed in consultation with the relevant workplace personnel and responsibilities clearly communicated to all involved. To identify a range of delivery and assessment methods that meet a variety of needs, an ongoing schedule of industry liaison and consultation will be adhered to.

These consultations will be documented with meetings and memorandums acknowledged by those industry and enterprise representatives involved in consultation relating to the development and ongoing review of assessment strategies.

Students enrolled in a traineeship program will normally be working for an employer within the industry. In some circumstances employers may offer a contribution towards the cost of training and assessment, which is encouraged by Corrsafe Enterprises

Corrsafe Enterprises will:

- Involve workplace personnel in planning workplace programs, where they are relevant to the training and assessment program.
- Ensure that the training and assessment program makes full use of opportunities at the workplace.
- Monitor each student's progress and the support provided to them by workplace personnel.
- Consult with workplace personnel in the development of workplace training and assessment processes.
- Inform workplace personnel of their training and assessment roles and responsibilities.

- Monitor support provided to each student by workplace personnel.
- Monitor the student's progress.

Information from workplace personnel is used to continuously improve training and assessment. A number of programs that engage employers or other parties who contribute to each student's training, assessment and support services to meet their individual needs are available.

In addition, Corrsafe Enterprises utilises industry engagement to inform the currency of trainers and assessors industry skills. Section [2.4](#) (Apprenticeships and Traineeships) that follows provides examples of programs, government initiatives and opportunities for employers to be engaged with training and assessment.

To accurately record consultation with industry, Corrsafe Enterprises has developed a **Industry Consultation Tool**. This tool asks a series of questions designed to accurately and effectively identify the needs of the stakeholder, for example, skills development areas, mode of delivery, assessment methods and specific competencies required.

This document is offered to key industry stakeholders and the feedback and information is collated and utilised in the design of the training and assessment strategy for the respective qualification.

#### [Industry Consultation Tool](#)

### [Case Study 1](#) WORKING WITH INDUSTRY & EMPLOYERS

## 2.4 Apprenticeships & Traineeships

Corrsafe Enterprises recognises that apprenticeships and traineeships are the perfect vehicle for training and developing new and existing staff. Because much of the training is in the workplace, the skills an apprentice or trainee acquires are customised to the specific needs of an organisation.

Furthermore, employers may be eligible for various government financial incentives to assist with employing an apprentice or trainee. State and Territory governments are responsible for all aspects of their training systems, including Australian Apprenticeships policy, priorities, regulatory and administrative arrangements.

It also includes determining what qualifications are suitable for Australian Apprenticeships in each state or territory, approving registered training organisations to deliver them and distributing public funds to registered training organisation for training delivery.

Following approval, Corrsafe Enterprises may take part in a number of Federal and State funded initiatives. Examples of funding and incentive opportunities include those identified below.

## 2.4.1 Funding & Incentive Opportunities

At this time Corrsafe Enterprises will not seek government funding or enter into government incentive schemes. If, however, at a time in the future Corrsafe Enterprises CEO take the decision to change this policy, an example of the funding and incentives that may be sought includes:

### **Government Funding Types**

#### **Traineeships - Existing Worker**

This scheme targets employees who have been employed for longer than 3 months full-time (or 12 months part-time), and is dependent upon existing qualifications. Commonwealth incentives of up to \$3000 (up to \$1,500 for part-time) are available and are paid directly to employers.

#### **Traineeships - New Entrant**

This scheme targets employees who have been employed for less than 3 months full-time (or 12 months part-time) and is also dependent upon existing qualifications. Again, Commonwealth incentives of up to \$4000 are available and are paid directly to employers.

#### **Productivity Places Program (PPP)**

The PPP is a government initiative that provides training opportunities to existing workers and job seekers in the interest of upskilling Australia's overall workforce capability. Employers save up to 90% on course fees, which are covered either directly by the federal or state government, or via various Skills Councils or Alliances.

#### **Strategic Skills Program (SSP)**

Funded by the Commonwealth, the SSP is a NSW State Government initiative that allows NSW residents to access subsidised vocational skills training in order to up skill and fulfil strategic skills needs for industry, community and individuals.

#### **User Choice**

User Choice is a national policy initiative that facilitates the disbursement of funding and incentives to RTO's. Designed to make Vocational Education & Training (VET) more responsive to the strategic needs of Australian industry, User Choice works with Australian Apprenticeships in order that employers, apprentices, and trainees may:

- Choose the RTO that best provides them with training services.
- Negotiate key aspects of training (where, how, and when it is provided).
- User Choice funding is paid directly to the relevant RTO, potentially reducing direct outlays by the employer.

#### **Skills For All (South Australia Only)**

*Skills for All* is a South Australian Government initiative that is changing the way vocational education and training is funded in South Australia. Most South Australians are now eligible for government funded training places through up skilled.

There will be unprecedented opportunities to gain more qualifications, many at low or no cost.

## 2.5 Student Support

### [Clause 1.7](#)

#### **2.5.1 Student Support Policy**

Corrsafe Enterprises will make all reasonable effort and utilise a variety of available methods to assist all students in their efforts to complete training programs. Corrsafe Enterprises will determine the support needs of individual students and provides access to the educational and support services necessary for the individual student to meet the requirements of the AQF qualification, skill set, or VET course as specified in training packages or VET accredited courses.

Corrsafe Enterprises will continue to develop strategies to make support available where gaps are identified. Trainers are responsible for ensuring that all students are aware they can contact their trainer or other Corrsafe staff members in the event that they are experiencing difficulties with any aspect of their studies.

Staff will ensure students have access to the full resources of Corrsafe Enterprises to assist them in achieving the required level of competency in all nationally recognised qualifications. Corrsafe staff will pursue any reasonable means within their ability to assist students in achieving the required competency standards.

When a student is experiencing personal difficulties, training staff will encourage the student to contact Corrsafe Enterprises who will provide discreet, personalised and confidential assistance according to the nature of the difficulties.

In the event that a student's needs exceed the capacity of the support services Corrsafe Enterprises can offer, they will be referred to an appropriate external agency. Extensive information regarding support agencies, resources and services may be sourced online.

Corrsafe staff members will assist students to source appropriate support.

#### **2.5.2 Flexible Delivery & Assessment Procedures**

Corrsafe Enterprises recognises that some people are better suited to learning via teaching methods not usually obtained in the traditional classroom setting. With some minor adjustments to teaching and assessment methods, a student who is experiencing difficulty learning and achieving the desired results in the traditional setting may show considerable improvements.

The staff and management of Corrsafe respect these differences among students and will endeavour to make any necessary adjustments to their methods in order to meet the needs of a variety of students.

For example, the inability to complete a written assessment will not be interpreted as a sign of incompetence, provided the student can verbally demonstrate competency.

### **Reasonable Adjustment**

Reasonable adjustment to teaching and assessment methods refers to adjustments that can be made to the way in which evidence of student performance can be collected. These include, but are not limited to; having a trainer read assessment materials to students, having a student's spoken responses to assessment questions recorded or allowing a student to sit for an assessment alone in a different room.

Whilst reasonable adjustments can be made in terms of the way in which evidence of performance is gathered, the evidence criteria for making competent/not yet competent decisions (and/or awarding grades) should not be altered in any way.

That is, the standards expected should be the same irrespective of the group and/or individual being assessed; otherwise comparability of standards will be compromised.

[Reasonable Adjustment](#)

## **2.5.3 Access & Equity**

Corrsafe Enterprises is committed to practicing fairness and providing an equal opportunity for all current and potential students to access and participate in learning, and to achieve their learning outcomes.

Corrsafe Enterprises ensures that its practices are as inclusive as possible and do not unreasonably prevent any clients from accessing its services regardless of; age, gender, cultural or ethnic background, disability, marital status, pregnancy, sexual orientation, carer's responsibilities, socio-economic status, unemployment, imprisonment or remote location that may present a barrier to access, language skills, literacy or numeracy level, or any other perceived difference in class or category.

Corrsafe Enterprises has developed this quality management and operational framework to guide and inform all staff and students in their obligations regarding access and equity. Upon induction into Corrsafe Enterprises, all staff is provided with copies of the policies which they must adhere to throughout all their operations as an Corrsafe staff member.

Students are made aware of the access and equity policy via the Corrsafe Enterprises student handbook, and informed of their rights to receive access and equity support and to request further information.

Practicing these policies will guarantee that any student who meets Corrsafe Enterprises entry requirements will be accepted into any training programs. Corrsafe will address access and equity matters as a nominated part of operational duties.

If any student or staff member have issues or questions regarding access and equity, or believes they have been treated unfairly, they will be directed to Corrsafe management for consultation.

### **Cultural Respect for Aboriginal students**

Corrsafe Enterprises is committed to providing a culturally appropriate and supportive learning environment for Aboriginal and Torres Strait Islander students. Aspects of training and assessment that may be adjusted and/or treated with sensitivity in relation to these students include, separate needs relating to men's and women's business, non-verbal communication cues which includes silence, capacity regarding literacy and numeracy and the use of images of deceased persons.

Corrsafe Enterprises will ensure an *Acknowledgement of Country* is undertaken wherever practical, and always in the case of formal and significant events. Wherever there is uncertainty Corrsafe Enterprises will check with the Local Aboriginal Lands Council or other reliable source in regard to the traditional owners of the land and suggested wording. On an occasion of special significance, Corrsafe Enterprises staff and trainers may also consider organising a *Welcome to Country* through the LALC which may provide a local Elder to perform this ceremony and suggest appropriate remuneration.

### **Additional assistance**

If a student identifies with one or more of the following priority groups, he/she may be able to receive additional assistance:

- Aboriginal and/or Torres Strait Islander people.
- Carers of people who are ill, aged or who have a disability.
- People with a disability.
- Women and girls who are returning to education and training.
- Women and girls who are seeking training opportunities in non-traditional roles.
- Young people aged 15 to 25.
- Australian South Sea Islanders.
- Parental job seekers.
- People with English language, literacy and numeracy needs.
- Mature aged workers who require up skilling.
- Long term unemployed and disadvantaged jobseekers.
- People from different cultural and ethnic backgrounds.
- People who speak a language other than English.

## **2.5.4 Language, Literacy & Numeracy Assistance**

Corrsafe recognises that not all students will have the same level of ability in relation to the core skills of learning, reading, oral communication, writing and numeracy. When an issue is identified by Corrsafe staff at enrolment or initial interview, or assistance is requested by a student, a language, literacy and numeracy (LLN) test will be provided to assess the student's ability.

This process is to ensure that all students who commence a training program possess the skills required to understand the presented material and complete assessments. Corrsafe Enterprises trainers and assessors are also encouraged to refer to the [Australian Core Skills Framework](#) which can provide advice on how to tailor approaches to teaching and learning for individuals requiring additional support.

Corrsafe Enterprises is also monitoring the development of an interactive online Foundation Skills Assessment Tool expected to be released later in 2016, which will be used to identify and measure an individual's foundation skill levels including core skills.

Corrsafe Enterprises will endeavour to provide assistance to students having difficulty with core skills to accommodate their needs. In addition to LLN support Corrsafe Enterprises may also consider the use of assistive technology, additional tutorials and other mechanisms such as assistance in using technology for on-line delivery components of training.

Where this means additional costs may be incurred, students will be advised in pre-enrolment information. In the event that a student's needs exceed the ability of Corrsafe staff to assist, the student will be referred to an external support agency, so they have the opportunity to obtain the skills required to complete the training program.

[Language, Literacy & Numeracy Test](#)

[Language, Literacy & Numeracy Interview Guide](#)

## **Case Study 2 GETTING THE CALCULATIONS RIGHT**

## **2.6 Assessment**

### **Clause 1.8, 19**

Corrsafe Enterprises acknowledges the critical role that assessment plays in determining the competency of students. Corrsafe Enterprises 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.

Corrsafe Enterprises recognises that each unit of competency contains assessment requirements relating to; performance evidence, knowledge evidence and assessment conditions. While ensuring that industry requirements are contextualised and integrated within the assessment, Corrsafe Enterprises is mindful that in establishing the context for assessment the transferability of the competency is not affected.

Corrsafe Enterprises' assessment strategy utilises a wide range of assessment tools supporting an holistic approach to assessment that reflects the overarching philosophy of Corrsafe Enterprises in fully supporting the learning experience and maximising outcomes for both students and industry.

### **2.6.1 Corrsafe Enterprises' Assessment Policy**

In developing the assessment (including RPL) for each qualification and unit of competence, the CEO will ensure:

- Compliance with the assessment guidelines from the relevant training package, qualification and unit of competence of accredited course.

- Assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF).
- Assessment complies with the principles of competency-based assessment and informs the student of the purpose and context of the assessment.
- The rules of evidence guide the collection of evidence to support the principles of validity and reliability.
- The application of knowledge and skills is relevant to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment.
- Timely and appropriate feedback is given to students.
- Assessment complies with Corrsafe's access and equity policy.
- All students have access to re-assessment on appeal.

### Case Study 3 PROVIDING WORKPLACE ASSESSMENT ON SITE

## 2.6.2 Overview - Assessment Validation & Moderation

### **Validation**

Often considered one of the most contentious aspects of the VET sector, a number of varying definitions and opinions fuel the contention and debate. Corrsafe Enterprises will observe the explanation provided in the [ASQA Fact Sheet](#) Conducting Validation, published 13 May 2015. Building on this Corrsafe Enterprises has established a comprehensive plan of systematic validation.

*'Validation is a quality review process that confirms your RTO's assessment system can consistently produce valid assessment judgements. A valid assessment judgement is one that confirms a learner holds all of the knowledge and skills described in a training product.'*

*Validation activities are generally conducted after assessment is complete so that an RTO can consider the validity of both assessment practices and judgements. Validation involves checking that your assessment tools have produced valid, reliable, sufficient, current and authentic evidence that allows your RTO to make reasonable judgements about whether training product requirements have been met.*

*The validation process involves reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes if applicable. The validation process also includes acting upon any recommendations for future improvement.*

*As part of validation, your RTO must have a documented plan which describes:*

- *Who will lead and participate in the validation activities.*
- *Which training products will be the focus of the validation.*
- *When assessment validation will occur.*
- *How the outcomes of those activities will be documented and acted upon'.*



## Moderation

Although not required under the Standards for Registered Training Organisations moderation is an important part of the validity and reliability of assessment activities providing an additional means of increasing the quality of assessment.

Moderation provides a reasonable level of assurance that assessment activities have been undertaken appropriately and that there is confidence in the results provided to students. Moderation is a quality review and assurance process which supports the assessment setting and marking activities of trainers and assessors.

Essentially, it is a checking process which operates at two levels: at the assessment setting stage and/or after marking (and before processing of final results). The aim of moderating assessment tasks before students are asked to undertake them is to address any ambiguities, vagueness, capacities, length, etc., issues which might cause concern to students.

Moderation after marking may involve selecting and reviewing a sufficient number of assessments for the appropriateness of the given mark and the distribution of marks to ascertain if there are assessors who might give marks that lie outside of the average or a general trend.

When this process detects a problem important to clearly identify the size and scale of the problem so subsequent action can be taken to address at the specific issue.

### 2.6.3 Assessment Validation

[Clauses 1.9, 1.10, 1.11, 1.25](#)

Corrsafe Enterprises will continue to regularly review its training and assessment methodologies. Trainers and assessors are encouraged to discuss and evaluate the way courses and training packages are delivered and how each qualification is assessed with full regard to the criteria of validity, flexibility and fairness. Industry experts may be involved in validation to ensure there is the combination of expertise identified in (a) to (c) below.

Corrsafe Enterprises will ensure that systematic validation of assessment is to be undertaken by person(s) who are not directly involved in the training or assessment delivery of that qualification and have:

- a) Vocational competencies and current industry skills relevant to the assessment being validated.
- b) Current knowledge and skills in vocational teaching and learning.
- c) The training and assessment qualification or assessment skill set referred to in Item 1 (TAE40110 Certificate IV in Training and Assessment or its successor) or Item 3 (TAESS00001) of Schedule 1.

Industry experts may be involved in validation to ensure there is the combination of expertise set out above. All assessment undertaken by Corrsafe Enterprises is systematically validated and conducted in accordance with the Principles of Assessment and the Rules of Evidence.

This planned and ongoing process ensures that each training product on Corrsafe Enterprises' scope of registration is validated at least once every five years with 50% validated in the first three years of the cycle.

### Development Of New Assessment Tools

As new assessment tools are developed, the Corrsafe management team will meet with trainers and assessors and stakeholders for the relevant qualification or course and meet with relevant stakeholders<sup>1</sup> to review, compare and evaluate the assessment processes, tools and evidence that will contribute to their appraisal - the validation meeting.

- Assessment validation meetings are initially conducted to contribute to the development of new assessment tools. The meetings will confirm that the tools, assessment methods and processes adhere to the requirements of the training package and the Standards for RTOs 2015 and are therefore ready for operation.
- Relevant records and meeting minutes will be completed in order to record all processes, comments and continual improvement activities, including timelines and the responsibilities of the Corrsafe management team.
- An **assessment validation tool** is distributed to key stakeholders during the development phase. The feedback and information received is collated and utilised to design and refine the respective assessments.
- This exercise may be repeated a number of times during the assessment design phase with different stakeholders engaged where practical.

### Review Of Existing Assessment Tools

A review of assessment tools that have been completed and made available to students is conducted by Corrsafe. This validation of assessments that have been offered to students, completed and returned for assessment is an equally important phase of the assessment validation process.

Timing and frequency of this aspect of the overall validation process will be based on the nature of the training and assessment and the number of students who have used the new material. A review at three (3) months and again at six (6) months is considered optimum.

- To ensure that the Standards for RTOs 2015 and training package requirements for competency have been understood and correctly implemented, a review of samples from past assessments is an essential part of the validation process.
- The **assessment validation tool** is utilised once again. The document is distributed to key stakeholders as well as trainers and assessors. The feedback and information received is collated and utilised to design and refine the respective assessments.
- All issues that arise from the validation process of assessment tools will be documented and tabled prior to the commencement of the next program to ensure further issues are

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<sup>1</sup> Stakeholders refers to people and/or bodies that have a stake in the training, assessment and client services provided by RTOs. These can include but are not limited to:

- (a) industry skills councils;
- (b) industry organisations;
- (c) industry training advisory bodies
- (d) unions;
- (e) specific enterprise/industry clients;
- (f) occupational licensing bodies; and
- (g) group training organisations.

prevented. This may take place at the monthly management meeting unless the next program commences earlier, in which case an extra meeting will convene to address the issue.

### **Assessment Alteration, Validation And Impact Template**

As an additional phase of the Corrsafe Enterprises assessment validation process, each trainer and assessor is encouraged to consider changes, system development and assessment validation, on an ongoing basis.

Trainers and assessors are expected to be proactive in the implementation of their ideas and initiatives. When making submissions regarding alterations and/or improvements to the assessment process, it will be necessary for the proposer to complete an assessment alteration, validation and impact template prior to team meetings.

The assessment alteration, validation and impact template is intended to provide the required evidence underpinning the proposal, so management is able to wholly and accurately consider its implications and benefits.

If trainers feel a change to an assessment should be introduced, the initial project analysis (submitted on the assessment alteration, validation and impact template) would include, but is not limited to:

- How the change will be assessed within the ASQA guidelines.
- How the change may comply with or contravene work health and safety requirements.
- Ensuring that the change can be assessed and recorded within the Corrsafe Enterprises assessment plan for the course/qualification in question.

[Assessment Validation Tool](#)  
[Assessment Alteration, Validation & Impact Template](#)  
[Assessment Validation Schedule](#)

### **Case Study 4: TOP MARKS FOR ASSESSMENT**

## **2.6.4 Moderation Of Assessment Procedure**

Corrsafe Enterprises will regularly undertake moderation activities to enhance the quality of assessment. Fundamentally, moderation occurs **before** the student is given the results. When a single trainer delivers a qualification/unit of competence/accredited course, it is advantageous to conduct the moderation process and evaluate/moderate the marking of assessments by another trainer(s).

In the case of multiple trainers delivering different aspects of the same qualification/unit of competence/accredited course, moderation is advised at least once per three (3) month period. Assessment moderation, when delivered by multiple trainers, aims to ensure that all assessment is conducted in accordance with the marking guides developed and/or approved by all the trainers of

the relevant qualification/unit of competence/accredited course, and/or that different trainers are providing equal assessment.

One (1) trainer and assessor should assess submissions involving extended writing/projects/major assignments, and once the work has been assessed, the submission should be exchanged with another assessor for moderation.

From each course group, a sample of approximately one fifth of submissions should undergo moderation; the sample assessments should include a range of levels of achievement. Checking a result considered to be satisfactory by one (1) trainer and assessor against a detailed assessor checklist/marketing guide should moderate assessment's practical observation/role plays/simulations type assessments.

In the case of a cross-assessor disagreeing with results of an assessment to be given to a student, the findings should be detailed and presented to the trainer for reconsideration. Any comments or notes made by the cross-assessor should be written on a separate document, labelled with the assessment item details and date, and filed in the review section of the relevant qualification/unit of competence/accredited course file.

Two (2) trainers and assessors should assess all oral and practical assessment presentations within a qualification/unit of competence/accredited course. In cases where this is not possible, the presentation should be recorded audibly and/or visually.

This ensures that a sample from a range of levels of achievement can be cross assessed by another trainer.

## **2.6.5 Records Of Assessment & Moderation**

### **Moderation Records**

Records of assessment moderation will be stored in the review section of the qualification/unit of competence/accredited course file until completion of the student's group program. Upon completion, the records should be placed with the student's file to be stored until the student's file is due to be destroyed.

### **Results Of Assessment Records**

Student assessment results will be recorded on the record of assessment document or in training record books and stored in the relevant qualification/unit of competence/accredited course file.

### **Damage To Or Loss Of Student's Work**

In the case of a student's work becoming damaged or lost, details should be recorded and stored on the student's file and reported to the student. A quality improvement request should be submitted to a member of the Corrsafe management team to ensure corrective and preventative action is taken.

## **Auditing Of Assessment**

The following items must be retained on the student's file and confirmed via the auditing of assessment process:

- Assessment matrix:
  - Showing assessments for the unit(s) e.g., projects, assignments, short answer, workbook with activities, practical demonstration, logbook/training record.
- Master assessment file:
  - This would include a copy of projects, assignments, short answer, workbook with activities, practical demonstration, logbook/training record with a list of appropriate tasks to be performed and other relevant assessment files.
- Student file:
  - Signed assessment cover sheets from each assessment tool/method undertaken by the student. Signed logbooks, sign off sheets, signed assessment documents, etc.
- All completed work and assessments must be retained for a period of six (6) months.

## **2.6.6 Delivering Training & Assessment Qualification & The Skill Set For Assessors**

### **Clause 1.25**

Trainers and assessors delivering the training and assessment qualification for trainers and the skill set for assessors on behalf of Corrsafe Enterprises will be required to hold one or more of:

- Certificate IV in Training and Assessment.
- Diploma of Vocational Education and Training.
- Diploma of Training Design and Development.
- Diploma or higher qualification in adult education.

Those trainers and assessors delivering any other TAE product will any TAE qualification at least to the level being delivered. From 2017 Corrsafe Enterprises will incorporate into the requirements for its trainers that those with the Certificate IV in Training and Assessment only, will work under supervision of a person that holds one of the three higher level qualifications above.

### **Validation**

As an organisation delivering the training and assessment qualification for trainers and the skill set for assessors Corrsafe Enterprises adheres to the requirements that external and independent validation be conducted by one or more persons who collectively have:

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

### **The Requirements For Independent Validation Will Apply As Follows:**

In the case where Corrsafe Enterprises is applying to extend its scope of registration to include the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package, validation is of:

- i. Corrsafe Enterprises' assessment tools, processes and outcomes in relation to other AQF qualifications and/or units of competency on its scope of registration, as directed by the VET Regulator.

- ii. The assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set.

In the case where Corrsafe Enterprises is applying for the renewal of its registration where its scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:

- i. The assessment system for delivery of the training and assessment qualification or assessor skill set.
- ii. The RTO's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set.

## **2.6.7 Recognition Of Prior Learning**

### **Clause 1.12**

Recognition of prior learning means recognition of competencies currently held, regardless of how, when or where the learning occurred. These competencies may be attained through any combination of formal, non-formal or informal training and education, work experience or general life experience.

In order to grant RPL, the assessor must be confident that the student is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Qualifications Framework accredited courses.

The evidence may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient.

Corrsafe Enterprises appreciates the value of workplace and industry experience and recognises that students will acquire vocational skills and knowledge from a variety of sources other than formal training.

These skills are legitimate irrespective of how they were acquired and the RPL process is designed to provide validation of such relevant skills.

### **Corrsafe Enterprises' Recognition Of Prior Learning Process**

Recognition of Prior Learning (RPL) is an assessment process that assesses an individual's formal, non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of a VET qualification.

The recognition of prior learning (RPL) process will be offered to and explained to all students. All students will have access to Corrsafe Enterprises' RPL policy which is contained in the Corrsafe Enterprises student handbook and is available on request.

