



# RTO POLICIES AND PROCEDURES MANUAL 2019



**Standing on our Reputation**



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## TRAINING AND ASSESSMENT POLICY

Clause 1.1 The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirement 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:

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

Clause 1.3 The RTO has, for all of its scope of registration and consistent with its training and assessment strategies, sufficient:

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

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

### POLICY STATEMENT

St Peter Claver College ensures sufficient access to the following within its scope of registration:

- Trainers and assessors.
- Educational support services.
- Facilities and equipment.
- Training and assessment materials required to enable the learner to meet the requirements for each unit.

Training and Assessment Strategies and Practices will be developed for each cohort for each qualification that is delivered and assessed. The College ensures training and assessment is developed in consultation with industry and enables each student to meet the requirements.

### TRAINING AND ASSESSMENT PROCEDURE

A Training and Assessment Strategy (TAS) will be prepared for each cohort for each training product on scope prior to delivery and will be reviewed each semester by the Head of Vocational Education and Training & Careers. Each TAS shall include:

- Identification of Training Product.
- Core and elective components.
- Mode of delivery.
- Entry requirements; including existing skills, knowledge and experience of the learner.
- Duration and scheduling.
- Assessment resources, methods and timing.
- Education and support services.
- Learning resources.
- Human resources.
- Physical resources.

## WORK EXPERIENCE PROCEDURE

Students may undertake different types of unpaid work experience; including sampling, work shadowing, research work experience and structured work placement. At all times, the educational value of the program for any student should be the prime consideration.

The Head of Vocational Education and Training & Careers is responsible for ensuring that:

- Work experience is no longer than 30 days a year, except in the case of a student with a disability.
- Written consent to the arrangement is obtained from the student's parents on the Work Experience Agreement.
- Written acceptance to the arrangement is obtained from the Employer on the Work Experience Agreement and Induction Information given to them.
- Written acceptance to the arrangement is signed by the CEO (Principal) of St Peter Claver College.
- Only activities covered by the insurance policy are undertaken by students.
- Reasonable provision is made for a teacher or other nominated person to visit students on work experience.

The student is required to:

- Sight all forms about work experience placements.
- Coordinate and work with the Careers Office to organise the placement.
- Maintain a record of tasks demonstrated on the job in the form of a logbook.
- Attend all work placements as per the contract.

The following requirements have been designed to minimise disruption to learning and meet the work placement requirements. As a whole, these should be followed however it is understood that dependant on the student's needs, these may change. If a student has not met the requirements, alternative learning weeks and holidays must be used to meet these.

- FSK20113: Certificate II in Skills for Work and Vocational Pathways: Students to complete placement on a continual basis every Thursday over the two year training period.
- SIT20416: Certificate II in Kitchen Operations: Students to complete 12 service periods over the two year training period.

## INDUSTRY ENGAGEMENT POLICY

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 used the outcomes of that industry engagement to ensure the industry relevant of:

- a) Its training and assessment strategies, practices and resources; and
- b) The current industry skills of its trainers and assessors.

### POLICY STATEMENT

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

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

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

### INDUSTRY ENGAGEMENT PROCEDURE

The Head of Vocational Education and Training & Careers:

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

Trainers and Assessors will:

- Engage each semester with industry regarding the units of competency in which they assess training.
- Record industry engagement and feedback on the Industry Engagement Record.
- Ensure they have the industry skills necessary to deliver the training.

Industry engagement may include, but is not limited to:

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

## LEARNER SUPPORT POLICY

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

### POLICY STATEMENT

To maximise the chance of learners successfully completing their training, St Peter Claver College will:

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

This may include providing:

- Language, Literacy and Numeracy (LLN) support.
- Assistive technology.
- Additional tutorials.
- Other mechanisms.

### LEARNING SUPPORT PROCEDURE

St Peter Claver College caters to the needs of all students and where necessary, arrangements will be made for students requiring literacy and/or numeracy support programs. The College also has Learning Support Staff to support these needs.

All students will have involvement with some or all of the following processes, designed to establish their educational and support needs:

- SET plans.
- Subject selection processes.
- Mentoring and Career guidance services.

The Head of Department - VET will:

- Ensure that potential course participants are aware of the recommended level of LLN required to undertake the various courses.
- Promote the LLN policy to course participants.
- Ensure staff can identify course participants with LLN problems and can implement strategies to assist.

Trainers/Assessor will:

- Provide regular guidance, support, direction and monitor the training while incorporating literacy and numeracy elements.
- Encourage students to approach their teacher or the Learning Support Staff for support if required.



## ASSESSMENT POLICY

Clause 1.8 The RTO implement an assessment system that ensures that assessment (including recognition of prior learning):

- a) Complies with the assessment requirements of the relevant training package or VET accredited course; and
- b) Is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained I Table 1.8-2.

Table 1.8-1: Principles of Assessment

**Fairness:** The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

**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 applications;
- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- Judgements of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

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

Table 1.8-2: Rules of Evidence

**Validity:** The assessor is assured that the learner has the skills, knowledge and attributed as described I 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 required the assessment evidence to be from the present or the very recent past.

## POLICY STATEMENT

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

## ASSESSMENT PROCEDURE

In developing the Training and Assessment Strategy (TAS) and assessment tools for each qualification, the College will ensure:

- Compliance with the assessment guidelines from the relevant Training Package or accredited course.
- Assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF).
- Assessment complies with the principles of competency-based assessment and informs the student of the context and purpose of the assessment.
- The rules of evidence guide the collection of evidence to support the principles of validity and reliability.
- There is a focus on the application of knowledge and skills to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment (e.g. dress, communicating with supervisors, etc.).
- Training and assessment is developed in conjunction with industry.
- Timely and appropriate feedback is given to students.
- Are version controlled.
- Assessment complies with the College's Access and Equity policy.
- Are systematically validated as per the Validation policy.

Assessor/trainer are responsible for:

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

If a student has not achieved an individual competency or an instrument assessing a cluster of competencies within their first attempt, they can then re-submit the assessment task by addressing the feedback and correct the errors.

Assessment tools provides a means of collecting evidence. Assessment tools will be developed and reviewed as per the Validation policy. The Head of Vocational Education and Training & Careers and Trainer/Assessor will work together to ensure the Assessment Tools meet the Principles of Evidence and the Rules of Evidence.

Each Assessment Tool will include:

- Assessment cover sheet; outline purpose of assessment, assessment items/tasks to be completed, instructions on how to complete the assessment, requirements/conditions of assessment, context/scenario, submission details.
- Assessment.

- Solutions.
- Marking checklist.
- Mapping to requirements of unit of competency.
- A range of assessment methods will be used to suit the unit/s of competency, such as:
  - Direct observations – assessed in real or simulated workplace.
  - Product based methods such as work samples, role plays, reports, displays.
  - Portfolio such as written documents, videos, logbook.
  - Questioning, generally used for knowledge evidence and can include written questions, oral questions.
  - Third party evidence.

## VERSION CONTROL PROCEDURE

- The initial version of all documents is 1 and is in the footer of each document as 'V1'.
- All modifications made to that document are identified in sequential increases of one on the new document, e.g. 'V1' to 'V2' etc.
- The date of the initial version or the date that the version was modified is also be noted in the document footer, e.g. 1 January 2019.
- Refer to sample below:

File location:	<a href="https://mybceatholicedu.sharepoint.com/sites/sp-spcc/staff/VET/RTO 30028/Standard 7 Governanace &amp; Admin/Policy and Procedures/2019/VET Policies and Procedure Manual 2019.docx">https://mybceatholicedu.sharepoint.com/sites/sp-spcc/staff/VET/RTO 30028/Standard 7 Governanace &amp; Admin/Policy and Procedures/2019/VET Policies and Procedure Manual 2019.docx</a>		
Version No. and date:	V1 1 January 2019	Review date:	November 2019
Ownership:	30028: St Peter Claver College	Approved:	Kristal Meekings

## REASONABLE ADJUSTMENT POLICY

Clause 1.8 The RTO implement an assessment system that ensures that assessment (including recognition of prior learning):

- Complies with the assessment requirements of the relevant training package or VET accredited course; and
- Is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained I Table 1.8-2.

Table 1.8-1: Principles of Assessment

**Fairness:** The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.

**Disability,** in relation to a person, means:

- Total or partial loss of the person's bodily or mental function, or;
- The presence in the body of organism causing disease or illness, or;
- A disorder or malfunction that results in the person learning differently from a person without the disorder or malfunction.

Adjustment is a measure or action taken by an education provider, which has the effect of assisting a student with the disability. Reasonable adjustment is an adjustment in relation to a student with a disability if it balances the interested of all parties affected.

