VQF Quality Management System 2015

St Patrick's College

RTO - 30492

Contents

About this RTO

About the AQF, The VQF and Standards for RTOs 2015

National support for the Standards

How the Standards ensure graduates are job-ready

Standard One

Standard Two

Standard Three

Standard Four

Standard Five

Standard Six

Standard Seven

Standard Eight

More about Standard 1

Principles of Assessment; Rules of Evidence

Sample approach to moderation and validation

Complaints Procedure

Case Studies

 Links; Glossary, Acronyms and Abbreviations

Appendix 1 Organisational Chart

Appendix 2 Duty Statements

Appendix 3 Admission Procedures

Appendix 4 QCAA SDCS Data Entry

Appendix 5 Resources

Appendix 6 Calendar

About this RTO

The legal name for this RTO is The Trustees of Edmund Rice Education trading as St Patrick's College. Fit and Proper Person declarations have been made by the key decision makers. An organisational chart is maintained to indicate key personnel and duty statements are updated to reflect responsibilities. Staff responsible for each qualification are listed on the respective Training and Assessment Strategies.

The scope of registration lists all qualifications and units of competency this RTO is able to deliver. Validation checklists are used with industry and other providers is part of continuous improvement. The Training and Assessment document (TAS) contains the contact details of industry advisers with the required qualifications, industry experience and currency.

The courses are offered to high school students. The qualifications will provide individuals with well-developed skills and a broad knowledge base in a wide variety of contexts. Students will be able to apply solutions to a defined range of unpredictable problems, and analyse and evaluate information from a variety of sources. They may provide leadership and guidance to others with some limited responsibility for the output of others. They are likely to find employment in a variety of industry areas including, construction, engineering, sport and recreation, live production, hospitality and information technology.

The TAS lists available resources.

Data is captured through the School Data Capture System (SDCS), an AVETMISS compliant software system. Students are supported in gaining a USI number.

More information about this RTO can be found throughout this document. The second column in the Standards sections list some of documents, strategies, policies and procedures to evidence compliance in meeting the standards.

About the AQF, The VQF and Standards for RTOs 2015

The Australian Qualifications Framework (AQF) is the national policy for qualifications in the Australian education and training system. The National Vocational Education and Training Regulator Act 2011 requires that RTOs comply with the AQF as a condition of their registration. The AQF recognises RTOs as 'authorised issuing organisations', able to issue AQF qualifications and statements of attainment to learners who have satisfied the relevant competency requirements. All authorised issuing organisations are required to comply with the requirements of the AQF, including the volume of learning. The AQF has full effect from 1 January 2015.

The VET Quality Framework (VQF) consists of the:

- Standards for Registered Training Organisations
- Australian Qualifications Framework
- Fit and Proper Person Requirements
- Financial Viability Risk Assessment Requirements, and
- Data Provision Requirements.

The Standards should be read together with the:

- Standards for Training Packages
- Standards for VET Accredited Courses, and
- Standards for VET Regulators.

National support for the Standards

The Council of Australian Governments' (COAG) Industry and Skills Council is responsible for endorsing vocational education and training (VET) standards. The Council consists of the Australian, state and territory ministers with responsibility for industry and/or skills within their jurisdiction. Therefore, the Standards have been endorsed by a body representing the interests of all Australian states and territories, as well as the Commonwealth of Australia.

All registered training organisations (RTOs) in Australia are responsible for ensuring they fully comply with the Standards at all times as a condition of their registration. In regulating the Standards, ASQA acknowledges there are some new requirements that will take time for some RTOs to fully implement. Details of arrangements for transitioning to the Standards are published on ASQA's website at www.asqa.gov.au.

The Standards are enabled by the *National Vocational Education and Training Regulator Act 2011* (NVR Act), which aims to:
- provide national consistency in regulation of the VET sector, using a standards-based quality framework and a risk-based approach
- promote quality, flexibility and innovation in VET
- promote Australia's reputation for VET locally and overseas
- promote a VET system that meets Australia's social and economic needs
- protect students undertaking or proposing to undertake VET in Australia, and
- ensure access to accurate information regarding the quality of VET.

How the Standards ensure VET graduates are job-ready

To ensure VET graduates are job-ready, the Standards focus on ensuring industry influences how VET is delivered in Australia. RTOs must engage with industry when developing training and assessment strategies and ensure their trainers and assessors hold current industry skills and knowledge.

Standards	School RTO documentation, systems, strategies and practices

Standard One
 	
The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses.
Clauses 1.1 – 1.4
Implement a comprehensive training and assessment strategy
Clause 1.1
The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.
Clause 1.2
For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:
• the existing skills, knowledge and the experience of the learner
• the mode of delivery; and
	• **Scope** of registration: Only delivering what is on scope and transition to new Training Packages evident
	• Following Training Packages and Accredited course requirements: Training and Assessment Strategy **(TAS)** documents with relevant information in all sections of the template -' living' documents regulated updated; should be consistent with advertising material
	• Qualified Trainers with currency: **Staff Profiles** with verified information; currency records: From 1 January 2016, trainers and assessors must hold **one or more** of:
	  • *Certificate IV in Training and Assessment*
	  • a qualification in adult education at a diploma or higher level.
	Anyone who provides **assessment only** (i.e. does not deliver training) must hold **one or more** of:
	  • *Assessor Skill Set*
	  • *Certificate IV in Training and Assessment*
	  • a qualification in adult education at a diploma or higher level.
	Prior to 1 January 2016, transition arrangements allow trainers and

- where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

Clause 1.3
The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:
- trainers and assessors to deliver the training and assessment;
- educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
- facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Clause 1.4
The RTO meets all requirements specified in the relevant training package or VET accredited course.

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

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

Clauses 1.8 – 1.12
Conduct effective assessment
Clause 1.8
The RTO implements an assessment system that ensures that assessment (including recognition of prior

assessors to demonstrate they hold equivalent competencies.
Currency must include: current industry skills and knowledge; that knowledge directly relates to the training and/or assessment they are providing, information gathered through your industry engagement activities and to any specific requirements expressed in relevant training packages and accredited courses.

Note the **'supervision' or team approach** can only apply to training not assessing - see more detailed information in the *Users' Guide to the Standards*. Supervise trainers when needed

- **PD Plans and School Application for pd:** all trainers and assessors undertake professional development in VET, and specifically in competency based training and assessment. Employ or contract experts to proved professional development for trainers and assessors: trainer and assessor records of qualifications and currency
- Engage with industry and meet industry needs: systematic **validation and moderation** examples with evidence of acting on feedback; include industry in developing TAS; choosing resources and/or employing staff; ongoing advice and support; Internal Review and/or Internal Audit reports; attendance at meetings/events as per calendar
- Appropriate **services, facilities and equipment**: Industry placement information; simulated learning examples; equipment lists; site visits by industry advisers
- Appropriate **amount of training** (see table at end)
- Meets **individual learner needs** (identify before and during training and assessment) - eg Language, Literacy and Numeracy (LLN) support; assistive technology; additional tutorials; other mechanisms, such as assistance in using technology for online

learning):
- complies with the assessment requirements of the relevant training package or VET accredited course; and
- is conducted in accordance with the Principles of Assessment and the Rules of Evidence below.

Clause 1.9
The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:
- when assessment validation will occur;
- which training products will be the focus of the validation;
- who will lead and participate in validation activities; and
- how the outcomes of these activities will be documented and acted upon.

Clause 1.10
For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET regulator.

