

**Traffic
Management
Training Pty Ltd**

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RTO Policies and Procedures



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Section One - Management



1.1 – Vision

Traffic Management Training Pty Ltd (TMT) makes a vital, ongoing contribution to the community by providing opportunities for all people to access quality training.

1.2 - Mission Statement

We aim to provide safe, informative, current and realistic traffic control industry training for anyone wanting to become involved or reengaged in the traffic control industry and provide this service at an affordable cost.

1.3 - Objectives

In recognition of our Vision and Mission, our objectives are:

- **People.** We strive to attract, recruit and retain talented, competent and committed people. We promote excellent performance through leadership and professional development.
- **Safety and equality.** We are committed to providing an environment which is safe, equitable and which promotes a confident and productive training and assessment environment.
- **Integrity and ethics.** We conduct ourselves in accordance with shared and agreed standards of behaviour which holds ethical conduct and integrity as our highest priorities.
- **Quality committed.** We aspire to deliver consistent, high-quality services and apply quality systems which support training and assessment excellence.
- **Learner focused.** We thrive on providing training and assessment that is learner centred and which supports lifelong learning. We respect our clients and strive to attract them time after time through high quality training and assessment experiences.
- **Industry engagement.** We recognise the value of industry engagement as the driving force in shaping our training and assessment strategies. We deliver training and assessment services which are founded on industry needs and expectations.

1.4 – Organisation Structure

TMT was set up by Warren Lindsay and Martin Whiston in 2010 in two home-based offices in Ballina and Bentley, NSW. Warren and Martin had both worked as industry trainers before starting the company. They both had a wide network of contacts and were held in high regard by regional and local business personnel and communities.

When Warren Lindsay and Martin Whiston Training started its operations, the company had very few contacts within their chosen field. Since then, the company has grown to be one of the most respected Training Organisations in the local area, with more than 1000 participants



passing through their doors each year. On June 30th 2020 Warren Lindsay retired and Martin Whiston took over the ownership and management of the business.

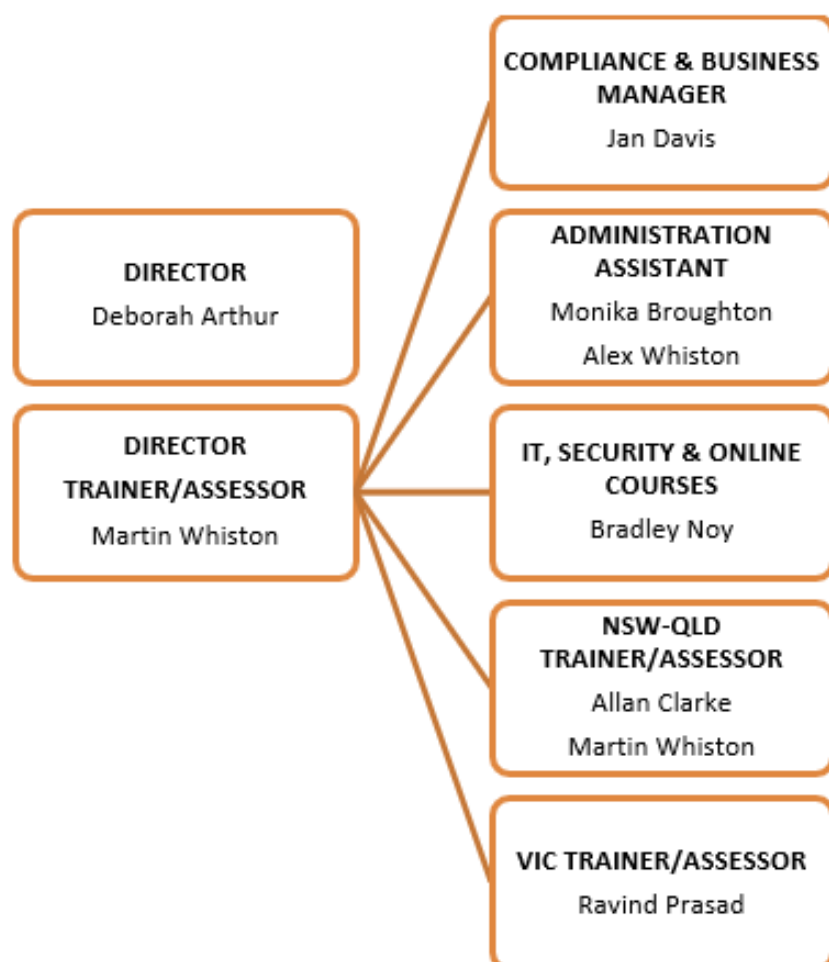
Traffic Management Training Pty Ltd (TMT) plans to continue serving the local community by providing employment opportunities in a broad range of industry areas by implementing its quality management system and procedures, and by maintaining its reputation for high standards of service to our customers and our employees.

TMT now employs trainers in QLD, NSW & VIC. TMT now has a business manager and additional admin support staff to ensure smooth operation of the business.

Organisation Structure Diagram

TRAFFIC MANAGEMENT TRAINING PTY LTD

ORGANISATION STRUCTURE





1.5 – Duty Statements

Duty Statement – Director

Job Title:	Director
Responsible to:	Board
Accountable to:	Board
Responsible for:	All staff and learners

Role:

The role of the Director is to provide business and educational leadership to all staff and learners within TMT. The Director is ultimately responsible for organisational governance and compliance.

Main duties

The Director has the following duties and responsibilities:

- Provide arrangements for the systematic approach to the management of TMT operations.
- Oversee arrangements to collect, analyse and act on relevant data for the continuous improvement of TMT operations.
- Identify and analyse legislative and regulatory requirements and implement a risk management approach to guide how TMT conducts operations to comply with these requirements.
- Personally undertake all formal communication with Registering Authority.
- Manage arrangements to cooperate with registering authority in the conduct of regulatory audits, access to information, retention of records and in keeping ASQA informed of changes to TMT status.
- Maintain appropriate insurances to protect TMT from loss and to protect learners and staff in case of injury caused during TMT activities.
- Identify and develop new business initiatives and opportunities.
- Monitor training and assessment services to remain aware of the quality of services being delivered and the satisfaction of learners and employers.
- Establish and monitor information management arrangement to ensure TMT has a records and data management system that guarantees access, integrity and accuracy.



- Build cooperative partnerships with community organisations and liaise with State or Territory registering bodies on relevant issues.
- Implement and monitor arrangements to engage with industry to ensure training and assessment services are aligned with industry requirements.
- Keep informed of changes in the VET industry including changing regulatory requirements and changes to endorsed training packages.
- Oversee TMT financial affairs including annual certification of accounts, the receipt, protection, distribution and if required reimbursement of tuition fees and the budgeting of operational activities.
- Conduct staff inductions and training to ensure staff are aware of obligations and responsibilities with regards to legislation and compliance with the Standards for Registered Training Organisations.
- Approve all marketing materials to be used for promotional and advertising purposes. This is to include the approval of the use of the NRT Logo.
- Oversee an internal audit program to monitor the compliance of TMT operation with the Standards for Registered Training Organisations.
- Undertake performance appraisal of staff to identify areas of professional improvement and recognise achievement.
- Provide arrangements to ensure staff maintain their professional competence and the currency of the skills and knowledge. This is to include annual training session for all staff to update them about regulatory and legislative requirements.
- Provide arrangements to ensure a safe working environment for all staff and learners. This is to include a deliberate process of hazard identification, assessment, and control. Workplace safety is the highest priority and takes precedence over all other considerations.
- Provide arrangements for emergency prevention and response procedures.
- Establish arrangements to maintain an equitable working environment for all staff and learners. The training environment should be free from discrimination and harassment and respect the rights and choices of individuals.



Duty Statement – VET Quality and Administration Manager

Job Title: VET Quality and Administration Manager

Responsible to: Directors

Accountable to: Directors

Role:

The role of the VET Quality and Administration Manager is to oversee the management of TMT corporate governance and quality systems. This involves monitoring compliance with quality standards and codes, learner administration and records management, reporting requirements, etc.

Main duties

The VET Quality and Administration Manager has the following duties and responsibilities:

- Maintain a systematic approach to the management of TMT operations.
- Maintain an awareness of legislative and regulatory requirements and monitor the risks associated with compliance.
- Keep informed of changes in the VET industry including changing regulatory requirements and changes to endorsed training packages.
- Coordinate staff training to ensure staff are aware of legislative and Standards for Registered Training Organisations, obligations and responsibilities.
- Coordinate internal Standards for Registered Training Organisations audit program to monitor the compliance of TMT operation.
- Oversee the maintenance of RTO Data to ensure the accuracy and integrity of operational training data.
- Prepare and submit reports to ASQA. These reports will include AVETMISS reports, Quality Indicator Reports, training activity reports and others as directed.
- Coordinate the administration of continuous improvement data collection. This predominately relates to Quality Indicator Surveys which must be issued to learners and employers, collected, entered and reported.



- Undertake own professional development activities to continue to develop competence and currency of skills and knowledge. Update TMT professional development register to provide a true record of professional development activity.
- Coordinate TMT systematic approach to continuous improvement. This includes participating in Continuous Improvement Committee meetings, identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Act as the Secretary of the Continuous Improvement Committee and Record and distribute minutes of management meetings.
- Perform duties in an ethical and professional manner that supports an inclusive environment that is free from discrimination and harassment.
- Respect the needs of each learner and make adjustment to administrative processes to accommodate the needs of individuals.
- Implement and monitor compliance with TMT version control system to ensure documents being used in the delivery of services are the most current and approved version.
- Implement and monitor arrangements to store and archive records in accordance with TMT records retention policy. This is to include arrangements to back-up electronic data into a secure off-site location.
- Liaise with TMT training staff to coordinate the flow of documentation to ensure learner records and operational data is kept accurate and up to date.
- Facilitate learner access to their records on request.
- Ensure that appropriate housekeeping measures are observed, and, that work areas are maintained in a clean and tidy state.
- Coordinate and monitor the work of others who may assist or contribute to TMT quality compliance.
- Monitor internal documentation procedures to ensure the consistent flow of accurate, concise and timely information.
- Promote and monitor staff compliance with TMT policies and procedures to ensure the actions of staff are consistent with the agreed and documented approach to responding to work requirements.
- Implement and monitor arrangements to ensure a safe working environment for all staff and learners. This is to include a deliberate process of hazard identification, assessment, and control. Workplace safety is the highest priority and takes precedence over all other considerations.