Students who believe they have already obtained current skills and knowledge that would otherwise be covered in the qualification/unit of competence for which they intend to study, should apply for RPL at the time of enrolment.

The student's skills and knowledge will be assessed and validated, and where appropriate, units of competency acknowledged, and face-to-face training reduced. As part of the Corrsafe Enterprises enrolment policy, trainers will advise students of the availability of RPL, explain what the process involves and how it relates to the attainment of the qualification in some circumstances.

When relevant, trainers will remind students of this option progressively throughout their time in training, in order to provide multiple opportunities for students to engage in the RPL process.

#### **When Approached By A Student Seeking RPL, Trainers Will:**

- Provide the student with copies of an RPL Information for the Applicant and the RPL Assessment Template.
- Provide the student with information about the types of evidence that can be used to support an RPL application.

#### **Recognition Of Prior Learning Fee**

The student will be charged 50% of the scheduled course fee. This includes the initial application, consultation either in person or via phone with a suitably qualified assessor, the RPL assessment and (if successful) certification.

Where the student is not able to achieve the full qualification through RPL and gap training is required, a training plan and costing structure will be mutually agreed upon. The basis of the cost structure will be pro-rata on a unit-by-unit basis based on the scheduled course fee.

[Recognition of Prior Learning Information for the Applicant](#)

[Recognition of Prior Learning Information for the Assessor](#)

[Recognition of Prior Learning Assessment Template](#)

[Recognition of Prior Learning Third Party Verification](#)

[Recognition of Prior Learning Evidence Matrix](#)

[Recognition of Prior Learning Evidence Review](#)

[Recognition of Prior Learning Feedback Form](#)

#### **Validation of RPL process**

The approach used for recognition of prior learning must also be validated on a regular and ongoing basis.

- To ensure that the process and standardisation of evidence is consistent and complies with the Standards RTOs 2015, a review of samples from past recognition of prior learning applications is an essential part of the validation process.
- Changes, updates or improvements will be managed via the validation meetings and recorded in the continuous improvement register.

Changes, updates or improvements will be managed via the validation meetings and recorded in the continuous improvement register. All changes made to assessment tools, RPL documents and processes will be documented and minuted for presentation at monthly management meetings.

New assessment tools and RPL documents will be drafted and reviewed by the relevant Corrsafe management team members.

Any revised assessment tools and RPL documents will be subject to Corrsafe Enterprises' [version control policy](#).

Overall, Corrsafe's assessment validation process is a consolidation and review of the changes that have occurred throughout the sector (both on the ground and at higher administrative levels over time). This approach will offer the best opportunity for continuous improvement of assessments and training outcomes.

## **2.7 Trainers & Assessors**

[Clauses 1.13, 1.14, 1.15, 1.16](#)

### **2.7.1 Staff Management**

Delivering high quality training and assessment relies on the skills and knowledge of trainers and assessors. Corrsafe Enterprises recognises that effective staff management is essential to the success of its operations and has prioritised policies to attract, develop and retain the highest quality staff and trainers.

These policies ensure all members of the Corrsafe team work against clear, measurable standards of practice and apply principles of fairness and merit to all staff management issues. Corrsafe management supports a people focused approach that involves strong leadership, the selection of skilled and appropriate staff, clear goal setting and staff motivation.

Management, staff and trainers work together to integrate the organisational objectives with individual expectations.

### **2.7.2 Human Resource Policy**

Corrsafe Enterprises will ensure that all staff delivering and/or assessing training will meet the requirements of the relevant training package, qualification or accredited course prior to commencing delivery and/or assessment.

To provide training that reflects current industry practice and valid assessment, Corrsafe Enterprises' trainers and assessors will maintain currency of their skills and knowledge in their industry area and in vocational education and training. Corrsafe will also accept an appropriately qualified trainer and assessor to work with an industry expert to conduct assessment together.

Corrsafe management will ensure that the staff qualification and skills matrix for each qualification delivered is accurate and current, reflecting which members of staff are qualified to deliver and assess particular units of competency.

Maintenance of each staff member's qualification and skills matrix for accuracy and currency is dependent upon the individual taking responsibility to ensure his/her staff profile that is kept on file is up to date.



This includes ensuring all statements about relevant industry experience are current. A Justice of the Peace or a Commissioner of Declarations should verify copies of qualifications and documents. Other verification measures include contacting the issuing training organisation to confirm the authenticity of the qualification.

The trainer/assessor's human resources file must reflect the skills, knowledge and currency as they relate to the delivery and assessment of the training they provide, ensuring they meet the requirements of the VET Quality Framework and relevant Standards for RTOs 2015.

The staff member's human resource file will be updated frequently and will potentially become an ever-expanding compilation of documents.

Examples of opportunities to update the staff profile include, after a professional development activity has been completed; when a new qualification has been attained; prior to internal reviews and internal audits.

No longer than twelve (12) months will elapse between updates. To verify that all training and assessment staff have attained and continue to improve their relevant vocational competencies, Corrsafe Enterprises has developed and will adhere to rigorous policies and procedures for recruitment, staff induction, performance appraisal, continuing professional development and human resources.

[Trainer Qualification and Experience Matrix](#)  
[Staff Qualification Verification Checklist](#)

### **2.7.3 Recruitment Policy**

To establish and verify the competence of Corrsafe staff, the recruitment policy of Corrsafe Enterprises is informed and supported by the following documents and procedures.

#### **The Position/Job Description**

This document provides applicants with a clear outline of the position. The position description may include (but is not limited to) elements such as the purpose of the position, day-to-day duties, reporting relationships and the organisational environment.

Position descriptions will outline the mandatory requirements for the role; these are the minimum levels of qualification, experience and/or training or certification that must be met by job applicants. If an applicant does not meet the mandatory requirements for the position the selection committee cannot consider the applicant for the position, and he/she is immediately excluded from the recruitment process.

These requirements will be made clear to all prospective applicants in the job advertisement and application instructions.

## **The Position Advertisement**

Developed to provide a clear description of the position that is being advertised and the process by which applications will be received and assessed. It will include a closing date for applications and a contact person for enquiries.

The position description will be made available to prospective applicants and any particular requirements for applications will be clearly articulated.

## **Applications**

The selection committee will assess applications. Applicants who meet the mandatory requirements of the position and considered most suitable will be shortlisted and given the opportunity to be considered further.

## **Selection committee**

A selection committee, consisting of at least two (2) people including a chairperson, will be formed to assess applications. The selection committee will have adequate knowledge of the requirements and outcomes of the job and must select applicants on the basis of merit to ensure that the best possible applicant is selected for the job.

## **Applicants For All Positions At Corrsafe Enterprises Are Required To Provide:**

- A concise statement describing how they meet the mandatory requirements and the day-to-day duties of the role as specified in the position/job description.
- A résumé or curriculum vitae outlining a brief summary of work experience, including previous employers and the positions held; an outline of the duties performed is also expected.
- The names and contact numbers of at least two (2) referees who could provide an objective assessment of work performance.
- Three (3) copies of all material are required to be submitted with applications. It will be made clear to applicants that certified copies are required of certificates and qualifications. Written references included in applications must include current contact details so that the reference can be verified. Originals of certificates, etc. will not be accepted.

## **2.7.4 Qualifications For Trainers & Assessors**

In recruiting applicants for trainer and assessor positions, Corrsafe Enterprises adheres to the requirements that 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.
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgment, working alongside the trainer and/or assessor to conduct the assessment.

Corrsafe Enterprises' training and assessment is delivered only by persons who have one or more of:

- Certificate IV in Training and Assessment.
- Diploma or higher qualification in adult education.

Where a person conducts assessment only, Corrsafe Enterprises will ensure that the person has one or more of:

- Assessor Skill Set.
- Certificate IV in Training and Assessment.
- Diploma or higher qualification in adult education.

Qualifications for trainers and assessors delivering the training and assessment qualification for trainers and the skill set for assessors on behalf of Corrsafe Enterprises are specified at [2.6.6](#). Corrsafe Enterprises' CEO will ensure that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment.

The same standards and requirements apply to trainers and assessors employed or contracted by Corrsafe Enterprises and those engaged by a third-party delivering training and assessment on behalf of Corrsafe.

### **Vocational competency**

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry.

Vocational competency must be considered on an industry-by-industry basis and with reference to any guidance provided in the relevant Training Package or Accredited Course. Training Packages or Accredited Courses include advice specific to the industry related to the vocational competencies of trainers and assessors.

This may include advice on relevant industry qualifications and experience required for training and assessing against the Training Package or Accredited Course. The Training Package or Accredited Course may also provide specific industry advice outlining what it sees as acceptable forms of evidence to demonstrate the maintenance of currency of vocational competency.

### **Case Study 5: MAKING SURE THE TRAINER IS TRAINED**

## **2.7.5 Induction Procedure**

Each successful applicant will undergo an induction procedure that will (at a minimum) explain the roles and responsibilities of working within the Vocational Education and Training sector. The induction will take place on the first day of commencing work with Corrsafe Enterprises.

All new Corrsafe staff will be provided with an induction pack and attend an induction program. The induction program is designed to ensure the staff member's skills and knowledge are at an acceptable level, and previous skills and knowledge are refreshed and developed upon. All staff will be monitored in regard to their performance in delivering and assessing vocational education and training.

### **The induction procedure will include an introduction to the:**

- Roles and responsibilities of an RTO under the Standards for RTOs 2015 and relevant legislation.
- RTO VET quality systems and operations.
- Qualifications and courses provided by Corrsafe Enterprises Human resource requirements for the VET sector.
- Professional development roles and responsibilities for staff.
- Relevant policies and procedures of Corrsafe Enterprises relating to VET.
- The relevant training package(s).
- Competency based training and assessment.
- Requirements for traineeships.
- Access and equity policy and staff responsibilities in regard to access and equity.
- A copy of the Standards for RTOs 2015.
- A copy of the Australian Qualification Framework 2013 (AQF).
- Access to VET sector industry publications.

#### [Staff Induction Checklist](#)

### **2.7.6 Performance Appraisal**

To ensure that all staff maintain a high level of performance an annual performance appraisal will be conducted with each member of staff. This annual process will also highlight opportunities for further professional development.

Professional development is individually negotiated with each staff member and Corrsafe management. The annual performance review will utilise the staff performance appraisal form, which requires staff to complete a self-review before their supervisor completes a review of the staff member's performance.

A review meeting will then be held, and outcomes agreed and signed off. Staff are also given the opportunity to give the organisation feedback via the staff assessment and feedback form.

#### [Staff Performance Appraisal](#) [Staff Assessment and Feedback](#)

### **2.7.7 Professional Development**

Ongoing professional development describes the process of obtaining the skills, qualifications and experience that allow a person to make progress in his/her career. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and assessment, including competency-based training and assessment.

Examples of professional development activities include:

- a) Participation in courses, workshops, seminars, conferences, or formal learning programs.
- b) Participation in mentoring, professional associations or other learning networks.

- c) Personal development through individual research or reading of publications or other relevant information.
- d) Participation in moderation or validation activities.
- e) Participation in industry release schemes.

Corrsafe Enterprises supports and mentors all staff members in their own professional development to enhance staff performance within each role. Where opportunities for internal or external training arise, Corrsafe Enterprises will make arrangements to ensure staff members have the opportunity to participate when practical.

Staff will be given the opportunity to identify and partake in internal and external training that would contribute to their own professional development. Training and assessment staff must maintain a current resume/CV which is kept on record with Corrsafe management.

It is the responsibility of training and assessment staff to notify management of updates to their details, including but not limited to; changes in personal circumstances, achievement of new qualifications, industry contact and attendance of industry seminars or training.

**Understanding how much and how often ongoing professional development, in relation to industry currency, must be undertaken is described by two (2) key principles:**

- 1. Professional development and engagement with industry are intended to ensure the latest industry trends, ideas and systems are made available to students.**
- 2. The frequency of professional development and industry engagement is based on the dynamics of the industry.**

[Individual Professional Development Plan](#)

**Case Study 6: WATCHING THE TRAINERS**

## 2.8 Managing Transition Of Training Products

[Clause 1.26, 1.27](#)

Nationally endorsed training packages are amended periodically under a continuous improvement approach to ensuring these are aligned with industry requirements. Training packages can be entirely reviewed on a cyclic basis often leading to new versions being issued or new training packages being developed.

The impact of these changes can mean that qualifications and unit of competency codes and titles can change. Qualification issuing rules can change and units of competency that are superseded may or may not be equivalent.

To ensure Corrsafe Enterprises delivers the most current qualifications to students the management team monitors changes to training packages, reflecting changes in its scope of registration, and will

establish transition arrangements for existing students and those students who may be enrolled during a transition period.

## **2.8.1 Corrsafe Enterprises Transition Policy**

Corrsafe Enterprises observes the overarching principle that it will deliver the current training product to a student, unless the student would be genuinely disadvantaged by undertaking that current training product and the genuine disadvantage to them in doing so outweighs the benefits of continuing training in and being issued with a qualification or statement of attainment for a superseded or deleted training package qualification or superseded/expired accredited courses.

Corrsafe Enterprises will ensure that students are not enrolled in qualifications/courses that adversely affect their opportunities for employment, residency status and/or future study pathways.

### **Advice To Students**

Corrsafe Enterprises will provide timely and adequate advice and guidance to students throughout the student's enrolment. The transfer of students will be undertaken in collaboration with the student and Corrsafe in accordance with the Standards for RTOs 2015.

If the qualification or course in which they are enrolled is superseded/deleted/expired the RTO will ensure students are given the opportunity to transfer to replacement training package qualifications and accredited courses or other currently endorsed training packages or accredited courses.

Confirmation of correct transition and teach out requirements is ensured by complying with this Standard.

### **Timeframes**

In all cases, the date shown on the National Register is considered to be the date of publication, deletion or removal. Sometimes, a qualification or accredited course will specify a core or named elective unit or module that has been superseded, removed or deleted from another training package.

In these cases, Corrsafe Enterprises will continue to include the component/s as named in the qualification or course being delivered. ASQA does not grant permission for individual RTOs to continue delivery beyond the allowable timeframes.

Where ASQA has agreed that exceptional circumstances apply to a certain cohort of students justifying delivery beyond the allowable timeframes, e.g., where apprenticeship arrangements necessitate, it will publish this information on its website.

In such cases, the exemption will apply to any RTO, but only for delivery to a student whose enrolment matches the identified criteria.

## 2.8.2 Superseded Training Products

Except in the case of where a training package requires the delivery of a superseded unit of competency and unless otherwise approved by the VET Regulator, Corrsafe Enterprises will ensure that:

- Where a training product on Corrsafe's scope of registration is superseded, all students' training and assessment is completed and the relevant AQF certification documentation is issued or students 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 students' 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 students' 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 student does not commence training and assessment in a training product that has been removed or deleted from the National Register.

The requirements specified in Clause 1.26 do not apply where a training package requires the delivery of a superseded unit of competency.

### **Scope Of Registration**

Corrsafe Enterprises' CEO will ensure that the replacement training product is included on the RTO's scope of registration. Where a developer responsible for the parent training package deems the replacement training product is equivalent to the superseded qualification, the RTO's scope of registration will be automatically updated by ASQA to include the replacement training product.

The scope will be updated immediately after the endorsement process, unless Corrsafe advises ASQA that it:

- Has 'opted out' of this process.
- Has unresolved compliance issues that prevent the scope update.

In cases where the training product is not considered equivalent to the earlier version or where Corrsafe has 'opted out' of automatic updates, before transferring any student enrolments, the following must take place:

- Apply to ASQA for the replacement to be added to the RTO's scope of registration, and
- Have that application approved.

Where Corrsafe Enterprises holds a delegation from ASQA (to manage its own scope of registration) relevant training products may be added to scope without application.

Students who will 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.

One year from the date it was superseded, ASQA will remove the superseded training product from the RTO's scope of registration. From this date, Corrsafe Enterprises will not:

- Enrol or train students in that training product.
- Issue a qualification or statement of attainment for that training product (except as a replacement for a previously issued qualification or statement of attainment).

### **2.8.3 Removed Or Deleted Training Products**

#### **Removed Or Deleted Qualifications**

In some instances, training package developers determine there is no longer sufficient demand for a qualification to justify it being maintained. The qualification is removed or deleted without being superseded by another.

In this case, there is no clearly identified replacement qualification for students to transfer to, although it may be possible to identify one that is the closest to meeting your student's needs. Whether it is practical to transfer students to a suitable qualification will depend on a range of factors, including how close to completion each student is.

The guiding principle should be what will best meet the needs of the student. If completing the qualification is the best path for the student, Corrsafe Enterprises staff will ensure that all training, assessment and issuance of certification is completed within two years of the date the qualification was removed.

Corrsafe Enterprises will not allow a new student to commence training or assessment from the date a qualification is removed or deleted from the [National Register](#). Two years after a qualification is removed or deleted, ASQA will remove the qualification from the RTO's scope of registration.

From that date, Corrsafe Enterprises will not:

- Enrol or train students in that qualification.
- Issue that qualification (except as a replacement for a previously issued qualification).

#### **Removed Or Deleted Skill Sets, Units, Courses And Modules**

Where a skill set, unit, course or module (not attached to a qualification) is removed or deleted, Corrsafe Enterprises 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.

Corrsafe will not allow a student to commence training or assessment from the date a skill set, unit, course or module is removed or deleted from the [National Register](#). One year after a skill set, unit or module is removed or deleted, ASQA will remove the training product from the RTO's scope of registration.



From that date, Corrsafe Enterprises will not:

- Enrol or train students in that skill set, unit, course or module.
- Issue a statement of attainment for that skill set, unit, course or module, (except) as a replacement for a previously issued statement of attainment.

## Quality Assured Operations

### Standard 2

Corrsafe Enterprises operates high quality management systems that meet the needs of all who are involved in the RTOs operation. Through rigorous analysis, the management of Corrsafe have ensured that all management systems are appropriate for the organisation, that they are documented and that they are responsive to the needs of staff and students.

Fundamental to the management of Corrsafe Enterprises is the philosophy of **Continuous Quality Improvement**, intended to ensure an increasingly strong, efficient and sustainable organisation. Corrsafe Enterprises is committed to delivering high quality training and assessment services that exceed the expectations of their students.

To ensure this, Corrsafe has implemented processes for data collection and analysis within its operations that ensure the continuous improvement of training and assessment. Continuous improvement measures in this area respond to the results of data analysis and involve all internal and external stakeholder groups.

## 2.9 Continuous Quality Improvement

### Clauses 2.1, 2.2, 2.3, 2.4

Continuous improvement means a planned and ongoing process that enables Corrsafe Enterprises to systematically review and improve its policies, procedures, products and services in order to generate better outcomes for clients and to meet changing needs.

It allows Corrsafe to constantly review its performance against the VET Quality Framework and to plan ongoing improvements to its performance. Continuous improvement involves collecting, analysing and acting on relevant information collected from clients and other interested parties, including the Corrsafe staff.

Continuous Quality Improvement (CQI) is a process to ensure Corrsafe Enterprises is systematically and intentionally improving and increasing positive outcomes. CQI is a cyclical, data-driven process; it is proactive, not reactive.

A CQI environment is one in which data is collected and used to makes positive changes - even when things are going well - rather than waiting for something to go wrong and then fixing it. Continuous improvement does not relate to actions to achieve compliance as such actions are considered to be rectifications.

The value to Corrsafe of adopting a continuous improvement cycle is in its potential to create a stronger, more sustainable business that meets the changing needs of clients and stakeholders. Such

a cycle also enables Corrsafe Enterprises to adapt quickly to changing external environments, such as economic factors and skills needs.

Types of continuous improvement processes and tools are not prescribed and Corrsafe has the flexibility to consider its own business context and make improvements based on feedback from its clients and stakeholders. The following sections identify many components of Corrsafe Enterprises' comprehensive CQI approach to its operations.

### **2.9.1 CQI Processes**

An effective quality system includes processes that encourage and achieve continuous improvement. For Corrsafe Enterprises this means developing a planned and ongoing process to systematically review and improve policies, procedures, products and services through analysis of relevant information and collection of data from clients and other interested parties, including staff.

The quality and continuous improvement policy and procedure are central to the operations of Corrsafe. The organisation's commitment to delivering and maintaining high quality training and assessment experiences and outcomes for students relies on the systematic collection and analysis of data regarding all aspects of the training operation.

The Management Team at Corrsafe recognises that opportunities for improvement arise in every aspect of business and has developed an organisational culture within Corrsafe Enterprises to capitalise on these opportunities for improved practice and has established a range of mechanisms to facilitate ongoing feedback, vital to the process of continuous improvement.

Furthermore, Corrsafe Enterprises ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement and sufficient strategies and resources to systematically monitor any services delivered on its behalf will be included to ensure the principles of CQI are adhered to.

### **Data Sources**

Information used by Corrsafe Enterprises to assist with the audit process and enable continuous improvement includes a range of qualitative and quantitative data such as:

- Quality indicator data
- Feedback from students
- Trainer and assessor feedback
- Feedback from stakeholders, such as employers
- Assessment validation outcomes
- Results of internal audits
- Results of independent audits
- Organisation self-assessment outcomes
- Records of complaints and appeals, and their resolution
- End of program evaluation
- AVETMISS activity data

## Quality Indicators

The [Quality Indicators](#) provide valuable data for RTOs to identify areas for improvement in training and assessment services and to gauge how well it is meeting its client's needs. The Quality Indicator data that is collected will also be used by the registering body in its monitoring of the quality of Corrsafe Enterprises' operations to minimise the risk of poor-quality performance having a negative impact on clients or the standing of the Australian VET sector.

Quality Indicator data is collected during each calendar year: 1 January to 31 December and must be submitted by the end of the following financial year: 30 June. As a result of this monitoring, each RTO will have a risk profile, which will contribute to decisions about the scheduling and scope of auditing.

Three quality indicators have been identified as useful for continuous improvement and determining the risk profiles of RTOs. The Quality Indicators are:

### 1. Employer Satisfaction (competency development, and training and assessment quality)

This indicator focuses on employer's evaluations of student's competency development, its relevance to work and further training, and the overall quality of the training and assessment.

### 2. Student Engagement (student engagement and competency development)

This indicator focuses on the extent to which students are engaging in activities likely to promote high quality skill outcomes, as well as student's perceptions of the quality of their competency development and the support they receive from RTOs.

### 3. Competency completion Rate

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

## Data collection methods

Systematic collection and collation of data is facilitated by:

- National tools for the collection of data for the quality indicators.
- Interviewing students regularly.
- Obtaining written feedback from students.
- Obtaining written feedback from trainers and assessors.
- Obtaining feedback from industry stakeholders.
- Obtaining feedback from employers.
- Strategic analysis of the complaints when they occur.

## Analysis Of Data

The analysis of this data through the continuous improvement procedures will highlight areas for corrective action that can be addressed and implemented to continually improve services to students and their employers.

Corrsafe Enterprises is committed to utilising best practise data analysis processes to ensure informed decisions are made regarding the delivery of quality training services. These best practise data analysis processes include:

- Assessment processes and methodology.
- Skills audit - evaluating competencies and qualifications of staff.
- Evaluating the effectiveness of training methods.
- Identifying areas for staff professional development.

The ongoing regular analysis of data provides the basis of informed decision making by Corrsafe Enterprises management which improve the processes of:

- Collation of Corrsafe Enterprises data per ASQA General Directive – Quality Indicators
- Development of all aspects of training to link with industry.
- Professional development of staff.
- Validation and moderation of assessment.
- Development of quality training and support services to students.
- Improvements to business operations and data management.
- Consistency and integrity of training and assessment resources.

The collection and analysis of data pertaining to Corrsafe Enterprises' operations can lead to the identification of further opportunities to improve practices. Improvements are designed and implemented based on these findings. Results are recorded and outcomes evaluated at internal audits.

### **Case Study 7: USING COMPLAINT OUTCOMES FOR BUSINESS IMPROVEMENT**

## **2.9.2 Identification Of Improvement Opportunities**

To ensure a commitment to continuous improvement, Corrsafe Enterprises will monitor progress with best practice strategies through the monthly management meetings. Best practice strategies are discussed, and implementation outcomes confirmed at these meetings.

Where an opportunity for improvement is identified, thorough consultation will be undertaken prior to recommended changes being implemented. Corrsafe recognises that even small changes or improvements can cause a 'ripple effect' within the organisation.

Where it is identified that a recommended change may impact on other aspects of the RTO, the opportunity for improvement may be re-evaluated. Appropriate changes will be made to the affected aspects of the RTO, while at all times retaining the focus on continuous improvement.

All stakeholders are encouraged to make suggestions for the improvement of best practice methods. Where a stakeholder recognises an opportunity to make an improvement and is unable to attend the monthly management meeting, a nominated proxy may make the presentation on their behalf.

Opportunities for improvement that are identified through these processes fall into two broad categories.

### **Minor Improvements**

This category refers to relatively inconsequential or low risk opportunities for improvement, such as spelling mistakes, grammatical errors and other adjustments to be made to documents. These opportunities will be collected and recorded to be included within the editing process the next time a document is re-printed as a version update.

All training manuals are reviewed, updated and re-printed as a new version at least annually. Where minor improvements are identified in the organisation's day-to-day operational processes, the organisation will take a flexible approach that allows for an immediate response and update of the identified improvement.