### POLICY STATEMENT

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

### REASONABLE ADJUSTMENT PROCEDURE

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

Students can declare a disability:

- During enrolment.
- During the course.

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

Before making an adjustment for the student, the Head of Vocational Education and Training & Careers will consult with the student or an associate of the student about:

- Whether the adjustment is reasonable.
- The extent to which the adjustment would achieve the following aims:
  - The student will be able to participate in the courses or programs provided and use the facilities and services provided, on the same basis as a student without a disability.

- The student will be able to participate in the learning experience of the course or program on the same basis as a student without a disability.
- The student will be able to access support services on the same basis as a student without a disability.
- The student will be able to participate in the activities in which he or she is enrolled.
- Where there is any other reasonable adjustment that would be less disruptive or intrusive and no less beneficial to the student.

The Head of Vocational Education and Training & Careers will make decision about reasonable adjustment for a student, they will:

- Access whether there is any reasonable adjustment that would be less disruptive or intrusive and no less beneficial to the student.
- Assess whether the adjustment may need to be changed over the period of the student's education or training.
- Reasonable adjustments in assessment.
- Reasonable adjustments to assessment methodology and processes should accommodate students' needs and enable them to demonstrate their competencies.
- When making reasonable adjustments, assessors need to focus on validity and fairness of assessment. Adjustments that fall short of these requirements are not allowed. Such adjustments not only unfairly advantage the student with a disability, but also disadvantage all students by invalidating the award being conferred.
- The rigour of the assessment process is not comprised, for example, if there is requirement to complete documentation in a unit of competency, oral assessment would not be appropriate.
- Any adjustment is to be made within a reasonable time. Whether the time is reasonable depends on whether and when the student or his or her associate has provided any relevant information or opinion.
- The Trainer/Assessor will record adjustment on the Record of Reasonable Adjustment Form which is to be filed with the student assessment.

## ASSESSMENT VALIDATION POLICY

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"

- a) When assessment validation will occur
- b) Which training products will be the focus on the validation;
- c) Who will lead and participate in validation activities; and
- d) How the outcome 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 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:

- a) Vocational competencies and current industry skills relevant to the assessment being validated;
- b) Current knowledge and skills in vocational teaching and learning; and
- c) The training and assessment qualification or assessor skill set referred to in Item 1 or 3 of Schedule 1.

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

### POLICY STATEMENT

The validation policy is designed to ensure that St Peter Claver College's assessment instruments effectively address the requirements of the qualification including continuous improvement of strategies, resources and staff. The College will validate each training product at least once every five years, validating at least 50% of the training products within the first three years of each five-year cycle.

The College will use a risk based approach when selecting the training products/tools to be validated (assessment tools with units of competency leading to an AQF qualification) and a valid random sampling approach to select student work linked to those tools/products. A representative sample size of assessment (evidence gathering tools within a project) for a Certificate I, II or III must be provided for validation. Validating could be six tools for a Certificate I, 12 for a Certificate II and 16 for a Certificate III, however this number is not mandatory.

The selected assessment tools should have the same coding as in the register of assessment tools in Section 8. Any mapping tools used to confirm validity of the assessment tools should be provided to the validator. Mapping tools represent the benchmarks, showing where the tools intersect with the requirements of the units of competency. Assessment tools can map to parts or all of a cluster of units or a single unit.

All qualifications on the RTO scope during the 2015 – 2019 period must be recorded on the plan. If a qualification is removed from the scope, the validation plan should show have validation details for qualifications on scope in the first three years and then those on scope in the last two years. All qualifications are to be validated and results moderated over five years with at least half validated in the first three years.

If a qualification is deemed 'equivalent', the superseded qualification does not have to be validated as a separate 'product'. However, both the current and the superseded qualification should be on the plan if there is any risk attached to the earlier qualification. If a qualification is developed with similar units but a different qualification code (MEM10105 Certificate I in Engineering and MEM20413 Certificate II in Engineering Pathways) both qualifications must be shown on the Validation Plan.

## ASSESSMENT VALIDATION PROCEDURE

### Plan for Validation

The Head of Vocational Education & Training and Careers will prepare the Assessment Validation Plan. The validation plan details when the validation will occur, which training products will be the focus, who will lead and participate in validation, how the outcomes will be documented and acted on and saved on the College portal.

When developing the Assessment Validation Plan, the following factors are considered:

- Assessment validation meetings are scheduled to be completed once every five year cycle
- At least 50% of all qualifications are validated within the first three years.
- The outcome of each validation undertaken is recorded on the Validation Checklist and the Training & Assessment Strategy for the validated competency where feedback and recommendations are documented and acted upon.

The Head of Vocational Education & Training and Careers will:

- Inform staff of validation meetings
- Contact external parties, inform them of the purpose of the meeting and how to prepare for the meeting
- Provide full details of the validations including: units of competency, assessment tools and student samples.
- Manage the improvements to ensure corrective actions are completed.

### Validators

Collectively the persons as validators 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 training and learning.

### Validation Samples

Selecting samples to be validated include the following:

- Identify and locate a statistical random sample of assessment/assessment tools of 10% used for the qualification/unit.
- Make copies of the selected assessment tools/evidence/units and checklists for all attending the workshop.
- Assessors complete validation checklist and note their decision in regards to the principles of assessment. This is also documented in the TAS.
- Any required improvements are to be made to assessment processes or materials within 30 days.

## RECOGNITION OF PRIOR LEARNING (RPL) POLICY

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

### POLICY STATEMENT

Recognition of prior learning (RPL) is the process used to assess individuals' existing level of knowledge and skills against individual or multiple units of competencies. Students are provided with the College's RPL policy prior to enrolment in SDCS. They are made aware of the RPL application form. As part of their student induction, the process and types of evidence that can be used to support RPL applications is provided to them. RPL applications will only be considered if the College's RPL application is used. RPL applications must be submitted to the teacher of the qualification in the first instance.

### RPL PROCEDURE

Students with an application for RPL have access to the following procedures:

- The St Peter Claver College RPL application form must be used.
- All applications for RPL go to the teacher of the qualification in the first instance. Students will need to provide sufficient documented evidence to support their claim for recognition to their teacher e.g. resume, certificates, photos, references from supervisors, performance reviews or job descriptions.
- The RPL and its outcome will be recorded in writing in the RPL register. Trainers and assessors/teachers dealing with the RPL application will provide feedback throughout the process to the student.
- The teacher responsible for the delivery of the qualification will review the evidence provided by the student and give a written and verbal response (within 10 days of receipt of the evidence) to the student regarding whether the evidence is suitable for RPL.
- The teacher handling the RPL application will develop and assess any alternative methods of assessment required as a result of an RPL application. The student may be asked to complete practical demonstrations of their skills to support their application for RPL. Assessment methods should be fair and flexible and reflective of assessment tasks delivered as part of the training and assessment strategy.
- The teacher will update the student records if RPL is granted, following consultation with the Head of Vocational Education and Training & Careers.
- The student will be made aware of any gaps in training as a result of the review of their application evidence.
- The student will be also made aware of the appeals procedure if they are not satisfied with the decision on their RPL application.

### RPL APPEAL PROCEDURE

- A student dissatisfied with the response to the RPL application may initiate an appeal.
- The St Peter Claver College RPL appeal form must be used.
- All RPL appeal applications are go to the Head of Vocational Education and Training & Careers.
- The Coordinator will request from the VET teacher the original RPL application, including the documented evidence that supported the student's initial claim.
- The RPL appeal and its outcome will be recorded in writing in the RPL register. The Head of Department – VET will provide feedback throughout the appeal process to the student.
- The Head of Vocational Education and Training & Careers will make arrangements for the student's application to be re-assessed for RPL by another subject matter expert (VET Trainer and Assessor/Teacher) NOT involved in the original assessment.
- The appeal review will be conducted within 15 days of receipt of the RPL appeal form.
- The Head of Vocational Education and Training & Careers will forward the original RPL application and the findings of the re-assessment to the Principal to make the final decision.
- The outcome of the RPL appeal will be made available to the student.





St Peter Claver College recognises AQF qualifications and statements of attainment issued by any other RTO and has a separate policy and procedure regarding the credit transfer process for this, as outlined in the Recognition of Qualifications Issued by Other RTOs Policy.

## TRAINER AND ASSESSOR POLICY

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:

- a) Vocational competencies at least to the level being delivered and assessed;
- b) Current industry skills directly relevant to the training and assessment being provided; and
- c) Current knowledge and skills in vocational training and learning that informs their training and assessment.