- Establish arrangements to maintain an equitable working environment for all staff and learners. The training environment should be free from discrimination and harassment and respect the rights and choices of individuals.
- Contribute to implementing emergency prevention activities and response procedures.



Duty Statement – Finance Manager

Job Title: Finance Manager

Responsible to: Directors

Role:

The Role of the Finance Manager is to manage the financial accounts of TMT.

Main duties

The following duties apply:

- Analyse basic financial information in response to routine queries from management, staff and learners.
- Apply policy and relevant legislation with regard to confidentiality and privacy.
- Develop and maintain a good knowledge of TMT policy and procedures and accounting system.
- Apply basic accounting knowledge and techniques to all areas of work, including the production of financial reports.
- Plan, organise and manage own workload to complete allocated duties in a timely and accurate manner.
- Input financial information into TMT accounting system with speed and accuracy.
- Monitors and contribute to the drawing up of operating budgets during the yearly budget setting process.
- Process accounts payable and receivable in accordance with TMT policy and procedures and accounting requirements.
- Process purchase orders in support of the procurement to business and training resources.
- Draft basic correspondence on behalf of the Business Development Manager.
- Perform work in accordance with TMT policy and procedure.
- Manage advertising accounts in accordance with Business Development Managers directions.
- Liaise with internal and external stakeholders as required.



- Undertake own professional development activities to continue to develop competence and currency of skills and knowledge. Update TMT professional development register to provide a true record of professional development and currency.
- Contribute to TMT systematic approach to continuous improvement. This includes identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Liaise with TMT training staff to coordinate contact with learners in order to manage their financial account.
- Monitor workplace safety at all times. Always put workplace safety before any other priority or activity.
- Perform duties in an ethical and professional manner that supports an environment that is free from discrimination and harassment.
- Facilitate learner access to their records on request.
- Ensure that appropriate housekeeping measures are observed, and, that the workplace is maintained in a clean and tidy state.
- Always strive to minimise waste in the planning and usage of TMT resources.
- Model ethical and professional behaviour to set the benchmark of these qualities for learners and others.



Duty Statement - Trainer / Assessor

Job Title: Trainer

Responsible to: Directors

Role:

The Trainer is to prepare and deliver safe and effective training and assessment to learners enrolled with TMT and is to provide suitable training support services to compliment learner's individual needs.

Main duties

The following duties apply:

- Plan training and assessment sessions to ensure the required resources are available to support the delivery.
- Deliver and coordinate training in accordance with the requirements of the training strategy using training methods that progressively instil knowledge and skills into learners.
- Conduct assessment in accordance with the principles of assessment and the designated assessment strategy.
- Undertake own professional development activities to continue to develop competence and currency of skills and knowledge. Update TMT professional development register to provide a true record of professional development and currency.
- Contribute to TMT systematic approach to continuous improvement. This includes identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Participate in TMT assessment moderation and validation activities to promote fair and reliable assessment and to maintain the alignment of assessment activities and materials with industry expectations and training package requirements.
- Contribute to the development of training and assessment materials when required.
- Liaise with TMT administration staff to coordinate the flow of documentation to ensure learner records and operational data is kept accurate and up to date.
- Maintain equipment and training aids to ensure they are serviceable and safe for operation.
- Monitor the safety of learners at all times. Always put the safety of learners before any other priority or activity.



- Deliver services that focus on the individual learner in relation to identifying and meeting learner's individual needs.
- Perform duties in an ethical and professional manner that supports an inclusive learning environment that is free from discrimination and harassment.
- Respect the needs of each learner and make adjustment to training and assessment to accommodate these needs of individuals without compromising the integrity of the desired outcome.
- Create an environment that supports and encourages equitable treatment and behaviour from all learners and those contributing to learning and assessment.
- Facilitate learner access to their records on request.
- Ensure that appropriate housekeeping measures are observed, and, that training facilities are maintained in a clean and tidy state.
- Report non-compliance with legislation or TMT policies and procedure immediately to the Training Manager.
- Always strive to minimise waste in the planning and usage of TMT resources.
- Model ethical and professional behaviour to set the benchmark of these qualities for learners and others.



1.6 – Management Meetings

TMT will conduct management meetings at least once per fortnight. The purpose of the management meeting is to coordinate the service delivery and governance arrangements of TMT.

Attendance

The meeting is led by the Directors. The following personnel are to attend all management meetings:

- Directors
- VET Quality and Administration Manager
- Accounts Manager

Management Meeting Agenda

The following agenda is to be used as a guide for the conduct of management meetings:

1. Open the meeting
2. Welcome and apologies
3. Review minutes from previous meeting
4. Notices or communications received
5. Review training / assessment delivery issues
6. Review administration issues
7. Review compliance issues
8. Review continuous improvement actions
 - Review items due for validation
 - Review items currently being implemented
 - Review new continuous improvement items
9. Review business development actions
10. Review safety issues



11. Review any complaints or appeals

12. Attend to any other business

13. Nominate the next meeting

14. Close the meeting

Minutes of management meetings will be recorded within RTO Data.

Management action items will also be recorded within RTO Data and communicated as a task using Outlook. Persons with responsibility for those tasks will be required to provide an update about their progress on completing the tasks at each management meeting.



1.7 - Legislative Requirements

TMT are subject to legislation related to training and assessment as well as general business practice. This legislation governs our obligations as a Registered Training Organisation, our obligations to learners, and relates to the industry in which we conduct training. This legislation is continually being updated and all TMT representatives are made aware of these changes as they occur.

The legislation that particularly affects the delivery of our services includes:

Commonwealth legislation:

- *National Vocational Education and Training Regulator Act 2011*
- *Student Identifiers Act 2014*
- *Work Health and Safety Act. 2011*
- *Trade Practices Amendment (Australian Consumer Law) Act (No. 1 and 2) 2010*
- *Competition and Consumer Act 2010*
- *Age Discrimination Act 2004 (Cwth)*
- *Disability Discrimination Act 1992*
- *Disability Standards for Education 2005*
- *Racial Discrimination Act 1975*
- *Sex Discrimination Act 1984*
- *Privacy Act 1988 and Australian Privacy Principles (2014)*
- *Fair Work Act 2009*
- *Copyright Act 1968*

NSW legislation:

- *Work Health and Safety Act 2011*
- *Anti-Discrimination Act 1977*
- *Workplace Injury Management and Workers Compensation Act 1998*
- *Children and Young Persons (Care and Protection) Act 1998*
- *Disability Services Act 1993 & Disability Services Regulation 2003*
- *Privacy and Personal Information Protection Act 1998*
- *Fair Trading Act 1987*



Queensland legislation

- *Vocational Education, Training and Employment Act 2000*
- *Vocational Education, Training and Employment Regulation 2000*
- *Work Health and Safety Act 2011*
- *Workers' Compensation and Rehabilitation Act 2003*
- *Child Employment Act 2006*
- *Child Protection Act 1999*
- *Fair Trading Act 1989*

Victoria legislation

- *National Vocational Education and Training Regulator Act 2011 (Cth): This is the primary legislation governing RTOs that operate across state borders or with international students.*
- *Standards for Registered Training Organisations (RTOs) 2015: These are the mandatory standards for all RTOs, focusing on training, assessment, and trainer competence. Note: New standards (2025) are transitioning in by 1 July 2025.*
- *Education and Training Reform Act 2006 (Vic): This Victorian act governs RTOs that operate only within Victoria and are registered with the Victorian Registration and Qualifications Authority (VRQA).*
- *Education Services for Overseas Students Act 2000 (ESOS Act): This applies to trainers delivering training to international students on student visas.*
- *Worker Screening Act 2020 (Vic): Replaced the Working with Children Act 2005; mandatory for trainers working with individuals under 18*
- *Austroads TTM Agreement*

Identifying legislative requirements

TMT will apply a risk management approach to meeting legislative requirements and record the assessed risks and treatment measures within the Compliance Risk Register within RTO Data. This analysis of risks and treatment strategies is to be detailed to allow all staff to understand TMT strategy to meeting specific legislative responsibilities.