Any identified minor improvement will be recorded in the continuous improvement register and the implemented change recorded as a corrective action. Senior management may change documents; training manuals; templates etc. identified as minor improvements.

Once the change is made and a new version created, the change must be communicated to all staff.

### **Major Improvements**

In this category, a major improvement would be identified as a significant document or process error that if left unchanged would result in an unacceptable impact to students or other stakeholders. In the unlikely event that such an error is identified, Corrsafe Enterprises will immediately initiate corrective action and appropriate communication will be sent to all affected stakeholders.

Any identified major improvement will be recorded in the continuous improvement register and then implemented action recorded in the corrective action register. Where the requirement for a major improvement is identified in a document, corrective action may include a new document being printed, a new version number and a new copy to be distributed to all affected stakeholders.

Where the requirement for a major improvement is identified in an operational process, corrective action may include updates to the quality management and operational framework document and any supporting forms, templates and/or registers, as well as communication to staff and stakeholders.

In order to encourage and achieve continuous improvement based on the collection and analysis of the above-mentioned data, Corrsafe has developed and will maintain a continuous improvement register which will include a written record of all improvement strategies and reviews.

[Corrective Action Report Template](#)

[Continuous Improvement Register](#)

[Internal Audit Checklist](#)

### **2.9.3 Best Practice Strategies**

Recognising the complex and interactive environment of training and assessment, and the possibility that an intended quality improvement action may have unintended outcomes, Corrsafe Enterprises prioritises the validation of improvement actions.

This process closes the loop of the continuous quality improvement cycle by either accepting the change as business as usual, further adjusting as required or not accepting the change. Ensuring the change is achieving the intended result means that both students and employers as well as the business operations of Corrsafe Enterprises will benefit either directly or indirectly as a result.

Corrsafe Enterprises will always maintain sufficient strategies and resources to systematically monitor any training and assessment delivered on its behalf and uses these to ensure that the services delivered comply with all standards and legislative requirements. Best practice strategies implemented by Corrsafe Enterprises include:

#### **Stakeholder feedback**

Course facilitators are encouraged to engage with industry stakeholders and, where practical, have the stakeholder feedback form completed.

Surveying stakeholders extends the feedback beyond students undertaking training and may include, but are not limited to: employers, industry experts, trainers and assessors, Corrsafe Enterprises staff and management, industry associations and representatives from other registered training organisations.

The questions presented in the stakeholder feedback forms are directly aligned to the Standards for RTOs 2015 and are designed to include quantitative ratings; formatted numerically from 1 to 5. A comparative review of satisfaction levels and relative performance can then be plotted using computer software such as MS Excel or MS Access.

Administration staff of Corrsafe Enterprises will collect the feedback forms from the course facilitators and collate data for the purpose of monitoring the quality of training and assessment, client services and business operations.

Senior management will use the collated data to identify trends and anomalies, or 'spikes', and apply the appropriate improvement strategy. Follow up strategies may include emails, phone calls, discussions and meetings with stakeholders or members of Corrsafe staff.

Follow up actions and details of actions taken are recorded and collated for presentation at management meetings.

#### **[Stakeholder Feedback Form](#)**

#### **Student Feedback**

Corrsafe Enterprises acknowledges the value of student feedback in monitoring and developing business practices and quality training, and ensuring the ever-changing needs and expectations of clients are being met.

In order to gain the most from the feedback procedure, Corrsafe endorses a 'progressive feedback' strategy, asking students to provide feedback at least three (3) times during training programs that extend for one (1) month or longer.

This strategy seeks to gain data indicative of the entire program, contributing more specific feedback relevant to continuous improvement of the program. Student feedback is collected less frequently during training programs of a shorter duration.

The CEO considers this strategy more effective in gaining an accurate appraisal of the program while allowing students ample time and opportunity to voice concerns and allowing corrective action to take place before the conclusion of a course when necessary.

Student feedback will be accepted and encouraged through various means. The feedback forms will be the primary source of information; other forms such as emails, phone calls, discussion and meetings will also be recorded and presented at management meetings.

The questions presented in the student feedback forms are directly aligned to the Standards for RTOs 2015 and are designed to include quantitative ratings; formatted numerically from 1 to 5. A comparative review of satisfaction levels and relative performance can then be plotted using computer software such as MS Excel or MS Access.

Opportunities for improvement that are identified as a result of student feedback are assessed using the continuous improvement procedure.

[Student Feedback Form](#)  
[Record and Collate Feedback Template](#)

### **Internal Audit**

Each aspect of the RTO operations will be reviewed at least once each year via the internal audit process. The purpose of an internal audit is to establish and maintain Corrsafe Enterprises' processes for implementing the quality management system aligned with the Standards for RTOs 2015.

The audit results should provide a positive and controlled means of identifying issues, non-compliances and opportunities for improvement to management, as well as being a platform for initiating appropriate action.

Coordinated by the CEO (or the compliance manager where appropriate), internal audits are a series of fluid processes that focus on different aspects of the RTO's operations and collate the findings from collected data.

The findings will confirm good practice and highlight aspects of the training business that need to be improved. Corrsafe Enterprises' CEO will explore with students, trainers, assessors and employers what improvements need to be made and what actions might be taken.

The RTO plans and makes improvements in response to the lessons learned from this analysis.

Internal audit activities include, but are not limited to:

- Examining documents and systems such as policies and procedures, student handbook, relevant components of business plans, trainer/assessor qualifications.
- Examining records of actual training conducted.
- Examining samples of student files.
- Analysing resources for delivery and assessment, required by the relevant training package or course, including assessment tools.
- Questioning the stakeholder(s) to further explore evidence.
- Interviews with management, trainers, students, employers and stakeholders.
- Observing processes such as assessment and learning activities.
- Looking at facilities and observing training and assessment activities.

Other, more strategic audit mechanisms include, but are not limited to:

- Comparing data collection methods with high achieving RTOs.
- Conducting a SWOT analysis with a range of stakeholders.
- Identifying measurable objectives in relation to training and assessment and monitoring these objectives in relation to specific qualifications.

*Corrsafe* management will review internal audit reports and initiate the rectification of the identified issues and implementation of any opportunities for improvement. Entries are made in the relevant continuous improvement register, and documents, systems and resources modified accordingly.

The internal audit schedule provides a guide and timeline to all stakeholders. The forum for the collated data, recommendations and identified opportunities for improvement will be communicated to Corrsafe staff is during the monthly management meetings.

### **Independent Audit**

As well as the scheduled internal audit process, (where practical) Corrsafe Enterprises will appoint an independent auditor to conduct an audit of all the RTO's operations at least annually. CORRSAFE's CEO is responsible for ensuring the audit conducted by the independent auditor is planned and that the identified opportunities for improvement are actioned.

Corrsafe Enterprises currently utilises TBS Consulting to provide independent audit support.

### **Monthly Management Meetings**

These meetings will be held to assess and implement strategies that ensure an ongoing advancement of best practice. The meetings will monitor the progress of these strategies through discussion of effectiveness, opportunity for improvement and confirmation of implementation outcomes.

Ensuring thorough consultation across the management team is undertaken prior to following through with any recommended changes to current strategies. The regular and ongoing collection of feedback data from stakeholders and students is collated, reviewed and actioned during these meetings.

Business arising from the internal audit is included as a regular agenda item at monthly management meetings. The management team, trainers and assessors utilise this data to develop and implement



continuous improvement strategies. Possible actions may include but are not limited to improved training services, enhanced client services and more efficient business operations.

Collection, analysis and action of feedback is coordinated by the CEO. All stakeholders are encouraged to offer suggestions for the improvement of best practice methods within Corrsafe Enterprises.

If a stakeholder who recognises an improvement opportunity is unable to attend the management meeting, a nominated proxy may make the presentation on the stakeholder's behalf.

### **Management Team**

Senior team members and/or managers of Corrsafe will be invited to join the management team. The intent of the management team is to manage and maintain all processes that support continuous quality improvement.

This will typically be facilitated via the monthly management meetings. Where appropriate, people with specialised knowledge may be invited to join the management team at one or more monthly management meetings.

These people may include:

- Trainers and assessors from a specific subject area.
- Employers/clients who may offer industry expertise to the management team.
- Relevant industry sector representatives.
- Skills councils representatives.

The role of the management team will also extend to:

- Industry consultation in relation to strategies for training and assessment.
- Validation of assessment.
  - Compare and evaluate the assessment processes.
- Compare and evaluate assessment tools and assessment data for the relevant qualifications, units of competency or accredited course(s) offered by Corrsafe Enterprises Develop and evaluate strategies that may lead to improved training services, enhanced client services and more efficient business operations.

Examples of how improvements to training and assessment could be demonstrated include, but are not limited to:

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

The management team (under the guidance of the CEO) is also responsible for implementing an accurate transition from expiring training packages and/or accredited courses to new or revised training packages and/or accredited courses, ensuring accordance with ASQA's transition requirements.

Recommendations to the management team and CEO will be made in writing and will include a schedule or timeline for their implementation.

### [Internal Audit Schedule](#)

## **Case Study 8: INTERNAL COMPLIANCE MONITORING MAKES GOOD BUSINESS SENSE**

## **Certification Of Qualifications**

### **Standard 3**

A qualification is defined as formal certification, issued by a relevant approved body, in recognition that a person has achieved learning outcomes or competencies relevant to identified individual, professional, industry or community needs.

Qualifications are awarded for the achievement of competencies. Competency refers to the possession and application of both knowledge and skills to defined standards, expressed as outcomes that correspond to relevant workplace requirements and other vocational needs.

A Statement of Attainment is issued when an individual has completed one (1) or more units of competency from nationally recognised qualification(s)/course(s).

## **2.10 Issuance Policy**

### **Clauses 3.1, 3.2**

Corrsafe Enterprises recognises that both students and employers must have confidence in the integrity, currency and value of the certification documents it issues. To ensure that Corrsafe Enterprises is able to issue compliant certificates of qualifications and statements of attainment to clients as appropriate and within a reasonable time frame after they have been assessed as competent, Corrsafe Enterprises has a clearly defined process which ensures that all AQF Certification Documentation issued by Corrsafe Enterprises meets the requirements of Schedule 5 of the Standards for RTOs which describe the application of the AQF Qualifications Issuance Policy within the VET sector.

### **2.10.1 Issuing qualifications and statements of attainment**

#### **Clauses 3.1, 3.2, 3.3**

Corrsafe Enterprises will issue qualifications, academic records and statements of attainment in accordance with the AQF within ten (10) days of program completion, recognising that up to 30 days is allowable. The design and presentation of all testamurs will meet the requirements of Schedule 5. A diagrammatic representation of the testamur design may be referred to: [Sample Testamur](#)

Corrsafe Enterprises will only issue AQF qualifications, academic transcripts and statements of attainment within its scope of registration that certify the achievement of qualifications or industry/enterprise competency standards from nationally endorsed training packages or qualifications, competency standards or selected units of competency from accredited VET programs.

Where the language used to deliver the training and assessment for the qualification or statement of attainment is other than English, that language is noted on the qualification or statement of attainment.

### **Student Identifier**

In accordance with Schedule 5 Corrsafe Enterprises will not include the student's Student Identifier on the testamur or statement of attainment consistent with the [Student identifier Act 2014](#).

## **2.10.2 Recording and reporting qualifications and statements of attainment**

### **Clause 3.4**

Records of student AQF certification documentation is maintained by Corrsafe Enterprises in accordance with the requirements of Schedule 5 and are accessible to current and past students. A record of qualifications and statements of attainment issued is maintained within the Corrsafe computer data management system.

These records will be maintained for a period of 30 years. In addition, registers will be kept relating to qualifications Corrsafe Enterprises is authorised to issue. Reports of records of qualifications issued will be provided to ASQA by Corrsafe Enterprises as required.

### **Certificate Templates**

## **2.10.3 Re-Issue Of Certificates**

The requirement to provide past and present students with re-issued qualifications and statements of attainment when required is based on the following considerations:

- Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued.
- The request must be in writing and the applicant must provide appropriate identification.
- A fee will apply as specified in the schedule of fees and charges.
- The certificate will be noted as a re-issue with the current date.
- The re-issued certificate will comply with current AQF requirements.
- A scanned copy will be retained on the student's file and the original will be provided to client, and if required by mail, will be sent by registered mail.

## 2.11 Integrity and security of testamurs

### [Clause 3.2](#)

As a mechanism to address the potential for fraudulent duplication and/or use of testamurs issued by Corrsafe Enterprises, the CEO will research and conduct a feasibility project to determine the most suitable means of protection, based on the size and scope of the RTO.

Security and integrity measures may include, but are not limited to:

- Sequential numbering of each of the testamur documents/templates.
- Unique logo.
- An embossed seal or logo in the paper or mark that replicate this.
- Border and/or unique logo and/or mark in foil.
- Printing on corporate paper making photocopied versions obvious.
- Unique logo as a watermark.
- Unique logo or mark that will only appear when photocopied.

### 2.11.1 Use Of National And State Logos

The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to AQF certification documentation. The NRT Logo is a registered trademark.

Corrsafe Enterprises will use the nationally recognised training logo in accordance with the nationally recognised training logo specifications on all AQF qualifications and statements of attainment issued within Corrsafe Enterprises' scope of registration.

Where the nationally recognised training logo is used in advertising or other materials, it is also used in accordance with specifications.

**Schedule 4** describes a range of situations and conditions for using the NRT Logo.

#### [Nationally Recognised Training Logo Specifications](#)

## 2.12 Recognise Qualifications Of Another RTO

### [Clause 3.5](#)

Corrsafe Enterprises will recognise all AQF qualifications and statements of attainment issued by any other RTO. If any ambiguity is detected when validating a student's certification, «RTO\_Abbr» will seek verification from the relevant RTO before recognising the qualification or statement of attainment.

## 2.12.1 Procedure for recognition of qualifications

Students enrolling with Corrsafe Enterprises will be made aware of the recognition of qualifications policy by Corrsafe staff at the time of enrolment to offer the opportunity of recognition of relevant qualifications or statements of attainment prior to the commencement of training.

Corrsafe trainers will remind students of the policy progressively throughout the duration of their course. When a student presents an AQF qualification or statement of attainment to a trainer or staff member, a copy of the certificates will be taken and submitted to Corrsafe Enterprises for verification.

Corrsafe Enterprises will verify the authenticity of the qualification or statement of attainment. The verified copy of the qualification or statement of attainment is placed in the student's file. Once verification of the qualification or statement of attainment has been established, Corrsafe staff will inform the student and offer exemption from the relevant unit(s) of competency.

Staff will ensure the student is aware of and understands what component(s) of their training and assessment are affected. Corrsafe staff will update the student's records accordingly.

## 2.12.2 Credit Transfer

Credit transfer refers to the transferral of academic credit previously obtained by students through participation in courses or national training package qualifications with other RTOs, towards a qualification offered by Corrsafe Enterprises. Credit transfer is granted on the basis that the credit validates the student's competency within the relevant qualification/unit of competence.

Credit transfer of a qualification/unit of competence is available to all students enrolling in any training program offered by Corrsafe Enterprises to assist them in meeting the requirements of that qualification.

### **Credit Transfer Requirements**

- Students may apply for Credit Transfer at any time but are encouraged to apply before commencing a training program.
- Students applying for credit transfer must complete a Credit Transfer Application Form and provide a certified copy of the qualification or statement of attainment.
- Credit Transfer may only be awarded for whole units of competency. Where a partial credit is identified the applicant will be advised to seek RPL.
- The student does not incur any fees for Credit Transfer.
- Credit Transfer arrangement is not contingent on the applicant demonstrating their currency. If the unit has been previously awarded and equivalence can be demonstrated, then the unit can be recognised.
- Students may not apply for Credit Transfer for units of competency or qualification which are not included in Corrsafe Enterprises' scope of registration.

It is important to note that Credit Transfer is not recognition of prior learning (RPL). RPL is assessment and is addressed at 2.6.7 in the Assessment section of this Framework.

# PART 3: Obligations To Students & Clients

## Information For Students & Clients

### Standard 4

Corrsafe Enterprises will facilitate informed decision making by clients, and potential clients, by providing accurate, accessible and transparent information about its training and assessment and all related services.

Corrsafe Enterprises will adhere to all relevant consumer protection law and will honour all commitments it makes. Information provided is always clear and factual in whatever means this is presented including via the website, written material verbal advice.

Corrsafe Enterprises will ensure it takes full responsibility for all marketing and other material disseminated on its behalf regardless of the method including by a third party.

## 3.1 Information & Marketing

### Clause 4.1

Corrsafe Enterprises has a comprehensive strategy for accuracy and integrity of marketing and can demonstrate that its proposed marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. Corrsafe Enterprises will use the NRT logo only in accordance with its conditions of use as specified in Schedule 4 and all information will include Corrsafe Enterprises' own RTO code.

Corrsafe Enterprises' CEO is responsible for approval of all advertising and marketing materials that make reference to nationally recognised vocational education and training (VET). In consideration of advertising and marketing, Corrsafe will clearly distinguish between VET qualifications or units of competency and non-accredited or non-nationally recognised training offered by Corrsafe and not integrate these in any way.

Corrsafe Enterprises will give particular consideration throughout the advertising and marketing procedure to ensure accurate implementation of the following requirements:

- When working in conjunction with another RTO that is providing a training program on its behalf, the RTO registered to provide that training will be clearly identified in all advertising material.
- Any training programs offered by Corrsafe Enterprises that include VET qualifications or units of competency, clearly identify which components are VET qualifications or units of competency and the nationally recognised training logo is included clearly in the advertising material.
- Any VET qualifications advertised by Corrsafe Enterprises are within the Corrsafe Enterprises' scope of registration.

- When Corrsafe Enterprises is seeking registration for VET qualifications, any advertising material for the qualification will include a disclaimer which clearly states that the course is subject to registration and may only proceed once registration has been approved.
- VET qualifications that require particular trainers, resources and/or equipment for correct implementation that may be subject to availability at time of commencement, will state the relevant conditions as a disclaimer in the advertising material.
- Conditions may vary as per the nature of the training program, examples include:
  - Where access to required resources is not available, Corrsafe will attempt to provide alternate opportunities for students to complete the qualification.
  - Corrsafe Enterprises reserves the right to cancel the course if unable to source required equipment.
  - Corrsafe Enterprises reserves the right to postpone a course if the required trainer is unavailable at time of commencement.
- Where relevant, Corrsafe Enterprises will detail government funding opportunities or other subsidy or financial support arrangements so the student can make an informed decision.
- Where Corrsafe Enterprises has qualifications on its scope of registration, the core units of competency and the listed (named) elective units of competency may be offered and delivered as standalone units of competency. Whilst these units of competency are not individually listed on the Corrsafe Enterprises scope of registration, they are approved by ASQA for delivery as standalone units and Corrsafe Enterprises does not need to seek approval for the delivery of these units of competency.
- Informing students of their rights and obligations. It is a mandated requirement within the Standards for Registered Training Organisations for Corrsafe Enterprises to inform students prior to their enrolment about their rights and obligations, about the services to be provided and about the payment of fees, other charges and refund arrangements. Whilst this requirement relates to the marketing and advertising of training, it is addressed in policy arrangements detail within the Enrolment Policy provided within this policy manual.
- Corrsafe Enterprises does not guarantee that a student will obtain a qualification or statement of attainment by studying at Corrsafe Enterprises or that the student is able to complete the training product where standards relating to the amount of training are breached.

### **Case Study 9: MONITORING THE MARKET**

## **3.2 Unique Student Identifier**

The [Unique Student Identifier \(USI\)](#) scheme, enabled by the Student Identifiers Act 2014, allows students 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 student with a USI. The USI scheme will provide a national online authenticated record of student's training attainment and will serve as a building block for a range of vocational education and training reforms.

Over time, the ability of students to access and share their training records will make enrolment processes more efficient for training providers and students. Training providers will have access to an online information source to manage student transfers between training providers, and the assessment of credit transfer and pre-requisites.

Corrsafe Enterprises will only issue a qualification or statement of attainment to a student after the student has provided a verified USI or Corrsafe applies for a USI on behalf of the student. To avoid any delays in issuing certification documentation Corrsafe will ensure that student's USIs are applied for or verified USI at the time of enrolment.

Corrsafe Enterprises will protect the security of all information related to USIs. Security measures are in place to protect both digital and hard-copy records from loss, damage or unauthorised access. Corrsafe stores paper-based records in locked cabinets.

Digital records are backed up on a Cloud system. All AQF certification documentation issued by Corrsafe is kept for 30 years. Where a qualification or statement of attainment is recorded in the USI scheme, Corrsafe does not retain additional records to demonstrate this because the required records will exist within the USI scheme.

When reporting data about the training, each record of nationally recognised training that is provided to the national centre for vocational education research (NCVER) national VET provider collection will have a USI attached.

The USI will be used to draw down on this data collection in real time. From mid-2016 students will be able to draw down a record of their VET achievements from 1 January 2015 from one place. They can view this online, or they can use the data to develop a transcript that they can attach to a job application, for example.

The USI will be increasingly useful for Corrsafe Enterprises when as the data builds, Corrsafe Enterprises (with the student's permission) will be able to draw down information about that student's previous VET attainments throughout Australia.

This will assist with assessing student's admission to courses, for credit transfer and in some circumstances, their eligibility for funding. Corrsafe Enterprises expects that aspects of the implementation of the USI system will streamline access to and exchange of student records benefiting all stakeholders.

More information is available from the [Department of Industry's website](#) where a comprehensive [video](#) outlines the USI scheme for Corrsafe Enterprises staff.

### 3.3 Reporting

The Data Provision Requirements that form part of the VET Quality Framework are a separate legislative instrument under the National Vocational Education and Training Regulator Act 2011. The data required relates to registration and performance information, including quality indicator data and information derived from the Australian Vocational Education and Training Management of Information Statistical Standard (AVETMISS).



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

Broadly speaking, it provides answers to the following questions about students in the VET system:

- Who they are – basic demographics like age, sex, indigenous and disability information, geographic location.
- Where they study – type of provider (for example, government or private), location of training delivery.
- What they study – enrolments in units of competency, as part of a qualification, the result obtained for the unit (outcome), how it was studied (for example, classroom, workplace or online) and how it was funded.

The Standards for RTOs 2015 now require all RTOs to collect and report AVETMISS data.

Corrsafe Enterprises must:

- Obtain full AVETMISS data to the requirements, and subject to any applicable exemption, provided under the National VET Provider Collection Data Requirements Policy.
- Submit data compliant with AVETMISS, and subject to any applicable exemption, provided under the National VET Provider Collection Data Requirements Policy.
- Comply with any other data provision requirements set out by the National VET Provider Collection Data Requirements.

Corrsafe Enterprises will submit AVETMISS compliant data on all nationally recognised training where Corrsafe Enterprises is responsible for issuing the statement of attainment or qualification in accordance with [ASQA's Total VET activity reporting](#) requirements.

The data collection period is across 12 months of the calendar year with the report submitted to the [National Centre for Vocational Education Research](#) (NCVER) during February of the following year.

## Students Are Informed & Protected

### Standard 5

Corrsafe Enterprises is committed to delivering high quality services that support students throughout their training and assessment. This commitment is based on a client focused operation that produces the best possible outcome for students.

Corrsafe Enterprises will ensure students are informed of the services they are to receive, their rights and obligations, and the responsibilities of the RTO. Students who undertake training with Corrsafe Enterprises receive every opportunity to successfully complete their chosen training program.

Corrsafe Enterprises will provide students with information prior to commencement of services including any subcontracting arrangements affecting the delivery of training and/or assessment.

## 3.4 Student Advice

### Clause 5.1

Corrsafe takes a systematic approach to recognise the needs of each client. It is a requirement that all staff members do their utmost to meet the needs of students. Where a student's need is outside the scope or skill of the organisation, they will be referred to an appropriate service or an alternate training organisation.

Corrsafe Enterprises delivers specialised training and assessment services<sup>2</sup>. As such, it is vital that all students are informed of and understand the extent of the training course that they are enrolling in. Corrsafe Enterprises has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.

#### **In Summary, Corrsafe Enterprises Will Provide:**

- Training programs and services that promote inclusion and are free from discrimination.
- Support services, training, assessment and training materials to meet the needs of a variety of individual students.
- Consideration of each individual's needs to provide the best opportunity for skill development and attainment of qualifications that can lead to further training or employment.
- Opportunity for consultation between staff and students so that all aspects of individual circumstances can be taken into consideration when planning training programs.
- Consideration of the views of students' community, government agencies and organisations, and industry when planning training programs
- Access to information and course materials in a readily available, easily understood format.
- Information to assist students in planning their pathway from school or the community to vocational education and training.