Clause 1.11
For the purposes of Clause 1.9, systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
- vocational competencies and current industry skills relevant to the assessment being validated;
- current knowledge and skills in vocational teaching and learning; and
- the training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.

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

Clause 1.12
The RTO offers recognition of prior learning to individual learners.

Clauses 1.13 – 1.16
Employ skilled trainers and assessors
Clause 1.13
In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:
- vocational competencies at least to the level being delivered and assessed;

delivery components; examples of identifying gaps in competency achievement and strategies for 'catch up'; examples of formal ascertainment if relevant; contextualisation of the qualification and reasonableness of delivery modes, resources and assessment tools; mentoring
- **Risk assessment** examples
- **Quality training and assessment** examples: learning materials and assessment tasks; mapping guides to ensure details of each unit of competency or module have been considered when allocating staff; developing learning materials; developing assessment tasks; recording results
- Manage **transition** to new Training Packages and courses: QCAA Memos; ACQA news: Ensure that all learners enrolled in a superseded training product are transferred to a current training product within one year of the replacement being published. Before doing this, ensure that the replacement training product is on the scope of registration. Where the developer responsible for the parent training package deems the replacement training product is equivalent to the superseded qualification, the scope of registration will be automatically updated by ASQA (QCAA) to include the replacement training product. Your scope will be updated immediately after the endorsement process, unless the school RTO:
  - has 'opted out' of this process, or
  - 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 the school RTO has 'opted out' of automatic updates, before transferring any learner enrolments, the school RTO will need to apply to ASQA (QCAA) for the replacement to be added to

- current industry skills directly relevant to the training and assessment being provided; and
- current knowledge and skills in vocational training and learning that informs their training and assessment.

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

Clause 1.14

The RTO's training and assessment is delivered only by persons who have:
- prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and
- from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

Clause 1.15

Where a person conducts assessment only, the RTO ensures that the person has:
- prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and
- from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

Clause 1.16

The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Clauses 1.17 – 1.20

Provide supervision of trainers where needed

Clause 1.17

Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Clause 1.18

The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:
- holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
- has vocational competencies at least to the level being delivered and assessed; and
- has current industry skills directly relevant to the training and assessment being provided.

Clause 1.19

Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment

your RTO's scope of registration, and have that application approved.

Learners 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, the school RTO must not enrol or train learners in that training product, or issue a qualification or statement of attainment for that training product (except as a replacement for a previously issued qualification or statement of attainment).

- **RPL:** Evidence of any evidence from formal, non-formal and informal learning ("challenge testing") - must have same rigour as assessment generally
- **Model answers** (where appropriate; descriptions of observations needed to assess skills and application of knowledge in a practical activity; benchmarks for practical activities must necessarily be broad enough to allow for variations in the precise task being undertaken and any variations in the context, but must include 'observable behaviours'—the behaviours which must be exhibited by the learner when carrying out the task.
- **School Data Capture System** - recording of results
- **Unique Student Identifier** - system for collecting information from students and supporting students

complies with Standard 1

Clause 1.20

Without limiting Clauses 1.17 - 1.19, the RTO:

- determines and puts in place:
    - o the level of the supervision required; and
    - o any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Clauses 1.21 – 1.25

Employ experts to teach trainers and assessors

Clause 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:

- hold the training and assessment qualification at least to the level being delivered; or
- have demonstrated equivalence of competencies.

Clause 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.

Clause 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:

- hold the qualifications specified in Item 5 of Schedule 1; or
- work under the supervision of a trainer that meets the requirement set out in (a) above.

Clause 1.24

The RTO must ensure that any individual working under supervision under Clause 1.23 b) holds the qualifications 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).

Clause 1.25

From 1 January 2016, the 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**).

Clauses 1.26 – 1.27

Manage transition from superseded training products

Clause 1.26

Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

- where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register
- where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register
- where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register, and
- a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

Clause 1.27

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

# Standard Two **The operations of the RTO are quality assured.** **Clauses 2.1 – 2.2** **Implement quality assurance strategies** **Clause 2.1** The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.	**Moderation and validation** meetings - Internal **Review and Internal Audit** **Calendar** of key events - Examples of **continuous improvement** in Training and Assessment and Management generally **Feedback** from key stakeholders and examples of acting on feedback (trainers and assessors, CEO, industry advisers, EREA Consultant, parents, students)

Clause 2.2 The RTO: • systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1, and • systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client trainer and assessor feedback and complaints and appeals. **Clauses 2.3 – 2.4** **Monitor independent third parties** **Clause 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. **Clause 2.4** The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.	• **Quality Indicator data,** reports and subsequent actions • **Complaints and appeals** process in place and record of any instances recorded • **Electronic files** stores centrally • **School Data Capture System** • No delivery by a third party on behalf of school RTO • Written Agreement provided by any **external RTOs** delivering to school students - note information to expect from these RTOs described in *Users' Guide to the Standards'.*
# Standard Three **The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.** **Clauses 3.1 – 3.4** **Provide secure certification** **Clause 3.1** The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course. **Clause 3.2** All AQF certification documentation issued by an RTO meets the requirements of Schedule 5. **Clause 3.3** AQF certification documentation is issued to a learner within 30 calendar days of the learner being	• **School Data Capture System**: examples of data; training manual for operator; internal steps to check data • **Sample Qualification** and **Sample Statement** available from QCAA site • Records on any **credit for prior studies** provided; process to authenticate credit requests - achievement of units of competency through another RTO; school RTO no obliged to issue a whole qualification through credit transfer • **Agreement with QCAA** to print certificates and statements and archive data as required by the Standards and AQF Qualifications Issuance Policy (30 years for qualifications - unless already on USI system) http://www.aqf.edu.au/aqf/in-detail/aqf-policies/ ; School RTO issues according to timeline in Standard 3. • **Process to verify a learner's Unique Student Identifier** (USI) well in advance of when certification is expected to be issued - QCAA

assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Clause 3.4

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

Clause 3.5

Provide credit for prior studies

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

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

Clause 3.6

Participate in the Student Identifier Scheme

Clause 3.6

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

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

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

- **Strategy for re-issue** of certificates or statements and checking identification of student requesting
- Fire and flood proof systems; electronic **backup - storing** records in locked cabinets, restricting access to data stored on networks and requiring strong passwords on all network-connected computers.

Standard 4

Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients

Clause 4.1
Provide accurate information to learners about services and qualifications
Clause 4.1
Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

- accurately represents the services it provides and the training products on its scope of registration
- includes its RTO Code
- refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained
- uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4
- makes clear where a third party is recruiting prospective learners for the RTO on its behalf
- distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party
- distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO
- includes the title and code of any training product, as published on the National Register, referred to in that information
- only advertises or markets a non-current training product while it remains on the RTO's scope of registration
- only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
- includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment, and

- Need to check that in any marketing material, the **code is placed before the RTO name** and codes before an qualification or certificate from a Training Package or accredited course
- Examples of advertising including **NRT logo** correctly used
- Any **third party provider** clearly indicated
- If using a **recruitment service**, ensure this party also abides by this Standard eg SCIPS; promotion of school-based apprenticeships and traineeships
- If any third party mentioned in advertising or marketing, **evidence of permission to mention** the name and role
- Advertisements, school website and school material has only **current courses** on scope advertised
- Record of **industry approval** if licences are involved
- Details about any **VET FEE-HELP,** government funded subsidy or other financial support
- **Does not make promises** about guaranteed employment, licences, times for completion or anything contrary to the Training Package or course information
- **Role description** of person responsible for checking marketing and advertising
- **Review** of marketing and advertising included in school RTO internal audit

• does not guarantee that:
    o a learner will successfully complete a training product on its scope of registration, or
    o a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2, or
    o a learner will obtain a particular employment outcome where this is outside the control of the RTO.	