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

Clause 1.14 The RTO's training and assessment is delivered only by persons who have:

- a) Prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies;
- b) 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 ensure that the person has:

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

Clause 1.16 The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

### POLICY STATEMENT

St Peter Claver College ensures all trainers and assessors engaged by the school for the delivery of VET qualifications and/or accredited courses meet the requirements of the AQF standards and retain evidence of this for all trainers and assessors. Trainers and assessors must be qualified, inducted, keep regular records and be given the opportunity for industry engagement and professional development to maintain currency and competency.

### TRAINER AND ASSESSOR PROCEDURE

It is the responsibility of the Head of Department - VET to establish, verify and monitor that trainers and assessors meet the requirements as outlined in the Standards.

Recruitment of staff will be guided by the following principles:

- All prospective staff will be made aware during recruitment that they will undergo an induction process
- Any teacher recruited to deliver and assess a particular qualification will either meet the requirements of the relevant training package or course or have the ability to meet this standard before commencing the delivery and assessment of the qualification.
- From 1 April 2019 will hold either of the following:
  - TAE40116 Certificate IV in Training and Assessment or its equivalent.
  - Diploma or higher level qualification in Adult Education.
- All Trainers and Assessors will hold:
  - Vocational competencies at least to the level being delivered and assessed.
  - Current industry skills directly relevant to the training and assessment being provided.
  - Current knowledge and skills in vocational training and learning that informs their training and assessment.

## RECRUITMENT AND TIMETABLING PROCEDURE

- St Peter Claver College will ensure any advertising for VET trainers and assessors clearly outlines the position description and only recruit and timetable trainers who meet the requirements of the AQF Essential Conditions and Standards for Continuing Registration.
- In the event of losing the specialist trainer, and the RTO being unable to obtain a suitable replacement, St Peter Claver College will, if possible, arrange for agreed training and assessment to be completed through another RTO (fees may be incurred.) Prior to the transfer to another RTO, affected students will be formally notified of the arrangements, and an agreement to those arrangements, including any refund of fees, will be obtained. If transfer is not possible, the RTO will gain a written agreement for a subject/course transfer from the student and parent.
- All trainers and assessors must have completed a minimum of as listed in the Trainer and Assessor Policy.

The Head of Vocational Education and Training & Careers will induct all new staff to St Peter Claver College involved with the delivery of VET. The induction procedure will include VET Staff Handbook and meeting that includes the following information:

- VET qualifications and courses offered in the school.
- RTO Quality Management System operating within the school and policies and procedures, particularly:
  - Trainers and Assessors (including professional development).
  - Strategies and Resources.
  - Training and Assessment.
  - Student Information and Client Services.
  - Continuous Improvement.
  - Validation Plan.
  - Industry Engagement.
  - Records Management.
- Communication procedures and VET meetings schedule.
- Duty Statement.
- Industry skills councils, training packages and competency-based training and assessment.
- Roles and responsibilities of VET staff including Heads of Departments, Head of Vocational Education & Training and Careers and administration.

## RECORDS-KEEPING PROCEDURE

- Trainers and assessors must provide the Head of Department - VET with verified copies of all qualifications, as well as hard and/or electronic copies of other information to meet the requirements of the AQF before starting delivery.
- The Head of Vocational Education and Training & Careers will scan copies of qualifications and save at in Staff Profiles. All other documentation is also saved at the same location.
- Where trainers and assessors gain additional qualifications related to their industry area, they must provide that information to the Head of Vocational Education and Training & Careers.
- Trainers and assessors must complete and maintain their St Peter Claver College currency documents (or staff profile or other school approved format). These documents should be updated at least twice a year.

## CONTINUOUS DEVELOPMENT OF COMPETENCIES PROCEDURE

Trainers and assessors are required to:

- Complete and maintain their St Peter Claver College Staff Profile outlining their own vocational qualifications, training and assessment qualifications and currency activities in their industry area, as well as VET and training and assessment.

- Review their own currency activities related to training and assessment and vocational currency, and, through their HOD, ask for professional development activities to enable up-skilling and maintenance of both vocational and training and assessment currency.
- Follow St Peter Claver College's professional development requirements when applying for all professional development activities, including those related to VET.
- Identify how industry placement will be of benefit to themselves and their teaching through the mapping of competencies on a Professional Development Plan.

Whilst there is no prescription as to how trainers and assessors must maintain their currency in industry skills, each trainer will be allocated the following as a minimum dependent on teacher area/s:

- Validation – one day per year as per the validation plan. Where there are multiple teachers for a particular subject this may work on a rotation basis.
- Industry placement – one day will be allocated during each semester. This will take place during the alternative learning week and scheduled into the planning of that week.
- Other industry currency/engagement – excursions, expos, professional developments, conferences, conversations with other professionals/industry, professional publications, being on site for a students structured workplace learning may be used to meet currency.

On the completion of the placement, each trainer is to:

- Complete the Teacher Industry Placement Evaluation Form and submit to the Careers Office.
- Update their Staff Profile.
- Share expertise and experience with other teachers or administrators in the College.

## SUPERVISION OF TRAINERS POLICY

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 complies with Standard 1.

Clause 1.20 Without limiting Clauses 1.17 – 1.19, the RTO:

- Determines and puts in place:
  - The level of the supervision required; and
  - Any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision on 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

## POLICY STATEMENT

Trainers working under supervision will only be used when a specialised trainer is not available and will be determined by the Head of Vocational Education and Training & Careers before the supervision is to commence. The job role of trainers working under supervision of a qualified trainer job role simply involves collecting evidence of competency.

## SUPERVISION & ASSESSMENT ARRANGEMENTS PROCEDURE

Before the supervision is to commence, the designated Supervisor and the Trainer under supervision meet at the start of the supervision arrangement/prior to delivery to:

- Establish the terms of supervision, e.g. Regular meetings, observation session.
- Discuss teaching context and current practices, including competency based training and teacher responsibilities.
- Discuss delivery strategies for all units to be delivered including:
  - Session plans.
  - Delivery or topic sequence.
  - Learning materials.
  - Assessment tools and procedures.
  - Provide input to the preparation for training.

If someone is working under the supervision arrangement, they must still complete the requirements of the Trainer and Assessor Records-Keeping Procedure and provide the necessary documentation.

Persons delivering training under the supervision of a trainer must:

- Work under the supervision of a trainer with the TAE Certificate IV Training and Assessment.
- Hold the skill set defined in Item 4 of Schedule 1 (Enterprise Trainer Skills Set and/or Enterprise Trainer and Assessor Skill Set).
- Have direct relevant current industry skills relating to the training and assessment being provided.
- Currently hold relevant vocational competence at least to the level being delivered and assessed.

## TRANSITION POLICY

Clause 1.26 Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

- a) Where a training product on its scope of registration is superseded, all 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.
- b) Where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certificate documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register,
- c) Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certificate documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register, and
- d) A new 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 a0 do not apply where a training package required the delivery of a superseded unit of competency.

## POLICY STATEMENT

St Peter Claver College manages the transition from superseded training packages within 12 months of their publication on the National Training Information Service, and transition from superseded accredited courses, so that it delivers only currently endorsed training packages or accredited courses.

## TRANSITION PROCEDURE

It is the responsibility of each vocational training area within the College to plan for the transition to new/ revised training packages as they are endorsed. Each vocational training area must inform the Head of Vocational Education and Training & Careers of new qualifications and units, where required. The Head of Vocational Education and Training & Careers will approve the new qualification and units and with the assistance of the VET Administration Officer, complete the application and send to the registering body.

Where possible, students in existing/expiring courses/qualifications will be 'transitioned' to the new versions of those qualifications. When this is not possible, no new students will be enrolled in the expiring qualification after 12 months from the publication date of the new training package. A six-month 'teach out' for expiring qualifications is available for continuing students.

Generally, the next cohort of students enrolling in the qualification after the training package publication date will enrol in the new training package qualifications.

Throughout the training period, the designated supervisor must:

- Provide regular support, guidance and monitoring.
- Observe some training sessions and provide feedback.
- Discuss teaching programs.
- Advise on dealing with challenges arising.
- Review training course at end of delivery.
- Review participant feedback and survey evaluations.
- Conduct assessment jointly
- Counter-sign record of results.

## SYSTEMATIC MONITORING AND EVALUATION POLICY

March 2015

Standard 2: The operations of the RTO are quality assured.

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 a RTO within its scope of registration.

Clause 2.2: The RTO:

- a) Systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1, and
- b) Systematically evaluated 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 indicated data collected under Clause 7.5, validation outcomes, client trainer and assessor feedback and complaints and appeals.