While Corrsafe Enterprises guarantees that all students will receive the full training services paid for, it does not guarantee a student will successfully complete the course in which they are enrolled or that the student will obtain a particular employment outcome outside the control of Corrsafe Enterprises

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<sup>2</sup> Services include:

- (a) Pre-enrolment materials;
- (b) Study support and study skills programs;
- (c) Language, Literacy and Numeracy (LLN) programs or referrals to these programs;
- (d) Equipment, resources and/or programs to increase access for students with disabilities;
- (e) Learning resource centres;
- (f) Mediation services or referrals to these services;
- (g) Flexible scheduling and delivery of training and assessment;
- (h) Counselling services or referrals to these services;
- (i) Information technology (IT) support;
- (j) Learning materials in alternative formats, for example, in large print; and
- (k) Learning and assessment programs customised to the workplace.

## 3.5 Student Information Policy

### Clauses 5.2, 5.4

Corrsafe Enterprises will provide all relevant information and directions to each student prior to enrolment as part of the student induction to enable the student to make informed decisions about undertaking training with Corrsafe Enterprises.

This information will be clear and readily available in print or referral to an electronic copy. This will include details required to source the Corrsafe Enterprises student handbook, available as PDF document on Corrsafe website: [www.corrsafe.com.au](http://www.corrsafe.com.au).

Corrsafe Enterprises will provide the following information specific to each student:

- The code, title and currency of the AQF qualification, skill set or VET course to which the student is to be enrolled, as published on the National Register the services the RTO will provide to the student including the:
  - Estimated duration of the services.
  - Expected locations at which the services will be provided.
  - Expected modes of delivery.
  - Name and contact details of any subcontractor which will provide training and assessment to the student.
- The student's obligations including any requirements that Corrsafe Enterprises requires the student to meet to enter and successfully complete their chosen AQF qualification, skill set or VET course.
- Any materials and equipment that the student must provide, the educational and support services available to the student.

Where there are any changes to agreed services, Corrsafe Enterprises will advise the student in writing and with a follow-up telephone call as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third party arrangements.

### 3.5.1 Student Handbook

The Corrsafe Enterprises student handbook will include its obligations to the student, including that the Corrsafe Enterprises.

- Is responsible for the quality of the training and assessment and for the issuance of the AQF certification documentation.
- Will advise the student in advance of any changes to the services, including new subcontracting arrangements or a change to existing subcontracting arrangements.

The student handbook will also identify the student's rights, including details of the Corrsafe Enterprises' complaints and appeals process and that the student is informed if Corrsafe Enterprises, or a subcontractor of the RTO, closes or ceases to deliver a unit or units that the student is enrolled in.

The Student Handbook articulates the requirements for participation in training and processes for engaging with Corrsafe Enterprises While it serves as a valuable source of information for students

Corrsafe Enterprises staff will always make themselves available to answer any questions or address any concerns raised by students.

The format of the Corrsafe Enterprises student handbook is as follows:

### **Organisational Framework**

- Corrsafe Enterprises Organisational Structure.
- Regulatory Framework.
- Overview.
- Corrsafe Enterprises Courses.
- What courses can I study with Corrsafe Enterprises?
- What qualification will I receive?
- How is training delivered?
- What are the prerequisites?
- How do I enrol?
- Our trainers.
- Our approach.
- Training Guarantee.

### **Student Services & Support**

- Client focus.
- Student advice.
- Student information policy.
- Student Selection and Enrolment Procedure.
- Student support.
- Access and Equity.
- Language, Literacy and Numeracy Assistance.

### **Fee Information**

- Fees and charges.
- Fee structure.
- Methods of payment.
- Refunds.
- Protecting fees.

### **Training & Assessment**

- Principles of Training and Assessment.
- Assessment Policy.
- Connecting Training and Assessment with the Workplace.
- Apprenticeships and traineeships.

### **Recognising Qualifications & Prior Learning**

- Unique Student Identifier.
- Recognising Qualifications from another RTO.
- Credit Transfer.
- Recognition of Prior Learning.

## Records

- Record keeping procedures.
- AVETMISS Reporting.
- Access to Records.

## Complaints & Appeals

- Complaints.
- Appeals.
- Complaints/Appeals Procedure.

## Legislative Requirements

- Complying with Legislation.
- Work, Health and Safety Policy.
- Harassment and Discrimination Policy.
- Working with Persons Under 18 Years of Age.
- Consumer Rights.
- Privacy Principles.
- Copyright.
- Vocational Education and Training Regulations.

## Acknowledgement Declaration

[Student Handbook](#)

## **3.5.2 Student Selection & Enrolment Procedure**

[Clauses 5.3, 5.4](#)

### **Student selection**

Enrolment and admission into some Corrsafe Enterprises training programs is subject to meeting certain prerequisite conditions and/or entry requirements. Specific details of the prerequisites pertaining to these training programs are contained in individual course documentation and are made available prior to enrolment.

In the case that a potential student does not meet the prerequisite conditions and/or entry requirements, Corrsafe staff will endeavour to assist them in understanding their options in regards to meeting the standards. Any questions regarding these arrangements can be addressed by trainers or Corrsafe management.

### **Enrolment**

The enrolment procedure commences when a student contacts Corrsafe Enterprises expressing interest in a training program(s). Corrsafe staff will respond by dispatching by suitable means; an enrolment form, student handbook, literature on the program(s) being considered and any other documentation which may be relevant.

Enrolment applications will then be assessed to ensure that the student meets any prerequisites and/or entry requirements that have been set for the selected course. Students will be informed of successful enrolment and sent information on the course and their course induction.

Students who do not meet the prerequisites for the selected course will be notified of their unsuccessful enrolment and invited to contact Corrsafe Enterprises to discuss their training needs and alternative opportunities.

## [Enrolment Form](#)

### **Pre-Course Enrolment Questions**

A pre-course evaluation of each student is conducted. Questions are designed to identify the student's needs, so Corrsafe staff members can evaluate any requirements the student may have to improve his/her learning experience and outcome.

These questions are integrated within the enrolment form. The designated Corrsafe staff member will receive and assess each student's pre-course evaluation questionnaire. Based on the information in the checklist, the enrolment form, interview, induction and any other relevant correspondence and conversation, Corrsafe staff and management may offer additional support.

Examples of the support services may include:

- Study support and study skills programs.
- Language, literacy and numeracy (LL&N) programs or referrals to appropriate programs.
- Equipment, resources and/or programs to increase access for students with disabilities.
- Learning resource centres.
- Mediation services or referral to appropriate services.
- Flexible scheduling and delivery of training and assessment.
- Counselling services or referral to appropriate services.
- Information technology support.
- Learning materials in alternative formats i.e., large print.
- Learning and assessment programs customised to the workplace.

## [Pre-Enrolment Questions](#)

### **Pre-Course Letter**

As an additional support to enrolling students, Corrsafe Enterprises will send a pre-course letter to the student prior to the commencement of training. Information includes the time, date and location of training, the resources the student should bring to the course and overview of the units of competency to be studied and the format/style of training (online, face to face, blended, for example) to be provided.

## [Pre-Course Letter Template](#)

[Case study 10](#): **READ BEFORE CLICKING**

[Case study 11](#): **READ BEFORE SIGNING**

## **Induction**

On successful completion of the enrolment process, all students will undergo an induction program which will cover:

- Introduction to Corrsafe staff and resources available to assist your training.
- Orientation to facilities and resources.
- Confirmation of the units of competency in the course and qualification to be issued.
- How training will be conducted and the method, format and purpose of assessment.
- Learning and assessment resources to be provided.
- Outline of traineeship/apprenticeship requirements, if you are undertaking the study as part of a traineeship/apprenticeship.
- Overview of the support services offered by CE, especially for those students who might require additional language, literacy or numeracy support.
- Explanation of the Appeals and Complaints procedures.
- Career and AQF pathways available to students.

## **3.6 Fee Information**

### **Clauses 5.3, 5.4, 7.3**

Corrsafe Enterprises operates predominately as a 'fee for service' training business. This means all training programs attract fees. All fees will be paid at or prior to the commencement of training unless prior arrangements are made with Corrsafe management.

Corrsafe Enterprises will not collect more than \$1500 in advance. Where less than \$1,500 is collected prior to the commencement of training or where the total course fee is less than \$1,500, a fee protection process is not required.

These fees are paid by/charged to the student, a government agency or the student's employer. If, at some time in the future Corrsafe Enterprises collects more than \$1500 in advance Corrsafe will observe the requirements of Schedule 6 of the Standards for RTOs 2015.

This schedule outlines requirements for protecting fees prepaid by individual students or prospective students for services. One of the requirements of Schedule 6 requires the RTO to be a member of a recognised Tuition Assurance Scheme.

At this time Corrsafe Enterprises is not a member of a Tuition Assurance Scheme. If, at some time in the future Corrsafe Enterprises is required to become a member of a Tuition Assurance Scheme it will join the scheme managed by the [Australian Council for Private Education and Training](#) (ACPET).

Fee information is available via:

- Corrsafe website.
- Corrsafe program brochures.
- Corrsafe promotional material.
- Direct email from Corrsafe.

Each of these information streams clearly identifies all fees and charges, including optional charges such as Recognition of Prior Learning (RPL) fees, and will be updated regularly so that both Corrsafe Enterprises and our clients will be protected.

Corrsafe Enterprises will provide the following fee information, to each student:

- a) The total amount of all fees including course fees, administration fees, materials fees and any other charges.
- b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee.
- c) The nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course.
- d) The fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment.
- e) The RTO's refund policy.

### **3.6.1 Fee Structure**

#### **Total Course Fee**

Each qualification, unit of competency or accredited course offered by Corrsafe Enterprises has a specific course fee. The course fee is the maximum fee that may be charged to the student for his/her selected training program.

It is Corrsafe Enterprises' policy that the course fee will be *all-inclusive*. Students will not be 'surprised' by unexpected requirements, fees or expenses. Where additional resources normally associated with a program of study are required (for example; reference material, research documents, own computer) the student will be clearly advised of exactly what is required in the student study guide for that program.

Program fees are:

• CPCCLDG3001 License to perform dogging	\$1700
• CPCWHS1001 Prepare to work safely in the construction industry	\$200
• RIICOM201E Communicate in the workplace	\$300
• RIIERR205D Apply initial response First Aid	\$300
• RIIERR302E Respond to local emergencies and incidents	\$300
• RIIGOV201E Comply with site work processes/procedures	\$300
• RIIHAN203E Conducting lifting operations	\$400
• RIIHAN305D Operate a gantry or overhead crane	\$600
• RIIHAN309F Conduct telescopic materials handler operations	\$700
• RIIRIS201E Conduct local risk control	\$300
• RIISS00034 Surface Coal Mine Safety Skill Set	\$700
• RIIWHS201E Work safely and follow WHS policies and procedures	\$300
• RIIWHS202E Enter and work in confined spaces	\$300
• RIIWHS204E Work safely at heights	\$300
• TLILIC0024 Licence to operate a vehicle loading crane	\$750
• TLILIC0003 Licence to operate a forklift truck	\$750
• TLILIC0005 Licence to operate a boom-type elevating work platform	\$750
• TLILIC0040 Licence to operate a non-slewing mobile crane	\$1700



### **Payment Required In Advance**

A deposit of 100 of the total course fees is required from each student.

### **Enrolment Fee**

No enrolment fee is applicable.

### **Withdrawal Fee**

No withdrawal fee is applicable.

### **Re-Submit See**

No re-submit fee applies.

### **Re-Assessment Fee**

Re-assessment fees apply to all High-Risk Work Licence Re-assessments \$300.

### **Produce Partial Completion Statement Of Attainment**

No fee applies to produce a statement of attainment when the student has partially completed the training program and must withdraw.

### **Re-Print Certification**

Where the student requests a new copy of his or her certification, the following fees apply:

- Statement Of Attainment \$ 50.00 + GST.
- Qualification, with academic transcript, \$ 50.00 + GST.

Details of Corrsafe Enterprises' fee structure are included in the Corrsafe student handbook.

## **3.6.2 Receiving Payments**

### **Fees Paid In Advance**

A deposit of 10% of the total course fee is required from each student at enrolment. The deposit will be made into Corrsafe Enterprises' No 2 account and transferred to the No 1 account (operating account) at the commencement of training.

Accounting software packages allow flexibility when recording transactions, the No 1 account and No 2 account referred to in this section may be different 'streams' within the Corrsafe Enterprises accounting system.

This measure has been adopted because modern banking organisations impose fees, charges, etc. for account transactions that will affect the integrity of fees paid in advance. Banking systems are such that it is not normally operationally practical to physically transfer funds from one bank account to another.

This process is designed to protect and safeguard the student's fees and to ensure the student is not disadvantaged.

### **3.6.3 Methods Of Payment**

#### **Cash Payment**

On receipt of cash payment, a receipt will be written and issued. The receipt will include, but is not limited to; the amount paid, the date of receipt and the purpose of receipt generation. This payment is then to be entered into deposit books for the No 1 account (operating account) and the cash banked immediately.

In the event of a payment being made prior to the commencement of the course, the deposit register is used to record the payment and a receipt written and issued. This payment is then to be entered into deposit books for the No 2 account (deposits account) and the cash banked immediately.

#### **Cheque Or Money Order**

On receipt of a cheque or money order, a receipt will be written and issued. The receipt will include, but is not limited to the amount, the date of receipt and the purpose of receipt generation. The person writing the receipt should include the word; 'cheque' or 'money order' as applicable on the receipt.

In the event of a payment being made prior to the commencement of the course, the deposit register is used to record the payment and a receipt written and issued. This payment is then to be entered into deposit books for the No 2 account (deposits account) and banked immediately.

#### **EFTPOS Payment**

Only the Corrsafe staff who have received training in operating the EFTPOS facility/terminal will be authorised to use the facility/terminal. EFTPOS options allow the customer to use their savings, cheque or credit accounts.

On receipt of EFTPOS payment, a receipt will be written and issued. The receipt will include, but is not limited to the amount, the date of receipt and the purpose of receipt generation. The customer will also be provided with a copy of the EFTPOS receipt.

The EFTPOS facility directs payment to the No 2 account (deposit account) only. Where the payment is made at the commencement of the course, arrangements should be made to transfer the amount into the No 1 account (operating account).

In the event of a payment being made prior to the commencement of the course, the deposit register is used to record the payment and a receipt written and issued. This payment is then to be entered into deposit books for the No 2 account (deposits account).

The merchant copy of the EFTPOS receipt will be recorded in the EFTPOS register and the receipt placed in the EFTPOS register along with payment details for future reconciliation.

#### **Payments For Invoices**

Invoice payments will normally be received via Australia Post or by electronic transfer. Remittance advices received notifying of electronic funds transfer should be verified before assuming that the payment has been received.

Once received, all payments and associated details are to be reconciled. Corrsafe Enterprises will utilise appropriate accounting software.

### [Case Study 12: CONSISTENCY BRINGS SIMPLICITY](#)

## **3.6.4 Refunds**

### **Clause 5.3 (c)**

Corrsafe Enterprises will protect fees paid in advance and has a fair and reasonable refund policy. Information provided prior to enrolment or the commencement of training and assessment, whichever comes first, specifies the student's rights as a consumer, including but not limited to any statutory cooling-off period (where applicable) and the student's right to obtain a refund for services not provided by the Corrsafe Enterprises in the event the:

- Arrangement is terminated early.
- Corrsafe Enterprises fails to provide the agreed services.

An application for a refund is addressed according to the amount of notice given by the person making the request:

- 14 days prior to the commencement of the course – 100% refund.
- Between 13 days and 7 days prior to the course - 75% refund.
- Between 6 days and the commencement of the course – 50% refund.
- Withdrawal during the course – no refund. A pro-rata credit is available so the student can complete the course at a later date.

All fees paid in advance are separated from the operations of the business. This is achieved by maintaining a No 2 account (deposits account) to ensure sufficient funds are always available for refund.

The No 2 account is represented in Corrsafe Enterprises' accounting system as a separate repository for funds paid in advance and cannot be accessed until the respective students commence training.

### [Refund Request Form](#)

## **3.6.5 Training Guarantee**

It is the intention of the CEO of Corrsafe Enterprises that all students will receive the full training services paid for at all times, including but not limited to training and assessment, assessment only, recognition of prior learning or short courses.

The corporate structure, governance and financial management systems and processes guarantee the training for students enrolled with Corrsafe Enterprises. Specifically, the integrity, business experience and training expertise of the CEO ensure continuity of training and completion of training is guaranteed for all students.

The continuous improvement and quality management practices employed by Corrsafe Enterprises CEO and staff are designed to proactively identify any anomaly that might cause a business interruption or training failure, and address this situation before any students are affected.

#### **Protecting Fees Prepaid By Individual Students**

Student's training is further protected by Corrsafe Enterprises' financial management policy and procedure. Fees paid in advance are not transferred to the operating account until training commences.

Furthermore, should an interruption occur while a student is enrolled in a training program, the student will be advised of any changes in writing and given time to respond. The student will be given the opportunity to respond, agree or offer input.

#### **Protecting Students That Do Not Prepay In Advance**

Where fees are not collected in advance from individual students i.e., invoice in arrears, Corrsafe Enterprises will send each client/student an invoice after training is completed.

#### **Protecting Students Where Course Fees Are Less Than \$1500**

The corporate structure, governance and financial management systems and processes guarantee the training for students enrolled with Corrsafe Enterprises Specifically, the integrity, business experience and training expertise of the CEO ensure continuity of training and completion of training is guaranteed for all students.

Student's training is further protected by Corrsafe Enterprises' financial management policy and procedure. Fees paid in advance are not transferred to the operating account until training commences.

#### **Third Party Training**

Where applicable, Corrsafe Enterprises' Training Guarantee extends to training partners and training conducted by a third party on behalf of the RTO. At this time, Corrsafe Enterprises does not engage third parties.

[Case study 13: FEE PROTECTION MADE SIMPLE](#)

## **Complaints & Appeals**

### **Standard 6**

Corrsafe Enterprises strives to ensure that each student is satisfied with their learning experience and outcome. It is anticipated that issues of concern can be resolved by meaningful and respectful communication that is encouraged by Corrsafe Enterprises In the unlikely event that this is not the case, all students have access to rigorous, fair and timely complaint and appeal processes which are outlined in this section of the policy and procedures document

Corrsafe Enterprises has a defined and transparent complaints and appeals process based on the principles of natural justice and fairness that will ensure student's complaints and appeals are addressed effectively and efficiently.

Corrsafe Enterprises' complaints and appeals policy ensures students and clients understand their rights and the responsibilities of the RTO. Any complaints or appeals will be reviewed as part of the continuous improvement process and where corrective action has been highlighted, it will be implemented as a priority.

This approach ensures that outcome of the complaints process provides a positive and constructive contribution to the operations of Corrsafe Enterprises

## 3.7 Complaints Policy

### Clause 6.1

A complaints procedure is available to all persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of Corrsafe Enterprises. The complaints procedure will address both formal and informal complaints. All formal complaints must be submitted in writing to Corrsafe management.

Receipt of the complaint will be acknowledged as soon as is practical. The complaint will then be heard and addressed, including a response to the aggrieved person, within five (5) working days of receipt.

Corrsafe Enterprises management will maintain a complaints register to document the course of action and resolution of all formal complaints. All complaints substantiated by the complaint's procedure will be reviewed as part of Corrsafe Enterprises' continuous improvement procedure.

It is the responsibility of Corrsafe management to ensure adherence to the complaint procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting students with the complaints procedure and providing access to complaint forms.

A student may lodge a complaint regarding the RTO; Third Party; Subcontractor; another student or Trainer. There is also provision for any and all interested stakeholders to make a complaint if they feel aggrieved. For example, a Trainer may lodge a complaint against a student.

[Complaints Form](#)  
[Complaints Register](#)

## 3.8 Appeals Policy

### [Clause 6.2](#)

The Corrsafe Enterprises appeals process is concerned with a student's right to request a change to decisions or processes of an official nature, usually in relation to academic or procedural matters. In the case of a student's appeal against specific assessment decisions, the student should first discuss the decision(s) with the relevant trainer or assessor and request re-evaluation.

The trainer or assessor will hear the student's appeal, make fair judgement to the best of their ability as to whether change(s) are required and then discuss their final decision with the student. If the student is still dissatisfied with the trainer or assessor's decision, they have the right to take the appeal to the management team.

The formal notice of appeal is required to comply with the following principles upon submission to management:

- The notice of appeal should be in writing and the appeals form completed and addressed to Corrsafe Enterprises for referral to the management team.
- The notice of appeal must be submitted within five (5) days of notification of the outcome of the trainer or assessor's re-evaluation process.
- If the appeal is not submitted within the specified timeframe the original result will stand. If a student's appeal needs to be deferred due to emergency circumstances, such as in the case of serious illness or injury, a medical certificate supporting the case must be forwarded to management. The notice of deferral must be submitted within three (3) working days of the conclusion date displayed on the medical certificate.

It is the responsibility of Corrsafe management to ensure adherence to the appeal procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting students with the appeal procedure and access to appeal forms.

All appeals will be reviewed at the monthly management meeting and, if appropriate, outcomes will be incorporated into a continuous improvement process.

[Appeals Form](#)  
[Appeals Register](#)

## 3.9 Complaints/Appeals Procedure

### [Clause 6.3](#)

All persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of Corrsafe Enterprises or any third party (such as other students, outsourced trainers, subcontractors, staff, trainers, assessors) have access to the following procedure:

#### **Informal Complaint/Appeal**

- An initial complaint or appeal will preferably involve the student communicating directly with Corrsafe Enterprises verbally or by other appropriate means.

- All persons identified or subject to a complaint will be notified in writing of the content of the complaint and/or allegation and afforded all-natural justice and procedural fairness in response mechanisms.
- Corrsafe management will make a decision, discuss their judgement with the student and record the outcome of the complaint or appeal.
- Students dissatisfied with the outcome of Corrsafe Enterprises' decision may initiate the formal complaint procedure.

### **Formal Complaint/Appeal**

- It is normal procedure that all formal complaints proceed only after the initial informal complaint or appeal procedure has been finalised.
- The formal complaint or appeal is to be submitted in writing, and the procedure and outcome recorded by Corrsafe management in the respective register.
- On receipt of a formal complaint, the CEO or a nominated senior management person independent of the complaint will notify the complainant as soon as practical in writing that they have received the submission.
- The CEO will convene the complaint committee to hear the complaint.
- The complaint committee will consist of a panel of members with no previous involvement or vested interest in the outcome of the particular complaint or appeal.
- Members of the committee should include:
  - A representative of Corrsafe management.
  - A Corrsafe staff member.
  - A person independent of Corrsafe Enterprises (i.e., Richard Turner of TBS Consulting)
- The complainant/appellant shall be given an opportunity to present the case to the committee at no expense and may be accompanied by one (1) other person as support or as representation.
- The staff member(s) involved shall be given an opportunity to present their case to the committee and may be accompanied by one (1) other person as support or as representation.
- The complaint committee will reach a decision on the complaint or appeal as soon as possible after consideration of each case presented.
- The complaint committee will inform all parties involved of the outcome in writing within five (5) working days of making the decision.

### **Delayed Processes**

#### **Clause 6.4**

In the unusual circumstances where a delay in the complaint or appeal process occurs, where longer than sixty (60) calendar days are required to process and finalise the complaint or appeal, Corrsafe Enterprises will inform the complainant or appellant in writing. In line with the importance that Corrsafe Enterprises places on open and transparent processes and communication, the first written communication will be made at five (5) days.

From that point, the complainants or appellant will be regularly updated at regular intervals on the progress of the matter. Including reasons why more time is required.

## Unresolved Complaints & Appeals

If the complainant remains dissatisfied with satisfied the resolution of the complaint after following and exhausting the complaints procedure, the student may contact ASQA and lodge a written complaint via the online complaints form.

Where the complainant or appellant remains dissatisfied with the outcome of the appeals handling procedure, the appellant is to be directed to the following external agencies:

- An independent agency or consultant within the VET sector.
- The Office of Fair Trading in relation to consumer protection issues.
- [National Training Complaints Hotline](#) on 133 873.

### [ASQA Complaints Process](#)

## Record & Review

### [Clause 6.5](#)

Both the complaints and appeals policies of Corrsafe Enterprises highlight the importance of accurate documentation through the maintenance of records of all processes and outcomes. All complaints and appeals will be reviewed at Corrsafe Enterprises monthly management meetings.

Continuous improvement procedures may be actioned when the complaint/appeal procedure results in identification of factors appropriate for improvement to internal operations. When the initial causative factor of the complaint identifies a problem with current Corrsafe Enterprises policies and/or procedures, the continuous improvement procedure will ensure changes are made to prevent reoccurrence of the problem.

### [Complaint or Appeal Feedback Form](#)

## [Case Study 7: USING COMPLAINT OUTCOMES FOR BUSINESS IMPROVEMENT](#)

## 3.10 Discipline

Corrsafe Enterprises makes every effort to practice cooperation and mutual respect in all internal and external dealings to uphold high quality, professional training and assessment services. The same disciplined behaviour is expected of students as a contribution to a functional learning environment, and as a sign of respect to staff and fellow students.

### Professional behaviour

Corrsafe Management advises any trainer or staff member who is dissatisfied with the behaviour or performance of a student that they have the authority to:

- Warn the student that their behaviour is unsuitable.
- Ask a student to leave the class, without refund or acceptance into another course.
- Immediately cancel the class.