Standard Five

Each learner is properly informed and protected.

Clauses 5.1 – 5.4
Inform and protect learners
Clause 5.1
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.
Clause 5.2
Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register
- the training and assessment, and related educational and support services the RTO will provide to the learner including the:
  - o estimated duration
  - o expected locations at which it will be provided
  - o expected modes of delivery
  - o name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf, and
  - o any work placement arrangements.
- the RTO's obligations to the learner, including that the RTO is responsible for the quality of the

---

- **Agreement** with and information to students prior to commencing - enrolment form
- **Student Handbook** with rights and obligations of RTO and learner; RPL; complaints (also see standard to the left). Information on training: where, how long, mode.
- Information on any **third party** arrangements. Students to understand the third party issues qualifications and statements, handles complaints. Contact details of third party provided to students
- **Subject selection** booklets - courses to have full name and code and any information on current changes
- Information on any **mandatory work placements**. Student may keep a **Work Placement LogBook**
- Student **support service information**
- Student/parent **presentations**
- **Induction** materials
- **SET Plans** and career guidance materials
- Industry **visits and talks**
- Information on **fees and payments**
- Information on **timelines** for submitting assessment or being assessed; implications for not completing a qualifications; implications for qualifications if leaving school before end Year 12.

File path:
Version   December 2014
Review Date: December 2015
Ownership: St Patrick's College – HOD VET   Page 16 of 56

training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.

- the learner's rights, including:
  - o details of the RTO's complaints and appeals process required by Standard 6, and
  - o if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in
- the learner's obligations:
  - o in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services
  - o any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product, and
  - o any materials and equipment that the learner must provide, and
- information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Clause 5.3

Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment of the commencement of training and assessment, whichever comes first, specifying:

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

Clause 5.4

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

Standard Six

Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Clauses 6.1 – 6.6
Manage complaints and appeals
Clause 6.1
The RTO has a complaints policy to manage and respond to allegations involving the conduct of:
- the RTO, its trainers, assessors or other staff
- a third party providing services on the RTO's behalf, its trainers, assessors or other staff or
- a learner of the RTO.

Clause 6.2
The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

Clause 6.3
The RTO's complaints policy and appeals policy:
- ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process
- are publicly available
- set out the procedure for making a complaint or requesting an appeal
- ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable, and
- provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Clause 6.4
Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- **Complaints and appeals process** available to students and staff: independent process; equitable; resolved quickly; complaint and acknowledgement and resolution in writing; follow natural justice process; allow staff to discuss with students to resolve informally if possible
- Need reasons if taking more than **60 days**
- **Template**/document for submitting a complaint - must be publicly available eg website; must be user friendly
- **Record** of any complaints and how resolved
- Take corrective action to mitigate reoccurrence

- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and - regularly updates the complainant or appellant on the progress of the matter. **Clause 6.5** The RTO: - securely maintains records of all complaints and appeals and their outcomes, and - identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence. **Clause 6.6** Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.	
# Standard Seven ## The RTO has effective governance and administration arrangements in place. **Clauses 7.1 – 7.2** **Ensure authorised executive officers are in place and assess financial viability risk** **Clause 7.1** The RTO ensures that its executive officers or high managerial agent: - are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times, and - meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3. **Clause 7.2** The RTO satisfies the *Financial Viability Risk Assessment Requirements*. **Clause 7.3** **Protect prepaid fees by learners**	- School **operational and financial business standards** - RTO/School **goal setting** - Information on **www.training.gov.au** up to date - CEO and senior managers meet **Fit and Proper Person requirements** - advise ASQA if not the case - ensure authorised executive officers are in place and that the CEO/Principal **communicates regularly** with VET Manager, trainers and assessors **assess** financial viability risk **protect** prepaid fees (if relevant) by learners - hold **public liability insurance** (certificate of currency) and - provide accurate information about **performance** and governance eg school/RTO reviews **organisational charts**, **position descriptions**, duty statements and delegation documents

Clause 7.4 **Hold public liability insurance** **Clause 7.4** The RTO holds public liability insurance that covers the scope of its operations throughout its registration period. **Clause 7.5** **Provide accurate information about performance and governance**	• If pre-paying more than $1500 for VET (tuition, materials), school RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6. Usually not applicable to schools. • RTOs registered on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) must satisfy both the requirements of this clause and of the Tuition Protection Service (TPS) under the Education Services for Overseas Students Act 2000. The TPS requires that not more than 50 per cent of the fees for an overseas student be prepaid. This applies even if 50 per cent of the course fees would be less than the threshold prepaid fee amount. Re Clause 7.5, The *Data Provision Requirements 2012* outline information that the RTO is required to submit. • Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data/ **SDCS**, and • **Quality Indicator data** (learner engagement and for some RTO's... employer satisfaction): use the Survey Management, Analysis and Reporting Tool (no longer available for download), or ASQA's Quality indicator annual summary report template. Due June each year • **Competency completion data**
# Standard Eight **The RTO cooperates with the VET Regulator and is legally compliant at all times.** **Clauses 8.1 – 8.2**	• Examples of meeting **ASQA and QCAA requests** for information or providing information to these authorities • Cooperating at **external audits** • Providing **quality indicator performance indicator data** • Providing significant **changes of RTO within 90 days** using the *Notification of Material Change or Event* form or *Notification of*

Provide requested information to ASQA
Clause 8.1
The RTO cooperates with the VET Regulator:
- by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
- in the conduct of audits and the monitoring of its operations
- by providing quality/performance indicator data
- by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring
- by providing information about significant changes to its ownership within 90 calendar days of the change occurring, and
- in the retention, archiving, retrieval and transfer of records.

Clause 8.2
The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:
- by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services, and
- in the conduct of audits and the monitoring of its operations.

Clause 8.3
Notify ASQA regarding third party agreements (not likely for school RTOs in EREA)
The RTO notifies the Regulator:
- of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and
- within 30 calendar days of the agreement coming to an end.

Clause 8.4
Make an annual declaration on compliance with the Standards
Clause 8.4
The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:
- 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

change of provider details for. Information inclueds
- executive officer or high managerial agent
- financial administration status e.g. liquidators being appointed
- legal name or type of legal entity
- ownership, directorship or control
- anything that may affect the fit and proper person status of an influential representative of the RTO
- any fundamental funding/revenue source (eg government funding contract allocation)
- the RTO's business strategy driven by a change to government policy
- delivery to apprentices or trainees employed under a training contract, (not applicable to school RTO), or any other significant event.

Note: ASQA or QCAA is not able to provide any information about the school RTO's registration to anyone other than the published contacts

- SDCS and electronic files to **store, retrieve and archive** records - in partnership with QCAA.

Note: securely retain all completed **assessment items relating to each unit or module for six months from the date the decision on competence** for the individual unit or module was made. If you can't retain the actual item (e.g. construction projects or perishable items), retain evidence, such as photographs, that the standard of the item or work completed justifies the assessment outcome. Completed assessment items, such as assignments, should not be handed back to learners until the six-month period has expired,

the previous 12 months, and

- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Clauses 8.5 – 8.6
Comply with all relevant legal requirements
Clause 8.5
The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.
Clause 8.6
The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

although you could provide them with a copy.