### POLICY STATEMENT

St Peter Claver College is committed to ensuring that the quality of the training and assessment is maintained and that they are able to respond to changes in the marketplace or stakeholder expectations. The College ensure quality development, implementation, monitoring and evaluation of training and assessment strategies and practices; including those that are provided by a third party, that meet training packages and VET accredited course requirements. Evaluating information about performance and using such information to inform quality assurance of services and improve training and assessment is sound business and educational practice. The data from this monitoring is used to implement changes to improve strategies and practices.

### SYSTEMATIC MONITORING AND EVALUATION PROCEDURE

The College will conduct a regular review of its training and assessment, using a range information. This data will be used to inform changes to current strategies or practices as needed. Reviews will be conducted in conjunction with industry engagement activities.

The RTO Manager/delegate representative will:

- Conduct annual internal reviews and record outcomes on the Quality Checklist.
- Collect and collate feedback from trainers and assessors at regular VET staff meetings.
- After completion of their studies issue students a Quality Indicator survey.
- Review results from quality indicator surveys, validation feedback and trainer feedback; and revises systems and practices where needed.
- Collect and retain evidence of the review process including:
  - Delivery and performance data.
  - Client feedback.
  - Employer feedback
  - Trainer and assessor feedback.
  - Validation outcomes.
  - Information from complaints and appeals.

Where issues have been raised about training or assessing complete the following:

- Discuss any issues raised about a particular trainer or assessor with the trainer/assessor.
- Make changes to the Training and Assessment Strategy (TAS) that will improve training, assessment or other related areas.
- Record changes to made in the Continuous Improvement Register.
- Management and follow up on changes to ensure implementation by agreed dates.

## THIRD PARTY ARRANGEMENTS POLICY

March 2015

Standard 2: The operations of the RTO are quality assured.

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.

Standard 8: The RTO cooperates with the VET Regulator at all times and is legally compliant at all times.

Clause 8.3 The RTO notifies the Regulator:

- a) Of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and
- b) Within 30 calendar days of the agreement coming to an end.

### POLICY STATEMENT

St Peter Claver College monitors training and assessment services delivered by another Queensland school on its behalf:

- A documented agreement is in place with each school. The agreement describes the responsibilities of each school and the management strategies to be followed, including monitoring arrangements.
- St Peter Claver College negotiates the agreement with the other school and provides a copy of the agreement to the other school.
- The carrying out of the agreement is monitored by St Peter Claver College to ensure that it is being followed, and improvements are made where required.
- Improvements to arrangements for the establishment, monitoring and carrying out of agreements are shown.

St Peter Claver College is accountable for the quality of training and assessment provided on its behalf. Further details regarding RTO responsibilities are available on the St Peter Claver College duty statements.

### PARTNERSHIP PROCEDURE

Before drafting a partnership agreement, St Peter Claver College will ensure that principals, relevant HODs, trainers and assessors understand what is involved and an initial commitment is obtained.

### PARTIES INVOLVED

The written partnership agreement will include the following:

- The name, address and national provider number of St Peter Claver College.
- The name and address of the partner school that will be delivering training on behalf of the school RTO.
- The names and signatures of the principals of both schools.
- The names and contact details of the Head of Vocational Education and Training & Careers and coordinating trainer and assessor at St Peter Claver College and their signatures.
- The names and contact details of the coordinating trainer and assessor at the partner school, and their signatures.
- Position descriptions for all positions/staff named in the partnership agreement.
- Terms of the agreement the program offered, including the relevant training package qualification (or accredited course), listing the qualification code and title as well as the relevant units of competency, listing their codes and titles.
- A clear outline regarding the services provided by the other school on the school RTO's behalf, e.g. training and/or assessment.



- A statement regarding the responsibilities of the partnering schools with regards to the student agreement and guarantee.
- A statement outlining the responsibilities of the partnering school to provide student achievement data to St Peter Claver College by a negotiated date/s each year.
- A statement outlining the responsibilities of St Peter Claver College regarding reporting and submitting student achievement data by due dates to the registering body in relation to Queensland Certificate of Education (QCE) requirements (i.e. meeting the final dates for providing results to the QSA via Registration and Banking System and to Department of Education and Training [DET] where the qualifications are registered with DET).
- A statement outlining that the partnering school must provide to St Peter Claver College trainer and assessor information to ensure AQTF requirements are met, e.g. staff profiles, copies of qualifications.
- A statement outlining management of complaints and appeals.
- Dates for the period of the agreement.
- Terms for terminating the agreement.
- Policies and procedures for monitoring the agreement including continuous improvement processes.
- Intellectual property rights of all parties to the agreement.
- Processes for dispute resolution.
- Legislation that may have an effect on the agreement (where relevant).
- A statement outlining who will be responsible for evaluating the partnership arrangements at the completion of the agreement.
- A statement outlining that the partnering school that is delivering training on behalf of St Peter Claver College has been informed of all relevant St Peter Claver College policies and procedures that must be adhered to.
- A statement outlining the responsibilities of the partnering organisation with regards to providing quality indicator data by providing achievement data and administering learner engagement surveys.
- A statement that St Peter Claver College will issue statements of attainment and qualifications under its RTO name.
- Training and assessment a statement outlining who will be responsible for developing, monitoring and reviewing strategies for training and assessment to ensure the quality of training outcomes.
- A statement acknowledging that St Peter Claver College is always responsible for the quality of training and assessment delivered on its' behalf.
- Information to students.
- A statement regarding the marketing and promotional materials which can be used and specifying who is responsible for monitoring this information to ensure accurate information is provided to potential clients.
- Fees related to the agreement.

On direction from the Head of Vocational Education and Training & Careers, the VET Administration Officer from St Peter Claver College will file the signed partnership agreement and ensure the other school has a copy of the agreement.

## MONITORING AND MANAGEMENT

The monitoring procedures outlined in the partnership agreement may include:

- Regular meeting with agendas and minutes.
- Regular management data reports, including client feedback.
- Site visits to confirm partner practice.
- Assessment validation processes.
- Moderation of assessment decisions with the coordinating trainer and assessor.
- Reviews of the partner's training, assessment and administration.
- Sharing of professional development activities.

## CERTIFICATION AND USI POLICY

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 meet the requirements of Schedule 5.

Clause 3.3 AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and providing all agreed fees the learner owes to the RTO have been paid.

Clause 3.4 Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

### POLICY STATEMENT

St Peter Claver College has access to the School Data Capture System (SDCS) Handbook and the 2018 Queensland Certificate of Education (QCE) Handbook issued by the QCAA. SDCS will not be used for the 2018 Year 10 cohort or subsequent cohorts. QCAA's new Student Management Application (SMA) will replace SDCS, beginning with the 2018 Year 10 cohort. Use of SDCS and SLIMS/RABS will continue until late 2019.

This RTO ensures all students have a USI on enrolment into VET programs and uploads data in accordance with regulatory requirements.

The College RTO will:

- Issue, maintain and accept AQF certification documentation for students.
- Assist students to apply, apply on behalf of students or verify the student provided USI on the USI website following the procedure. Proof of issue or verification of USI will be kept in the Main Office.

The Principal (as the chief executive officer) of the college RTO is ultimately responsive for ensuring that the college RTO complies with the VQF.

### CERTIFICATION PROCEDURE

To avoid possible delays in issuing certification, St Peter Claver College has processes in place to verify a student's Unique Student Identifier (USI) well in advance of when certification is expected to be issued.

The college RTO is only required to issue AQF certification documentation when a student has met all course requirements and has a verified USI. The college is not required to issue 'interim' documentation at any time and all VET certificated issued will meet the requirements of Schedules 4 & 5.

### ISSUING AQF QUALIFICATIONS

St Peter Claver College will include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:

- The name, RTO code and logo of the issuing organisation.
- The code and title of the awarded AQF qualification.
- The NRT Logo in accordance with the current conditions of use contained in Schedule 4.
- An embossed College seal as an anti-fraud mechanism.

The following elements are to be included on the testamur as applicable:

- The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts).
- The industry descriptor, e.g. Engineering.
- The occupational or functional stream, in brackets, e.g. (Fabrication).
- Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'.
- Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

St Peter Claver College will not include the learner's Student Identifier on the testamur consistent with the **Student Identifiers Act 2014**.

The college RTO will:

- Retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued.
- Retain records of AQF certification documentation issued for a period of 30 years.
- Provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.
- Issue VET certification within 30 calendar days of the student being assessed and meeting the requirements of the program.

## ISSUING STATEMENTS OF ATTAINMENT

St Peter Claver College will include the following information on a statement of attainment:

- The name, RTO Code and logo of the issuing organisation.
- A list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency.
- The authorised signatory.
- The NRT Logo.
- An embossed College seal as an anti-fraud mechanism.
- The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'.