Where a student seeks to object or lodge an appeal against the disciplinary action taken, he/she has the right and opportunity to follow the Corrsafe Enterprises complaint procedure. Corrsafe staff are expected to maintain a professional and ethical working relationship with all other staff members, management and students.

Breaches of the disciplinary standards will result in discussion between the relevant trainer and Corrsafe Enterprises, and appropriate action will be taken.

## Plagiarism

### Definition<sup>3</sup>

Plagiarism is the "wrongful appropriation" and "purloining and publication" of another author's "language, thoughts, ideas or expressions," and the representation of them as one's own original work.

### Policy

Plagiarism is considered academic dishonesty and a breach of journalistic ethics. It is subject to serious sanctions such as expulsion. It is quite reasonable to research material in the course of undertaking assessment.

All sources, however, must be clearly referenced. Corrsafe Enterprises' CEO takes a very strict approach to plagiarism and proven incidents will not be tolerated.

## PART 4: RTO Governance & Administration

### Governance

#### Standard 7

The maintenance of consistently high operational and financial business standards will ensure that Corrsafe Enterprises remains a viable business that is able to continue to invest in the provision of its services to best meet the needs of both students and industry.

The governance arrangements of Corrsafe Enterprises provide a strong foundation on which its current and future operations are based. Comprehensive business planning operationalises the intended objectives of the organisation and the financial viability of Corrsafe ensures these objectives are met.

### 4.1 Corrsafe Enterprises' Governance Mechanisms

#### Clause 7.1

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<sup>3</sup> From [www.wikipedia.org](http://www.wikipedia.org)

The legislation that governs Corrsafe Enterprises' obligations to clients and the relevant industry is continually being revised and amended as the industry changes. The effective governance arrangements of Corrsafe Enterprises ensure that it is compliant at all times with current legislation and that this is reflected in the quality management and operational framework.

The CEO of Corrsafe Enterprises will ensure that all business operations comply with the VET Quality Framework and any national guidelines approved by the Council of Australian Governments Industry and Skills Council (COAGISC) and all relevant legislation.

To ensure the most efficient operation of Corrsafe Enterprises, the CEO will take the following actions:

- Ensure all relevant staff members of Corrsafe are made aware of any changes to guidelines, standards and legislation through internal communication systems (i.e., email, intranet, memos) and consultation at monthly meetings. Delegating responsibility for daily operations as appropriate. Managerial roles to govern specific sections of business operations, i.e., a Training Manager or Quality Manager may be appointed as the business grows.
- Organising regular meetings with and encouraging opportunities for contribution from Corrsafe stakeholders, including trainers, administration officer, consultants, industry representatives and employers.
- Ensuring the decision making of senior management is informed by the experiences of its trainers and assessors. This is indicated in the organisational chart of Corrsafe by the use of double-ended arrows indicating the open, two-way communication.
- Being available to sign documentation and report data as required.

The Corrsafe Enterprises CEO is responsible for and has authority over maintenance of the quality training and assessment system. Responsibilities within this role include:

- Supervise and manage operations, ensuring compliance with standards relevant to the maintenance of RTO status.
- Liaise with relevant authorities concerning all aspects of RTO status maintenance, including Department of Education and Training, Department of Employment, ASQA, COAGISC and State or Territory authorities.
- Keep all Corrsafe stakeholders informed of all matters relating to compliance via monthly management meetings.
- Supervise and manage the continuous improvement process, including internal audit and review procedures.
- Develop the RTO business plan and monitor operations to ensure consistency.
- Conduct a full risk assessment annually, if not more frequently.

### **4.1.1 Fit & Proper Person Requirements**

[Fit and proper person requirements](#) form an integral part of the RTO's initial registration and continuing registration. Each of the directors and each member of senior management and any people who are in a position to influence the direction of Corrsafe Enterprises agree to abide by the standards expected of a 'fit and proper person' as explained in Schedule 3 of the Standards for RTOs.

This may include an evaluation by ASQA of the individual characteristics and/or past behaviour standards of individuals who are in a position to influence the management of Corrsafe.

A test to evaluate who may be considered to be a 'fit and proper person' may include, but is not limited to:

- Past criminal convictions.
- Any record of registration cancellations or conditions on registration.
- A history of personal bankruptcy or insolvency.
- Disqualifications under the Corporations Act 2001.
- Other relevant matters.

Failure to meet the requirements may impact on the suitability of the individual to contribute to the delivery of education and training, and consequently that person will not be acceptable to Corrsafe Enterprises in any capacity.

#### [Fit and Proper Person Requirements Declaration](#)

## 4.2 Financial Management

Financial management refers to the planning, organising, directing and controlling the financial activities such as procurement and utilisation of funds for the organisation. It means applying general management principles to the financial resources of the organisation.

The accuracy and integrity of Corrsafe Enterprises' financial management system ensures the efficiency as well as accountability of its operations. Financial management policies and all related decisions are informed by appropriately qualified staff and based on sound financial principles and a strategic approach to the operations of Corrsafe.

As a result, Corrsafe Enterprises will remain in a position to provide accurate and current information as required by data provision requirements. Corrsafe Enterprises' financial management processes described in this section will also ensure the adequate supply and optimum utilisation of funds to achieve both the immediate and long-term objectives of the organisation and its clients.

### 4.2.1 Corrsafe Enterprises' Financial Management Procedures

#### **Business Financial Viability**

Corrsafe Enterprises will have all accounts certified by a qualified CPA accountant to Australian Accounting Standards on an annual basis. Upon ASQA's request, Corrsafe will provide the certificate of accounts for review.

If deemed necessary by the registering body, Corrsafe Enterprises will present a full audit report of the financial accounts as provided by a qualified and independent CPA accountant.

#### **Business Activity Statement**

Business Activity Statements (BAS) will be lodged according to the policy and procedures of the Australian Taxation Office (ATO) submissions and company policy.

## Taxation Returns

Taxation returns will be lodged according to the policy and procedures of the Australian Taxation Office (ATO) submissions and company policy.

## GST

As the training programs offered by Corrsafe Enterprises are **nationally recognised training**, there is **no GST collected**. GST is collected on merchandise, services, manuals, etc.

## Financial Viability Risk Assessment

Financial viability assessment will determine that Corrsafe Enterprises has the capacity for business continuity and the financial capacity to deliver quality outcomes. The CEO of Corrsafe Enterprises will ensure the RTO demonstrates financial viability in accordance with ASQA's financial viability risk assessment.

The requirement to have a financial viability risk assessment is detailed on the ASQA website.

[Demonstrate Financial Viability](#)

## 4.2.2 Insurance

### [Clause 7.4](#)

To protect Corrsafe Enterprises against loss, and to protect students and others with whom Corrsafe interacts, appropriate and current insurance that is 'risk rated' to the industry and the training activities of Corrsafe Enterprises is maintained in the following areas:

- Public liability insurance - to cover the scope of Corrsafe Enterprises operations throughout its registration period and includes a provision for 'errors and omissions'. As required, Corrsafe will either include subcontractors on the company policy or ensure that subcontractors carry their own public liability insurance.
- Worker's compensation insurance – to cover injury to employees and provide protection against workers compensation claims.
- Building and contents insurance – to cover loss or damage to Corrsafe Enterprises premises or contents will be carried when and where applicable.
- Professional Indemnity insurance. As a further measure of risk reduction, Corrsafe's CEO will evaluate the addition of for Corrsafe Enterprises staff providing training and or other advice to cover them for claims arising out of that advice.

## 4.3 Risk Management

Registered training organisations, like all business organisations, face a growing and increasingly complex set of risks. Corrsafe Enterprises recognises that there are potential risks at all levels of the organisation; governance risk, business continuity risk, as well as financial, regulatory, technical, human resources, and stakeholder risk and emerging risks related to technology and social media.

Corrsafe Enterprises' risk management strategy looks at every aspect of its business operations and identifies not just threats, but also opportunities, including identification of strategic options, efficiencies and streamlining of decision making by ensuring the right people have the right information at the right time to make good decisions.

### **Corrsafe Enterprises' risk management strategies**

Corrsafe Enterprises pays diligent attention to risk mitigation and management systems. This involves the identification, analysis and evaluation of Corrsafe's potential of non-compliance with the Standards for RTOs 2015, as well as the development and implementation of cost-effective contingencies to control risks.

Corrsafe management conducts risk assessments annually, if not more frequently. Results of the assessment and risk rating are recorded in the risk assessment template. Corrsafe management is responsible for the assessment and management of risks associated with all aspects of its operations and activities.

A risk identification register is maintained by Corrsafe management to assist in the identification and management of risks, measured against the training business' compliance with the Standards for RTOs 2015.

At the completion of each risk assessment, Corrsafe management will identify potential countermeasures to minimise the likelihood of the risks actually occurring. Identification and implementation of the counter-measure activities outlines the need for re-assessment, effectively reducing the risk rating.

Continual assessment of the identified risks will be undertaken to ensure the correct risk management strategies and initiatives are being utilised with the intention of reducing the risk rating.

In the event of a high or extreme risk being identified (in accordance with the risk matrix), immediate countermeasures will be actioned to minimise the risk. Risks of a lower rating will be monitored for potential changes on a continual basis and are to be addressed at the monthly management meetings.

[Risk Assessment Template](#)

## **Co-Operation & Compliance**

### **Standard 8**

Corrsafe Enterprises will remain committed to compliance with the requirements of the RTO Standards and maintain a cooperative relationship with ASQA. Corrsafe Enterprises will also consistently adhere to all relevant Commonwealth, State and Territory legislation.

This will ensure the sustained delivery of services that have integrity and which fulfil the obligations of Corrsafe Enterprises to its clients.

## The Australian Skills Quality Authority

As the national regulator for the vocational education and training (VET) sector, the Australian Skills Quality Authority (ASQA) seeks to make sure that the sector's quality is maintained through the effective regulation of:

- Vocational education and training providers.
- Accredited vocational education and training courses.
- Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) providers including those delivering English Language Intensive Courses to Overseas Students (ELICOS).

Australia is fortunate to have a world-leading vocational education and training system. This crucial sector provides training in the skills Australians need for employment and injects billions of dollars of export income into the economy each year.

ASQA makes sure that the quality and reputation of Australia's VET system is maintained through effective national regulation.

## 4.4 Communications With The Registering Body

### Clause 8.1

Communications with ASQA, the National VET Regulator, are managed by Corrsafe Enterprises' CEO and when appropriately delegated, by the compliance manager and/or the training manager. The CEO is a signatory to the Standards for RTOs which is a contractual agreement and will ensure the provision of accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration.

The CEO will ensure cooperation with ASQA at all times in regard to:

- Audits conducted by ASQA and the monitoring of its operations.
- Providing accurate and timely data for compilation of the [Quality Indicators](#).
- Providing data about significant changes to the RTO within 90 calendar days of the change occurring including:
  - The loss of key trainers in particular Skills Groups.
  - Change of ownership of the RTO.
- Notification of entry into an outsourced arrangement (partnership).
- Retention, retrieval, transfer and archiving of records consistent with ASQA requirements.
- The provision, upon request, of statement(s) demonstrating Corrsafe Enterprises':
  - Financial viability.
  - Financial projections.
  - Financial statements.
  - A business plan on request of the registering body.
- Notification in the event that Corrsafe Enterprises ceases to operate.

Corrsafe Enterprises will follow the submission directions prescribed by ASQA. Notification of changes specified above is undertaken by Corrsafe Enterprises through the completion of ASQA forms including:

[ASQA Form - Notification of change of provider details](#)

[ASQA Form - Notification of material change or event form](#)

In addition to the notification requirements in relation to the above, Corrsafe Enterprises will also provide other documentary evidence to ASQA as required. Regular and ongoing information, updates and [publications](#) are provided via the ASQA website and will be read, downloaded and distributed by the CEO as required.

### **4.4.1 Annual Declaration**

[Clauses 2.2\(d\), 8.4](#)

Corrsafe Enterprises provides ASQA with an annual declaration on compliance with the Standards for RTOs thereby confirming that Corrsafe Enterprises systematically monitors compliance with the Standards and implements preventive and corrective improvements where considered necessary.

This Quality Management and Operational Framework provides the foundation for Corrsafe Enterprises to monitor its adherence to all Standards. It also provides the mechanism for identifying and addressing any issues that arise.

Corrsafe Enterprises declares to the VET Regulator annually that:

- Its operations have met the requirements of the Standards for Registered Training Organisations 2015 across all its scope of registration.
- All AQF certification documentation issued in the previous 12 months has met the requirements of the Standards.
- Corrsafe Enterprises' training and assessment strategies and practices in place that ensure that all current and prospective students will be trained and assessed in accordance with the requirements of the Standards for RTOs.

Corrsafe Enterprises will provide this declaration using the online [Declaration form](#) that is available on ASQA's website.

## **4.5 Records Retention & Management**

[Clause 8.1\(f\)](#)

This section describes what may be considered the more routine and technical aspects of Corrsafe Enterprises' operations. Corrsafe management recognises however, that establishing sound processes in these areas will ensure the efficient day-to-day operations that form the basis of a sustainable and compliant organisation.

The rigorous systems maintained by Corrsafe Enterprises not only facilitate efficiency of business operations and the organisations' ability to comply with the requirements of registration, it also

enables the transparency and accountability required for an organisation that meets the expectations of all stakeholders.

The management of records described in the following section relates to; qualifications and statements of attainment, assessment resources and tools, completed assessments, results of assessments, student files, management records including policies, procedures, templates and registers, and other administrative records, including email and other correspondence.

### **4.5.1 Record Keeping Procedures**

Corrsafe Enterprises has a clearly documented quality administrative and records management system in place to secure the accuracy, integrity and currency of records, to keep documentation up-to-date and to secure any confidential information obtained by Corrsafe Enterprises and committees, individuals or organisations acting on its behalf.

Upon enrolment, student's details will be entered into the Corrsafe Enterprises database system. This process initiates the establishment of the student's individual file that is then used to record all future details pertaining to the client.

The file is retained by Corrsafe Enterprises and management of the file will be in accordance with the Corrsafe training records policy. Corrsafe Enterprises is committed to maintaining the accuracy, integrity and currency of all student files, as well as ensuring appropriate security of all records to uphold confidentiality and protect student privacy.

Corrsafe management will undertake a routine audit of the training records of approximately 5% of registered students and report the findings at the monthly management meeting.

#### **Completed Assessments**

Each and every assessment submitted by every student will be retained for a minimum period of six (6) months. At the expiration of six (6) months period, the student's assessments will be scanned and stored electronically for thirty (30) years.

When in paper format, student's work will be filed according to the competency/unit number, competency/unit cluster alphabetically according to the students' names. Individual student records will be stored in a lockable steel filing cabinet in a locked secure office area.

If the files are stored in a location where student or public access is possible, the cabinets will remain locked. For ease of application and consistency, a similar filing process will be used for electronic files. The electronic records are stored utilising AVETMISS compliant software and access is restricted by a password system.

#### **Results Of Assessment Records**

Student assessment results will be recorded electronically within the Corrsafe Enterprises database system. This information may be used to provide annual competency completion reports and/or AVETMISS reports, as required.

- Sufficient information to re-issue the testamur, if required, will be retained.
- Results of assessment will be retained for thirty (30) years.



## **4.5.2 Security & Storage**

Corrsafe Enterprises ensures further security of records by complying with the storage requirements detailed in ASQA's General directive: *Retention requirements for completed student assessment items*, 22 June 2012.

This directive includes requirements for storage including: safeguards against unauthorised access, fire, flood, termites or any other pests, and to ensure that copies of records can be produced if the originals are destroyed or inaccessible.

Corrsafe Enterprises enhances its compliance with this directive by protecting electronic files with up-to-date virus protection, firewall and spy ware protection software. The data management system is Cloud based and offers the security and integrity expected of a reputable Cloud storage system.

In addition, electronic records are copied to a portable hard drive, every four (4) week period. The portable hard drive is stored off site in a fireproof secure location. Corrsafe Enterprises software and hardcopy systems will retain student's results for a period of no less than thirty (30) years.

If requested, enrolment information, training and assessment information or results of assessment will be provided in electronic format wherever possible. Paper based records will be scanned and saved in Adobe PDF format. Paper records will be securely shredded every twelve (12) months in accordance with Corrsafe Enterprises CEO's directions.

A copy of each testamur issued is scanned and retained in Adobe PDF format. If requested, the testamur may be re-printed at any time within the thirty (30) year period after issue. This method ensures the original format, design, signature, date and units of competency are re-printed accurately and with a minimum of effort and expense.

The database system is used, and data/files/records are converted and saved in Adobe PDF format. Corrsafe Enterprises has chosen Adobe PDF because research indicates this software will be able to be opened and read for up to thirty (30) years.

### **Destruction Of Records**

The only person who can authorise the destruction of records is the CEO of Corrsafe Enterprises. Records are only to be authorised for destruction after the retention period has lapsed and authorisation must be in writing.

Documents identified for destruction are to be shredded.

### **Ceasing Operation**

In the event that Corrsafe Enterprises ceases to operate, its records will be transferred to ASQA in the appropriate format and detail as specified by the Department at the time of ceasing RTO operations.

All other records including training records, taxation records, business and commercial records will be retained for a period of at least seven (7) years. Corrsafe Enterprises will ensure that any confidential information acquired by the business, individuals, or committees or organisations acting on its behalf is securely stored.

### 4.5.3 Access To Records

Corrsafe Enterprises has implemented a record management system that ensures that all students have access to accurate information regarding their learning in a timely fashion. To ensure this, employees are informed of their responsibilities for record keeping and the process is monitored through the continuous improvement process and improved where necessary. This section outlines the data management procedures that support this records management system.

#### **Access To Student Records**

Access to individual student training records will be limited to those specified by the Standards for RTOs 2015, such as:

- Trainers and assessors to access and update the records of the students whom they are working with.
- Management staff as required to ensure the smooth and efficient operation of the business.
- Officers of ASQA or their representatives for activities required under the standards for registered training organisations.

Corrsafe Enterprises trainers and assessors will maintain accurate and current records of each student's progress and achievement of competencies in the area of their study. These records will be entered on the Corrsafe Enterprises database system during training and assessment or immediately at the completion of training and assessment.

As students complete each competency, the trainer or assessor will check the achievements against the relevant qualification packaging rules and sign off successfully completed competencies. All details of full or partially completed competencies will be recorded and stored on the student's file.

Upon completion of all relevant competencies within a qualification, the student will be entitled to receive the full qualification. The certificate and academic record and/or statement of attainment will be produced and signed by Corrsafe management, trainer and/or assessor, and presented to the student.

A scanned electronic copy of all signed qualifications issued will be converted to PDF format and secured in the student's file.

### 4.5.4 Student Access To Records

Students have the right to request information about or have access to their own individual records. Corrsafe trainers and assessors or administration staff will provide the requested information or access.

Students also have the right to request a hardcopy of their own individual file that can be supplied as a printout from records retained within the data management system. Corrsafe Enterprises will ensure students are comfortable to ask any trainer and assessor or administration staff at any time for a printout of their progress.

### 4.5.5 Privacy

In the course of its administrative activity as well as training and assessment Corrsafe Enterprises collects a range of sensitive and personal information as well as training and assessment records of students.

Corrsafe Enterprises considers student privacy to be of utmost importance and practices a high standard of care and concern in regard to maintaining student privacy in all aspects of business operations.

Any persons external to the organisation acting on behalf of Corrsafe Enterprises are made aware of the confidentiality procedures and privacy policies prior to commencing work with Corrsafe. Corrsafe Enterprises will comply with all legislative requirements including the Privacy Act 1988 (Commonwealth) and Australian Privacy Principles (APP) (2014).

These requirements are explained in more detail in the Legislation section of this manual. Corrsafe Enterprises ensures no student information is disclosed without the student's consent, except as required by law or in adherence to the Standards for RTOs 2015.

Student consent must be obtained in writing from the student, unless the student is under the age of 18 years, in which case written consent from their parent or guardian must be obtained. Consent to disclosure of information forms and/or letters will be recorded.

Corrsafe Enterprises respects an individual's right not to receive marketing material and provides an option within communications and on its website for individuals to unsubscribe from receiving marketing material.

Corrsafe Enterprises conducts its marketing communications and dissemination of service information in accordance with Australian Privacy Principle 7 (Direct marketing), the Spam Act 2003 (in respect of electronic communications), and the Do Not Call Register Act 2006.

[Student Document Request Form](#)

## 4.6 Version Control Procedure

A version control system is designed to maintain an organised set of file versions as they are updated and revised over time. Such a system allows several people to work on and access the same projects, provides a historically accurate log of old documentation, and ensures access and use of the most current versions.

Version control includes the creation, distribution, maintenance and retention of internal documents, as well as the receipt, distribution and retention of external documents. Corrsafe Enterprises' version control procedure outlines processes for ensuring Corrsafe staff has access to current, relevant and accurate documentation, and to ensure that any modifications made by staff are recorded.

All documents used to define and support Corrsafe Enterprises' business activities have a bearing on the quality of the Corrsafe's management system and it is therefore imperative such a procedure is applied.

Any additional documents that affect Corrsafe Enterprises' continuous improvement system and the quality of education and training delivery should also be covered by version control procedures.

### **Documents And Files Will Be:**

- Issued and authorised through the CEO or authorised staff member<sup>4</sup>.
- Updated by the CEO or authorised staff member in line with external policies, procedures, directives, guidelines and administrative instructions.
- Contain an index outlining reference numbers, title and version control e.g., date of issue.
- Authorised individually and include reference numbers, titles and version/issue.  
A new document created by the CEO or authorised staff member of Corrsafe Enterprises must have the version of that document recorded as follows:
- Insert the date in the left side of the footer: ddmmyy.
  - This will become the version of the new document.
- Insert the page number on the right side of the footer: page\_ of \_.
  - Edit so the version (date) and the page number do not appear on the first page.
- Save in the designated/relevant (computer) folder.  
As documents are superseded, the following procedure applies:
- Create a 'Superseded' folder within the designated/relevant area of the computer.
- Move the old file into the Superseded folder.  
The intention is to have only current versions visible within any designated folder.

### **Controlled Documents**

All documents are tracked, and version controlled to ensure consistency and relevance of business processes across all aspects of Corrsafe Enterprises operations.

### **Document Control Includes:**

- Maintenance of a revision register.
- Approval for use.
- Availability of latest versions for relevant staff.
- Correct identification of documents.
- Up-to-date and relevant versions.

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<sup>4</sup> As the organisation expands, the role of ensuring an independent audit takes place may be delegated to the compliance manager

### **Uncontrolled Documents May Include:**

- Photocopies and printed copies of controlled documents.
- All documents stamped or printed with 'Uncontrolled Copy' or 'uncontrolled copy when printed'.
- All documents stamped or printed with 'DRAFT'.
- Uncontrolled documents should be regularly checked to ensure currency.

### **Maintenance & Review Of Documentation**

Duties of Corrsafe Enterprises' CEO or authorised staff member include assignment of each document appropriately according to business requirements and to ensure each document is maintained and updated.

The approval process remains the same for all documents. It is the responsibility of the CEO to review proposed changes and ensure compliance with relevant legislative and regulatory requirements.

The management team will review summary reports of significant changes to confirm there is congruence between business requirements and support systems. This review will take place quarterly.

### **Reports Will Include:**

- Documentation changes.
- Changes to the documentation structure.
- Reviews and changes to documentation approving authorities.

### **Register Of Documents**

Corrsafe management and/or the authorised person will maintain the register of documents that records all of the documents used with the training business.

Including but not limited to:

- Corrsafe Quality Management and Operational Framework.
- Corrsafe student handbook.
- Templates, pro-formas, checklists designed to support Corrsafe's policies and operations.
- All other documents used in conducting training services by Corrsafe.

This register includes issue and amendment status. Corrsafe management and/or the authorised person review all Corrsafe Enterprises documents before adding them to the register. All Corrsafe staff may obtain access to the materials related to their position via the CEO or authorised person.

### [Register of Documents](#)

## 4.7 Working With External Organisations

### 4.7.1 Subcontracting Arrangements

[Clauses 8.2, 8.3, 2.2-2.4](#)

Corrsafe Enterprises assumes full responsibility for ensuring quality training and assessment within their organisation and scope of registration including where it has subcontracted the delivery of any services.

These services also include recruitment of students and student support services. When Corrsafe Enterprises engages any party to provide services on its behalf Corrsafe has a written subcontracting agreement with that party and that explains in detail what is expected of each party.

Corrsafe Enterprises will ensure subcontracting arrangements are documented and transparent to inform ASQA that such arrangements exist. This will enable ASQA to consider the terms of the subcontracting arrangements and their effectiveness of the arrangements in facilitating compliance with these Standards.

Corrsafe Enterprises will also ensure that any subcontractor delivering services on its behalf cooperates with ASQA by providing accurate and factual responses to information requests from the VET Regulator relevant to its training and assessment delivery and in the conduct of audits and the monitoring of its operations.

ASQA will be notified by Corrsafe Enterprises of any subcontract agreement it enters into with any party that provides training and/or assessment on behalf of Corrsafe Enterprises for any AQF qualification, skill set or VET Course on the Corrsafe Enterprises scope of registration within thirty (30) calendar days of entering into that agreement or prior to the obligations under the agreement taking effect, whichever occurs first; and within thirty (30) calendar days of the subcontract agreement coming to an end.