To support our compliance with identified legislation, TMT has established the following arrangements:



Legislation	Our arrangements
National Vocational Education and Training Regulator Act 2011	<ul style="list-style-type: none">- Organisation Structure Diagram and Duty Statements- Management Policy- Legislative Requirements Policy- Financial Management Policy- Insurance Policy- Fees and Refund Policy- Issuing Certificates and Outcomes Policy- Advertising and Marketing Policy- National Recognition Policy- Interaction with the National VET Regulator Policy- Continuous Improvement Policy- Records Retention and Management Policy- National Reporting Policy- Training Package Transition Policy- Industry Engagement Policy- Assessment Validation and Moderation Policy- Learner Enrolment Policy- Complaints Policy- Appeals Policy- Learner Access to Records Policy- Trainer Competency Requirements Policy- Assessment Policy



Legislation	Our arrangements
Student Identifiers Act 2014	<ul style="list-style-type: none"> - Issuing Certificates and Outcomes Policy - details the requirements relating to the restrictions in the use of the USI on qualification certificates and statements of attainment issued by TMT. - Records Retention and Management Policy - details the requirements to verify the USI including identifying the common errors that learners can make in providing their details required for verification. - Learner Enrolment Policy - details the requirement to create or verified USI and provides links to additional resources in relation to the learner’s options for establishing proof of ID.
Work Health and Safety Act. 2011	<p>Training Safety Policy - Provides the basis for hazard identification and control.</p> <p>Staff Induction Policy – Ensures that all staff are informed of all legislative and policy arrangements on the commencement of their duties</p> <p>Learner Enrolment Policy - applies delivery arrangements to inform learners of their rights and obligations with regards to maintaining a safe work and training environment.</p> <p>Management Policy - the management meeting agenda includes a standing item relating to maintaining a safe work environment.</p> <p>Duty Statements - all duty statements include specific responsibilities relating to the maintenance of a safe working environment.</p> <p>Insurance Policy - Public liability insurance provides protection for the public who may be injured whilst participating in training</p> <p>RTO Data - includes a safety management register where workplace incidences and identified hazards can be recorded.</p>
Competition and Consumer Act 2010	Learner Enrolment Policy – This policy specifies that the RTO will provide accurate and ethical marketing and pre-enrolment information to enable a person to make an informed decision



Legislation	Our arrangements
	<p>about a training program. Further, an enrolment interview is conducted to individually assess the person's needs and circumstances and provide them information about their rights and obligations.</p> <p>Fees and Refund Policy – This policy specifies that where a cooling off period applies, a full refund will be provided to the client in the event that a training agreement is cancelled within the cooling off period.</p>
<p>Age Discrimination Act 2004 (Cwth)</p> <p>Anti-Discrimination Act 1977</p> <p>Disability Discrimination Act 1992</p> <p>Disability Standards for Education 2005</p> <p>Racial Discrimination Act 1975</p> <p>Sex Discrimination Act 1984</p> <p>Disability Services Act 1993 & Disability Services Regulation 2003</p>	<p>Discrimination and Harassment Policy - This policy provides the basis for ensuring that the workplace is free from discrimination and harassment.</p> <p>Duty Statements – All duty statements include specific responsibilities for staff to treat others equitably and with respect.</p> <p>Advertising and Marketing Policy – This policy includes the requirements to ensure any advertising undertaken is accurate and ethical.</p> <p>Learner Enrolment Policy – This policy includes specific provisions to ensure enrolment procedures are non-discriminatory.</p> <p>Staff Induction Policy – This policy specifies the arrangements to inform staff of their legislative obligations on the commencement into employment. This includes obligations relating to discrimination and harassment policy.</p> <p>Complaints Policy and Appeals Policy – These policies provide learners the mechanism to make a complaint about their treatment.</p>
<p>Privacy Act 1988 and Australian Privacy Principles (2014)</p>	<p>Duty Statements - Duty statements include specific responsibilities for staff to protect the privacy of learners and to not disclose personal information without authorisation.</p> <p>Privacy Policy – The policies have been updated to align with the Australian Privacy Principles which came into effect on 12th March 2014.</p>



Legislation	Our arrangements
	<p>Staff Induction Policy – This policy outlines the arrangements to inform staff of their legislative responsibilities during their employment induction.</p> <p>Learner Enrolment Policy – This policy outlines the arrangements to supply information to prospective learners prior to their enrolment that informs them of their rights and obligations. This includes specific information about privacy protection based on the requirements of the Australian Privacy Principles.</p> <p>Records Retention and Management Policy – This policy specifies the arrangements to collect and store information with accuracy and integrity. This includes hard copy records and electronic data and specifies the access and security arrangements relating to these.</p>
Fair Work Act 2009	<p>All employees engaged by TMT have a written Employment Agreement in accordance with the advised condition from Fair Work Australia</p> <p>All contract staff have a written service agreement that outlines the conditions of their engagement and specifies their relationship as a contractor.</p>
Fair Trading Act 1987	<p>Management Policy – This policy specifies the management arrangements that ensure a coordinated approach to the delivery of services specified in the learner’s agreement.</p> <p>Fees and Refund Policy – This policy specifies the arrangements for disclosure of the information in accordance with Standards for Registered Training Organisations. It also specifies the circumstances for a refund of learner fees.</p> <p>Schedule of Fees and Charges - this document specifies the fees for courses. It also outlines the fees for other services.</p> <p>Advertising and Marketing Policy – This policy provides the basis for accurate and ethical marketing to ensure learners are provided accurate information about the services to be provided.</p>



Legislation	Our arrangements
	<p>Course Brochures - Course brochures provide specific information about the services to be provided to learners. This includes an outline of the delivery model, units of competency, assessment methods, entry requirements, et cetera. Course brochures are a key tool in ensuring that learners as consumers are informed about the services to be provided.</p> <p>Learner Enrolment Policy – This policy specifies the process for learner enrolment and includes specific steps to ensure learners are provided sufficient information about their rights and obligations, fees and payments obligations and services to be provided prior to their enrolment.</p> <p>Complaints and Appeals Policy – This policy outlines the arrangements for learners to make a complaint about services being provided or appeal a decision made by TMT.</p> <p>Learner Access to Records Policy – This policy specifies the arrangements to provide learners access to their records in order to monitor their participation and progress. This policy also supports their rights as a consumer.</p>
Copyright Act 1968	<p>Duty Statements - duty statements specify staff responsibilities to respect the rights of copyright owners and to not copy any material without authorisation.</p> <p>Version Control Policy – This policy provides the framework for consistent version control of documents used by TMT.</p> <p>RTO Data – Document Register – This capability enables the storage of key documents and their periodic review.</p>



Informing staff of their responsibilities

TMT acknowledges that it has a responsibility to inform and educate staff about the legislative requirements that apply to its day to day operations. This will be achieved primarily through careful and diligent staff induction and through annual refresher training.

By taking a coordinated approach to inform staff of these requirements, we will build a culture of acceptance and positive compliance. It is the responsibility of the Directors to ensure TMT staff is fully informed of applicable legislative requirements.



1.8 - Financial Management

In accordance with the Standards for Registered Training Organisations, TMT has systems and procedures in place to ensure an acceptable level of financial risk at all times. We also ensure the protection of fees paid in advance to TMT by learners and apply a fair and reasonable refund policy (see Fees and Refund Policy).

Management of finances

TMT finances shall be managed by the Directors in accordance with standards laid down by the Australian Accounting Standards Board (Australian Accounting Standards).

Accounts to be kept

Financial accounts of all aspects of TMT operations are to be kept in a way that maintains their accuracy and integrity. These accounts must detail all money received and expended by TMT. These accounts shall be open to the inspection of appropriate registering bodies. These accounts are to be retained in archive for no less than seven years.

Director responsibility

The Director shall be responsible for ensuring that all general records, accounting books, documents, securities and records of receipts and expenditure connected with our operations are kept in such a manner as to satisfy an audit against the Australian Accounting Standards.

Audit of accounts

TMT will have its accounts certified by a qualified accountant, to Australian Accounting Standards, at least once each financial year and will provide certificates of account to ASQA on request.

Reporting of accounts

On request from ASQA, TMT will provide a statement of its financial accounts, an annual report, and / or a business plan. The Directors is responsible to ensure that all accounts are accurate and well prepared and provided to ASQA in a timely manner.

Financial Viability Risk Assessment

ASQA requires TMT to demonstrate its financial viability at any point in time, upon request. The assessment of TMT's financial viability risk is directed at evaluating the likelihood of its business continuity, and its capacity to achieve quality outcomes.

In particular, the assessment informs a judgement about whether TMT has the financial resources necessary to:



- acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration;
- employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments;
- provide appropriate levels of learner services to learners;
- remain in business to ensure that each learner can achieve completion; and
- meet the above requirements, even in an unsure environment.

In accordance with this requirement, TMT will submit to an assessment of financial viability risk by a qualified independent financial auditor nominated by ASQA at any time during its registration period. This will include providing financial data and information to the qualified independent financial auditor in a format that is in accordance with Australian Accounting Standards.

Common Indicators of Financial Performance

The assessment of financial viability risk will be undertaken by assessing common indicators of financial performance and position. These may include the following indicators:

- Liquidity– including current ratio and cash flow assessments
- Solvency – including debt to assets assessment, debt to equity assessment
- Economic Dependency – reliance upon government funded training
- Revenue, profit and cash flow
- Commercial risk
- Audit opinion
- Contingencies
- Compliance with all of its statutory obligations (for example: GST, taxation, superannuation, Companies Code)
- Compliance with accounting standards
- Accounting policies – impact of the organisation’s accounting policies on its financial risk.

Information that could be used to assess the common indicators to make a determination about TMT’s financial viability risk may include:

- Independent reviews of financial projections including underlying assumptions;



- Business planning including forecast income streams and forecast expenditure;
- Assets and liabilities;
- Financial statements audited by an independent qualified auditor;
- Financial records for the previous 12 months, including profit and loss, balance sheets;
- Cash flow and bank accounts;
- Short term budgets and forecasts, including assumptions;
- Information on current and projected learner enrolments, including assumptions;
- Tax records;
- Information about current debts and debtors, credits and creditors, loans and repayment;
- Plans, and information on any legal disputes;
- Inter-company dealings, transfers, ownerships and loans;
- Contingent liabilities;
- Ultimate ownership details; or
- Post reporting activities (includes activities that relate to the period after accounts have been audited that would have a material impact on the organisation's operations, viability or ownership).

The NVR Financial Viability Risk Assessment Requirements 2011 can be downloaded from the ASQA website by clicking [here](#). This document is a Legislative Instrument as it applies under the *Legislative Instruments Act 2003*. All TMT staff are strongly encouraged to download and read this document.