If requested, provide ASQA with the following types of information about the school RTO:

- business registration records e.g. Australian Securities and Investments Commission (ASIC) reports
- information demonstrating that the organisation satisfies the Financial Viability Risk Assessment Requirements
- information demonstrating relevant people associated with the organisation satisfy the Fit and Proper Person Requirements
- information on strategies, resources and other materials used to conduct training and assessment
- documents demonstrating trainer and assessor credentials
- information about delivery operations such as modes, venues, funding, student types and activity conducted
- evidence about record management systems
- public liability insurance coverage
- the names of current or past students, who may be surveyed about satisfaction levels, and
- any other information required to demonstrate compliance with the VET Quality Framework.
- **Annual declaration/report** to QCAA/ASQA
- Compliance with:
  - the National Vocational Education and Training Regulator Act 2011 and the legislative instruments it enables
  - legislation, regulations and standards related to delivery of training to overseas students (if applicable)
  - workplace health and safety legislation and regulations
  - anti-discrimination legislation and regulations

	• consumer protection requirements
	• other relevant legislation including
	Work Health and Safety Act 2011 Qld
	Equal Opportunity in Employment Act 1992
	Anti Discrimination Act 1991 Qld
	Disability Services Act 2006 Qld
	Disability Discrimination Act 1992 Cth
	Racial Discrimination Act 1975 Cth
	Sex Discrimination Act 1984 Cth
	Privacy Act 1988 Cth
	Vocational Education and Training and Employment Act 2000 Qld
	Child Protection Act 1999 Qld
	Youth Justice Act 1992 Qld
	Copyright Act 1968 Cth
	Information Privacy Act 2009 Qld
	Child Care Act 1991
	Children Services Tribunal Act 2000
	Children's Court Act 1992
	Commission for Children, Young People and Child Guardian Act 2000
	Commonwealth Powers (Family law-children) Act 1990
	Criminal Law (sexual offences) Act 1978
	Education (General Provisions) Act 1989
	Education (Queensland Studies Authority) Act 2002
	Education (Teacher Registration) Act 1988
	Education (Work Experience) Act 1996
	Freedom of Information Act 1992
	Industrial Relations Act 1999
	Juvenile Justice Act 1992
	Judicial Review Act 1991

	Training and Employment Act 2000
	Staff updated with legislation changes - staff meeting notes/agendas

More about Standard 1

Australian Qualifications Framework volume of learning indicators*							
Certificate I	Certificate II	Certificate III	Certificate IV	Diploma	Advanced Diploma	Graduate Certificate	Graduate Diploma
0.5 – 1 year	0.5 – 1 year	1 – 2 years	0.5 – 2 years	1 – 2 years	1.5 – 2 years	0.5 – 1 year	1 – 2 years
600 – 1200 hours	600 – 1200 hours	1200 – 1400 hours	600 – 2400 hours	1200 – 2400 hours	1800 – 2400 hours	600 – 1200 hours	1200 – 2400 hours

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.

If a course is structured so as to be completed in a shorter time period than that described in the AQF, the TAS will need to clearly describe, using a rationale based on the previous skills and knowledge and the needs of learners, how a specific learner cohort:

- has the characteristics to achieve the required rigour and depth of training
- can meet all of the competency requirements in a shorter timeframe.

The description must take into account the need to allow learners to reflect on and absorb the knowledge, to practise the skills in different contexts and to learn to apply the skills and knowledge in the varied environments that the 'real world' offers before being assessed.

Certificate III qualifications are often the basis for trade outcomes and undertaken as part of a traineeship or apprenticeship. In these cases, up to four years may be required to achieve the learning outcomes.

When using 'simulated' workplace environments, ensure they fully replicate the resources, environment and any time and productivity pressures that exist in the actual workplace. It is important to ensure the development and use of simulated environments is informed by consultation with industry stakeholders to ensure relevance to real workplaces.

The RTO must, at all times, have all resources available to deliver every training product on your RTO's scope of registration—whether currently delivering it or not. These resources must comply with any specific requirements in the training package or accredited course. The quantity of these resources required will depend on how many learners are or will be involved in the training and assessment. The training and assessment strategies should include guidance on the level of resources needed per learner or per group.

Principles of Assessment

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

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

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

Flexibility
Assessment is flexible to the individual learner by:

- reflecting the learner's needs;
- assessing competencies held by the learner no matter how or where they have been acquired; and

- drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

Validity

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

Validity requires:

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

Reliability

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

Rules of Evidence

Validity

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

Sufficiency

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

Authenticity

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

Currency

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

Overall

Design of Documents

Assessment Instruments:

The aim of this RTO is to have project driven, work related assessment tasks. The tasks will include student instructions on what is required and is in accordance with the training package evidence guides, employability skills units of competency descriptions and the critical aspects of evidence. Units of competency should be integrated so that assessment reflects the workplace.

The cover page of assessment instruments should be appropriate for the student. Details of Standards and performance covered should be mapped by teachers in a separate document. However, variations on this model may be required for specific VTAs.

Knowledge, skills and critical aspects of evidence may be mapped by noting on the training package links to assessment tasks. Teachers should also provide marking solutions, observation checklists or benchmarking statements so that there is evidence of student responses matching workplace standards.

On a single assessment task teachers should avoid awarding competent/not yet competent as a number of tasks required before this judgement is made. Teachers may provide feedback as "S" satisfactory or "U" unsatisfactory or "evidence towards competency" yes/no.

Teachers must have a system of recording which units and Standards students have achieved so that progressive reporting to students and parents can occur.

When developing assessment materials use the information from the unit or module elements, performance criteria and assessment requirements to determine what competence looks like. Use this information to set benchmarks for measuring the learner's performance using 'observable behaviours'. This will ensure the learner has:

- actually undertaken all the required tasks
- demonstrated their ability to do so in different contexts and environments.

Assessment must always be based on the performance of the individual learner. If assessment tasks are undertaken as a group, each learner must be assessed on each component of the task. Do not assume that because a group of learners completed a task, each of them is competent.

Each unit of competency contains assessment requirements grouped into three areas:

- performance evidence
- knowledge evidence
- assessment conditions.

Performance and knowledge evidence describe what a learner must demonstrate in order to be considered competent. Assessment conditions describe the conditions under which a learner must demonstrate this, including any specific requirements for resources, trainers and assessors and the context for assessment.

Some training packages and courses may not have been updated to this format. In these cases, 'required skills and knowledge' and 'evidence guide' or similar terms are used.

When planning assessment, ensure you address all of the requirements of the unit or module. This does not mean you have to develop separate assessment activities for each item, but that, as a whole your assessment activities must cover every area required. To achieve a 'competent' result, learners must meet all the requirements of the unit. As similar requirements are often expressed in multiple units of competency, you can often 'cluster' a number of units together for assessment to avoid repeating assessment of the same tasks. If you do this, take care to address all

relevant environments and contexts in the assessment process and to meet any pre-requisite requirements for every unit or module in the cluster. Analysis of each individual requirement across the cluster of units will reveal where such assessment methods are appropriate and where discrete assessment activities may be required.

Sample approach to moderation and validation - (validate the 'tools' and 'moderate' the decisions)

This RTO must systematically conduct validation activities to confirm assessment judgements are being made correctly. While you are not required to validate every assessment judgement, a valid sampling approach provides a quality review process and allows a reasonable inference to be made that assessment judgements have been valid overall.

Make sure that the sample of assessment judgements selected for validation is random and that it is representative of all assessment judgements. This will allow you to reliably predict the likelihood of any assessment judgement being valid.

Choose validators who are independent of delivery and assessment of the training product being validated and, particularly, the assessment judgements being considered to maintain professional distance and integrity.