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

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

The college RTO must not include the learner's Student Identifier on the statement of attainment consistent with the **Student Identifiers Act 2014**.

The college RTO will:

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

## ISSUING CERTIFICATION PROCEDURE

- The Data Secretary will produce a S1 Transfer form for students who have completed their course, exited the qualification early or left the College. The S1 Transfer form will indicate any completed or partially completed qualifications.
- The Data Secretary will forward the S1 form to the VET Administration Officer who will complete the required qualification and/or statement of attainment.
- The Data Secretary will then ensure a second check is made for accuracy and is signed on the S1.
- The Data Secretary will amend student's file on SDCS to indicate that qualification has been issued by placing a 'YES' in the 'Certificate Issued' column.
- The VET Administration Officer will produce the qualification and issue directly to the student, via the Teacher, or post to the student if they have left the College as per their address on the S1 form.
- Copies of issued qualifications are kept in the students file in the main office and in the Careers Office.
- Details of the issued qualification and/or statement of attainment are placed on the register SPCC AQF Qualifications Issued Register.

## REPLACEMENT QUALIFICATIONS

St Peter Claver College will provide replacement copies of issued qualifications to students and past students.

Before replacement copies are issued to past students, a certified copy of one of the following documents must be provided as proof of identity:

- Valid Passport.
- Driver Licence or Learner Licence.
- Adult Proof of Age Card.
- Birth Certificate or Extract of a Birth Certificate.  
(If your family name has changed since your Birth Certificate was issued, you will need to supply additional information as proof of your identity, e.g. Marriage Certificate or Name Change Certificate).

Documents must be current, and copies must be certified by a Justice of the Peace or a Commissioner for Declarations.

Requests for a replacement qualification or statement of attainment (within the 30-year period) are processed as follows:

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

## STUDENT TO ACCESS RECORDS POLICY

Clause 3.4 Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

### POLICY STATEMENT

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

### STUDENT TO ACCESS RECORDS PROCEDURE

Trainer and Assessors maintain accurate and current records for each student's progress towards and achievement of competencies.

- These records will be forwarded for entry on the SDCS prior to each of QCAA's advertised collection dates for data.
- The data recorded on the SDCS will be printed out and returned to the Trainer and Assessor for checking.
- When the student nears achievement of sufficient competencies toward of the full qualification, the Trainer and Assessor checks student achievements against the qualification packaging rules.

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

## CREDIT TRANSFER POLICY

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

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

### POLICY STATEMENT

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

### RECOGNITION OF QUALIFICATIONS

- In the first VET class of the year or the first class for new students, as part of the VET student induction process, the teacher shall make students aware that any existing qualifications they possess will be recognised by the College. Trainers and assessors/teachers will remind students of this policy at the beginning of each new term.
- If a student presents a qualification to the teacher, the teacher will take a copy and bring it to the attention of the VET Administration Officer.
- The Head of Vocational Education and Training & Careers, with the assistance of the VET Administration Officer, will if required, verify the authenticity of the qualification.
- The verified copy of the qualification will be given to the Data Secretary to enter into SDCS/SMA using the 'credit transfer' option and will then place the copy in the student file.
- The Data Secretary will advise the Teacher that the student has been given exemption for the units of competency or modules identified in the qualification and will update the student's SDCS/SMA records accordingly. The Teacher will advise the student.

### INTERNAL RECOGNITION OF QUALIFICATIONS

- St Peter Claver College will complete a mapping exercise to identify common units of competency across qualifications on the scope of registration.
- At the beginning of each year, students are identified who are doing courses where there are common units of competency or have progressed from Certificate I to Certificate II.
- The Head of Vocational Education and Training & Careers and the trainer and assessor/teacher meet to establish the processes for delivery and ensuring accurate data.
- This process is repeated throughout the year for students who change subjects.
- The information is entered into SDCS/SMA using the 'credit transfer' option in all instances where the student has already gained the unit of competency (i.e. the student may only once be deemed as competent).

## STUDENT IDENTIFIER POLICY

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 exception described in Cluses 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar, and
- Ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

### POLICY STATEMENT

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

A Unique Student Identifier (USI) is a reference number made up of numbers and letters that give students access to their USI account. The USI scheme, enabled by the Student Identifiers Act 2014, allows learners to access a single online record of the VET achievements. The scheme also allows for reliable confirmation of these achievements by employers and other RTOs. The online system provides each learner with an USI.

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

### USI PROCEDURE

St Peter Claver College will:

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

### EMINERVA DIRECT WEB SERVICE APPLICATIONS

- Written consent from Parents and Students to apply, retrieve or verify USI's is given to the College RTO at the Year 10 SET Plan interviews or in Term 4 of Year 9 for students selecting a VET subject in Year 10.
- The Unique Student Identifier (USI) Permission Form will be completed by parents at Year 10 SETP interviews for students who are selecting VET subjects. The completed forms and ID supplied will be forwarded to the Enrolments Secretary.
- The Enrolments Secretary will use the direct web service through eMinerva to apply for a USI on behalf of students. Through this system USI's will be automatically verified and captured.
- Students who transfer into VET subjects during the school year will have their USI number generated by the Enrolments Secretary using ID information already supplied to the College.
- The USI number will be recorded against the student's name on a spreadsheet used by the Data Secretary to upload into SLIMS.
- Students will receive an email from the USI Registry confirming their USI number and providing details to finalise setup on their account.

## **COLLECT THE USI**

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

Ask the student for their:

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

Important: The details the student provides **MUST** match the details shown on the form of ID used to create a USI. These details are forwarded onto the Enrolments Secretary for verification.

## **VERIFY THE USI**

The Enrolments Secretary will verify that the USI provided is correct through eMinerva. USI Status and Verification details are recorded in the student record on eMinerva.

## **REPORT THE USI**

Once the USI is verified as valid, the College RTO will then use this USI when reporting to the National Data Collection.

## **DATA MANAGEMENT**

USI numbers are collected and securely stored against the student's name on a spreadsheet used by the Data Secretary for uploading into SLIMS for final VET data reporting to QCAA.



## MARKETING AND ADVERTISING POLICY

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 or 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 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 advertise or markets a non-current training product while it remains on the RTO's scope of registration
- Only advertise or markets that a training product it delivers will enable learners to obtain a license or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
- Includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment and
- Does not guarantee that:
  - A learner will successfully complete a training product on its scope of registration, or
  - A training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2, or
  - A learner will obtain a particular employment outcome where this is outside the control of the RTO

### POLICY STATEMENT

St Peter Claver College ensures that the marketing and advertising of Australian Qualifications Framework (AQF) qualifications to prospective is ethical, accurate, accessible and consistent with its scope of registration and includes the school's RTO provider code.

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

If another person or organisation is delivering training or recruiting students under a third party agreement with the College RTO, the third party arrangements policy and procedures will be applied.

No advertising of AQF qualification to prospective students on behalf of other RTOs will be allowed without their consent. The NRT logo will be used in marketing material in accordance with its conditions of use specified in Schedule 4 of the Standards. The Principal (as the chief executive officer) of the College is ultimately responsible for ensuring that the College complies with the VET Quality Framework (VQF). This includes any marketing in print media, electronic media or social networking.

### MARKETING AND ADVERTISING PROCEDURE

- All AQF qualification marketing and advertising is managed by the Head of Vocational Education and Training & Careers.
- The induction program for staff includes information about how to ensure that marketing is accurate, ethical and is not misleading.
- All advertising including subject selection includes a date of publication and the following statement, 'correct at time of publication but subject to change'.

- All advertising or marketing materials are submitted to the Head of Department - VET for approval.
- The Head of Vocational Education and Training & Careers checks the mandatory requirements as defined in the Standards:
  - Accurately represents the services and qualification on the scope of registration.
  - Includes the RTO code of the college RTO.
  - Includes the NRT logo in accordance to Schedule 4.
  - Includes the correct and current qualification code and title and lists the correct current units of competency that the students will be doing.
  - Only advertises current qualifications and units of competency that remain on the National Register.
  - Identify the outside RTO if the qualification is through an outside provider (and there is a record of consent given by the outside RTO).
  - Obtained consent from any person or organisation referred to in any marketing materials.
  - VET qualification are clearly differentiated from other forms of learning.
  - Identifies if the college RTO is delivering the qualification/ units of competency on behalf of another RTO (and that there is a written and signed third party agreement).
  - Does not guarantee that:
    - A student will successfully complete the qualification or units of competency.
    - A student will obtain a particular employment outcome.
    - A qualification or unit of competency can be completed in a manner that does not meet the standards and does not meet Clauses 1.1 and 1.2.
    - Any other required information.
- The Head of Vocational Education and Training & Careers (as delegated by the Principal) gives the final approval to all VET marketing and advertising, regardless of the format or the audience.