Compliance responsibility

The Directors are responsible to maintain the financial viability of TMT and is to maintain suitable information to demonstrate TMT's financial viability according to the listed common indicators of financial performance.



1.9 – Insurance Protection

In accordance with legislative requirements and the Standards for Registered Training Organisations, TMT is required to hold various insurances to protect it against loss and to protect others we interact with. We will therefore obtain, and maintain the currency of, the following insurances:

- Worker’s Compensation Insurance to meet our obligations by law to cover injuries to employees and provide protection against worker’s compensation claims.
- Public Liability Insurance to cover injury to other people or damage to other people's property whilst doing business with us.
- Building and Contents Insurance to cover loss or damage to TMT premises or contents caused by things such as fire, flood, storm damage or theft.
- Professional Indemnity Insurance for TMT representatives who provide advice, to cover them for claims arising out of that advice.
- Motor Vehicle Insurance to cover damage and theft to motor vehicles owned and operated by TMT.
- Volunteer insurance to cover learners who may be undertaking voluntary work placement as part of their training program if this is applicable.



1.10 – Compliance Risk Management

At TMT we recognise that risk management is an integral part of good governance and management practice and we are committed to its application at all management levels within our operations.

The Australian/New Zealand Standard on Risk Management (AS/NZS ISO 31000:2009) sets the basis for our best practice risk management process and framework.

Objective

The application of risk management is to promote the following objectives:

- Be aware of and understand the real operating risks and their potential impact on TMT;
- Apply due diligence to decision making that supports the taking of calculated risks in pursuit of training and assessment opportunities; and
- Be confident that risks are properly managed, commensurate with their level of threat or exposure.

Relationship to training and assessment operations

As a general principle, the application of our risk management process is in the context of promoting high quality training and assessment as an RTO. The risks will be analysed against our compliance with the Standards for Registered Training Organisations and the conditions of registration as an RTO. Specifically, risk will be managed in relation to:

- The provision of quality training and assessment across all operations;
- The adherence to principles of access and equity and maximising training and assessment outcomes for learners;
- The provision of management systems that are responsive to the needs of learners, staff, stakeholders, and the operating environment;
- The establishment and maintenance of RTO governance that promotes compliance with applicable standards and ASQA requirements;
- The compliance with applicable Commonwealth, State or Territory legislation and regulatory requirements;
- The establishment and maintenance of insurances as required by the assessed exposure to loss and compliance with applicable regulatory requirements;
- Management of RTO finances to ensure compliance with Australian Accounting Standards, the protection of fees paid in advance and the application of a fair refund policy;



- The issuing of qualifications and statements of attainment in accordance with the Australian Qualifications Framework,
- The recognition of qualifications and awards issued by other RTO's;
- The establishment and maintenance of marketing of training and assessment services which is accurate, ethical and consistent with the scope of registration; and
- The transition from superseded training packages within 12 months of their revision and publication in the Training.gov.au.

Responsibilities

The Directors is responsible for overall risk oversight through the following:

- Overseeing the conduct of operational risk management reviews;
- Approving risk management action plans and strategies; and
- Reporting to interested parties of TMT on matters relating to operational risk management.

The management team is responsible for:

- Conducting operational risk management reviews periodically;
- Implementing risk management action plans and strategies; and
- Providing on-going guidance to all levels of TMT on risk management plans, strategies and process.

Review cycle

Risk management reviews are to be undertaken at least annually. The Directors may require reviews to be conducted more frequently or may identify a number of management risks to be reviewed on a six monthly cycle based on the need for increased monitoring and organisational performance.

There is an important relationship between implementing risk controls and treatments and TMT Continuous Improvement Committee. The committee will meet on a more regular cycle than formal risk management reviews and becomes the vehicle by which risk controls and treatments are implemented and monitored.

Risk criteria

When undertaking risk assessment, we identify the following risk criteria:

- The Standards for Registered Training Organisations;
- Applicable Commonwealth, State or Territory legislation; and



- Industry licensing requirements applicable to our scope of registration.

Compliance Risk Management Procedures

The procedure to manage risk and conduct risk management reviews is specified in the Australian/New Zealand Standard on Risk Management (AS/NZS ISO 31000:2009).

In applying this to the vocational education and training environment, the following guidance is applicable:

- **Step 1 - Establish the risk context.** Establish risk management context in which the risk analysis will be undertaken. This includes establishing the internal and external risk criteria that will be used and the environmental factors to be considered during the analysis.

Example: As an example the risk criteria might be the Standards for Registered Training Organisations, clause 1.13 – 1.16 relating to the competence of trainers and assessors. This is a very clear compliance requirement but will need to be considered in light of other environmental factors such as the availability of competent staff, financial capacity to employ or contract, legislative requirements relating to employment, etc. Once these broader factors are identified along with a good understanding of the risk criteria an analysis of the risks should be undertaken.

- **Step 2 - Identify risks.** Identify how the quality of services, business operation and compliance could be impacted on if the risk criteria are not addressed. The identification of risks should be undertaken using the Continuous Improvement Committee as the forum in which these matters are considered.

Example: In our example relating to the competence of trainers and assessors, the risks will relate to not having access to competent and experienced trainers and assessors and therefore engaging a person who is not competent and not experienced.

- **Step 3 - Analyse risks.** When analysing the risks and how you might address them, it is important to first identify the things that you are currently doing to control risks. Using this information we need to consider both the consequences and the likelihood of the risks occurring with the current controls in place and being applied. With this information you can identify the residual likelihood and consequence and classify the level of risk. The analysis of risks should be undertaken using the Continuous Improvement Committee as the forum in which these matters are considered.

Example: In our example relating to the competence of trainers and assessors, the existing controls may include knowledge of the requirement expressed in Standards for Registered Training Organisations, clause 1.13 – 1.16 and the intent to apply this requirement to new recruitment of trainers and assessors without any systematic management approach to ensuring this occurs. With these controls in place the likelihood that inappropriate personnel are recruited is possible based on there being no formal arrangements for recruitment and induction that would validate qualifications and experience. The consequence of this occurring are:

- poor learning outcomes,



- assessments being made which are not valid,
- an expensive remediation process to correct invalid assessment decisions,
- being found non-compliant at an internal or external Standards for Registered Training Organisations audit,
- having to respond to corrective action orders from regulators,
- being allocated a higher risk rating due to non-compliances, and
- loss of reputation in the marketplace.

These broad consequences would lead to a consequence rating of major. Taking the likelihood rating of possible and the consequence rating of major would result in a risk rating of High. A high risk rating requires new controls (treatments) to reduce the overall risk and close implementation and monitoring by management.

- **Step 4 - Evaluate risks.** Once the risk rating is established, a comparison between the adequacy of the existing controls and what new controls are required to treat the residual risk. This comparison will lead to the identification of new controls in order to bring both the likelihood and the consequence down. This will have a direct influence on the overall risk rating by bringing it down to an acceptable level. The evaluation of risks should be undertaken using the Continuous Improvement Committee as the forum in which these matters are considered.

Example: In our example relating to the competence of trainers and assessors, the new control measures may include the introduction of a formalised process to recruit personnel including validating qualifications and experience, assessment mentoring and moderation, professional development, trainer/assessor evaluations and a validation process around assessment arrangements.

In evaluating these new control measures, the assessed likelihood is now considered to have reduced to rare and the consequence is assessed as moderate. This would result in an overall risk rating of moderate which requires close monitoring of implemented control measures. In this example this is now considered to be an acceptable risk.

- **Step 5 - Treat risks.** In the treatment of risks, we need to develop the strategies and resources for the specific control measure. This often requires management analysis like any other improvement to an operating system and should be facilitated using the Continuous Improvement Committee as the forum to drive implementation. The new control measures will need to be communicated to TMT staff so everyone understands their role in making the new arrangement fit into the operation and produce the desired outcome. Strategies should be implemented by allocating specific responsibilities to staff that are given realistic timeframes to achieve implementation.

Example: In our example relating to the competence of trainers and assessors, one of the control measures is the introduction of a formalised process to recruit personnel including validating