People involved in validation must have:

- appropriate vocational competencies
- current industry skills and knowledge
- an appropriate training and assessment qualification or assessor skill set
- current knowledge and skills in vocational teaching and learning.

Validation may be undertaken through a 'team' approach where, collectively, team members hold the required qualifications, skills and knowledge. Trainers and assessors can to be involved in validation activities, as long as they were not directly involved in the particular instance of delivery and assessment of the training product being validated

At an ASQA audit, an RTO would only be requested to produce those assessment records they are required to retain. ASQA's *General direction—retention requirements for completed student assessment items* requires that RTOs retain all completed assessment items relating to each unit or module for six months from the date on which the decision on competence for the individual unit or module was made. If you can't retain the actual item (e.g. construction projects or perishable items), retain evidence, such as photographs, showing that the standard of the item or work completed justifies the assessment outcome. Completed assessment items such as assignments should not be handed back to learners until the six month period has expired.

You can compare assessment evidence to the requirements of the unit of competency or cluster of units to determine whether:

- the decision was based on sound assessment practices
- the decision was made after consideration of evidence against all of the relevant requirements, including the principles of assessment and rules of evidence

Who will manage the process, when will it be done, who will follow through at this RTO?

Continuous improvement

Continuous improvement is based upon assessment validation.

Moderation: The process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same Units(s) of Competency. (Source: AQTF, *Users' Guide to the Essential Conditions and Standards for Continuing Registratio*n, p.72) It enables assessors to

develop a shared understanding of the requirements of specific Training Packages, including the relevant competency standards and assessment guidelines, the nature of evidence, how evidence is collected and the basis on which assessment decisions are made. (Source: TAA04 *Training and Assessment Training Package Glossary of Terms*).

Validation is a quality review process. It involves checking that the assessment tool produced valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course have been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes. (Source: AQTF, *Users' Guide to the Essential Conditions and Standards for Continuing Registratio*n, p.80)

Assessment validation includes, but goes beyond, *assessment moderation*.

Industry consultation — sample questions (Questions may need to be reworded to suit the audience. Those consulted must be current in the industry and the consultation should have a clear impact on the strategy for training and assessment.)

	Industry organisations	Employers*
Review questions (before implementing the assessment process)	• Is the assessment process consistent with industry expectations as described in the Training Package Assessment Guidelines and units of competency? • Do the selected assessment methods and tools reflect current industry standards and practices?	• Will the assessment process fit comfortably within your organisation's activities and workplace culture? • ☐Do the selected assessment methods and tools reflect current industry standards and work practices used in your business?
Evaluation questions	• Is the industry comfortable about employing graduates who have demonstrated achievement through this assessment process? • Do you think that this assessment process will preserve or improve workplace performance standards in your industry?	• Has the assessment process had a positive impact on your organisation? • Were supervisors able to use the assessment tools effectively? • Did the assessment tools provide your organisation with useful information about your employees, trainees or

		apprentices?
		• Were the judgments made about the candidates' competencies consistent with your knowledge of these employees, trainees or apprentices?
		• Have the candidates assessed as competent through the assessment process continued to perform at the appropriate level?

*Questions for employers of candidates who are employees, trainees or apprentices or who have been placed through work placement or work experience and are being assessed in the workplace.

.

Complaints procedure

Complaint Procedure Overview

Informal complaint:

- the initial stage of any complaint shall be for the complainant to communicate directly with the operational representative of the RTO, e.g. the trainer or assessor, who will make a decision and record the outcome of the complaint
- person(s) dissatisfied with the outcome of the complaint to the trainer or assessor may then complain to the VET Manager, who will make a decision and record the outcome of the complaint
- person(s) dissatisfied with the outcome of the complaint to the relevant VET Manager may initiate a 'formal complaint'.

Formal complaint:

- formal complaints may only proceed after the informal complaint procedure has been finalised
- the complaint and its outcome shall be recorded in writing
- on receipt of a formal complaint the VET Manager shall convene an independent panel to hear the complaint; this shall be the 'complaint committee'
- the complaint committee shall not have had previous involvement with the complaint and should include representatives of:

  1. the CEO
  2. the training and assessing staff
  3. an independent person

- the complainant shall be given an opportunity to present his/her case to the committee and may be accompanied by one other person as support or as representation
- the relevant staff member shall be given an opportunity to present his/her case to the committee and may be accompanied by one other person as support or as representation
- the complaint committee will make a decision on the complaint
- the complaint committee will communicate its decision on the complaint to all parties in writing within 5 working days of making its decision.

The root cause of the complaint will be included in the Complaints Register and considered at continuous improvement meetings.

Case studies

See Case Studies in the different clauses sections at http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/about-the-standards-for-rtos/about-the-standards-for-rtos.html

Links

Standards for Training Packages *www.nssc.natese.gov.au/training_packages/standards_and_policies/standards_for_training_packages*

Standards for VET Accredited Courses *www.comlaw.gov.au/Series/F2013L00177*

Standards for VET Regulators *www.comlaw.gov.au/Series/F2011L01338*

Australian Qualifications Framework *www.aqf.edu.au*

Financial Viability Risk Assessment Requirements *www.comlaw.gov.au/Series/F2011L01405*

Data Provision Requirements *www.comlaw.gov.au/Series/F2013L00160*

Education Service for Overseas Students (ESOS) Act *www.comlaw.gov.au/Series/C2004A00757*

The National Code *www.comlaw.gov.au/Series/F2007L00646*

Information on ESOS legislative framework *internationaleducation.gov.au/regulatory-information/pages/regulatoryinformation.aspx*

ELICOS National Standards *internationaleducation.gov.au/Regulatory-Information/Education-Services-for-Overseas-Students-ESOS-Legislative-Framework/ELICOSnationalstandards/Pages/Default.aspx*

ASQA general directions *www.asqa.gov.au/news-and-publications/publications/general-directions/general-directions.html*

Student Identifiers Act *www.comlaw.gov.au/Series/C2014A00036*

Unique Student Identifier scheme *www.usi.gov.au*

Glossary

In this document:

Accredited course means a structured sequence of vocational education and training that has been accredited and leads to an Australian Qualifications Framework (AQF) qualification or Statement of Attainment.

Assessment means the process of collecting evidence and making judgments on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course.

Audit means a systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply, or continue to comply, with the Standards for Registered Training Organisations. Audits may be:

- internal — conducted by officers of the RTO annually; or
- external — conducted by auditors from other authorities, e.g. ASQA

Auditee means the organisation that is the subject of the audit.

Internal audit (see **Audit** above).

Internal review is an optional quality improvement process undertaken by the RTO in each vocational training area to review and evaluate training and assessment strategies and the related human and physical resources at least once per year.

Moderation and Validation refers to moderating the evidence and validating the tools as training and assessing occur and TASs are developed. Other trainers are included in the moderation process and industry /employers included in the validation process.

Non-compliance means failure to comply with one or more parts of the Standards for Registration.

Objective evidence means information relating to the products or services provided by the registered training organisation that can be verified or tested. Information can be in the form of documents, records, unbiased observations, or facts that can be measured or tested.

Observation means a statement of fact that can be verified by objective evidence.

Quality Indicators are surveys and data used to guide continuous improvement and assess the risk rating for the RTO. The three quality indicators measure employer satisfaction, learner satisfaction and competency completion rates. RTOs complete the surveys for learner satisfaction and competency completion rates. Annual reports of the data for the previous year are due 30 June each year. Before students exit they must complete the learner satisfaction survey. Trainers and assessors must contribute to information for the competency completion rate data by the due dates. Dates are not negotiable.