## STUDENT INFORMATION POLICY

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:
  - Estimated duration
  - Expected locations at which it will be provided
  - Expected modes of delivery
  - 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
  - Any work placement arrangements.
- The RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.
- The learner's rights, including:
  - Details of the RTO's complaints and appeals process required by Standard 6, and
  - 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:
  - In relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services
  - Any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product, and
  - Any materials and equipment that the learner must provide, and
- Information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

### POLICY STATEMENT

St Peter Claver College ensures that all VET students are properly informed and protected. This policy and procedure document links closely with the Marketing Policy.

Through the SET plan process, the College RTO ensures that all VET students have been provided with sufficient advice and information regarding the appropriateness for them of the qualification and/or accredited courses they would like to be enrolled in (as per Standard 5.1). The advice takes into account each student's existing skills and knowledge prior to the finalisation of subject selection to ensure that students are able to make informed decisions before undertaking training in a VET qualification or accredited course.

The College RTO is committed to completing the outlined training and assessment once students have started study in their chosen qualification/s or course/s from the course start date. This includes delivery by a third party on the college RTO's behalf. Students who enter the course after the start date will have a negotiated package of units that will lead to a statement of attainment.

The Principal (as the chief executive officer) of the college RTO is ultimately responsible for ensuring that students (and their parents/carers) are provided with the required information prior to enrolment, including the services they are to receive, their rights and obligations and the RTO's responsibilities.

The college RTO has a separate Complaints and Appeals policy and procedure.

If another person or organisation is providing student information under a third party agreement with the college RTO, the Third party arrangements policy and procedures will be applied.

## **STUDENT INFORMATION PROCEDURE**

St Peter Claver College is inclusive of all students regardless of sex, race, impairment, or any other factor. Enrolment at St Peter Claver College is processed through the main office. The Senior Education and Training (SET) Plan form is part of the SET Plan procedure in Year 10 and are processed by the Student Administration Office.

## **STUDENT INDUCTION PROCEDURE**

Each subject area is responsible for student induction. The college will provide student information and induction to each student before enrolment on Student Data Capture System (SDCS) for a course. Students will receive the VET Student Handbook which outlines the following information:

- VQF reference, policy statement and responsibilities.
- The VET Quality Framework (VQF).
- Student selection and enrolment procedures.
- Course information, including content and vocation outcomes.
- Fees and charges, including refund policy and exemptions (where applicable).
- Provision for language, literacy and numeracy assistance.
- Student support, welfare and guidance services.
- Flexible learning and assessment procedures.
- RTO complaints and appeals procedures.
- Disciplinary procedures.
- Staff responsibilities for access and equity.
- Recognition of prior learning (RPL).
- Credit transfer – recognition of AQF qualifications and statements issued by other RTOs.
- Significant Legislation.
- Access to records.
- Course outlines and pathways.

Trainers and Assessors/Teachers will ensure that all students complete and sign the VET Student Induction Checklist. Completed checklists are filed in the VET subject area on the school portal. All students have access to reassessment on appeal.

## **HEAD OF VOCATIONAL EDUCATION AND TRAINING & CAREERS**

The Head of Vocational Education and Training & Careers has responsibility and authority for the VET student information systems (under the delegation from the Principal) including:

- Liaising with the Principal and vocational training areas regarding student information documentation, as well as subject selection and course information.
- Responsibility for ensuring all students have been adequately informed about the appropriateness of the qualification or accredited course and whether it meets students' needs.
- Responsibility for ensuring all students have been advised regarding their rights and obligations and the RTO's responsibilities.
- Responsibility for ensuring that the information is provided in print and/or electronic copy.

- Responsibility for advising students about any changes to agreed services (including third-party arrangements).
- Ensuring that the provision of educational services is monitored to cater for student needs. This includes reviewing ‘overlaps’ where students are enrolled in more than one VET qualification at the college RTO or another RTO and the corresponding adjustments to the training and assessment strategies, student enrolments and scope of registration.

**ASSISTANT PRINCIPAL CURRICULUM (RESPONSIBLE FOR TIMETABLING)**

The Assistant Principal Curriculum must ensure that:

- They liaise with the Curriculum Leader Vocational Education & Training and Careers regarding all VET enrolments.
- All subject selection forms have been signed by both the student and the Parent/Carer.

**STUDENT INFORMATION**

Students and their parents/carers will receive the following information prior to enrolment on the SDCS, through the documents and/or activities given in the following table. Check the college RTO quality system calendar to see the timing of these activities.

Written Information (Print or Electronic) Provided to Students and their Parents/Carers	College RTO Document (and activity where applicable) Documents are Hyperlinked
Subject selection and enrolment procedures.	<a href="#">Senior Subject Selection Booklet.</a> <a href="#">Year 10 SET Planning Form.</a> <a href="#">VET Student Induction Checklist.</a> <a href="#">School Calendar.</a> <a href="#">Course Overview Year 10 Booklet.</a>
<ul style="list-style-type: none"> <li>• Qualification or accredited course information, including:</li> <li>• Code, title, currency of qualification/accredited course (as per training.gov.au).</li> <li>• Code and title of the units of competency to be delivered (as per training.gov.au).</li> <li>• Estimated duration.</li> <li>• Training/assessment locations.</li> <li>• Mode/s of delivery.</li> <li>• Work placement arrangements (if required).</li> <li>• Obligations to the students i.e. being responsible for the quality of the training/assessment, the issuance of certification.</li> <li>• Entry requirements or pre-requisites (if applicable).</li> <li>• Student obligations related to any materials or equipment they must provide.</li> <li>• Requirements the student must meet to successfully complete e.g. apply for a USI, service periods, travel requirements, events or out of school hours’ functions.</li> <li>• The student’s rights if the RTO (or a third party) closes or ceases to deliver any part of the training course the student is enrolled in.</li> <li>• Details of the RTO’s complaints and appeals process.</li> <li>• Third party information (if relevant) i.e. name and contact details of the third party providing the training and/or assessment, and related educational and support services.</li> </ul>	<a href="#">Senior Subject Selection Booklet.</a> <a href="#">VET Policies and Procedures Manual.</a> <a href="#">College Website.</a>
Fee information (if collected directly or through a third party) for each qualification prior to their enrolment in SDCS specifying: <ul style="list-style-type: none"> <li>• Fee information (amount, terms/conditions, deposits, refunds).</li> </ul>	<a href="#">Senior Subject Selection Booklet.</a> <a href="#">VET Student Handbook.</a> <a href="#">VET Policies and Procedures Manual.</a>

<b>Written Information (Print or Electronic)                      Provided to Students and their Parents/Carers</b>	<b>College RTO Document (and activity                      where applicable)                      Documents are Hyperlinked</b>
How VET qualifications and courses differ from other school courses and criteria-based assessment, by including: <ul style="list-style-type: none"> <li>• Work-like activities.</li> <li>• Competency-based training and assessment.</li> <li>• Competency standards, which are an industry-determined specification of performance that sets out the skills, knowledge and attitudes required to operate effectively in employment.</li> </ul>	<a href="#">Senior Subject Selection Booklet.</a> <a href="#">VET Student Handbook.</a> <a href="#">VET Policies and Procedures Manual.</a>
Student support, welfare and guidance services.	<a href="#">VET Student Handbook.</a> <a href="#">VET Policies and Procedures Manual.</a>
Recognition of prior learning (RPL) procedures.	<a href="#">VET Student Handbook.</a> <a href="#">VET Policies and Procedures Manual.</a>
Recognition of Australian Qualifications Framework (AQF) credentials, and statements of attainment issued by other RTOs.	<a href="#">VET Student Handbook.</a> <a href="#">VET Policies and Procedures Manual.</a>
College RTO's obligations to the student in regard to providing quality training and assessment, and issuance and reissuing of AQF certification.	<a href="#">VET Policies and Procedures Manual.</a>
Student's rights if the college RTO or a third party delivering training on its behalf ceases to deliver any part of the qualification that a student is enrolled in. For example:  The college RTO is committed to completing the outlined training and assessment once students have started study in their chosen qualification/s or course/s from the course start date (including delivery by a 3rd party on the college RTO's behalf).  In the event of losing the specialist trainer, and the RTO being unable to obtain a suitable replacement or 3 <sup>rd</sup> party school will not be able to continue delivery, the college RTO will, if possible, arrange for agreed training and assessment to be completed through another RTO. (Fees may be incurred.) Prior to the transfer to another RTO, affected students will be formally notified of the arrangements, and an agreement to those arrangements, including any refund of fees, will be obtained. If transfer is not possible, the RTO will gain a written agreement for a subject/course transfer from the student and parent.	<a href="#">VET Policies and Procedures Manual.</a>

## FEES POLICY

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:
  - Fees that must be paid to the RTO, and
  - 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:
  - Arrangement is terminated early, or
  - The RTO fails to provide the agreed services.