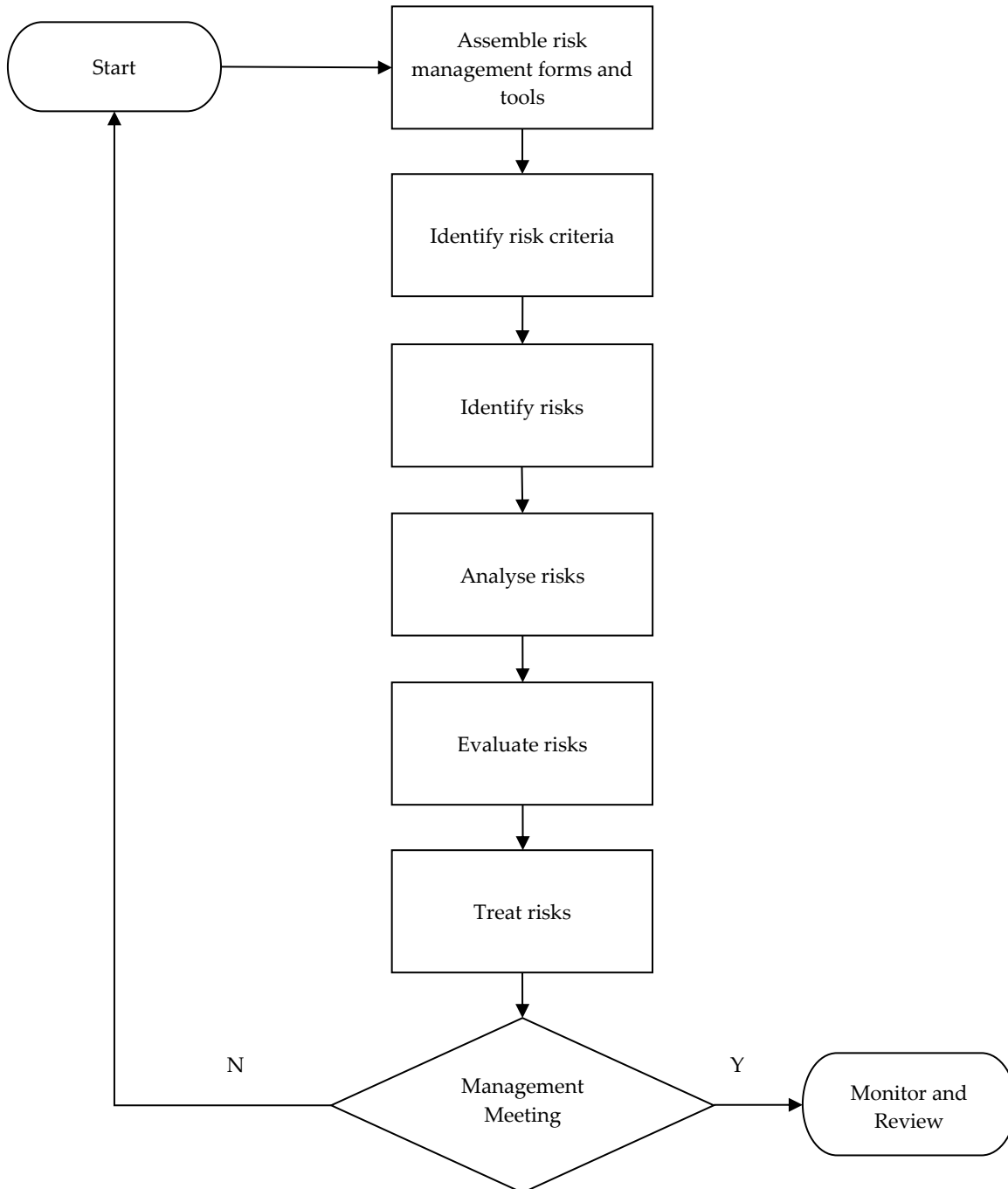
qualifications and experience. Within the forum of the Continuous Improvement Committee, this improvement is discussed and the strategies and resources are agreed on. This may include the development of a new policy on trainer recruitment and induction and forms which ensure that induction has occurred and that qualifications have been sighted, validated and a copy taken. This responsibility is allocated to a Continuous Improvement Committee member with a defined timeframe to report back to the committee on the actions taken and the progress made. From this point, the Committee will monitor the risk through normal data gathering as part of the systematic approach to continuous improvement. The systematic approach to continuous improvement is discussed in section two of this policy and procedure manual.

- **Step 6 - Monitor and review.** It is necessary to monitor the outcomes achieved from the implementation of risk treatments. This is important to ensure that the changes and improvements have led to a real reduction in the occurrence and effects of risks becoming reality. Monitoring seeks to collect relevant data relating to the risk and analysing the data to identify trends of performance or the need for further improvement.

Example: In our example relating to the competence of trainers and assessor, from this point, the Continuous Improvement Committee will monitor the risk through the collection and analysis of data as part of the systematic approach to continuous improvement. This data includes the Quality Indicator survey data and the results from twice yearly internal audits.



Compliance Risk Management Process





1.10 - Training Safety

TMT is committed to the proper management of occupational health and safety. We will provide a safe and healthy workplace for our staff, learners, contractors and visitors by having a planned and systematic approach to the management of occupational health and safety.

We will provide the necessary resources for the successful implementation of this policy and its supportive procedures. Occupational health and safety will be managed through TMT management committee and in close consultation with staff, learners, contractors and visitors.

The policy is not intended to cover the entire scope of situations which may arise in a workplace that relate to safety or hazards. TMT recognises this and we are committed to applying a continuous improvement approach to robust policy development.

The objectives of this policy are to ensure that:

- Hazards and risks to health and safety are systematically identified, assessed and, where they cannot be eliminated, are effectively controlled;
- Measures to control hazards and risks to health and safety are monitored and evaluated regularly;
- Staff are engaged and sought to contribute to occupational health and safety matters affecting their health and safety at work;
- Staff, learners, contractors and visitors receive appropriate information, training and supervision to understand and carry out their responsibilities safely.

Responsibilities

The Director is responsible for:

- Providing a healthy and safe workplace for staff, learners, contractors and visitors;
- Ensuring that adequate resources are provided to meet the health and safety objectives and procedures of TMT;
- Ensuring that TMT complies with all relevant occupational health, safety legislation and standards;
- Providing appropriate health and safety policies and procedures to enable the effective management of health and safety and control of risks to health and safety;
- Providing mechanisms which enable staff to be consulted on work practices, policies or procedures which may affect the occupational health and safety of staff;



- Providing mechanisms to monitor and report regularly on the organisation’s health and safety performance.
- The management committee is responsible for:
- Assisting in the development, implementation and monitoring of health and safety policies and procedures;
- Considering proposals for, or changes to, the workplace, policies, work practices or procedures which may affect the health and safety of staff;
- Promoting awareness of health and safety across TMT;
- Ensuring that hazards in work or study areas are identified, risk assessed and controlled and that these risk control measures are monitored regularly and maintained;
- Ensuring that staff and learners under supervision are provided with the required information and training to carry out their work or study safely and effectively;
- Providing leadership and setting a good example for staff and learners in occupational health and safety matters.

Staff and learners are responsible for:

- Complying with relevant TMT health and safety policies and procedures;
- Obeying any reasonable instruction aimed at protecting their health and safety in the workplace;
- Using any equipment provided to protect their health and safety in the workplace;
- Assisting in the identification and assessment of hazards and implementation of hazard control measures;
- Reporting any incident or hazard in the workplace to their manager;
- Considering and providing feedback on any matters which may affect their health and safety;
- Not being affected by alcohol or non-prescribed (illicit) drugs whilst at work or study.

Contractors are responsible for:

- Following all TMT policies and procedures;
- Complying with all relevant occupational health and safety legislation, standards and codes of practice;



- Ensuring that they do not, through their acts or omissions, do anything that could put at risk their own health or safety or that of TMT staff, learners, other contractors or visitors.

Safety guidelines

The following guidelines are provided as a basis for safe practice in the training and assessment environment.

The guidelines are particularly relevant to learners, trainers and assessors.

- Know and observe details of emergency response and evacuation plans;
- Do not undertake activities which may cause injury to self or others;
- Be responsible for your own actions;
- No smoking at the training and assessment facilities or offices;
- Report all potential hazards, accidents and near misses to the RTO staff;
- No consumption of alcohol within training and assessment facilities or during the conduct of training and assessment;
- Keep training and assessment areas neat and tidy at all times;
- Seek assistance if you volunteer to lift items e.g. move furniture in a training area; and
- Observe hygiene standards particularly in eating and bathroom areas.

Electrical equipment:

- Electrical equipment that is not working should be reported to RTO staff.
- Electrical work should only be performed by appropriately licensed or trained personnel. Learners, trainers and assessors should not undertake any task related to fixing electrical equipment such as lighting or electrical training aids.

Fire safety:

- TMT will undertake to communicate the procedures involved in evacuation and the location of fire equipment to learners at each facility for each training and assessment event; and to users of the office at least twice each year.
- All users of a training and assessment facility need to be familiar with the location of all EXITS and fire extinguishers. Users will consult available maps to determine location.



- It is the user's responsibility to understand fire drill procedures displayed around the premises.
- Users are asked to attend any sessions on fire safety procedures and the use of fire safety devices.

First aid:

- Provision for first aid facilities are available where training is delivered.
- All accidents must be reported to staff.
- The accident and any aid administered must be recorded by staff involved.

Computer facilities:

- Extended periods of work with computers can result in general fatigue and eye strain. Repetitive tasks and incorrect posture will result in consistent aches and pains.
- Current occupational health and safety guidelines indicate that people working for long periods at computers should organise their work so as to allow a five to ten minute rest every hour. This rest should include a change of position and stretching exercises as appropriate.
- Posture can be improved by adjusting chair height so that the operator's feet are comfortably placed on the floor (or footrest) and your arms are at an approximately 90-degree angle.
- The screen should be positioned to avoid reflection from lights and windows and at a suitable distance so that it can be easily read.

Lifting:

- Learners, trainers and assessors are encouraged not to lift anything related to the training and assessment provided by TMT unless they do so voluntarily and taking all responsibility for any injury caused.
- Never attempt to lift anything that is beyond your capacity.
- Always bend the knees and keep the back straight when picking up items.
- If you have experienced back problems in the past do not attempt to lift heavy objects at all. Ask someone else to do it for you.



Training Safety Procedures

TMT will achieve its training safety objectives by applying procedures which assist managers, staff, learners and contractors to carry out their responsibilities.

Hazard management procedures

The aim of this procedure is to provide a practical guide to the identification, assessment, control and monitoring of workplace safety hazards. A hazard is defined as a source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these¹. Hazards may arise from a variety of sources within a workplace. Sources of hazards may include equipment, the work environment, work systems and work procedures.

Workplace hazards can be categorised as follows:

- Physical e.g. noise, radiation, light, vibration;
- Chemical e.g. poisons, dusts;
- Biological e.g. viruses, plants, parasites;
- Mechanical/electrical e.g. slips, trips and falls, tools, electrical equipment;
- Psychological e.g. fatigue, violence, bullying.