Recognition means the acceptance of the decisions of the registering body that has registered a training organisation, or the course accrediting body that has accredited a course, by another registering/course accrediting body, without there being any further requirement

Registered Training Organisation (RTO) means a training organisation registered by a registering body in accordance with the VQF within a defined scope of registration (see Scope of registration).

Registration means the formal approval and recognition by ASQA of a training organisation, in accordance with the Standards.

Risk Management means the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

Recognition applies nationally and means:

1. The acceptance of the decisions of the registering body that has registered a training organisation, or the course accrediting body that has accredited a course, by another registering/course accrediting body.

2. The recognition by all State and Territory registering/course accrediting bodies of the national endorsement of Training Packages as notified on the training.gov.au database.

3. The recognition and acceptance by a registered training organisation (RTO) of Australian Qualifications Framework qualifications and Statements of Attainment issued by other RTOs, enabling individuals to receive national recognition of their achievements.

Scope of Registration means the defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. A registered training organisation may be registered to provide either:

[a] training delivery and assessment services and products and the issuance of Australian Qualifications Framework (AQF)qualifications and Statements of Attainment, or

[b] assessment services and products, and issue AQF qualifications and Statements of Attainment. The scope of registration is further defined by AQF qualifications and/or endorsed units of competency.

Standards mean the Standards as part of the VET Quality Framework and the Australian Qualifications Framework

TAS means the Training and Assessment Strategies or plan for training and assessing.

Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

VQF - VET Quality Framework means the nationally agreed quality framework for the vocational education and training system agreed to by the ministerial council.

Acronyms and abbreviations

AQF	Australian Qualifications Framework
ASQA	Australian Skills Quality Authority - the national VET Regulator
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard
CCOS	Competency Completion Online System
COR	Conditions of Registration
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
DPR	Data Provision Requirements
FPPR	Fit and Proper Person Requirements
FVRAR	Financial Viability and Risk Requirements
ITAB	Industry Training Advisory Body
NTF	National Training Framework
NRT	Nationally Recognised Training logo
NSSC	National Skills Standards Council - regulates trainer requirements eg TAE
NVR	National VET Regulator currently ASQA
RCC	Recognition of Current Competency
RPL	Recognition of Prior Learning
RTO	Registered Training Organisation
SMART	Survey Management, Analysis and Reporting Tool
SNR	Standards for Registered Training Organisations
SoA	Statement of Attainment
TAE	Certificate IV in Training and Assessment
TAS	Training and Assessment Strategies
TGA	training.gov.au
UoC	Unit of Competency
VET	Vocational Education and Training
VQF	VET Quality Framework

Appendix 1   Organisational Chart

St Patrick's College

CEO
With guidance from the VET Manager, the CEO has overall responsibility for working to the VQF, relevant legislation and the Standards.
Governance

Trainers and Assessors
Quality Training and Assessment
Accurate record keeping
Professional Development

VET Manager/PL VET
Overall day to day management
Continuous Improvement
Marketing
Issuing Qualifications and Statements of Attainment
Transition arrangements

VET SDCS Officer
Record keeping of student results
AVETMISS recording
Quality Indicator reporting

Financial Manager
Monitor financial and administrative matters including insurances and financial viability

Learning and Support

Access and Equity Officer

Appendix 2 Duty Statements

St Patrick's College

DUTY STATEMENT - CEO

- Ensures that the RTO operation complies with the VQF by:
  - o Delegating responsibility for day to day operations to the VET Manager
  - o Meeting regularly with the VET Manager to keep informed of those operations
  - o Contributing to the appropriate documentation and report data as required as on ASQA website
- Ensures strategies, policies and procedures are developed, implemented and reviewed with respect the RTO continuous improvement
- Review compliance against VQF with respect to Internal Audit and External Review taking account of feedback from trainers and assessors
- Endorse by way of signature and comment on results and rectification outcomes of Internal Audit documentation
- Ensure provision of adequate professional development opportunities through RTO budget and approval of applications
- Delegate all Marketing and Advertising for VET related subjects to the VET Manager
- Ensure appropriate assessment and management of risks associated with all aspects of the RTO's operations occurs.

_____

DUTY STATEMENT

VET Financial Manager

- Maintain a financial records system

- Ensure that the RTO complies with its financial management policies and maintains Public Liability Insurance

- Monitor and report on compliance with financial management policies and procedures, for review and as a basis for improvement

- When requested, provide ASQA with a formal assurance that the RTO has sound financial management standards for matters relating to the RTO's scope of registration and scale of operations

- Document and implement systems to protect any fees paid in advance

- Ensure the College has a fair and equitable refund policy

- Maintain an enrolment system which clearly identifies students undertaking VET and the specific VET subject being undertaken

DUTY STATEMENT

VET SDCS Officer

Maintain student data leading to issuance of a qualification or statement of attainment

- Organise the printing of Qualifications or Statements of Attainment

- Use an AVETMISS recording system accurately and keeping up to date

- Implement privacy strategies when information on students' is requested

- Undertake training to ensure record keeping is in line with AVETMISS and ASQA requirements

- Manage the filing and archiving of information so that students can access results in 30 years

- Work with trainers and assessors and VET Manager to complete ASQA documentation and Quality Indicator reports.

_____

DUTY STATEMENT

Learning Support and Access and Equity Officer

- Note school' description of Learning Support provided to students

- The VET Access and Equity Officer is also the VET Manager who ensures VET specific information about access and equity is provided to the learning support staff, trainers, assessors and students.

DUTY STATEMENT

VET Manager

- Assist in the development, implementation and review of the RTO's strategies, policies and procedures as they relate to its running as a Registered Training Organisation (RTO)
- Act as the liaison with ASQA with regards to the RTO's Scope of Registration and status as an RTO
- Manage the registration process for VET related subjects
- Manage subject specific the VET Internal Audit & participate in External Audit processes
- Prepare and submit the RTO's VQF and ASQA reports to provide ASQA with accurate and timely information regarding registration and compliance.
- Develop and maintain a business plan in reference to VET requirements for the RTO
- Assist in the implementation, understanding of and compliance with relevant legislation and regulations
- Implement and review a risk management plan for the RTO annually
- Assess and manage risks associated with all aspects of the RTO's operations
- Assist in the implementation and review of subject specific record management procedures in line with RTO wide policies and in accordance with ASQA's Retention of Student Records and Results Policy
- Maintain a record management process for the RTO, utilising version control
- Implement and oversee the process and maintenance of records associated with confidentiality of student information
- Act as the nominated, responsible Access and Equity Officer
- Implement and maintain a process for the management of complaints/appeals concerning the manner in which the RTO conducts its responsibilities as an RTO (including maintaining the RTO's Register of Complaints)
- Assist in the implementation and understanding of and compliance with processes for recognising external VET providers, qualifications and statements
- Ensure students are aware of RTO's policies regarding Recognition of a Qualification Issued by another RTO
- Implement and maintain (where relevant) appropriate Agreements/Partnerships training organisations delivering training to on behalf of the RTO by way of ensuring appropriate Agreements/Partnerships are documented and entered onto the RTO's Register of Partnerships and Agreements
- Assist in the development, implementation and review of a policy and process for addressing Access and Equity and Client Service
- Develop, implement and review a process for disseminating information to students (ie VET Student Handbook and Induction)
- Ensure written permission is gained from all parents or guardians of students under 18 years of age via dissemination, collection of the VET Student/Parent Consent Forms, annually.
- Where a consent to disclosure of information is granted, record details on the RTO's Register of Consent
- Develop, implement and review processes for the inclusion of accurate information on courses within scope of registration
- Provide an applicable staff induction process to ensure an understanding of staff requirements under the VQF and NSSC guidelines