In the absence of a form provided by ASQA specifically designed to provide subcontractor notification the RTO will use the Notice of Material Change or Event Form, available via the ASQA website.

Refer to Section 3 of page 8.

### 4.7.2 Partnerships

At this time Corrsafe Enterprises has taken a business decision to refrain from entering into or planning partnerships with other organisations. In some instances, it may be appropriate for Corrsafe to engage in an agreement (that constitutes a partnership according to Standards for RTOs 2015 6.3 with another organisation for the purposes of VET assessment, training and/or certification services).

Where such a partnership is implemented, Corrsafe Enterprises will ensure that the essential standards of registration are met, and a high quality of client satisfaction is maintained through systematic documentation and monitoring of third-party activities.

When a partnership is established, a written agreement will be drafted in cooperation with the other organisations, and a copy forwarded to and filed by both parties. Corrsafe Enterprises will maintain a register of partnerships to document details of all such agreements.

Written agreements with other organisations will take the form of a Memorandum of Understanding (MOU) and will include the following:

- The name and address of both organisations.
- The name of the CEO/Managing Director/authorised person of both organisations.
- Signatures of the CEO/Managing Director/authorised persons of both organisations.
- Dates for the period of the agreement.
- The name and contact details of the primary contact at the other organisation.
- The program offered, including the relevant training package, qualification or accredited course, including code and the units of competency or modules, including the code and title.
- A list of services offered by the other organisation, e.g., training and/or assessment.
- A statement outlining the level of service offered e.g., 'Corrsafe Enterprises as the supervising registered training organisation (Standards for RTOs 2015) will provide all training and assessment staff.'
- A statement acknowledging that Corrsafe Enterprises is always responsible for training, assessment and certificates issued in its name.
- A verified copy of the Corrsafe's Certificate of Registration and Scope Certificate.
- Fees related to the agreement.

Corrsafe Enterprises' CEO and/or Manager will enter the details of the agreement on the register of partnerships (if and when this is applicable) and ensure the other organisation has a copy of the agreement and understands its responsibilities.

#### **Case Study 14: MANAGING RISK WHEN USING INDEPENDENT THIRD PARTIES**

## **4.8 Compliance With Legislation**

### **Clause 8.5**

Registered training organisations are subject to legislation pertaining to training and assessment, as well as business practice. Corrsafe Enterprises will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations.

All staff are encouraged to view current legislation online at: [www.austlii.edu.au](http://www.austlii.edu.au).

Examples of legislation relevant to the training business and its staff includes, but is not limited to:

**Commonwealth Legislation:**

- Copyright Act 1968.
- Commonwealth Privacy Act 1988/Privacy Amendment Act 2012/Privacy Regulation 2013.
- Commonwealth Sex Discrimination Act 1984.
- Commonwealth Racial Discrimination Act 1975.
- Commonwealth Age Discrimination Act 2004.
- Commonwealth Disability Discrimination Act 1992.
- National Vocational Education and Training Regulator Act 2011.
  - Standards for VET Regulators 2015.
  - Standards for registered Training Organisations 2015.
- Work Health and Safety Act 2011.
- Competition and Consumer Act 2010.

**Queensland Legislation:**

- Child Protection Reform Amendment Act 2014.
- Disability Services Act 2006.
- Anti-Discrimination Act 1991.
- Fair Trading Act 1989.
- Further Education and Training Act 2014.
- Work Health and Safety Act 2011.

**Training Authorities/Regulators:**

- National VET Regulator (NVR).
- Department of Education and Training.
- Department of Employment.
- Australian Skills Quality Authority (ASQA).
- Council of Australian Governments Industry and Skills Council (COAGISC).

### 4.8.1 Work Health And Safety Policy

The Work Health and Safety Act 2011 (Commonwealth and State legislation) outlines the requirements of an RTO in establishing and maintaining workplace health and safety standards. The requirements of an RTO as specified in the above mentioned Act are to:

- Secure the health, safety and welfare of employees and other persons at work.
- Eliminate, at the source, risks to health, safety or welfare of employees and other persons at work.
- Ensure that the health and safety of members of the public is not placed at risk by the conduct of undertakings by employers and self employed persons.
- Provide for the involvement of employees, employers and organisations representing those persons, in the formulation and implementation of health, safety and welfare standards.

Corrsafe Enterprises has initiated procedures, policies, guidelines and work instructions, practicing an ongoing commitment to workplace health and safety including each site used for training delivery.



Promoting awareness of health and safety across the organisation is a responsibility that is prioritised by Corrsafe Enterprises management team. The following presents an overview of Corrsafe Enterprises' safety system and provides guidance for meeting the requirements of Work Health and Safety Act on Corrsafe's premises thereby ensuring a high standard of workplace health and safety at all times.

It is an obligation under legislation that all Corrsafe Enterprises employees and management contribute to and assist in maintaining workplace health and safety and risk management operations as part of their role within the RTO.

Corrsafe management is responsible for providing the following standards as part of its commitment to employees and clients:

- A safe workplace, with a safe system of work.
- Adequate workplace health and safety professional development for Corrsafe Enterprises students, employees, management and stakeholders.
- Properly maintained facilities and equipment.
- A clean, tidy, suitably designed workplace with the safe storage of goods.

### **Safety Procedures And Standards**

The following procedures and standards are observed by Corrsafe Enterprises to achieve a safe working and learning environment:

- Maintain a safe, clean and efficient working environment.
- Evacuation plan (fire, bomb, major incident).
- Emergency control.
- Accident/incident reporting.
- Rehabilitation.
- Risk identification reporting.
- PPE/chemicals (storage).
- Manual handling techniques and training.
- Store and dispose of waste according to OHS regulations.
- Equipment checks and maintenance.
- Equipment safe storage.
- Fire hazards identified and fire prevention.
- Unsafe situations identified and reported.
- First aid and safety procedures displayed, for all Corrsafe staff and student's to see.
- Strategies to avoid risks presented by extended work with computers and other related devices .

## 4.8.2 Harassment And Discrimination Policy

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all staff and students are treated fairly and have the opportunity to feel safe, valued and respected.

Corrsafe Enterprises promotes a working environment where employees, contractors and clients alike are treated with dignity, courtesy and respect and as a result has developed a productive and cohesive workplace.

At Corrsafe Enterprises it is made known that in the event that a person considers that he or she has been or is being harassed, this person should be encouraged to inform the other party that their behaviour is objectionable and should not be continued, provided they are comfortable with confronting the offender.

In instances where the person is not comfortable discussing the matter with the offending party, a trainer or other Corrsafe staff member should be informed of the situation. In this case it becomes the responsibility of the relevant staff member to follow Corrsafe Enterprises policy and procedures to rectify the situation.

All students and staff working with Corrsafe Enterprises have the right to discuss matters of harassment with the relevant members of staff without making a formal complaint; all discussions are dealt with in confidentiality.

The right to lodge a formal complaint of misconduct against the offending party is available and will be actioned according to Corrsafe policy and procedures. Corrsafe Enterprises ensures that all staff are adequately trained in dealing with harassment and discrimination in order to fulfil their roles and responsibilities in creating and contributing to a harassment and discrimination free workplace.

In addition to relevant training, Corrsafe management provides opportunities for communication and mentoring amongst staff to ensure that all employees understand and correctly apply the processes and procedures involved in identifying and addressing of all forms of harassment and discrimination.

### **Principles**

Corrsafe Enterprises adheres to the following principles to address harassment and discrimination in the workplace:

- It is the right of all staff and students to work and study in an environment free of any form of harassment and discrimination.
- All reports of harassment and discrimination will be treated seriously, in an unbiased, respectful and sensitive manner. Any form of harassment and discrimination is considered unacceptable behaviour and will not be tolerated by Corrsafe Enterprises. When Corrsafe management is informed of any event involving harassment or discrimination, it is their responsibility to take immediate and appropriate action to address it.

- In dealing with all complaints, the rights of all individuals involved should be respected and confidentiality should be maintained.
- It is the intention of Corrsafe management that a process of discussion, cooperation and conciliation will resolve all complaints. The aim is to achieve an acceptable outcome for the involved parties while minimising any potential damage to the organisation.
- Both the person making the complaint and the person against whom the complaint has been made will receive information, support and assistance in resolving the issue from Corrsafe management.
- Victimisation is unacceptable and will not be tolerated. No person making a complaint or assisting in the investigation of a complaint should be victimised.
- Harassment or discrimination should not be confused with legitimate comment and advice (including constructive feedback) given appropriately by management or trainers. Managers and trainers should be conscious of how they present their feedback to ensure the message is not misinterpreted.
- Staff and students should not make any frivolous or malicious complaints. All staff and students are expected to participate in the complaint resolution process in confidence that the procedures are designed to ensure fair resolution.

## Definitions

Corrsafe Enterprises staff and students should be aware of the following definitions:

### Harassment

Harassment includes any form of behaviour that is unwanted, unwelcome or unreciprocated by relevant persons. This may manifest as verbal or physical harassment but includes any acts that may be perceived as humiliating, offensive, intimidating, threatening, discriminatory or otherwise contributing to an unpleasant workplace or experience for the persons.

Equal opportunity laws prohibit harassment on the grounds of sex and race.

### Racial Harassment

Involves a person or persons being threatened, abused, insulted or taunted in relation to their race, descent, nationality, colour, language, ethnic origin or any other racial characteristic. It may include but is not limited to; derogatory remarks, innuendo or slur, gestures, intolerance, mockery, displays of material prejudice towards a race, racial jokes, discrimination, exclusion, allocation of least favourable jobs or positions, or unfair treatment.

### Sexual Harassment

Involves any verbal or physical conduct of a sexual nature, which is inappropriate, unwelcome or uninvited. It may include but is not limited to; sexually related physical contact such as kissing, embracing, pinching or other suggestive gestures, intimidation, coercion, requests for or promising of sexual favours, questions about a person's private or sexual life, sexist or explicit jokes, unwelcome phone calls, emails or other forms of non-work-related communication, offensive noises, or displays of sexually graphic or suggestive material.

## **Bullying**

Involves any behaviour that suggests a real or perceived power over another party, or otherwise undermines a person or group, generally comprised of repeated, persistent acts over a period of time.

It may include, but is not limited to; verbal abuse, physical assault, intimidation, humiliation, unjustified criticism, sarcasm, insults, false or malicious rumours, exclusion or isolation, inflicting unnecessary work stresses, or sabotage of a person's work or their ability to work by withholding resources or information.

## **Confidentiality**

Relates to privacy of information, ensuring that the information is only accessible to those who have the authority to access it. Within an RTO this may refer to private verbal discussions, student assessments, managerial decisions and legal proceedings.

## **Discrimination**

Involves the unfair or unequal treatment of another person based solely on class or category. Equal opportunity laws prohibit discrimination on the grounds of sex, marital status, pregnancy, family responsibility, family status, race, religious beliefs, political conviction, gender history, impairment, age or sexual orientation. All forms of victimisation are also treated as a type of discrimination.

## **Victimisation**

Involves any process that results in the unfavourable treatment of a person on unjust terms. It may include, but is not limited to; unfair punishment, treating a person poorly for their involvement in a complaint, to swindle or defraud a person, adverse changes to another's work environment, or denial of access to work related resources.

### **4.8.3 Working With Persons Under 18 Years Of Age**

Students under 18 years of age may enrol with Corrsafe Enterprises According to the law, a child is considered any individual less than 18 years of age. Corrsafe management recommend that all staff obtain the appropriate pre-employment screening which is mandatory in those cases where staff are required to train children Information regarding Police checks and Working With Children Checks is available on the Australian Institute of Family Studies [website](https://aifs.gov.au) at <https://aifs.gov.au>.

Corrsafe Enterprises will ensure that all students are protected from all forms of harm, including bullying, harassment, discrimination and intimidation. All staff are required to report to Corrsafe management any behaviour that can reasonably be considered harmful or potentially harmful to students, or where it is reasonable to believe that a student has been harmed or requires protection from harm.

In cases where allegations or information indicate it is reasonable to believe a student has suffered from or may require protection from harm, Corrsafe Enterprises will report to the relevant agency.

The initial information that a child protection officer will require is:

- The name, age and address of the child or young person.
- The reasons you suspect the child or young person may have experienced or is at risk of experiencing harm.
- The immediate risk to the child or young person.
- Contact details. You may remain anonymous; however, it is preferable to provide these details so that the officer can call you if further information is needed.

If allegations may constitute child abuse by a person external to Corrsafe Enterprises, the Corrsafe CEO will report the matter to the Police or the relevant agency.

Corrsafe Enterprises will comply with all relevant State and Federal legislation in the area of working with children.

There is no single national framework setting out the requirements for obtaining Working With Children Checks or Police Checks. Each state and territory have their own procedures and it is necessary to fulfil the requirements in the jurisdiction(s) in which you are working. Relevant legislation and state and territory screening programs are explained in this linked table.

The difference between a Police Check and a Working With Children Check is that Police Checks identify and release relevant criminal history information relating to convictions, findings of guilt or pending court proceedings.

However, due to spent conviction/non-disclosure legislation and information release policies, there are limitations on the information a Police Check can provide (e.g., the Spent Convictions Scheme stipulates that prior convictions are not to be disclosed where 10 years have passed from the date of the conviction).

The object of a Working With Children Check is to make an assessment of the level of risk an individual poses to children's safety, Working With Children Checks are more extensive, but also more targeted than Police Checks.

Mandatory reporting is a term used to describe the legislative requirement imposed on selected classes of people (including teachers/trainers) to report suspected cases of child abuse and neglect to government authorities.

This linked table provides an overview of the key features of the legislation in each state and territory: who must report, and what must be reported.

#### **4.8.4 The Copyright Act 1968**

Provisions under Part VB of The Copyright Act 1968 allow all educational institutions to copy and communicate third party material to distribute to students, within the limitations of the Statutory Education license.

The Copyright Agency Ltd (CAL) administers the Statutory Education license on behalf of the Attorney General's Department.

Any RTO electing to hold this license is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner.

The Statutory Education license facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

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

### 4.8.5 Consumer Rights

On 1 January 2011, the Australian Consumer Law commenced and the Trade Practices Act 1974 was repealed and replaced by the [Competition and Consumer Act 2010](#).

The Australian Consumer Law provides for:

- National consumer protection and fair-trading laws.
- Enhanced enforcement powers and redress mechanisms.
- A national unfair contract terms law.
- A new national product safety regime.
- A new national consumer guarantees law.

### **Contractual Agreement**

Students who enrol in a training program with Corrsafe Enterprises should be aware that they are entering into a contractual agreement. With a view to ensuring all students are fully aware of their rights and obligations, Corrsafe Enterprises will design agreements, enrolment forms, service agreements or similar using a logical format and simple English.

This may include, but is not limited to:

- Wording that allows the prospective student to know what he/she is agreeing to.
- Clearly explained disclaimers.
- No misleading or deceptive behaviour.
- No actions, omissions or dialogue (written or verbal) that may force or coerce the student.
- Fair dealings for disadvantaged students.

### 4.8.6 Privacy principles

The Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Privacy Amendment Act) made many significant changes to the Privacy Act 1988 (Privacy Act). These changes commenced on 12 March 2014.

The Privacy Regulation 2013, made under the Privacy Act, also commenced on 12 March 2014 when the [Privacy Principles](#) replaced the National Privacy Principles and Information Privacy Principles.

These Privacy Principles that are strictly applied to all aspects of Corrsafe Enterprises' operations include those relating to:

#### **Collection**

Corrsafe Enterprises will only collect necessary information pertaining to one or more specific operations. The student will be informed as to the purpose for which details are being collected.

#### **Use & Disclosure**

Corrsafe Enterprises will ensure student personal information is not used or disclosed for secondary purposes without obtaining explicit consent from the student, unless a prescribed exception applies.

#### **Data Quality**

Corrsafe Enterprises will take all reasonable measures to ensure that all students' personal information that is collected, used or disclosed is accurate, current and complete.

#### **Data Security**

Corrsafe Enterprises will take all reasonable measures to ensure all collected students' personal information is protected from misuse, loss or damage, and that all data and record storage is secure from unauthorised access, modification or disclosure.

#### **Openness**

Corrsafe Enterprises will maintain documentation which detail how students' personal information is collected, managed and used. When a student makes an enquiry in relation to information collected, Corrsafe will explain what information is held, for what purpose it is held and what procedures outline the collection and use of information.

#### **Access & Correction**

Corrsafe Enterprises will allow students access to personal information held in all circumstances unless prescribed exceptions apply. If the student identifies errors within the information, Corrsafe will correct and update to file.

#### **Unique Identifiers**

Corrsafe Enterprises will not assign students unique identifiers except when it is necessary for efficiency of operations. Commonwealth Government identifiers, such as Medicare numbers or Tax File Numbers, will only be used for the purposes of which they were issued.

#### **Anonymity**

Corrsafe Enterprises will provide students the opportunity to interact with the business without requiring the student to make their identity known in any circumstances it is practical and possible to do so.

#### **Trans-Border Data Flows**

Corrsafe Enterprises privacy protection principles apply to the transfer of data throughout Australia.

### **Sensitive information**

Corrsafe Enterprises will request specific consent from a student in circumstances where it is necessary to collect sensitive information. Sensitive information may include but is not limited to; information relating to a student's health, disability status, criminal record, racial or ethnic background.

## **4.9 Informing Staff & Clients**

### **Clause 8.6**

Corrsafe Enterprises will also inform all staff and clients of the legislative and regulatory requirements that affect their duties or participation in vocational education and training. Corrsafe recognises that compliance with legislative requirements underpins the effective implementation of its operations and ensures accountability and transparency of activities of both management and staff.

Staff will be advised at induction and kept up to date with changes to legislation through monthly management meetings and written correspondence. Policies and procedures and associated tools and templates will be updated to reflect updates to legislation as soon as practical following advice.

Any training that is required will be organised in a professional and timely manner.

All staff are encouraged to view current legislation online at: <http://austlii.gov.au>

## **Part 5: Appendices**

- A. Standards for Registered Training Organisations (STANDARDS FOR RTOS 2015) and Schedules 1- 6**
- B. Templates and Tools**
- C. Useful Web Links**
- D. Frequently Asked Questions**
- E. Definitions and Abbreviations**
- F. Case Studies**



## Appendix A: Standards for Registered Training Organisations (STANDARDS FOR RTOS 2015) and Schedules 1- 6

### Standard 1

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

#### **Context:**

*Students, employers and industry must have confidence in the integrity, currency and value of certification documents issued by RTOs, through high quality training and assessment practices that:*

- *meet the requirements of training packages and VET accredited courses;*
- *is responsive to industry and student needs; and*
- *is delivered by appropriately qualified trainers and assessors with the right support services, facilities and equipment.*

*The RTO's training and assessment strategies and practices must have regard to the amount of training required for the student to gain the competencies as specified in the relevant training package or VET accredited course.*

*The amount of training will vary depending on the existing skills and knowledge of the student, the mode of delivery and include any work placement arrangements. To ensure thorough and rigorous assessment practices and results, RTOs must implement a comprehensive plan of systematic validation.*

*RTOs must use a risk-based approach to developing the plan considering risk indicators such as the potential safety concerns to clients from an assessment outcome that is not valid, the mode of delivery, changes to training packages and/or licensing requirements.*

*Trainers and assessors who are involved in training and assessment delivery being considered as part of the validation process may also participate in the validation process. There are differences in the operating characteristics and business objectives of RTOs and the evidence RTOs use to demonstrate compliance with this Standard will reflect those differences.*

#### **To be compliant with Standard 1 the RTO must meet the following:**

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 student to meet the requirements for each unit of competency or module in which they are enrolled.

1.2 For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each student with regard to:

- 1.2.1 the existing skills, knowledge and the experience of the student;
- 1.2.2 the mode of delivery; and
- 1.2.3 where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

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

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the student cohort/s undertaking the training and assessment;
- c) learning resources to enable students to meet the requirements for each unit of competency, and which are accessible to the student regardless of location or mode of delivery; and
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of students undertaking the training and assessment.

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

### **Industry relevance**

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

1.6 The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

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

### **Student support**

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

### **Assessment**

1.8 The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

- a) complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2. And
- c) is systematically validated

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

<b>Fairness</b>	The individual student's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual student's needs. The RTO informs the student about the assessment process, and provides the student with the opportunity to challenge the result of the assessment and be reassessed if necessary.
<b>Flexibility</b>	Assessment is flexible to the individual student by: <ul style="list-style-type: none"> <li>• reflecting the student's needs;</li> <li>• assessing competencies held by the student no matter how or where they have been acquired; and</li> <li>• 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.</li> </ul>
<b>Validity</b>	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual student. Validity requires: <ul style="list-style-type: none"> <li>• 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;</li> <li>• assessment of knowledge and skills is integrated with their practical application;</li> <li>• assessment to be based on evidence that demonstrates that a student could demonstrate these skills and knowledge in other similar situations; and</li> <li>• judgement of competence is based on evidence of student performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
<b>Reliability</b>	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**

<b>Validity</b>	The assessor is assured that the student has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
<b>Sufficiency</b>	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a student's competency.
<b>Authenticity</b>	The assessor is assured that the evidence presented for assessment is the student's own work.
<b>Currency</b>	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

1.9 The 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:

- 1.9.1 when assessment validation will occur;
- 1.9.2 which training products will be the focus of the validation;
- 1.9.3 who will lead and participate in validation activities; and
- 1.9.4 how the outcomes of these activities will be documented and acted upon.

1.10 For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.

1.11 For the purposes of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- a) vocational competencies and current industry skills relevant to the assessment being validated;
- b) current knowledge and skills in vocational teaching and learning; and
- c) the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1

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

1.12 The RTO offers recognition of prior learning to individual students.

### **Trainers and assessors**

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:

- a) vocational competencies at least to the level being delivered and assessed;
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

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

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

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

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

1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

**Individuals working under the supervision of a trainer**

1.17 Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

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

- a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- b) has vocational competencies at least to the level being delivered and assessed; and
- c) has current industry skills directly relevant to the training and assessment being provided.

1.19 Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

1.20 Without limiting Clauses 1.17 – 1.19, the RTO:

- a) determines and puts in place:
  - i) the level of the supervision required; and
  - ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

**Delivery of the training and assessment qualifications for trainers and assessors**

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

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

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

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

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

1.24 The RTO must ensure that any individual working under supervision under Clause 0 holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

**Note:** from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

### **Independent validation of training and assessment qualifications**

1.25 From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of **independent validation** and **validation**).

### **Transition of training products**

1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

- a) where a training product on its scope of registration is superseded, all students' training and assessment is completed and the relevant AQF certification documentation is issued or students are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;
- b) where an AQF qualification is no longer current and has not been superseded, all students' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;
- c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all students' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and
- d) a new student does not commence training and assessment in a training product that has been removed or deleted from the National Register.

1.27 The requirements specified in Clause 06 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

## Standard 2

The operations of the RTO are quality assured.

### **Context:**

*The RTO is ultimately responsible for ensuring quality training and assessment within their organisation and scope of registration, regardless of any third-party arrangements where training and/or assessment is delivered on their behalf.*

*This includes where the RTO subcontracts the delivery of services to a third party and the third party further subcontracts the delivery of services, but the AQF certification documentation will be issued by the RTO.*

*The RTO must have a written agreement with any party that delivers services on its behalf. The RTO is responsible for developing, implementing, monitoring and evaluating quality training and assessment strategies and practices that meet training package and VET accredited course requirements.*

*Evaluating information about performance and using such information to inform quality assurance of services and improve training and assessment is sound business and educational practice.*

*The information used to evaluate RTO performance must be relevant to the operating characteristics and business objectives of the RTO and will vary from one RTO to another.*

### **To be compliant with Standard 2 the RTO must meet the following:**

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.

2.2 The RTO:

- a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with 0; and
- b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 0, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

2.3 The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

2.4 RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

### Standard 3

The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to student records.

**Context:**

*To maintain the integrity and national recognition of training products, AQF certification must be consistent in presentation and RTOs must accept the certification issued by other RTOs.*

*This is the purpose of nationally agreed requirements about the nature of certification content and presentation and maintenance. Student needs should be met through timely issuance of AQF certification documentation and access to their records.*

*RTOs are not obliged to issue any certification that would be entirely comprised of units or modules completed at another RTO or RTOs.*

**To be compliant with Standard 3 the RTO must meet the following:**

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

3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

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

3.4 Records of student AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past students.

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

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

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

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the *Student Identifiers Act 2014*;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will



- not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
- d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

#### Standard 4

Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current students and clients.