In order to manage the workplace safety hazards at TMT, the following steps are to be applied:

Step 1 - Identify hazards

Select a method to identify hazards. This may include:

- Asking the question, ‘Does this task / training activity / situation / event have the potential to harm a person?’ or ‘What if?’ For example, “What if a person were to attempt to lift this heavy object from the top shelf?”
- Conduct a review of records of past accidents and near misses.
- Conduct regular walk-through visual inspections of the workplace. Look at each task the workers do to see if any hazards are present, such as handling loads, using chemicals or equipment.
- Observe workers performing their tasks and the activities involved, such as training activities, cleaning, maintenance and inspection, as more hazards may become apparent. This also provides

¹ AS/NZS 4801:2001 Occupational Health And Safety Management Systems



an opportunity to see whether the workplace procedures for performing particular tasks are being followed by workers, or whether workers are taking short cuts.

- Consult workers about any near misses or events that have not been reported, unreported minor injuries or health complaints.
- Research the hazards associated with the relevant industry to identify the common potential hazards.
- Conduct (or arrange for) basic testing, measuring and samples of the workplace environment.

When collecting information to identify hazards, consider the following:

- Competency and level of training of workers and whether it is adequate;
- How people actually use, clean, service or repair equipment and materials;
- How equipment is used to complete tasks and where it is located;
- How people could be hurt directly and indirectly by the various workplace aspects;
- How waste materials are or should be disposed of;
- The serviceability of substances, equipment, materials and premises, which may affect their safety; and
- The long-term health effects rather than an immediate injury, for example, exposure to loud noise over a period of time.

Step 2 - Assess and prioritise the risks

Assess the likelihood of an event occurring by asking questions such as:

- How would circumstances arise that would make the event likely?
- Where would the event be likely to occur?
- When are people exposed to the hazard?
- How does exposure vary over time or by location and personnel involvement?

When considering the likelihood of an event occurring, align it to the likelihood that most applies using the Likelihood Assessment Table.

Assess the potential consequence resulting from an incident by asking questions such as:

- How much harm the hazard could do?



- How many people it could affect?
- Will the effects be short or long term?

When considering a potential consequence resulting from an incident, align it to the consequence that most applies using the Consequence Assessment Table.

Assess the level of risk, represented by a 'risk rating' by consideration of the relationship between the likelihood and consequence of an event or incident. To determine the level of risk, plot the assessed likelihood and consequence on the Risk Evaluation Matrix to identify the appropriate risk rating. The risk ratings are coloured to provide a visual prompt regarding the level of response required in determining control measures. The following risk ratings are provided:

- L - Low Risk (**Green**) Flag at next management meeting and implement control measures through normal business processes.
- M - Moderate Risk (**Blue**) Monitor and implement control measures as soon as possible.
- H - High Risk (**Yellow**) Monitor closely and implement control measures as a matter of high priority.
- E - Extreme Risk (**Red**) Stop the activity immediately and implement control measures before recommencing.

Step 3 - Determine control measures

The best way to control a hazard is to eliminate it. This concept has led to the development of a hierarchy of control that starts with the elimination of the hazard as the preferred solution and ends with using personal protective equipment to protect the person in the event of a hazard being realised. Ideally, hazards should be controlled by addressing their root cause or the source of the hazard.

The following list describes the hierarchy of control in order of most effective to least effective as means of reducing the risk:

- Eliminating the hazard from the workplace entirely is the best way to control it. An example of elimination is to remove a noisy machine from a quiet area or to sub-contract a function out to others who are better trained and equipped to undertake a particular task.
- Substituting or modifying the hazard by replacing it with something less dangerous, for example, by using a paint which does not contain asthma-encouraging agents.
- Isolating the hazard by physically removing it from the workplace or by cordoning off the area in which a hazard is used.



- Engineering methods can be introduced to control the hazard at its source; tools and equipment can be redesigned, or enclosures, guards or local exhaust ventilation systems can be used.
- Administrative controls are the management strategies that can be introduced to ensure the health and safety of employees. Administrative procedures can reduce exposure to hazardous equipment and procedures by limiting the time of exposure (eg. by job rotation) or varying the time when a particular procedure is carried out.
- Personal protective equipment (PPE) may also be used to reduce exposure to a hazard. PPE should not, where possible, be utilised as a primary control measure as its use neither reduces nor removes the hazard. In conjunction with other treatment strategies, PPE provides additional redundancy should primary control measures fail.

One or a number of controls may be used to address a particular hazard. In most cases, it is desirable that multiple strategies are used to allow for human error or oversight. In matters of technical speciality, it may be necessary to seek expert advice in the application of hazard controls. The hazard controls should be well documented in the hazard control register.

Step 4 - Implement control measures

Once hazards are appropriately identified and assessed, the implementation of the determined controls is the next critical step. This requires planning and consultation with those who will carry implementation responsibility. It may also require the allocation of resources to ensure the planned implementation is not hindered or restricted.

The following considerations should be taken when planning hazard control implementation:

- The implementation process should be appropriately documented;
- The effect on work procedures should be considered to ensure controls are integrated into work routines;
- Persons who will be effected by implementation should be identified and consulted in order to build acceptance and understanding of the control measures;
- The review and adjustment to emergency plans and procedures to recognise the new hazard in the workplace and the associated control measures;
- The competence and training requirement for personnel to implement the control measures;
- The monitoring and supervision of the hazard controls to ensure measures are being implemented as planned; and



- Staff members are informed and inappropriate application of control measures is identified and corrected.

The implementation of control measures usually requires the development of an implementation plan. The implementation plan should:

- Clearly state the hazard controls to be implemented;
- Identify what actions need to be taken to implement the control measures;
- Specify the resources required to implement the control measures;
- Identify responsibilities for implementation of control measures;
- Layout the timetable for implementation and completion; and
- Specify a date for reviewing the control measures.

The implementation plan should be retained to provide a source of information for review.

Step 5 - Monitor control measures

The effectiveness of the hazard control measures to minimise the risk to personnel must be monitored in order to allow the opportunity to improve control measures which do not adequately address the hazard. Factors that may affect the likelihood and consequence of a risk may change over time, as may the factors that affect the suitability of the control measures. It is for this reason that monitoring must not be overlooked.

To monitor control measures, the following strategies can be applied:

- Conduct a review of records including incident or near miss register;
- Conduct walk-through and visual inspections of the workplace;
- Consult workers about their experience with the implemented control measures and how effective they believe them to be; and
- Conduct (or arrange for) basic testing, measuring and samples of the workplace environment to compare the results with those obtained prior to the implementation of the control measures.

Whilst monitoring hazard controls, the following question needs to be addressed:

- Have the control measures been implemented as planned and are they being applied in the workplace?



- Have the control measures been accepted by personnel and what is their opinion on their effectiveness?
- Have there been any occurrences involving the hazards since the implementation of the controls?
- Have the implemented control measures produced any unintended effects, such as changes to work routines or new hazards?

Step 6 - Review the hazard management process

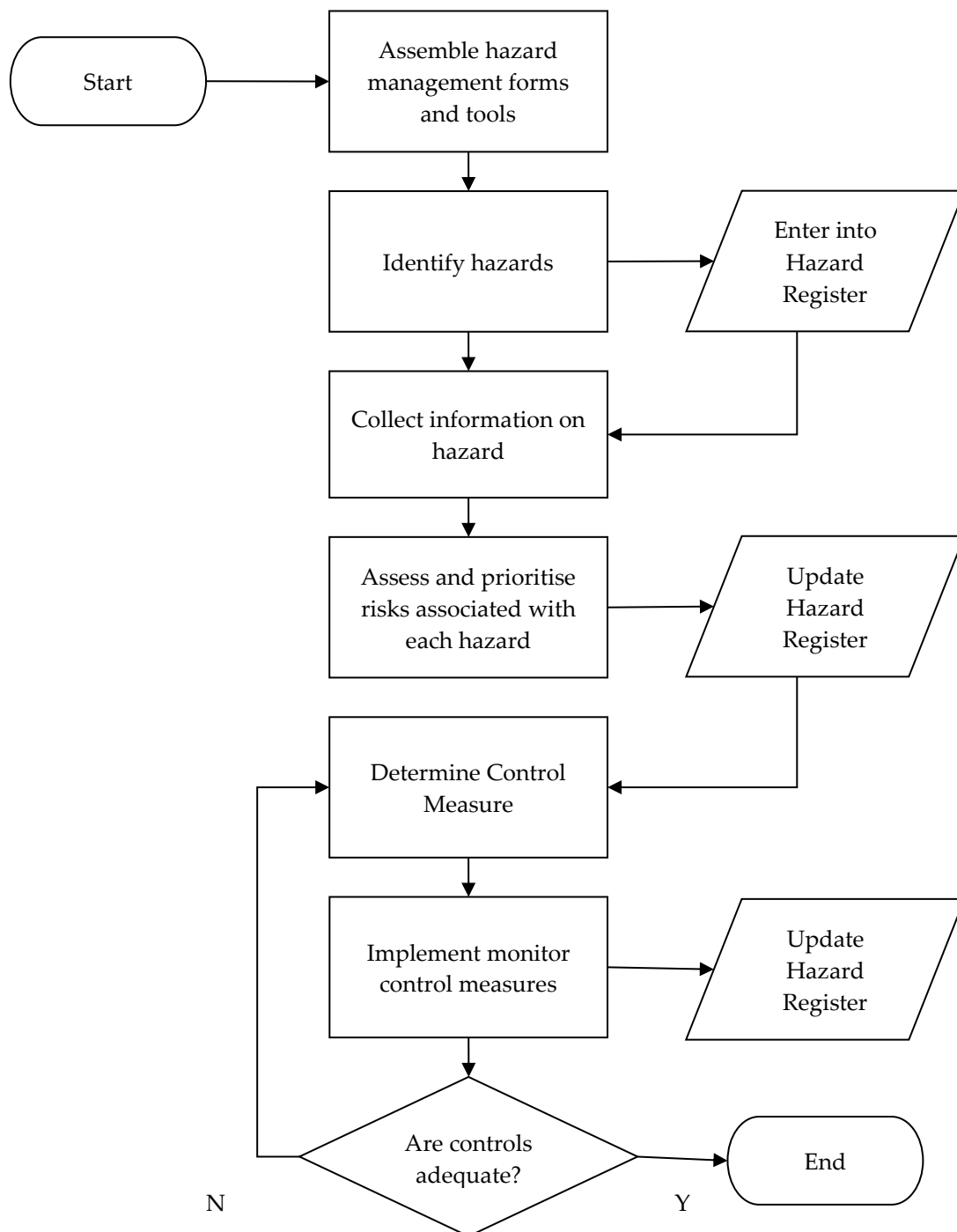
The review of the hazard management process is essential to ensure that the management of hazards universally remains relevant and in the right context over time. The review of the hazard management process is to be conducted not less than every two years. The essential elements of a review are:

- The hazard management process for must be valid in the context of the operating environment of TMT;
- Improvements in the operating processes of TMT must be reflected in the hazard management process;
- The process should reflect best practice from an industry perspective in the identification, assessment and control of hazards; and
- Stakeholders should be given the opportunity to contribute to the review in order to build capacity within TMT to manage workplace safety hazards.