- Oversee, CEO and trainers and assessors, a subject specific Professional Development plan for each VET trainer/assessor, to ensure VET trainers and assessors maintain their Training and Assessment competency and currency and their vocational competency and currency
- Oversee and review with trainers and assessors each vocational training area (VTA) Training and Assessment Strategy
- Oversee and review with VET trainers and assessors, their quality assurance processes for reviewing assessment
- Oversee and endorse the implementation of appropriate validation strategies including the provision of an appropriate validation and meeting form.
- Collect and keep on file, current and accurate copies of Staff Profiles and VTA specific documentation (ie TAS, Assessment Items, etc)
- Oversee and encourage an understanding of RPL processes with Staff and Students
- Implement, maintain and review a system of continuous improvement

- Annually disseminate, collect and report on the following :
  - VET Questionnaire – Students
  - VET Questionnaire – Staff
  - National tools for the collection of data for the Quality Indicators

- Collect this data (including interviewing learners regularly and analysing the root cause of complaints should they occur) on a regular basis in order to analyse for relevance to possible improvement to:
  - Compilation of the RTO's Quality Indicators
  - All aspects of training
  - Professional development of staff
  - Assessment
  - Appropriateness of training methods
  - Selection of competencies in qualifications
- Keep records of all data and associated changes made as a method of Continuous Improvement
- Maintain a copy of data regarding competencies
- Use Logos appropriately in accordance with the NRT Logo Specifications

Additional Requirements

RTO VET Program's
- Ensure that VET programs comply with the RTO audit requirements and accountabilities
- Assist trainers and assessors to keep VET training resources relevant and up to date, and ensure that all VET courses delivered at the RTO meet the VQF requirements
- Provide advice for VET trainers and assessors regarding their roles and responsibilities in an RTO

RTO Coordination
- Liaise with the CEO to advise as appropriate, that the RTO is compliant with the VQF
- Maintain documentation with regard to the RTO status and its Scope of Registration
- Maintain and extend as appropriate, the training programs on the RTO's Scope of Registration
- Maintain procedures which meet audit requirements for: administration, staff, training environment & delivery, assessment, issuing qualifications and quality assurance in accordance with ASQA requirements
- Consolidate the RTO status by promoting continual improvement, thus ensuring the ongoing accreditation of the Registered Training Organisation

- Develop & maintain positive relationships with all delivering RTOs

Financial Responsibility
- Liaise with the RTO's Financial Manager regarding budget requirements for maintaining the RTO status, extending scope, and meeting the audit requirements

Marketing and Public Relations
- Present the RTO as a quality VET provider
- Work with staff to apply for relevant awards for best practice where required

Communication / Liaison with stakeholders
- Assist the RTO with the monitoring of Agreements / Partnerships with other training organisations (where applicable) delivering training students

New Program Development
- Identify the range of vocational programs for implementation, taking into account student & industry needs and the RTO's ability to provide the program

Assessment & Reporting
- Oversee assessment of competence for learning outcomes / competencies, & record results for programs that the RTO delivers.
  Namely, that all courses on the RTO's scope of registration have:
    1. Clearly defined assessment procedures
    2. Sufficient samples of student work retained
    3. Adequate RPL procedures & policies
    4. Annual reviews of assessment processes
    5. Proper procedures for issuing AQF certificates

Evaluation / Internal Review/ Internal Audit
- Develop processes for evaluating the RTO's programs and for meeting the audit requirements, including appointment of industry validators
- Arrange an internal audit of the RTO functions, reporting results to the CEO who acts on advice.

Professional Development
- Keep up to date with relevant changes in VET programs and VQF standards, and communicate current information to VET Staff and students via newsletters, email and meetings
- Provide VET Staff with an annual 'refresher course' on the RTO's strategies, policies and procedures relating to VET
- Act as a reference point for VET Staff, parents and students on all matters relating to the RTO's VET programs
- Source and make available appropriate VET professional development opportunities for teachers to assist them in the presentation and development of VET programs and to ensure an understanding of their training assessment and record keeping functions
- Where requested, provide staff with opportunities for PD to industry and community personnel in relation to Validation processes
- Maintain an awareness of new approaches to the delivery of vocational programs, including flexible delivery and convey this information to relevant trainers and assessors, encouraging PD where appropriate
- Ensure that VET teaching staff are provided with opportunities to maintain / develop appropriate industry links and currency of knowledge

ASQA Specific Duties

- Manages the RTO's scope of registration, other VET documentation and reporting to ASQA. To renew registration go to https://rms.asqa.gov.au/Login.aspx?ReturnUrl=%2f. Check details in ASQA Renewal of Registration Handbook
- Keeps ASQA and www.training.gov.au information up to date eg ASQA Statutory Declaration for Change of CEO and Notification of Change of Provider details and Notification of material change or event
- Manages the registration process for VET related subjects - ASQA online form for changing scope of registration https://rms.asqa.gov.au/Login.aspx?ReturnUrl=%2f
- Manages the VET ASQA Internal Audit for continuous registration, the ASQA Self Assessment Report Initial and Self Assessment Continuing and subsequent Internal Audit and participates in External Audit processes
- Prepares and submits the RTO's VQF Annual Report to provide accurate and timely information regarding registration and compliance. At the time of renewal of registration, prepares the ASQA Delivery Activity Data Summary.
- Supervises the collection of data including the final year Quality Indicator Annual Summary Report.

DUTY STATEMENT
Head of Department - Industry Specific Areas

- Training and Assessment Strategies for each qualification, ensuring Staff Matrix is up-to-date including staff who have delivered or are delivering the qualification. Alternatively this information should be checked on each TAS.

- Partnership Agreements Should a Partnership Agreement be required to fulfill the requirements of any course it is the VTA HODS responsibility to negotiate, complete the required paperwork and lodged it with the VET HOD.

- Oversee and maintain Assessment and Record Keeping for each qualification.

- Monitor Staff Profiles and ensure compliance to deliver exists with relevant staff.

DUTY STATEMENT
Trainers and Assessors
- Manage and implement quality training and assessment in accordance with the VQF Standards.

Appendix 3

Enrolment, Admission Procedures

❑ Access to subjects with a VET outcome will be open to all students and will be offered according to viability of numbers and the availability of physical and human resources. Once a student is enrolled in a VET course, it is the responsibility of the College to provide this course to the student while the student is enrolled. An agreement to this effect is made with each student prior to beginning the VET qualification or course.

❑ Courses with VET outcomes will be advertised to students through the subject selection handbook, brochures/flyers and St Patrick's College Website. Flyers will provide full title of course, code, qualification and units of competency.

❑ An enrolment form will be completed with personal details and special needs documented (full and frank disclosure and supporting documentation to be provided). The following details will be provided to students during an induction period.
- a course outline indicating units of work, units of competency, assessment requirements, materials and equipment required and a training plan.
- a student record book and student handbook will be issued and discussed
- RPL processes and complaint procedures will be outlined (Appendices 1 & 2)
- details relating to assessment and reporting procedures, vocational outcomes and opportunities, certification and support services
- the availability of credit transfers to further study, employment and traineeships/apprenticeships.
- details of school based traineeships and apprenticeships
- work placement application form and arrangements
- details of mutual recognition
- any fees or charges for materials.

❑ The enrolment form is an agreement between the student and the RTO that the course will be available for the full duration of the student's enrolment.