**Context:**

*The RTO is ultimately responsible for ensuring transparent and accurate information about RTO services and performance is accessible to prospective and current students and clients of the RTO, regardless of any arrangements to have this information distributed on behalf of the RTO.*

*Transparent and accurate information about RTO services and performance enables prospective and current students and clients to make informed decisions regarding their training and/or assessment needs.*

*The information about RTO services and performance provided by the RTO must be relevant to and reflect the needs of the client which will vary from RTO to RTO.*

**To be compliant with Standard 4 the RTO must meet the following:**

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

- a) accurately represents the services it provides and the training products on its scope of registration;
- b) includes its RTO Code;
- c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
- d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
- e) makes clear where a third party is recruiting prospective students for the RTO on its behalf;
- f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- h) includes the code and title of any training product, as published on the National Register, referred to in that information;
- i) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- j) only advertises or markets that a training product it delivers will enable students to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

- k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- l) does not guarantee that:
  - i) a student will successfully complete a training product on its scope of registration; or
  - ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
  - iii) a student will obtain a particular employment outcome where this is outside the control of the RTO.

## Standard 5

Each student is properly informed and protected.

### **Context:**

*In order to ensure that students are adequately informed about the services they are to receive, their rights and obligations, and the RTO's responsibilities under these Standards, the RTO must provide students with information prior to commencement of services including any third-party arrangements affecting the delivery of training and/or assessment.*

*This is to occur regardless of the manner in which the student has been engaged, and whether the student was initially engaged by the RTO itself or a third party. The RTO is to provide or make readily available information to the student that outlines the services the RTO will provide the student, along with the rights and obligations of the student and the RTO.*

*The RTO may provide information to the student through one or more documents, for example an enrolment form, policy, employment contract or agreement, induction handbook or documented practice, training plan or training contract.*

### **To be compliant with Standard 5 the RTO must meet the following:**

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

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

- a) the code, title and currency of the training product to which the student is to be enrolled, as published on the National Register;
- b) the training and assessment, and related educational and support services the RTO will provide to the student including the:
  - iv) estimated duration;
  - v) expected locations at which it will be provided;
  - vi) expected modes of delivery;

- vii) name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on the RTO's behalf; and
- viii) any work placement arrangements.
- c) the RTO's obligations to the student, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- d) the student's rights, including:
  - ix) details of the RTO's complaints and appeals process required by 0; and
  - x) 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 student is enrolled in;
- e) the student's obligations:
  - xi) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
  - xii) any requirements the RTO requires the student to meet to enter and successfully complete their chosen training product; and
  - xiii) any materials and equipment that the student must provide; and
- f) information on the implications for the student of government training entitlements and subsidy arrangements in relation to the delivery of the services.

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

- a) all relevant fee information including:
  - xiv) fees that must be paid to the RTO; and
  - xv) payment terms and conditions including deposits and refunds;
- b) the student's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;
- c) the student's right to obtain a refund for services not provided by the RTO in the event the:
  - xvi) arrangement is terminated early; or
  - xvii) the RTO fails to provide the agreed services.

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

## Standard 6

Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

### **Context:**

*RTOs must implement a transparent complaints and appeals policy that enables students and clients to be informed of and to understand their rights and the RTO's responsibilities under the Standards.*

*Enterprise RTOs and volunteer associations that do not charge fees for the training and/or assessment and only provide training to employees or members are not required to maintain a separate complaints and appeals policy in relation to their training and assessment.*

*These organisations must ensure, however, that their organisation's complaints policy is sufficiently broad to cover the activities as an RTO.*

**Subject to Clause 6.6, to be compliant with Standard 6 the RTO must meet the following:**

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

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

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

6.3 The RTO's complaints policy and appeals policy:

- a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- b) are publicly available;
- c) set out the procedure for making a complaint or requesting an appeal;
- d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
- e) provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) regularly updates the complainant or appellant on the progress of the matter.

6.5 The RTO:

- a) securely maintains records of all complaints and appeals and their outcomes; and

- b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

6.6 Where the RTO is an employer or a volunteer organisation whose students solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses

6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

## Standard 7

The RTO has effective governance and administration arrangements in place.

### **Context:**

*Business viability is critical to the ongoing sustainability of an RTO and the investment it makes in its services. If RTOs are not viable, then this negatively impacts on the quality of its training and assessment outcomes and on students.*

*Operational and financial business standards therefore provide important protective measures for the student and RTOs, as well as acting as a disincentive for underprepared organisations to enter the market.*

*The factors determining the viability of an RTO are dependent upon the business objectives and operating characteristics of the RTO. For example, the factors determining the business viability of an enterprise RTO embedded within a major Australian business may be different to those impacting upon a private provider or a publically-owned TAFE Institute.*

**To be compliant with Standard 7 Chapter NNNNNNNNNNNN the RTO must meet the following:**

7.1 The RTO ensures that its executive officers or high managerial agent:

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

7.2 The RTO satisfies the *Financial Viability Risk Assessment Requirements*.

7.3 Where the RTO requires, either directly or through a third party, a prospective or current student 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.

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

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

## Standard 8

The RTO cooperates with the VET Regulator and is legally compliant at all times.

### **Context:**

*RTOs need to comply with the requirements of the RTO Standards as well as other relevant Commonwealth, State and Territory legislation. This is critical if RTOs are to deliver training products that have integrity, and which fulfil their obligations to their clients.*

*It is important that third party arrangements are documented and transparent to facilitate the Regulator's knowledge that such arrangements exist. This will enable them to factor this into the risk profile they apply when enforcing compliance with the Standards and to review, in the context of RTO audits, the terms of the third-party arrangements and the effectiveness of the arrangements in facilitating compliance with these Standards.*

### **To be compliant with Standard 8 the RTO must meet the following:**

#### 8.1 The RTO cooperates with the VET Regulator:

- b) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- c) in the conduct of audits and the monitoring of its operations;
- d) by providing quality/performance indicator data;
- e) 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;
- f) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
- g) in the retention, archiving, retrieval and transfer of records.

#### 8.2 The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- b) in the conduct of audits and the monitoring of its operations.

#### 8.3 The RTO the Regulator:

- a) of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- b) within 30 calendar days of the agreement coming to an end.

#### 8.4 The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

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

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

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



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## Schedule 1

Item	Relevant Standard	AQF Qualification or Unit of Competency
1	1.14 1.15	TAE40110 Certificate IV in Training and Assessment or its successor.
2	1.14 1.15	A diploma or higher level qualification in adult education.
3	1.15	TAESS00001 Assessor Skill Set or its successor.
4	1.18	TAESS00007 Enterprise Trainer – Presenting Skill Set or its successor; or  TAESS00008 Enterprise Trainer – Mentoring Skill Set or its successor; or  TAESS00003 - Enterprise Trainer and Assessor Skill Set or its successor.
5	1.23	TAE50111 Diploma of Vocational Education and Training or its successor; or  TAE50211 Diploma of Training Design and Development or its successor; or  A higher level qualification in adult education.



## Schedule 2

### ***Independent validation requirements for RTOs delivering training and assessment qualifications or assessor skill sets from the Training and Education Training Package (or its successor)***

For the purposes of Clause 1.25, the requirements for independent validation will apply as follows:

- a) For an RTO applying to extend its scope of registration to include the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:
  - xviii) the RTO's assessment tools, processes and outcomes in relation to other AQF qualifications and/or units of competency on its scope of registration, as directed by the VET Regulator; and
  - xix) the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set.
- b) For an RTO where its scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:
  - xx) the assessment system for delivery of the training and assessment qualification or assessor skill set; and
  - xxi) the RTO's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set.

For the purposes of Clause 1.25, independent validation of AQF qualifications or the assessor skill set from the Training and Education Training Package (or its successor) must be conducted by one or more persons who collectively have:

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

## Schedule 3

### *Fit and Proper Person Requirements*

#### **Criteria for suitability**

In assessing whether a person meets the Fit and Proper Person Requirements, the VET Regulator will have regard to the following considerations:

whether the person has been convicted of an offence against a law of the Commonwealth or a State or Territory of Australia, or of another country, and if so, the seriousness of the offence and the time elapsed since the conviction was recorded;

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

## Schedule 4

### *Conditions of Use of NRT Logo*

The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to AQF certification documentation. The NRT Logo is a registered trade mark.

The following describes a range of situations and conditions for using the NRT Logo.

#### **Advertisements and promotional information in any medium (print, television, radio, banners, internet, etc.)**

1. RTOs registered by any VET Regulator may use the NRT Logo to promote nationally recognised training provided that training is within the RTO's scope of registration.
2. Impressions must not be created that may lead an observer to conclude the NRT Logo applies to all training provided by the RTO, if this is not the case. The NRT Logo cannot be used by an RTO where the training is accredited, but is outside the scope of registration of the RTO. Where training is being promoted and does not meet the requirements stipulated in the VET Quality Framework or is outside the RTO's scope of registration, it must be made clear the NRT Logo is not associated with that training.
3. Use of the NRT Logo is only permitted where there is a direct relationship to an AQF qualification and/or unit of competency as specified within training packages or VET accredited courses.

#### **Student information (brochures, course handbooks, prospectuses, etc.)**

4. When an RTO is promoting the training it offers and wishes to use the NRT Logo, its promotional material such as brochures, handbooks and prospectuses must clearly distinguish between nationally recognised training within the scope of registration and that which is not nationally recognised.

#### **Corporate stationery, business cards, buildings, training resources and marketing products**

5. The NRT Logo must not be used on products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, packaging around products nor learning resources supporting training.

#### **Certificates, Statements of Attainment and other testamurs**

1. The NRT Logo must be depicted on all AQF certification documentation issued by the RTO. These can only be issued by an RTO when the qualification and/or unit of competency are within the RTO's scope of registration. The NRT Logo must not be depicted on other testamurs or transcripts of results.

## Schedule 5

### **Application of the AQF Qualifications Issuance Policy within the VET Sector**

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

#### **Issuing AQF Qualifications**

1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:
  - a) the name, RTO code and logo of the issuing organisation;
  - b) the code and title of the awarded AQF qualification; and
  - c) the NRT Logo in accordance with the current conditions of use contained in Schedule 4.
2. The following elements are to be included on the testamur as applicable:
  - h) the State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts);
  - i) the industry descriptor, e.g. Engineering;
  - j) the occupational or functional stream, in brackets, e.g. (Fabrication);
  - k) where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and
  - l) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
3. RTOs must not include the student's Student Identifier on the testamur consistent with the *Student Identifiers Act 2014*.
4. RTOs will:
  - d) retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued;
  - e) retain records of AQF certification documentation issued for a period of 30 years; and
  - f) provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

#### **Issuing Statements of Attainment**

5. RTOs must include the following information on a statement of attainment:
  - a) the name, RTO Code and logo of the issuing organisation;
  - b) a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency;
  - c) the authorised signatory;
  - d) the NRT Logo;
  - e) the issuing organisation's seal, corporate identifier or unique watermark;
  - f) the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';
6. The following elements are to be included on the statement of attainment as applicable:
  - a) the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities);
  - b) the words 'These competencies form part of [code and title of qualification(s)/course(s)]';
  - c) the words, 'These competencies were attained in completion of [code] course in [full title]'; and

- d) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
- 7. RTOs must not include the student's Student Identifier on the statement of attainment consistent with the *Student Identifiers Act 2014*.
- 8. RTOs will:
  - a) maintain registers of all statements of attainments issued;
  - b) retain records of statements of attainment issued for a period of 30 years; and
  - c) provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.



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## Schedule 6

### **Requirements for protecting fees prepaid by individual students, or prospective students, for services**

These requirements do not override obligations and requirements of the *Education Services for Overseas Students Act 2000* (Cth).

Type of RTO	Requirement
Government Entity or an Australian university	<p>The RTO implements a policy addressing student fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the student has prepaid, the student will:</p> <ul style="list-style-type: none"> <li>• be placed into an equivalent course such that:               <ul style="list-style-type: none"> <li>– the new location is suitable to the student; and</li> <li>– the student receives the full services for which they have prepaid at no additional cost to the student; or</li> </ul> </li> <li>• be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.</li> </ul>
All other RTOs	<p>The RTO addresses student fee protection by implementing one or more of the following arrangements:</p> <ol style="list-style-type: none"> <li>1. The RTO holds an unconditional financial guarantee from a bank operating in Australia where:         <ol style="list-style-type: none"> <li>a) the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each student for services to be provided by the RTO to those students; and</li> <li>b) all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO.</li> </ol> </li> <li>2. The RTO holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the RTO is unable to provide services for which the student has prepaid, must ensure:         <ul style="list-style-type: none"> <li>• the student will be placed into an equivalent course such that:             <ul style="list-style-type: none"> <li>– the new location is geographically close to where the student had been enrolled; and</li> <li>– the student receives the full services for which they have prepaid at no additional cost to the student; or</li> </ul> </li> <li>• if an equivalent course cannot be found, the student is paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.</li> </ul> </li> <li>3. Any other fee protection measure approved by the VET Regulator.</li> </ol>

## Appendix B: Templates and Tools

### Student Enrolment

[Student Document Request Form](#)  
[Student Feedback Form](#)  
[Student Handbook](#)  
[Enrolment Form](#)  
[Language, Literacy & Numeracy Test](#)  
[Pre-Course Letter Template](#)  
[Traineeship Training Plan Template](#)

### Complaints and Appeals

[Appeals Form](#)  
[Appeals Register](#)  
[Complaint/Appeal Feedback Form](#)  
[Complaints Form](#)  
[Complaints Register](#)

### Continuous Improvement

[Continuous Improvement Register](#)  
[Corrective Action Report Template](#)  
[Internal Audit Checklist](#)  
[Internal Audit Schedule](#)

### Human Resources

[Position Descriptions](#)  
[Professional Development Schedule](#)  
[Staff Assessment and Feedback](#)  
[Staff Induction Checklist](#)  
[Staff Performance Appraisal](#)  
[Staff Qualification Verification Checklist](#)  
[Stakeholder Feedback Form](#)  
[Trainer Qualification and Experience Matrix](#)

### Recognition of Prior Learning

[Recognition of Prior Learning Application Form](#)  
[Recognition of Prior Learning Evidence Matrix](#)  
[Recognition of Prior Learning Feedback Form](#)  
[Recognition of Prior Learning Introduction Letter](#)

### RTO Functions

[Certificate Templates](#)  
[Register of Documents](#)  
[Risk Assessment Template](#)

## **Validation and Moderation**

[Assessment Alteration, Validation & Impact Tool Template](#)

[Assessment Validation Tool](#)

[Industry Consultation Tool](#)



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## Appendix C: Useful Weblinks

### Australian Skills Quality Authority

[asqa.gov.au](http://asqa.gov.au)

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers to ensure nationally approved quality standards are met. ASQA's vision is that students, employers and governments have full confidence in the quality of vocational education and training outcomes delivered by Australian registered training organisations.

### Australian Skills Quality Authority (ASQA) Frequently Asked Questions

[asqa.gov.au/faqs](http://asqa.gov.au/faqs)

This page is updated regularly to answer questions from registered training organisations and other ASQA stakeholders.

### Australian Skills Quality Authority (ASQA) Media and Publications

[asqa.gov.au/media-and-publications/newsletter-sign-up](http://asqa.gov.au/media-and-publications/newsletter-sign-up)

Sign up for regular updates about ASQA.

### Users Guide to the Standards for Registered Training Organisations 2015

<http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/users-guide-to-the-standards-for-registered-training-organisations-2015.html>

ASQA has developed this Standards Guide to assist RTOs to understand their obligations under the revised *Standards for RTOs 2015*.

### AusIndustry

[ausindustry.gov.au](http://ausindustry.gov.au)

The Department of Innovation, Industry, Science and Research, is committed to delivering business services that build on three key drivers of economic growth, innovation, investment and international competitiveness.

### Australia's Vocational Education & Training Database

[training.gov.au](http://training.gov.au)

This is the database on Vocational Education and Training in Australia. Training.gov.au (TGA) is the official National Register of information on Training Packages, Qualifications, Courses, Units of Competency and registered training organisations (RTOs) and has been developed for experienced training sector users.

### Australian Apprenticeships

[australianapprenticeships.gov.au](http://australianapprenticeships.gov.au)

Resource for employers, apprentices, school students, job seekers, and career advisers.

### Australian Consumer Law

[consumerlaw.gov.au](http://consumerlaw.gov.au)

The ACL is a cooperative reform of the Australian Government and the States and Territories, through the Ministerial Council on Consumer Affairs (MCCA). This website contains information about the ACL and its enforcement, and consumer policy in Australia.

### **Australian Council for Educational Research**

[acer.edu.au](http://acer.edu.au)

ACER is committed to creating and distributing research based knowledge, products and services to improve learning across the lifespan in both formal and informal settings.

### **Australian Council for Private Education and Training**

[acpet.edu.au](http://acpet.edu.au)

ACPET is the national industry association for independent providers of post-compulsory education and training, for Australian and international students, including: Higher Education, Vocational Education and Training, English Language Courses, Senior Secondary Studies, Foundation Studies.

### **Australian Federal Police**

[afp.gov.au](http://afp.gov.au)

The AFP provides a range of investigation and operational support, security risk management, security vetting and information services to assist public, including police checks.

### **Australian Government Skills Connect**

[skillsconnect.gov.au](http://skillsconnect.gov.au)

Australian Government Skills Connect is designed to provide businesses large and small with access to Australian Government assistance, resources and funding for workforce development.

### **Australian Government: The Treasury**

[treasury.gov.au/Policy-Topics/Consumer](http://treasury.gov.au/Policy-Topics/Consumer)

The Treasury provides advice on Australia's competition and consumer policy framework — including the Competition and Consumer Act 2010 and the Australian Consumer Law — and promoting competitive, efficient, well informed and safe markets that enhance the welfare of Australians.

### **Australian Legal Information Institute**

[austlii.edu.au](http://austlii.edu.au)

The Australasian Legal Information Institute provides free internet access to Australasian legal materials. AustLII's broad public policy agenda is to improve access to justice through better access to information. To that end, they have become one of the largest sources of legal materials on the net, with over four million searchable documents.

### **Australian Qualifications Framework**

[aqf.edu.au](http://aqf.edu.au)

The AQF is a unified system of national qualifications in schools, vocational education and training (TAFEs and private providers) and the higher education sector (mainly universities).

### **Australian Workforce and Productivity Agency**

[awpa.gov.au](http://awpa.gov.au)

The independent Australian Workforce and Productivity Agency is an expansion of the role and functions of Skills Australia. Through its high level expertise, industry and union leadership and collaboration, it is recognised as an authority on workforce development policy and advice and directs skills funding to industry needs.

### **The Australian Government's principle business resource**

[business.gov.au](http://business.gov.au)

Offers simple and convenient access to all the government information, transactions and services you need. It's a whole-of-government service providing essential information on planning, starting and running your business.

### **Council of Australian Governments**

[coag.gov.au](http://coag.gov.au)

COAG is supported by inter-jurisdictional, ministerial-level Councils that facilitate consultation and cooperation between the Commonwealth and the States and Territories in specific policy areas. COAG Councils pursue and monitor priority issues of national significance and take joint action to resolve issues that arise between governments. Councils also develop policy reforms for consideration by COAG, and oversee the implementation of policy reforms agreed by COAG.

### **Department of Education and Training**

<http://education.gov.au/>

The department will be responsible for national policies and programmes that help Australians access quality early childhood education, school education, higher education, vocational education and training, international education and research

### **Department of Employment**

<http://employment.gov.au/>

The Australian Government Department of Employment is responsible for national policies and programmes that help Australians find and keep employment and work in safe, fair and productive workplaces

### **Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education**

[www.innovation.gov.au/skills/Pages/default.aspx](http://www.innovation.gov.au/skills/Pages/default.aspx)

The training and skills sector, also known as vocational education and training (or VET), helps Australians gain new skills and upgrade existing skills. The government supports the sector through policies and funding for programs.

### **National Advisory for Tertiary Education, Skills and Employment**

[natese.gov.au](http://natese.gov.au)

The National Advisory for Tertiary Education, Skills and Employment (NATESE) provides policy advice and a secretariat structure to facilitate and support the key advisory councils of the Council of Australian Government's (COAG) Standing Council responsible for tertiary education, skills and employment.

### **National Centre for Vocational Education Research**

[ncver.edu.au](http://ncver.edu.au)



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The National Centre for Vocational Education Research (NCVER) is a not-for-profit company owned by state, territory and federal ministers responsible for training. It is a professional and independent body responsible for collecting, managing, analysing, evaluating and communicating research and statistics about vocational education and training (VET) nationally. NCVER's vision is to contribute to improvement in Australia's education and training system by ensuring that policy and practice are based on sound evidence. Its mission is to be Australia's leading provider of high quality, independent information on vocational education and training to governments, the education sector, industry, and the community.

### **NVEAC National VET Equity Advisory Council**

[nveac.natese.gov.au](http://nveac.natese.gov.au)

The National VET Equity Advisory Council (NVEAC) was established to provide independent advice to the Ministerial Council for Tertiary Education and Employment (MCTEE now SCOTese - Standing Council on Tertiary Education, Skills and Employment), on how disadvantaged students can achieve better outcomes from VET.

### **Office of the Australian Information Commissioner**

[privacy.gov.au](http://privacy.gov.au)

Resources to help businesses and NGO's understand their privacy responsibilities.

### **SCOTese Standing Council on Tertiary Education, Skills and Employment**

[scotese.natese.gov.au](http://scotese.natese.gov.au)

The purpose of SCOTese is to ensure that Australia's current and future workforce needs are met through increased participation, educational attainment, skills development and skills use to achieve greater productivity.

### **Standards for Training Packages**

<https://docs.education.gov.au/system/files/doc/other/standardsfortrainingpackages.pdf>

The purpose of the Standards for Training Packages is to ensure Training Packages are of high quality and meet the workforce development needs of industry, enterprises and individuals. The Standards for Training Packages apply to the design and development of Training Packages for endorsement consideration by the National Skills Standards Council (NSSC).

### **Training Packages @ Work**

[trainingpackagesatwork@innovation.gov.au](mailto:trainingpackagesatwork@innovation.gov.au)

A quality source of information on training packages and the vocational education and training system. Subscribe via the link to receive quality information on training packages and the vocational education and training system.

<http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/about-this-guide/about-this-guide.html>

### **Vocational, Education and Training Industry Group**

[vetig.com.au](http://vetig.com.au)

VETIG is a community of experienced, professional practitioners committed to developing exceptionally high performance training and assessment practices for Vocational Education and Training professionals.



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## **Voc Ed Learning Group**

[velq.com.au](http://velq.com.au)

VELG was formed to provide professional development and consulting services to VET staff in registered training organisations. VELG conducts professional development on numerous VET topics and ASQA (Australian Skills Quality Framework) compliance issues in all Australian states and territories. VELG also provides a personal consulting service to all VET organisations and staff.

## **Queensland Websites**

### **Department of Employment, Economic Development and Innovation**

[fairtrading.qld.gov.au](http://fairtrading.qld.gov.au)

Fair trading is important to Queensland business. As a business operator, charity, association or cooperative in Queensland, you contribute to fair trading in the marketplace and have a number of responsibilities and legal requirements.

### **Queensland Department of Education and Training**

[trainandemploy.qld.gov.au/partners/](http://trainandemploy.qld.gov.au/partners/)

The Department of Education and Training was established to engage Queenslanders in life-long education and training and to build a strong arts and cultural sector which enriches the lives of Queenslanders.

### **Department of Communities, Child Safety and Disability Services**

[communities.qld.gov.au](http://communities.qld.gov.au)

The department's vision is to support a resilient Queensland through excellence in human services and aim to improve the wellbeing, safety, inclusion and cohesion in QLD communities. Their purpose is to lead excellence in contemporary frontline human services to Queenslanders. To realise this vision and purpose, the department will provide support and services to people most in need.

### **Department of Education, Training and Education Apprenticeships Info**

[apprenticeshipsinfo.qld.gov.au](http://apprenticeshipsinfo.qld.gov.au)

Apprenticeships Info aims to provide a valuable 'one stop' contact for queries in relation to the Queensland apprenticeship and traineeship system. Apprenticeships Info provide free advice, referrals and support to all Queenslanders about apprenticeships, traineeships and training options and also act as a link to the Training Queensland district offices by referring enquiries and workplace issues to your local office for further assistance and support.

### **Queensland Government Business Development**

[business.qld.gov.au](http://business.qld.gov.au)

Considering a Business? Will your idea work? Research your idea here and adequately assess your business potential. If you are starting a business, this site has checklists of requirements, business names, licences, launching, growing your business, growing your operations, increasing staff numbers.

## Queensland Small Business Solutions

[smallbusinesssolutions.qld.gov.au](http://smallbusinesssolutions.qld.gov.au)

Are you looking for an immediate improvement to your bottom line? Find out how you can enhance your business skills, profitability and growth and take your business to the next level. If you own a small business, micro-business or home based business then you must consider Small Business Solutions. It's affordable, it's targeted and most importantly, it gets results.

## Queensland VET Development Centre

[vetpd.qld.gov.au](http://vetpd.qld.gov.au)

The Queensland VET Development Centre (QVDC) is a leader in the Queensland vocational education and training (VET) sector in enabling and supporting registered training organisations (RTOs) to meet the needs of a responsive, flexible and industry driven environment. The QVDC has done this by leading and promoting the development of the right products and services, scaffolded by the right staff capability to meet the needs of Queenslanders.