Further guidance on the review of risk management and hazard management processes can be found in AS/NZS 4360:2004 Risk Management.



Training Hazard Management Process





1.11 - Discrimination and Harassment

At TMT we are committed to ensuring that the training and assessment environment and our workplace are free from discrimination and harassment. All employees, contractors and clients are made aware that discrimination and harassment will not be tolerated under any circumstances. In the event that discrimination and harassment is found to have occurred, disciplinary action will be taken against any employee or contractor who breaches this policy.² Suspected criminal behaviour will be reported to police authorities immediately.

By implementing this policy we strive to achieve the following objectives:³

- Create a working environment which is free from discrimination and harassment and where all employees, contractors and clients are treated with dignity, courtesy and respect;
- Implement training and awareness raising strategies to ensure that all parties know their rights and responsibilities;
- Provide an effective procedure for complaints based on the principles of natural justice;
- Treat all complaints in a sensitive, fair, timely and confidential manner;
- Guarantee protection from any victimisation or reprisals;
- Promote a productive and cohesive workplace;
- Encourage the reporting of behaviour which breaches this Discrimination and Harassment Policy; and
- Promote appropriate standards of conduct at all times.

What is discrimination and harassment?

Under federal and state legislation, unlawful discrimination occurs when someone, or a group of people, are treated less favourably than another person or group because of their race, colour, national or ethnic origin; sex, pregnancy or marital status; age; disability; religion; sexual preference; trade union activity; or some other characteristic specified under anti-discrimination or human rights legislation.

Harassment occurs when someone is made to feel intimidated, insulted or humiliated because of their race, colour, national or ethnic origin; sex; disability; sexual preference; or some other characteristic specified

² Good practice, good business: Eliminating discrimination and harassment from your workplace: Writing an effective anti-discrimination and harassment policy, page 1, © Human Rights and Equal Opportunity Commission.

³ Good practice, good business: Eliminating discrimination and harassment from your workplace: Writing an effective anti-discrimination and harassment policy, page 2, © Human Rights and Equal Opportunity Commission.



under anti-discrimination or human rights legislation. It can also happen if someone is working in a ‘hostile’ or intimidating – environment.⁴

Harassment can include behaviour such as:

- Telling insulting jokes about particular racial groups;
- Sending explicit or sexually suggestive emails;
- Displaying offensive or pornographic posters or screen savers;
- Making derogatory comments or taunts about someone’s race or religion; or
- Asking intrusive questions about someone’s personal life, including their sex life.

Discrimination and harassment occur when a person is discriminated against or harassed in the workplace because of:

- their race, colour, descent or national or ethnic origin, as defined under the *Racial Discrimination Act 1975*;
- their sex, marital status or pregnancy as defined under the *Sex Discrimination Act 1984*;
- a disability as defined under the *Disability Discrimination Act 1992*;
- age as defined under the *Age Discrimination Act 2004*; or
- some grounds under the *Human Rights and Equal Opportunity Act 1986*.

The nature of discrimination and harassment

Harassing or discriminating behaviour can range from serious to less serious levels; however one-off incidents can still constitute discrimination or harassment. Also, where continued, such behaviour can undermine the standard of conduct within a work area, which may erode the wellbeing of the individual or group being targeted and lead to lower overall staff performance.

The absence of complaints is not necessarily an indication that no discrimination or harassment is occurring. The person subjected to harassing or discriminating behaviour does not always complain. This is not necessarily because the act is trivial, but because the person may lack the confidence to speak up on their own behalf or feel too intimidated or embarrassed to complain.⁵

⁴ Good practice, good business: Eliminating discrimination and harassment from your workplace: What is discrimination and harassment? Page 1, © Human Rights and Equal Opportunity Commission.

⁵ Ibid.



Hostile working environment

TMT supervisors should also be aware of their responsibilities to ensure that the working environment or workplace culture is not sexually or racially 'hostile'. Examples of a potentially hostile working environment are where pornographic materials are displayed and where crude conversations, innuendo or offensive jokes are part of the accepted culture.

A person has the right to complain about the effects of a sexually or racially hostile working environment, even if the conduct in question was not specifically targeted at them.

What is not discrimination or harassment?

Workplace discrimination or harassment must not be confused with legitimate comment and advice (including relevant negative comment or feedback) from supervisors, trainers and assessors on the work performance or skills and knowledge development of an individual or group.

The process of providing feedback to staff during a formal performance appraisal, or counselling staff regarding their work performance, will not always be free of stress. Similarly, providing a learner with feedback following an assessment also has the potential to be stressful. Supervisors, trainers and assessors should manage these processes with sensitivity, but they should not avoid their responsibility to provide full and frank feedback.⁶

What is workplace bullying?

One definition of workplace bullying is “the repeated less favourable treatment of a person by another or others in the workplace, which may be considered unreasonable and inappropriate workplace practice. It includes behaviour that intimidates, offends, degrades or humiliates a worker”.⁷

Bullies usually utilise power attributed to their status, skills or position in the workplace, and both men and women can be the targets and/or the perpetrators. Workplace bullying can occur between a worker and supervisor, or between trainers/assessors and learners.

Bullying behaviour can range from very obvious verbal or physical assault to very subtle psychological abuse. This behaviour may include: ⁸

- Physical or verbal abuse;
- Yelling, screaming or offensive language;

⁶ Good practice, good business: Eliminating discrimination and harassment from your workplace: What is discrimination and harassment? page 2, © Human Rights and Equal Opportunity Commission.

⁷ Good practice, good business: Eliminating discrimination and harassment from your workplace: Workplace Bullying, page 1, © Human Rights and Equal Opportunity Commission.

⁸ Ibid.



- Excluding or isolating employees;
- Psychological harassment;
- Intimidation;
- Assigning meaningless tasks unrelated to the job;
- Giving employees impossible jobs;
- Deliberately changed work rosters to inconvenience particular employees; or
- Undermining work performance by deliberately withholding information vital for effective work performance.

TMT will not tolerate bullying of any individual or group, be they a staff member, consultant or learner.

Who is responsible?

It is important to note that everybody is responsible for maintaining a workplace that is free from discrimination and harassment. The following outlines the responsibilities of the management and employees (including contractors) of TMT:

The management team has a responsibility to:⁹

- Ensure the Discrimination and Harassment Policy and associated procedures are introduced to all new employees during their induction period;
- Ensure the Discrimination and Harassment Policy and associated procedures are made available to all employees and learners and is actively communicated within TMT;
- Set expectations of supervisors, trainers and assessors to demonstrate appropriate conduct and to monitor the conduct of employees and learners within the operations of TMT;
- Encourage and provide avenues for employees and learners who feel they have been harassed or discriminated against to come forward and report their experience in a non-judgemental and confidential environment;
- Monitor TMT operating environment to ensure it is free from material (posters, notice board items, electronic media) that is sexually related, is racist or is likely to offend;

⁹ Good practice, good business: Eliminating discrimination and harassment from your workplace: A guide to vicarious liability, page 2, © Human Rights and Equal Opportunity Commission.



- Ensure training and assessment services are developed and delivered to learners to encourage their participation in an inclusive environment that is free from discrimination and harassment;
- Facilitate training and awareness sessions that educates TMT employees about anti-discrimination and harassment measures;
- Ensure that selection criteria for supervisor, trainer and assessor positions includes the requirement that they have a demonstrated understanding of and ability to deal with discrimination and harassment issues as part of their overall responsibility;
- Facilitate the display of posters on notice boards in common work areas and the distribution of relevant brochures to promote an environment that is free from discrimination and harassment;
- Include accountability mechanisms in position descriptions for supervisors, trainers and assessors; and
- Periodically review the policy to ensure it is operating effectively and contains up to date information.

Employees (including contractors) have a responsibility to:

- Seek out and become familiar with the Discrimination and Harassment Policy and associated procedures during their induction period;
- Remain informed of changes to the Discrimination and Harassment Policy and associated procedures that may occur from time to time;
- Set the example of appropriate behaviour and conduct for other TMT employees and monitor the conduct of employees and learners within the operations of TMT;
- Provide support to individuals that may confide in them about occurrences of discrimination or harassment in a non-judgemental and confidential manner;
- Respect individual differences and encourage others to maintain an inclusive environment that is productive and supports learning;
- Monitor TMT operating environment to ensure it is free from material (posters, notice board items, electronic media) that is sexually related, is racist or is likely to offend;
- Participate in training and awareness sessions that educates employees about anti-discrimination and harassment measures; and
- Respond immediately to claims of inappropriate behaviour and review own behaviour to identify opportunities for improvement.