## POLICY STATEMENT

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

## FEES PROCEDURE

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

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

## AGREED SERVICES POLICY

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

### POLICY STATEMENT

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

### AGREED SERVICES PROCEDURE

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

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

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



## COMPLAINTS AND APPEALS POLICY

Clause 6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a. The RTO, its trainers, assessors or other staff
- b. A third party providing services on the RTO's behalf, its trainers, assessors or other staff or
- c. A learner of the RTO

Clause 6.2 The RTO has an appeals policy to manage requests for a review of decisions, including assessment decision, 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:

- a. Ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process
- b. Are publicly available
- c. Set out the procedure for making a complaint or requesting an appeal
- d. Ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable, and
- e. Provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the process 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:

- a. Informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and
- b. Regularly updates the complainant or appellant on the progress of the matter.

Clause 6.5 The RTO:

- a. Securely maintains records of all complains and appeals and their outcomes, and
- b. Identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood or 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 complains and appeals policy in accordance with Clauses 6.1 & 6.2. The organisation has a complaints and appeals policy, which is sufficiently broad to cover the services provided by the RTO.

### POLICY STATEMENT

St Peter Claver College, as an RTO has a complaints and appeals policy specific to its RTO operations.

The Principal (as the chief executive officer) of the College RTO is ultimately responsible for ensuring that the College RTO complies with the VET Quality Framework (VQF). This includes the complaints and appeals policy and procedures.

A **complaint** can be made to the school RTO regarding the conduct of:

- The College RTO, its trainers, assessors or other RTO staff.
- Students of the RTO.
- Any third parties providing services on behalf of the College RTO (if relevant).

Complaints may be made to any member of staff.

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

Appeals should be made to the trainer/assessor in the first instance but can also be made to Heads of Department or the RTO Manager.

St Peter Claver College will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process.

- Any staff member can receive a complaint or appeal. Where possible, complaints are resolved immediately.
- All complaints and appeals are heard and resolved within 60 calendar days of receipt.
- If the College RTO considers that more than 60 calendar days are required to process and finalise the complaint or appeal, the complainant or appellant will be informed of the reasons for the extended timeframe in writing and will be regularly updated on the progress of the matter.
- The College RTO will maintain a secure Complaints and Appeals Register, documenting all complaints and appeals received, as well as actions taken and decisions made.
- The College RTO will undertake a continuous improvement process that includes reviewing both the details in the Complaints and Appeals Register, and the complaints and appeals policy and procedures, and taking appropriate corrective action to eliminate or mitigate the likelihood of the same problems occurring again.

## COMPLAINTS AND APPEALS PROCEDURES

- If a complaint relates to a report about harm or safety, refer to your school's appropriate Student Protection procedures.
- On receipt of a verbal complaint:
  - Resolve the complaint if possible, documenting the complaint, its cause, actions taken and decisions made in the secure Complaints and Appeals Register.
  - If the complaint cannot be promptly and simply resolved, advise that an appropriate staff member will deal with the complaint, but a written record of the complaint is required.
- To put a complaint/appeal in writing, advise the complainant/appellant that:
  - They may use the support of a third party in progressing the complaint/appeal.
  - They can either put the complaint/appeal in writing themselves using the form available at [insert file location] or.
  - You can make a written record for them to sign. In this case:
    - Note whether the complainant/appellant wants the support of a third party.
    - Ensure the complainant signs and dates the form.
    - Identify yourself, and your role within the College RTO.
    - Sign and date the form yourself.
- On receipt of a written complaint/appeal:
  - If the complaint/appeal is not in relation to the Head of Department - VET (RTO Manager):
    - Forward it to the Head of Department - VET.
    - Enter it into the secure Complaints and Appeals Register.
  - If the complaint is in relation to the Head of Department - VET:
    - Forward it to the Deputy Principal responsible for the Senior School.
    - Enter it into a separate secure Complaints and Appeals Register, which is kept separate from the main Register.
  - Send a prompt written acknowledgement to the complainant from either the Head of Department - VET or the Deputy Principal responsible for the Senior School, as appropriate.
- To resolve the complaint/appeal, the Head of Department - VET and/or Deputy Principal:
  - Discuss the issue/s with the staff member to whom the complaint/appeal was made.
  - Give the complainant/appellant an opportunity to present their case (they may be accompanied by other people as support or as representation).
  - Give the relevant staff member, third party or student (as applicable) an opportunity to present their case. They also may be accompanied by other people as support or as representation.
  - If necessary, convene an independent panel, the Complaints and Appeals Committee, to hear the complaint/appeal. The committee must not have had previous involvement with the complaint/appeal, and must include:

- A representative of the Principal.
- One or more representative/s of the teaching staff.
- An independent person.
- Deal with the issue/s.
- Communicate the outcome/decision to all parties in writing within 60 days of receipt of the complaint/appeal
- Document the complaint/appeal — including the cause, actions taken and decisions made — in the appropriate secure Complaints and Appeals Register.
- If the complaint/appeal is not finalised within 60 calendar days of its receipt, inform the complainant/appellant of the reasons in writing and regularly update them on the progress of the matter.
- If the procedures fail to resolve the issue/s, the complainant/appellant may have the outcome reviewed (on request) by an appropriate party independent of the RTO.
- If the complainant is still not satisfied, the Principal will refer them to the QCAA website for further information about making complaints (<https://www.qcaa.qld.edu.au/senior/vet/rto-registration-audits/appeals-complaints-enforcement>).
- The College RTO will undertake a continuous improvement process that includes:
  - Reviewing the details in the Complaints and Appeals Register.
  - Reviewing the complaints and appeals policy and procedures.
  - Taking appropriate corrective action to eliminate or mitigate the likelihood of the same problems occurring again.

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

## POLICY INFORMATION ON COLLEGE WEBSITE

St Peter Claver College includes the following information on the public website:

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

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

- The College RTO, its trainers, assessors or other college RTO staff.
- Students of the RTO.
- Third parties providing services on behalf of the school RTO.

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

St Peter Claver College will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process. All formal complaints and appeals will be heard and decided on within 60 calendar days of receiving the written complaint or appeal. If St Peter Claver College considers more than 60 calendar days are required to process and finalise the complaint or appeal, the complainant or appellant will be informed of the reasons in writing and will be regularly updated on the progress of the matter.

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

Complaints or appeals should be directed to the Principal as CEO of the College RTO Mr Terry Finan: [tfinan@bne.catholic.edu.au](mailto:tfinan@bne.catholic.edu.au).

## COMPLAINTS PROCEDURE

- All formal complaints must be in writing and addressed to the Principal, as CEO of the RTO.
- On receipt of a written complaint:
  - A written acknowledgement is sent to the complainant from the Principal (via admin support).
  - The complaint is forwarded to the Head of Department - VET (RTO Manager).

- The complaint will be entered into the RTO Complaints and Appeals Register and should be finalised as soon as possible.
- If the complaint is not finalised within 60 calendar days, the complainant is informed of the reasons in writing and regularly updated on the progress of the matter.
- The Principal and/or the Head of Vocational Education and Training & Careers the complaints and appeals committee.
- The complaints committee shall not have had previous involvement with the complaint and will include representatives of:
  - The Principal.
  - The teaching staff.
  - An independent person.
- The complainant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The relevant staff member, third party or student (as applicable) shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The outcome/decision will be communicated to all parties in writing within 60 days and recorded in the RTO Complaints and Appeals Register. All paperwork pertaining to the complaint will be filed in the student files in Administration.
- If the processes fail to resolve the complaint, the individual making the complaint will have the outcome reviewed (on request) by an appropriate party independent of the RTO.
- If the complainant is still not satisfied, the principal will refer them to the QCAA website for further information about making complaints ([www.qcaa.qld.edu.au/3141.html](http://www.qcaa.qld.edu.au/3141.html)).