❑ Students are to sign the induction checklist for each course once the induction process is completed.

NB A student file and profile will be established and maintained for the two-year course of study. Enrolment details will be provided to the Learning & Teaching Office for entry onto the database and class rolls will be established.

Appendix 4

Course delivery and assessment:

QCAA SDCS VET DATA ENTRY – PROCEDURES

Course delivery and assessment

To ensure quality delivery and assessment procedures the following principles must be adhered to:

❑ The learning program/work program and assessment register must meet the syllabus or training product requirements and the needs of all students.

❑ Students will be provided with details of the units of competency to be assessed and the conditions of the task/project prior to undertaking assessment.

❑ Assessment instruments must meet the requirements of the relevant training program and must be consistent with a range of variables:

⇒ Compliance with access and equity policies
⇒ Able to address all competencies, elements and performance criteria at the appropriate level – competencies and elements are assessed and performance criteria tracked as part of the design of all assessment tasks
⇒ Meet the requirements of the Training Package critical aspects of evidence
⇒ Include opportunities to build employability skills
⇒ Cover the required knowledge and skills
⇒ Appropriate to the method of delivery
⇒ Varied and provide practical and theory opportunities
⇒ Holistic in nature, where possible
⇒ Valid, reliable, flexible and fair
⇒ A focus on task skills, task management skills, contingency skills and job environment skills
⇒ Opportunity provided for reassessment
(Refer to assessment policies and procedures for further detail)

❑ Documentation relating to RPL must be placed in the student file
❑ Appropriate feedback is provided and student competency assessment profiles are used (Appendix 5)
❑ Results of assessment must be recorded in the student profile, in the student record book and on the VET database at the end of each term

❑ Students studying subjects with a VET outcome are offered structured workplace learning opportunities

❑ Workplace activities are recorded and are used as evidence of competency with the College trainers and assessors determining whether the evidence is satisfactory or unsatisfactory. The terms 'competent' and 'not yet competent' are used at the completion of the course or time frame for a particular unit of competency.
❑ Teachers are required to visit/contact students on work placement and to develop workplace learning activities

- Teachers are required to keep on file all assessment instruments, solutions and marking schemes.

On exit (during or at the end of the course):
- Student record book updated, signed, stamped, dated and a summary of competencies copied within 5 working days.

- Student folios updated with all relevant details and folio placed on file
- Student Record book issued to students
- Competencies updated on VET database and exit results on SDCS
- Certificate or statement of attainment issued and copy placed in the student file within 21 working days.

In order to meet the requirements of both QCAA and the Quality Indicators for the national reporting of student achievement, the following procedures will be implemented.

The following 4 steps will be completed prior to end of Term One as per QCAA SDCS Calendar

`TERM ONE`

1) **HODS/Assessors give VET HoD** Tracking Sheet which has
   - Units as per registration *(please list units in order as per registration document)*
   - Students' names Years 11 &12
   - No results at this stage

2) **VET HOD gives SDCS Administrator** Tracking Sheets for data entry (to meet QCAA due date)

3) **SDCS Administrator gives VET HOD** folder of printouts for each qualification which includes
   - the units of competency being undertaken
   - names of all students entered into the system for each qualification
   - no results at this stage

4) **VET HOD distributes printouts to HODS/Assessors for checking.** HODS/Assessors sign as correct or highlight amendments; copy report and **return original to VET HOD** who will submit the checked report to **SDCS Administrator** for amending of errors *or* filing in her records if correct – no results at this stage.

`EACH SEMESTER END`

1) **HODS/Assessors give VET HOD** any "competent" results to date that can be entered into the system. (Copy kept in VET records)

2) **VET HOD gives SDCS Administrator** a copy to enter into QCAA SDCS

3) **SDCS Administrator gives VET HOD** printout off data entry for distribution to HODS/Assessors for checking.

4) **HODS/Assessors check printouts** and sign as correct or highlight amendments; copy report and **return original to VET HOD** who will submit the checked report to SDCS operator for amending of errors *or* filing in her records if correct. If amendments are required then steps 2 and 4 process will be repeated.

AT EXIT

1) **HODS/Assessors give VET HOD** a copy of completed Tracking Sheet with final result for each unit and the course recorded clearly on the sheet

2) **VET HOD gives SDCS Administrator** a copy of each Tracking Sheet for data entry

3) **SDCS Administrator gives VET HOD** a printout of data entry sheets for distribution to HODS/Assessors to check FINAL RESULTS for each student

4) **HODS/Assessors check printouts** and sign as correct or highlight amendments; copy report and **return original to VET HOD** who will submit the checked report to SDC Administrator for amending of errors *or* filing in her records if correct.

5) **SDCS Administrator gives VET HOD report printout from disk** for checking *all* Certificate results. **HODS/Assessors may be required to help in this process.**

6) **QCAA responsible for issuing Qualification Certificates and Statements of Attainment**

Appendix 5 RESOURCES

Training and assessment materials including learner resources, assessment tools, and assessment to solutions.

Websites

Department of Environment and Heritage Protection
http://www.ehp.qld.gov.au

Fairwork Australia
http://www.fairwork.gov.au

Fire Protection Association of Australia
http://www.fpaa.com.au

Legislation in Queensland
http://www.legislation.qld.gov.au

Material Safety Data Sheets
http://www.msds.com.au

Safework Australia
http://www.ascc.gov.au

Worksafe Queensland
http://www.worksafe.qld.gov.au

Department of Water and Energy Supply
http://www.dews.qld.gov.au

The Climate Group
http://www.theclimategroup.org

Work Cover Queensland
http://www.workcoverqld.com.au

Appendix 6 RTO Draft Calendar

St Patrick's College - CALENDAR OF EVENTS FOR VET STAFF 2015 Draft for discussion

Month	Meeting/Event	Who	Completed
January	• VET Induction staff, students • White Card Training (as required) • Positive Notice Applications	All VET staff and students Any VET students without Any VET students without	
February	• All VET students must be enrolled in SDCS • Work/Industry Placement commences	VET students	
March	• VET HOD's Meeting (/3/12) –calendar dates for 2014, VET Update, PD, New Scope • Quality Indicator Reports Due (previous year's data) – competency completions and Learner Surveys (Due 30 June)	P Webb	
April	• IP visits and obtain feedback from students regarding placements	Work Placement Officer P. Webb	
May	• Industry Placement continues	All VET staff	
June	• Quality Indicator Reports Due (previous year's data) – competency completions and Learner Surveys (Due 30 June) • Industry Placement	P Webb All VET staff P Webb	

	• Industry visits and obtain feedback from students regarding placements	All VET Staff	
July	• VET HOD's Meeting – discuss validation, moderation, internal review processes, reports from Quality Indicators, VET Update New Scope	P Webb All VET Staff	
August	• Subject Selection Evening – • Industry Placement • Industry visits and obtain feedback from students regarding placements	All VET staff for VET subjects	
September	• Preparation for internal reviews – send email to staff and attach required documents • Industry Placement • Industry visits and obtain feedback from students regarding placements	P Webb	
October	• Industry Placement • Staff completing Learner Survey's with students in all VTA's ready for next year's entry • Distribute Industry Placement forms • Parent/ Student Meeting	All VET students All VET students and Staff P Webb Work Placement Officer/P. Webb P Webb	
November	• Collect forms • Find Placements	Work Placement Officer/P. Webb	

December	• Update VET Handbooks for coming year - students and staff • Internal Audit – meet with Sandra Kenman to discuss future improvements	Sandra Kenman, VET Hod's All VET staff VET staff	