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## Appendix D: Frequently Asked Questions

The Australian Skills Quality Authority has included a series of Frequently Asked Questions within its [www.asqa.gov.au](http://www.asqa.gov.au) website. This is a valuable resource and provides a quick reference with potential solutions to «RTO\_Name»'s stakeholders. You can also contact ASQA online by completing the ask [ASQA a question online](#) form or email [enquiries@asqa.gov.au](mailto:enquiries@asqa.gov.au).

Topics discussed within [ASQA's FAQs](#) include:

- Audit
- Becoming an RTO
- Change of scope
- Complaints about ASQA
- Course accreditation
- CRICOS/ELICOS applications and registration
- CRICOS/ELICOS compliance
- Data and reporting requirements
- Fees, charges and payments
- Financial management
- Keeping ASQA informed of changes
- Marketing
- Renewing RTO registration
- Risk assessment and risk ratings
- RTO standards 2015
- Testamurs and statements of attainment
- Training and assessment
- VET sector regulation

## Appendix E: Definitions & Abbreviations

### Definitions

The dictionary below is an extract from the [Standards for Registered Training Organisations 2015](#) which defines certain words and expressions which have specific meaning in these Standards. Where a term is used in this document that has been defined in the [National Vocational Education and Training Regulator Act 2011](#) ('the Act'), the term will take its meaning from the Act.

### Dictionary

**Act** means the *National Vocational Education and Training Regulator Act 2011*.

**Access and equity** means policies and approaches aimed at ensuring that VET is responsive to the individual needs of clients whose age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location may present a barrier to access, participation and the achievement of suitable outcomes.

**Accredited short course** means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

**AQF certification documentation** is the set of official documents that confirms that a qualification has been completed and awarded to an individual.

**AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a Training Package or VET accredited course.

**Assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) designed and implemented to increase the likelihood that assessments of students, using many different assessors, in varying situations, are consistent and are based on assessment evidence that is valid, sufficient, authentic and current and assessment practice that is fair, flexible, valid and reliable.

An assessment system is to include grievances and appeals process, validation systems and processes, moderation, reporting/recording arrangements, acquisition of physical and human resources, administrative procedures, roles and responsibilities, partnership arrangements (where relevant), quality assurance mechanisms, risk management strategies and documented assessment processes.

**Assessors** are persons who assess a student's competence in accordance with Clauses 1.13 to 1.16.

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



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

**Authenticated VET transcript** has the meaning given in the Student Identifiers Act 2014: authenticated VET transcript of an individual means a document prepared by the Registrar that sets out information:

- a) that relates to the VET undertaken by the individual, and
- b) that is prescribed by the regulations.

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

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

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

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

**Current industry skills** are the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision in accordance with Clause 1.14 to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

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

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

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

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

- a) pre-enrolment materials;

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

**Executive officer** means:

- a) a person, by whatever name called and whether or not a director of the organisation, who is concerned in or takes part in the management of the RTO or
- b) an administrator, receiver and manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by a court) or
- c) if the RTO is a body corporate:
  - I. a person who, at any time during a period for which the organisation is registered, owns 15 per cent or more of the organisation or
  - II. a person who, at any time during a period for which the organisation is registered, is entitled to receive 15 per cent or more of dividends paid by the organisation or
  - III. the administrator of a deed of company arrangement executed by an organisation or
  - IV. a trustee or other person administering a compromise or arrangement made between the organisation and another person or other persons.

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

*National Vocational Education and Training Regulator Act 2011 meaning:*

*Financial Viability Risk Assessment Requirements has the meaning given by section 158:*

*158 Financial Viability Risk Assessment Requirements*

1. The National VET Regulator must, by legislative instrument, make requirements relating to the financial viability of NVR registered training organisations.
2. The requirements are to be known as the Financial Viability Risk Assessment Requirements.

3. Despite subsection 14(2) of the Legislative Instruments Act 2003, the Financial Viability Risk Assessment Requirements may make provision in relation to a matter by applying, adopting or incorporating any matter contained in another instrument or other writing as in force or existing from time to time.

**Government entity** means:

- a) A Department of State of the Commonwealth; or
- b) A Department of the Parliament established under the *Parliamentary Service Act 1999* of the Commonwealth;
- c) An Executive Agency, or Statutory Agency, within the meaning of the *Public Service Act 1999* of the Commonwealth;
- d) A Department of State of a State or Territory; or
- e) An organisation that:
  - (i) Is not an entity; and
  - (ii) Is either established by the Commonwealth, a State or a Territory (whether under a law or not) to carry on an enterprise or established for a public purpose by an Australian law; and
  - (iii) Can be separately identified by reference to the nature of the activities carried on through the organisation or the location of the organisation whether or not the organisation is part of a department or branch described in paragraph (a), (b), (c) or (d) or of another organisation of the kind described in this paragraph

**High managerial agent** means an employee or agent of the organisation with duties of such responsibility that his or her conduct may fairly be assumed to represent the organisation in relation to the business of providing courses.

**Independent validation** means, for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who:

- a) are not employed or subcontracted by the RTO to provide training and assessment; and
- b) have no other involvement or interest in the operations of the RTO.

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

- a) enterprise/industry clients, e.g. employers;
- b) group training organisations
- c) industry organisations;
- d) industry regulators
- e) industry skills councils
- f) industry training advisory bodies; and
- g) unions

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

**Industry engagement**, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to strategies such as:

- a) partnering with local employers, regional/national businesses, relevant Industry bodies and/or enterprise RTOs;
- b) involving employer nominees in industry advisory committees and/or reference groups;
- c) embedding staff within enterprises;
- d) networking in an ongoing way with industry networks, peak bodies and/or employers;
- e) developing networks of relevant employers and industry representatives to participate in assessment validation; and
- f) exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

**Industry regulator** means a body or organisation responsible for the regulation and/or licensing arrangements within a specific industry or occupation.

**Learner/student** means a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.

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

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

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

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

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

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

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

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

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

- f) participation in courses, workshops, seminars, conferences, or formal learning programs;

- g) participation in mentoring, professional associations or other learning networks;
- h) personal development through individual research or reading of publications or other relevant information;
- i) participation in moderation or validation activities; and
- j) participation in industry release schemes.

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

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

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

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

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

**RTO** means a Registered Training Organisation

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

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

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

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

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

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

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

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

**Student/Learner** means a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.

**Student Identifier** has the meaning given in the Student Identifiers Act 2014: Student identifier means an identifier assigned to an individual by the Registrar under section 10 or 12.

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

**Trainers** are persons who provide training in accordance with Clause 1.13, 1.14 and 1.16.

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

**Training and assessment strategies and practice** are the approach of, and method adopted by, an RTO with respect to training and assessment designed to enable students to meet the requirements of the training package or accredited course.

**Training Package** means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: units of competency assessment requirements (associated with each unit of competency) qualifications and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

**Training product** means AQF qualification, skill set, unit of competency, accredited short course and module.

**Unit of competency** means the specification of the standards of performance required in the workplace as defined in the training package.

**Validation** is the quality review of the assessment process. Validation involves checking that the assessment tool/s produced valid, reliable, sufficient, current and authentic evidence to

enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited courses are met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations.

**VET** means vocational education and training.

**VET accredited course** means a course accredited by the VET regulator in accordance with the Standards for VET Accredited Courses.

**VET Quality Framework** comprises:

- a) the Standards for Registered Training Organisations
- b) the Australian Qualifications Framework
- c) the Fit and Proper Person Requirements
- d) the Financial Viability Risk Assessment Requirements
- e) the Data Provision Requirements

**Vocational competencies** means broad industry knowledge and experience usually combined with a relevant industry qualification. Vocational competency is determined on an industry-by-industry basis and with reference to the relevant training package or VET accredited course.

**VET Regulator** means:

- a) the National VET Regulator, and
- b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State

## Appendix F: Case Studies

### CASE STUDY 1: WORKING WITH INDUSTRY AND EMPLOYERS

DEF Education delivers three qualifications from the Maritime Training Package. The RTO operates from a former workshop adjacent to a slipway and a number of marine repair businesses. The RTO has been approved by the Australian Maritime Safety Authority (AMSA) for the delivery of maritime licensing qualifications.

Prior to commencing operations and applying for registration as an RTO, the organisation met with local AMSA officers to discuss industry needs. DEF Education identified that:

- Due to increases in marine tourism there is a shortage of workers with certain licence classes in the area.
- Qualifications leading to licensing for Coxwain Grade 1 NC, Master (Inland Waters) and Marine.

Engine Driver Grade 3 NC would be suitable to deliver to new entrants to the industry. While these qualifications have no formal entry requirements, many tasks in certain qualifications require the ability to operate in confined spaces, and in hot and noisy conditions.

To ensure suitability of learners, the strategy identifies that learners must confirm that they have a reasonable level of physical agility and the ability to operate comfortably in confined spaces, and that they have passed the required eyesight test prior to their enrolment being accepted.

As the expected outcomes for the identified client cohort (maritime licenses) require a 'self-declaration of medical fitness' prior to issue, potential learners are required to complete this prior to enrolment to ensure they are able to achieve their desired outcomes.

DEF education considered possibilities for training new entrants to the industry using vessels operating in the local marine tourism industry but concluded that it was not practical for safety reasons.

After consultation with local employers, the RTO purchased two vessels that are representative of the type of vessel commonly used in the local area and more broadly in the marine tourism industry:

- An eight-metre open boat powered by a 250 hp outboard engine, previously used for dive trips.
- A 15-metre boat powered by twin 220 kW diesel inboard engines and a small diesel-powered generator set, previously used for extended dive and cruising trips.

To provide access to a range of equipment and machinery for basic skill development, the RTO purchased a variety of engines and other mechanical and safety equipment. This equipment includes electronic and other navigational equipment.

The engines and equipment were set up in various simulations of on-board environments to allow learners to familiarise themselves with relevant equipment and tasks safely. The two vessels purchased are used by all learners, who undertake various voyages during their training and assessment.



These voyages enable learners to undertake all required tasks and to complete the requirements of the AMSA Task Book (which documents the amount of sea service, the tasks undertaken and the type of vessel the in which the voyage was undertaken).

In response to industry concerns that graduates of some RTOs didn't have the full range of skills and experience required, DEF Education discussed the sequencing of training and assessment, as well as assessment methods, with local employers.

The discussions aimed to develop sequencing/assessment methods that would ensure learners gain exposure to a wide range of contexts and scenarios. The RTO also monitors emerging technology and regulatory requirements so that it is aware of any changes that would require strategies or practices to be amended in response to changes in industry requirements at any time.

The RTO retains records of formal meetings (through minutes) and of less formal engagement activities (through diary notes) to demonstrate how they have engaged with industry stakeholders. Version control of training and assessment strategies documents where changes are made and the reason for the changes.

#### **CASE STUDY 2: GETTING THE CALCULATIONS RIGHT**

GHI Training identifies that a qualification requires the ability to carry out complex calculations quickly and accurately. On their website, this information is provided so potential learners are aware of this requirement.

The website also includes information about optional tutorials (available at extra cost for learners who need additional support in this area). As part of the RTO's enrolment process, learners undertake a short assessment based on the type of calculations they will need to be able to complete.

Assessment results determine whether the learner will need additional support or whether the learner should undertake further study in this area before enrolling in the course. If a learner is identified as needing additional support, the RTO arranges tutorials to allow the learner to increase their skills prior to when these components are scheduled in the course.

#### **CASE STUDY 3: PROVIDING WORKPLACE ASSESSMENT ON SITE**

ABC Mining delivers the Certificate III in Mine Emergency Response and Rescue to its staff working in a large open-cut mine. Many learners have two years' experience and already hold some of the units for the qualification (e.g., first aid).

Training and assessment are carried out in both on-site training facilities and the workplace. The course is delivered over 12 months, with formal training and assessment one day a week and on-the-job observation by assessors.

Between one and two hours a week is allocated for each learner for observation and assistance, depending on the stage of the course and any additional support needs identified. After selecting suitable elective units, the Training Manager discusses suitable opportunities for workplace

assessment with the Mine Site Supervisor.

ABC Mining decides to simulate some tasks, such as conducting rescue activities, where permitted by the training package. To ensure the simulations accurately represent workplace conditions, the Training Manager arranges access to an unused area of the site and establishes simulated environments that replicate workplace conditions.

As these activities are carried out in a team, ABC Mining ensures every learner is assessed for all components by repeating the simulations regularly, with each learner carrying out every role in the team over time.

These activities are separated by formal training sessions. The activities commence with simple, routine tasks then gradually introduce further complexity and different conditions. This ensures learners are assessed on the actual skills and ability to apply knowledge to a variety of contexts in the same conditions they will experience in the workplace. It also ensures they can build on their skills over time.

Where it is suitable to observe learners undertaking regular workplace tasks, a schedule is developed with the Mine Site Supervisor that allows assessors to observe each learner on multiple occasions.

These observations include the assessor asking the learner a range of questions to test their knowledge and ability to apply knowledge to different contexts. The learning resources refer to the actual workplace procedures used on the site.

This ensures the resources are up to date and relevant. Using actual workplace procedures also allows ABC Mining to conduct the course at other sites with minimal changes. To ensure all unit requirements are addressed, and to identify opportunities to conduct holistic assessment of multiple requirements, the performance evidence and knowledge evidence requirements are documented, then 'mapped' to the assessment tasks prior to assessment being conducted.

#### **CASE STUDY 4: TOP MARKS FOR ASSESSMENT**

JKL Training delivers a range of qualifications, mostly through face-to-face delivery at its CBD location. However, assessment via recognition of prior learning is also carried out for some corporate clients who need their staff to hold certain skill sets to meet regulatory requirements.

JKL Training has developed an assessment system containing a range of procedures.

The procedures outline:

- How to develop assessment materials.
- How to test and approve assessment materials before use.
- How to undertake assessment.
- How to record and retain assessment evidence.

This system means that:

- JKL Training requires assessors to verify that all assessment tasks have been completed

satisfactorily for each learner prior to submitting assessment results for finalisation by the Training Manager.

- All completed assessment work is scanned and saved to a network drive, accompanied by all completed assessment tools and checklists, including the assessor's final verification. In cases where assessment work cannot be saved in this way (e.g. physical items), photographs which demonstrate the characteristics of the piece of work are taken and saved with the rest of the assessment material.

Because the assessment process is planned and systematic and because sound records are retained of assessment, JKL Training is able to easily demonstrate that all assessment decisions have been made correctly and validation activities are able to be conducted efficiently and quickly.

Because all records are stored digitally, JKL Training avoids expensive storage fees and backup copies of all records are made automatically.

Every six months, JKL Training holds a validation workshop. At the validation workshops:

- A random sample of assessments completed over the past six months is reviewed.
- The assessments are reviewed by one or more assessors who were not involved in the training or assessment for those courses.
- Validators use a validation checklist and note their decision as either 'confirmed' or 'not confirmed'.
- Where judgements are not confirmed by the validator, reasons are recorded in the checklist.
- Any assessment judgements 'not confirmed' are reviewed within 30 days to ensure any required improvements are made to assessment processes or materials.
- These workshops also include sessions to examine the assessment system itself, to ensure it has produced graduates with the required skills and knowledge. These sessions involve industry stakeholders who provide their views on whether the assessment system has produced suitable graduates.

#### **CASE STUDY 5 : MAKING SURE THE TRAINER IS TRAINED**

MNO Community College employs seven part-time trainers and assessors as staff members and engages another three contractors as needed. To ensure their trainers and assessors have all the required skills and knowledge, the provider requires anyone employed or contracted as a trainer and assessor to hold the Certificate IV in Training and Assessment prior to being engaged.

As part of the induction process (for both employees and contractors), all qualifications are verified with the issuing RTO where possible and comprehensive referee checks are carried out. MNO Community College keeps records of these activities in the person's human resources file.

MNO Community College requires that all trainers and assessors undergo a minimum of 20 hours of formal professional development in training and assessment each calendar year (MNO Community College pays the cost of this for employees, but not for contractors).

Both staff members and contractors must seek prior approval to have professional development counted towards their 20 required hours, allowing MNO Community College to ensure the

development activity is suitable. Both staff members and contractors must undergo a skills and knowledge evaluation in their industry area at least annually (which most demonstrate by providing evidence of work conducted in the industry).

Any trainers not currently working in the relevant industry are required to provide alternative evidence of current skills and knowledge. Again, any additional activities required are paid for by MNO Community College for staff members only.

As part of its industry engagement strategy, MNO Community College meets annually with industry representatives to review the required industry skills and knowledge for trainers and assessors to ensure they continue to meet industry expectations.

#### **CASE STUDY: 6 WATCHING THE TRAINERS**

PQR Education delivers a range of 'trade' qualifications to apprentices. The RTO recruits' trainers and assessors directly from industry, preferably those who wish to continue working in their trade part-time.

This means that PQR often has new trainers and assessors who do not have the required qualification to provide unsupervised training and assessment. Because new trainers are hired regularly, PQR Education has established a formal framework of supervision and mentoring for new staff.

All new staff are required to undertake the Certificate IV in Training and Assessment with an RTO engaged by PQR Education, undertaking a customised program that focuses on the challenges in delivering trade qualifications in a mixture of workplace and offline delivery.

A mentor is assigned to work with the new staff member until they have completed the qualification. This ensures very close supervision at the beginning of the program with the mentor observing at least two training sessions per week.

This gradually decreases as the trainer reaches predetermined competency milestones and ceases once the Certificate IV in Training and Assessment has been achieved. A formal review is held each Friday to provide feedback and to consider any assessment evidence.

Review sheets are signed by both parties and retained in both HR files. When the trainer has completed the Certificate IV in Training and Assessment, the mentor is also required to confirm that the person has met the requirements of PQR Education to provide unsupervised training and assessment.

#### **CASE STUDY 7: USING COMPLAINT OUTCOMES FOR BUSINESS IMPROVEMENT**

HIJ Training publishes a combined complaints and appeals policy on its website. On enrolment, all learners are directed to the policy and must confirm that they understand their rights in this area. While complaints can be submitted online, the policy sets out that people are able to speak with a staff member about their concerns and the staff member will complete the form on their behalf if required.

Any complaints are directed immediately to the RTO's Training Manager, who either investigates them or refers them to the General Manager if there is any conflict of interest (e.g., if the complaint is about the conduct of the Training Manager).

The RTO conducts separate interviews with both the person making the complaint and the person the complaint is about. In the case of appeals against assessment decisions, the Training Manager initially reviews the decision and the evidence used to make the decision.

The assessor and the learner are interviewed separately to find out whether there is any relevant information not contained in the learner's file. Regardless of the outcome, all parties are to be notified of the outcome within 30 days.

A mediator can be provided by the Australian Mediation Association. HIJ Training agrees to pay the cost of one mediation session of up to two hours and advises that, should the matter require further mediation, it will be at the cost of the complainant or appellant.

Once complaints and appeals are finalised, they are presented to the management team at their monthly meeting, where they are reviewed to see if there is a need to change any procedures or practices.

All complaints and appeals are recorded on a register that includes relevant details to allow analysis of matters over time and identify any common factors that may need action.

#### **CASE STUDY 8: INTERNAL COMPLIANCE MONITORING MAKES GOOD BUSINESS SENSE**

STU Education delivers business management qualifications at two Sydney locations: Bondi and Chatswood. Every six months, staff from each campus conduct a formal review on activities at the other campus.

The reviewers analyse:

- Client feedback.
- Feedback from the industry engagement process.
- Any complaints and appeals.
- Assessment validation processes completed in the past six months.

As well as collecting information from these sources, these biannual reviews collect information through staff interviews. The reviewers provide the CEO with a written report, including recommendations for any changes.

The CEO decides which recommendations will be implemented and assigns a staff member to oversee the implementation of each change. Each change must be completed within 30 days of the decision.

To ensure accountability, action steps and milestone targets are published on the RTO's Intranet along with deadlines for when changes need to be implemented.

### **CASE STUDY 9: MONITORING THE MARKET**

YZA Training delivers training in allied health from four locations in New South Wales and South Australia. In addition, it has a third-party agreement with BCD Health Education to deliver first aid units at workplaces in New South Wales, Victoria and South Australia.

The RTO's Marketing Manager approves all new marketing and promotional materials, and any other public information about the RTO, before it can be used. A register is kept of all approvals, along with a complete copy of the material.

This requirement is included in the subcontract agreement with BCD Health Education. 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.

When material is no longer in use, it is marked as 'non-current' in the register after being confirmed as no longer in circulation. The Marketing Manager conducts regular searches of the Internet for YZA Training, BCD Health Education and other relevant terms that would reveal any information about the RTO.

On one occasion, a search discovered that BCD Health Education had entered information about first aid courses into a 'careers directory' online and did not identify YZA Training as the RTO. As this information had not been approved by the RTO, BCD Health Education was required to have the material removed.

Shortly after, BCD Health Education submitted a request for advertising on the same site to be approved. As the request now included all required information and was accurate, the Marketing Manager approved the request, the information was entered in the directory and the item was added to the register for future checking.

### **CASE STUDY 10: READ BEFORE CLICKING**

EFG Training accepts enrolments into a range of qualifications via its website. Once a prospective learner has selected the qualification they wish to enrol in, they are presented with a link to information relevant to that particular qualification.

To proceed, the person must complete a declaration that they have read and understood the information. Only then can they complete the enrolment process. The RTO's student management system records that the person completed the declaration and a copy of the declaration available on that date is retained in the RTO's document management system.

### **CASE STUDY 11: READ BEFORE SIGNING**

HIJ Training offers a 'white card' construction induction program that runs each Tuesday, Wednesday and Thursday. Most people don't enrol in advance but turn up on the day expecting to be able to enrol and commence the program that day.

On arrival, learners are handed a fact sheet containing all relevant information on the program. This

includes a declaration to the learner that—as HIJ Training holds an exemption from reporting data for this program—their assessment results will not appear on their authenticated VET transcript or be available to them via the USI System.

The declaration includes space for a signature acknowledging that the learner has been fully informed about the course. The learner must sign this declaration before commencing the program.

#### **CASE STUDY 12: CONSISTENCY BRINGS SIMPLICITY**

NOP Training operates from a head office in Melbourne, and has branches in Sydney, Canberra and Albury. The RTO has third party arrangements with organisations in Launceston, Hobart and Bendigo.

Over 100 different qualifications are offered, mostly in the business, IT, health and community service areas. Regardless of the cost of the course, NOP Training has implemented a consistent fee model across all courses.

All courses require payment of a non-refundable fee on enrolment (\$100). The balance of the fees is divided into two equal payments, one due on the first day of training and the other due either at the start of week six or at the start of the last week of training for courses shorter than six weeks.

These same arrangements apply across all four of the RTO's branches, and all courses offered by third parties. While NOP Training could collect the entire fees up-front from some individual learners, implementing a consistent payment framework avoids confusion, provides a consistent cash flow and ensures compliance with the Standards.

Where NOP Training is contracted to provide training to staff groups from various companies, full fees are payable prior to training, as they are paid for by the employer rather than the learner. NOP Training does not collect more than \$1500 in advance for any learner, so does not have to implement any fee protection measures.

#### **CASE STUDY 13: FEE PROTECTION MADE SIMPLE**

KLM Training offers qualifications in the security industry from its head office in Perth and a range of individual units and skill sets from its Perth office and several sites across WA. Payment of fees is required prior to commencement of the training.

For example:

- The Certificate II in Security Operations offered by the RTO is priced at \$975, so does not require any fee protection measure for learners in this course.
- The Certificate III in Security Operations is priced at \$1675 and is run over five weeks. Learners are required to pay a deposit on enrolment of \$75. They are then invoiced for \$800 due to be paid on the first day of training and a further \$800 due at the start of the third week of training.

KLM Training does not collect more than \$1500 in advance for any learner, so does not have to implement any fee protection measures.

#### **CASE STUDY 14: MANAGING RISK WHEN USING INDEPENDENT THIRD PARTIES**

VWX Training's scope of registration includes 27 qualifications from various training packages. It has independent third-party arrangements in place with 12 other parties and generates a significant portion of its income from these arrangements.

The RTO developed a standard agreement template and obtained legal advice to ensure the agreement was binding. The template agreement clearly describes the process for recruiting and training learners and which party is responsible for each aspect of the process.

The agreement also outlines an agreed monitoring schedule. The schedule includes:

- Monthly reporting by the third party.
- Six-monthly visits to the third party's site by the RTO Quality Manager.

The Quality Manager reviews marketing on a regular basis, including by conducting a range of Internet searches to identify any marketing by third parties that may breach the agreement or the Standards.

The written agreement had previously provided third parties with access to the RTO's student management system, including the ability to generate qualifications and statements of attainment. Monitoring of the agreements and the RTO's assessment validation process, which ensures samples of assessment judgements by all third parties are included, identified that some third parties were issuing qualifications without ensuring that all assessment evidence had been retained in the student management system.

VWX Training saw this as a significant risk and immediately amended its third-party agreement and processes to prevent third parties from issuing qualifications or statements of attainment. The RTO developed a new process, which requires third parties to advise administration staff when all assessment is completed.

The RTO can now issue all qualifications and statements of attainment directly to the learner (following confirmation that all required assessment evidence has been retained by the third party).