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

## APPEALS PROCEDURE

- All formal appeals must be in writing and addressed to the Principal, as CEO of the RTO.
- On receipt of a written appeal:
  - A written acknowledgement is sent to the appellant from the Principal (via admin support).
  - The appeal is forwarded to the Head of Vocational Education and Training & Careers The appeal will be entered into the RTO Complaints and Appeals Register.
- If the appeal is not finalised within 60 calendar days, the appellant is informed of the reasons in writing and regularly updated on the progress of the matter.
- The Principal and/or the Head of Vocational Education and Training & Careers will either deal with the appeal or convene an independent panel to hear the complaint; this shall be the complaints and appeals committee.
- The appeals committee shall not have had previous involvement with the appeal, and will include representatives of:
  - The Principal.
  - The teaching staff.
  - An independent person.
- The appellant shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The relevant staff member, if applicable, shall be given an opportunity to present their case and may be accompanied by other people as support or as representation.
- The outcome/decision will be communicated to all parties in writing within 60 days and recorded in the RTO Complaints and Appeals Register. All paperwork pertaining to the appeal will be filed in the student files in Administration.
- If the processes fail to resolve the appeal, the individual making the appeal will have the outcome reviewed by an appropriate party independent of the college.

- If the appellant is still not satisfied, the principal will refer them to the QCAA website for further information about making complaints ([www.qcaa.qld.edu.au/3141.html](http://www.qcaa.qld.edu.au/3141.html)).

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

## FIT AND PROPER PERSON POLICY

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

### POLICY STATEMENT

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

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

### FIT AND PROPER PERSON PROCEDURE

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

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

## AUTHORISATION OF EXECUTIVE OFFICER POLICY

Clause 7.1 The RTO ensures that its executive officers or high managerial agent;

- a. are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times, and
- b. meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

### POLICY STATEMENT

To operate effectively, managers must have authority to ensure that the RTO complies with the Standards at all times. The Curriculum Leader Vocational Education & Training and Careers as the RTO high managerial agent has been given sufficient authority by the Principal to ensure the RTO complies with the Standards at all times and is a Fit and Proper Person.

### AUTHORISATION OF EXECUTIVE OFFICER PROCEDURE

The Head of Vocational Education and Training & Careers is the High Managerial Agent responsible for the RTO and is to be given authority by the Principal. As the High Managerial Agent, the Curriculum Leader Vocational Education & Training and Careers needs to satisfy the Fit and Proper Person Requirements 2011 (FPPR) as outlined in Schedule 3 and is to complete a 'Fit and Proper Person' Declaration when:

- applying to renew registration as an RTO, or
- employing a new manager.

St Peter Claver College also ensures the following are available to ensure compliance with people involved in managing the RTO and making decisions:

- Organisational charts
- Position/duty descriptions

## FINANCIAL VIABILITY POLICY

Clause 7.2 The RTO satisfies the Financial Viability Risk Assessment Requirements.

### POLICY STATEMENT

St Peter Claver College is able to demonstrate to the registering bodies on request, that it is financially viable at all time during the period of its registration.

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



## FEE PROTECTION POLICY

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

### POLICY STATEMENT

St Peter Claver College charges a VET service levy under the \$1500. Refer to Fees policy.

## PUBLIC LIABILITY POLICY

Clause 7.4 The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.

### POLICY STATEMENT

St Peter Claver College will maintain a Certificate of Currency for public liability insurance throughout its registration period.

### PUBLIC LIABILITY PROCEDURE

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

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

## GOVERNANCE, DATA AND ADMINISTRATION POLICY

Clause 7.5 The RTO provides accurate and current information on its performance and governance consistent with the Data Provision Requirements as updated from time to time.

Clause 8.1 The RTO cooperates with the VET Regulator:

- a. By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
- b. In the conduct of audits and the monitoring of its operations
- c. By providing quality/performance indicator data
- d. By providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring.
- e. By providing information about significant changes to its ownership within 90 calendar days of the change occurring, and
- f. In the retention, archiving, retrieval and transfer of records.

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:

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

Clause 8.3 The RTO notifies the Regulator:

- a. Of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and
- b. Within 30 calendar days of the agreement coming to an end.

### POLICY STATEMENT

The Principal of St Peter Claver College is ultimately responsible for ensuring that the college RTO complies with the VQF. This applies to all of the operations within the RTO's scope of registration as listed on the National Register.

The Principal ensures that the high managerial agent, the Head of Vocational Education and Training & Careers is vested with sufficient authority to ensure compliance with the VQF.

Procedures in this document:

- Governance Procedure.
- Interactions with the Registering Body Procedure.
- Updating RTO Details Procedure.

### GOVERNANCE PROCEDURE

#### The Principal

The Principal ensures compliance with all the VQF requirements by:

- Delegating responsibility and sufficient authority for day-to-day operations to the school Head of Department - VET.
- Meeting each semester with the Head of Vocational Education and Training & Careers to keep informed of those operations and ensuring minutes of those are taken.
- Ensuring that any decision making at the senior management level regarding operations is explicitly informed by trainers' and assessors' experiences, and that this is documented appropriately.
- Authorising and signing the appropriate documentation, forms and report data as required by the Data Provision Requirements; including the Quality Indicator Data.

- Completing a Fit and Proper Person Requirements declaration when required.
- Completing a Chief Executive Statutory Declaration when required.
- Holding public liability insurance that covers the scope of its operations throughout the registration period.

### Head of Vocational Education and Training & Careers

The Head of Vocational Education and Training & Careers has responsibility and authority for the day-to-day management of St Peter Claver College RTO systems including:

- Managing operation of the College's RTO status as per the high managerial agent duty statement.
- Liaising with the QCAA concerning all aspects of the college's RTO status.
- Keeping the Principal informed of all matters regarding the College's RTO status.
- Managing the systematic monitoring of the school's training and assessment strategies and practices.
- Completing a Fit and Proper Person Requirements declaration when required.
- Reviewing the outcomes of monitoring of assessment strategies, progress of actions and ongoing compliance.
- Informing staff and clients of changes to legislative and regulatory requirements that affect services.

### Interactions with the Registering Body Procedure

The Principal will ultimately be responsible for ensuring that the College RTO complies with the VQF. Interactions with the registering body (QCAA) are managed by Head of Vocational Education and Training & Careers.

The College RTO will cooperate with the QCAA:

- In the conduct of audits and in the monitoring of its operations.
- By providing accurate and timely data relevant to measures of its performance (including quality indicator data and SDCS data).
- By providing information about substantial changes to its operations, any event, and information about significant changes to ownership that would significantly affect the college RTO's ability to comply with these standards within 90 calendar days, which also ensures information on <http://training.gov.au> is correct - see Updating RTO Details Procedure below.
- Regarding the retention, archiving, retrieval and transfer of records.
- By providing evidence of satisfying the Fit and Proper Person Requirements and Chief Executive Statutory Declaration Requirements when necessary.
- By submitting the QCAA college RTO verification form when requested, including checking scope of registration details thoroughly to ensure they are accurate.
- By completing and submitting the annual declaration on compliance to the QCAA when requested to confirm compliance with the VQF.
- Informing the QCAA of any third party agreements via the appropriate notification form within 30 calendar days.
- Complying with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.
- Providing USI when reporting final VET Data.
- By providing any other information as requested in writing by the registering body.

### Updating RTO Details Procedure

As a condition of registration, St Peter Claver College must notify the QCAA in writing of any changes to contact details and changes or events that affect the operation of the RTO.

A RTO Manager change will require the completion of both a notification of change of provider details and a notification of material change or event.

### Provider Details Change

The Head of Vocational Education and Training & Careers in consultation with all relevant RTO personnel completes and submits (within 90 calendar days) the Notification of Change of Provider Details form to the QCAA regarding the following changes:

- Change of details for registration enquires person on training.gov.au.
- Change of public enquiries person on training.gov.au.
- Changes to any contact details.
- Changes to permanent RTO delivery sites.

### Material Change or Events

The Head of Vocational Education and Training & Careers in consultation with all relevant RTO personnel completes and submits (within 90 calendar days) the Notification of Material Change or Event form to the QCAA regarding the following changes:

- A change of Principal.
- A change of RTO Manager.
- A change to ownership or legal name.
- Significant or unexpected turnover of staff.
- Commencement or dissolution of an arrangement with another organisation to conduct training and/or assessment on the college's behalf.
- Other significant changes to RTO operation.

A change of Principal also requires the submission of a Fit and Proper Person Requirements Statutory Declaration and a Chief Executive Statutory Declaration.

### Third Party Arrangements

The Head of Vocational Education and Training & Careers, in consultation with all relevant personnel, completes and submits (within 30 calendar days) the Notification of Third Party Arrangements form to the QCAA regarding the following events:

- Commencement of an arrangement with another organisation to deliver services on the college RTO's behalf (i.e. a new arrangement that has not been previously reported).
- Change to reported details of an arrangement with another organisation to deliver services on the college RTO's behalf (i.e. an arrangement that has been previously reported).
- Cessation of a previously reported arrangement with another organisation to deliver services on the college RTO's behalf.