What can happen if you discriminate or harass?

Incidents of discrimination or harassment that are identified will be handled by applying the principles of natural justice. Criminal or unlawful behaviour will be reported to police authorities immediately and will result in immediate dismissal.

Other behaviour which discriminates against or harasses another person will result in management actions which reflect the seriousness of the individual circumstances.

These may include one or a combination of the following:

- Retraining (likely to occur in all circumstances);
- Counselling;
- Apology;
- Conciliation / mediation;
- Demotion;
- Transfer;
- Suspension with pay;
- Suspension without pay;
- Warning for dismissal with a probationary period; or
- Dismissal.

In the case of contractors who discriminate against or harass another person, this will result in a withdrawal of the service contract immediately.

Where to get more information or help

The following agencies can provide additional information and support services to TMT in maintaining a working environment which is free from discrimination and harassment:

Human Rights and Equal Opportunity Commission

- General enquiries: (02) 9284 9600
- Complaints Info line: 1300 656 419
- General enquiries and publications: 1300 369 711
- Website: www.humanrights.gov.au



New South Wales Anti-Discrimination Board

- Telephone: (02) 9268 5555
- Toll free: 1800 670 812 (within NSW only)
- Website: www.lawlink.nsw.gov.au/adb

Discrimination and Harassment Procedure

These discrimination and harassment procedures have been established to maximise the possibility of in-house resolution. This procedure relates to the handling of complaints or allegations relating to discrimination or harassment. It does not relate to the handling of complaints about TMT services. For matters relating to TMT services, individuals should refer to the Complaints Policy.

Harassment and discrimination - Informal complaint procedures

Informal procedures emphasise resolution rather than factual proof or substantiation of a complaint. Informal ways of dealing with discrimination and harassment can include the following actions:¹⁰

- The individual who has been discriminated against or harassed wants to deal with the situation themselves but may seek advice on possible strategies from their supervisor or another officer (e.g. Harassment contact officer, EEO officer, industrial relations manager, etc.);
- The individual who has been discriminated against or harassed asks their supervisor to speak to the alleged perpetrator on their behalf. The supervisor privately conveys the individual's concerns and reiterates the organisation's policy to this person without assessing the merits of the case;
- A complaint is made, the perpetrator admits the behaviour, investigation is not required and the complaint can be resolved through conciliation or counselling; or
- A supervisor or manager observes unacceptable conduct occurring and takes independent action even though no complaint has been made.

Informal action is usually appropriate where:¹¹

- The allegations are of a less serious nature but the individual subjected to the behaviour wants it to cease nonetheless;
- The individual subjected to the behaviour wishes to pursue an informal resolution; or

¹⁰ Good practice, good business: Eliminating discrimination and harassment from your workplace: Developing and implementing internal complaints procedures, page 1, © Human Rights and Equal Opportunity Commission.

¹¹ Ibid.



- The parties are likely to have ongoing contact with one another and the complainant wishes to pursue an informal resolution so that the working relationship can be sustained.

An individual should not be required to exhaust informal attempts at resolution before formal action commences. Individuals have the right to formalise their complaint or approach an external agency, such as the Human Rights and Equal Opportunity Commission, at any stage.

The following information is a guide for supervisors to assist with the informal resolution of complaints within the workplace. Note that this would equally apply to trainers and assessors who may need to deal with informal complaints in the training and assessment environment.

Supervisors who are approached by an individual regarding discriminatory or harassing behaviour should:¹²

- Be aware that individuals who approach you about discrimination or harassment may feel a range of emotions: angry, distressed, vulnerable, intimidated, frustrated, powerless and so on;
- Support the complainant by reassuring them that they have taken appropriate action by seeking your assistance;
- Listen, take them seriously, be sensitive and non-judgemental;
- Inform them that no form of discrimination or harassment is acceptable and they have a right to complain and have the offensive behaviour stopped;
- Outline the organisation's policy and procedures;
- Ask the complainant how they want the situation to be handled;
- Discuss options and outcomes; and
- Advise them about confidentiality.

Practical steps towards a positive resolution:¹³

- Seek advice and/or assistance from management on how to handle the situation, if necessary;
- Assist the complainant to undertake "self-help" resolution if required; e.g. discuss ways in which they could tell the offender that their behaviour upsets them and they want them to stop it, or refer the person to the contact officer who will be able to provide advice;

¹² Good practice, good business: Eliminating discrimination and harassment from your workplace: Informal resolution of complaints by managers and supervisors, page 1, © Human Rights and Equal Opportunity Commission.

¹³ Ibid.



- Undertake any immediate action such as removal of graffiti;
- If necessary approach the person against whom the complaint is made with the aim stopping the behaviour perceived as discrimination or harassment, now and in the future;
- Monitor and ensure behaviour does not re-occur and that the complainant is not victimised;
- Any record keeping should take the form of simple diary notes;
- Discuss continuing, serious and/or difficult problems with management or employee relations personnel as soon as possible. It may not be possible for the complainant to resolve the issue themselves. Management may need to take formal investigatory action; and
- Management may need to take other action to protect all staff. Discuss with and keep the complainant informed of any action taken.

Supervisors who are conducting informal discussions with the person against whom a complaint has been made should:¹⁴

- Listen to their point of view;
- Inform them of relevant policy and procedures;
- Inform them that if the alleged behaviours did occur they would be in breach of the organisation's policy and state/federal law;
- Advise that even if behaviour were not intended to be offensive, offence has been taken and needs to be resolved;
- Clarify acceptable and unacceptable behaviour;
- Discuss any action needed to resolve the complaint and relay this to the complainant;
- Obtain an undertaking that the behaviour in question, regardless of whether admitted or not, will not be entered into by the respondent in the future; and
- Advise of potential penalties if the behaviour continues and advise of the need for confidentiality and the prohibition of victimisation.

Discrimination and harassment - Formal complaint procedures

Note. It is important when receiving a formal complaint of discrimination or harassment that management quickly determines any need to involve and/or report occurrences to police authorities or to equal

¹⁴ Good practice, good business: Eliminating discrimination and harassment from your workplace: Informal resolution of complaints by managers and supervisors, page 2, © Human Rights and Equal Opportunity Commission.



opportunity and anti-discrimination agencies. Management should always seek professional guidance when making these decisions and be mindful of confidentiality requirements when seeking advice.

Formal complaints procedures focus on looking at whether a complaint can be substantiated, or at least whether the parties can be brought together to try and reach a satisfactory outcome. Formal complaints procedures usually involve:¹⁵

- Investigation of the allegations;
- Application of the principles of natural justice;
- Making a finding as to whether the discrimination or harassment occurred or whether it is likely it has occurred;
- Submitting a report with a recommended course of action to the appropriate decision-maker (management); and
- Implementation of an appropriate outcome.

Formal procedures are usually appropriate where:

- Informal attempts at resolution have failed;
- The person alleging discrimination or harassment has been victimised;
- The complaint involves serious allegations of misconduct and informal resolution could compromise the rights of the parties;
- The complaint is against a more senior member of staff - formal procedures may help to ensure that the complainant is not victimised or disadvantaged;
- The allegations are denied and the person who claims to have been discriminated against or harassed wishes to proceed and investigation is required to substantiate the complaint; or
- The person alleging discrimination or harassment decides to make a formal complaint.

The steps involved in a formal complaint

To ensure consistency and fairness, TMT management should document the steps involved in a formal complaint. The sequence of events is as follows:¹⁶

¹⁵ Good practice, good business: Eliminating discrimination and harassment from your workplace: Developing and implementing internal complaints procedures, page 2, © Human Rights and Equal Opportunity Commission.

¹⁶ Ibid.



- The complainant is interviewed and the allegations are particularised in writing;
- The allegations are conveyed to the alleged perpetrator in full;
- The alleged perpetrator is given the opportunity to respond and defend themselves against the allegations;
- If there is a dispute over facts, statements from any witnesses and other relevant evidence are gathered;
- A finding is made as to whether the complaint has substance;
- A report documenting the investigation process, the evidence, the finding and recommended outcome/s is submitted to the appropriate decision-maker (senior management); and
- The decision-maker implements the recommended outcome/s or decides on an alternative course of action.

The parties should be permitted to have a union official, support person, advocate or other representative accompany them to any interviews or meetings.

Consideration of evidence

A formal complaint should not be dismissed on the ground that no one saw or heard the incident/s occur. Given the nature of the offence, there are often no direct witnesses to alleged acts of discrimination and harassment. Those responsible for investigating complaints should consider all available evidence, including any surrounding evidence. The following type of evidence may be relevant:¹⁷

- Supporting evidence provided by a medical practitioner, counsellor, family member, friend or co-worker;
- Supervisor's reports and personnel records (e.g. Unexplained requests for transfer or shift changes, sudden increase in sick leave);
- Complaints or information provided by other employees about the behaviour of the alleged perpetrator;
- Records kept by the person claiming to have been discriminated against or harassed;
- Whether the evidence was presented by the parties in a credible and consistent manner; and
- The absence of evidence where it should logically exist.

¹⁷ Good practice, good business: Eliminating discrimination and harassment from your workplace: Developing and implementing internal complaints procedures, pages 2-3, © Human Rights and Equal Opportunity Commission.



Management action

Refer to the Discrimination and Harassment Policy in the previous section for the type of actions that may be available to management. In determining the appropriate actions, management may consider factors such as:¹⁸

- The severity and frequency of the discrimination or harassment;
- The weight of the evidence;
- The wishes of the person who was discriminated against or harassed;
- Whether the harasser could have been expected to know that such behaviour was a breach of policy; and
- Whether there have been any prior incidents or warnings.

If there is insufficient proof to decide whether or not discrimination or harassment has occurred, management should nevertheless:

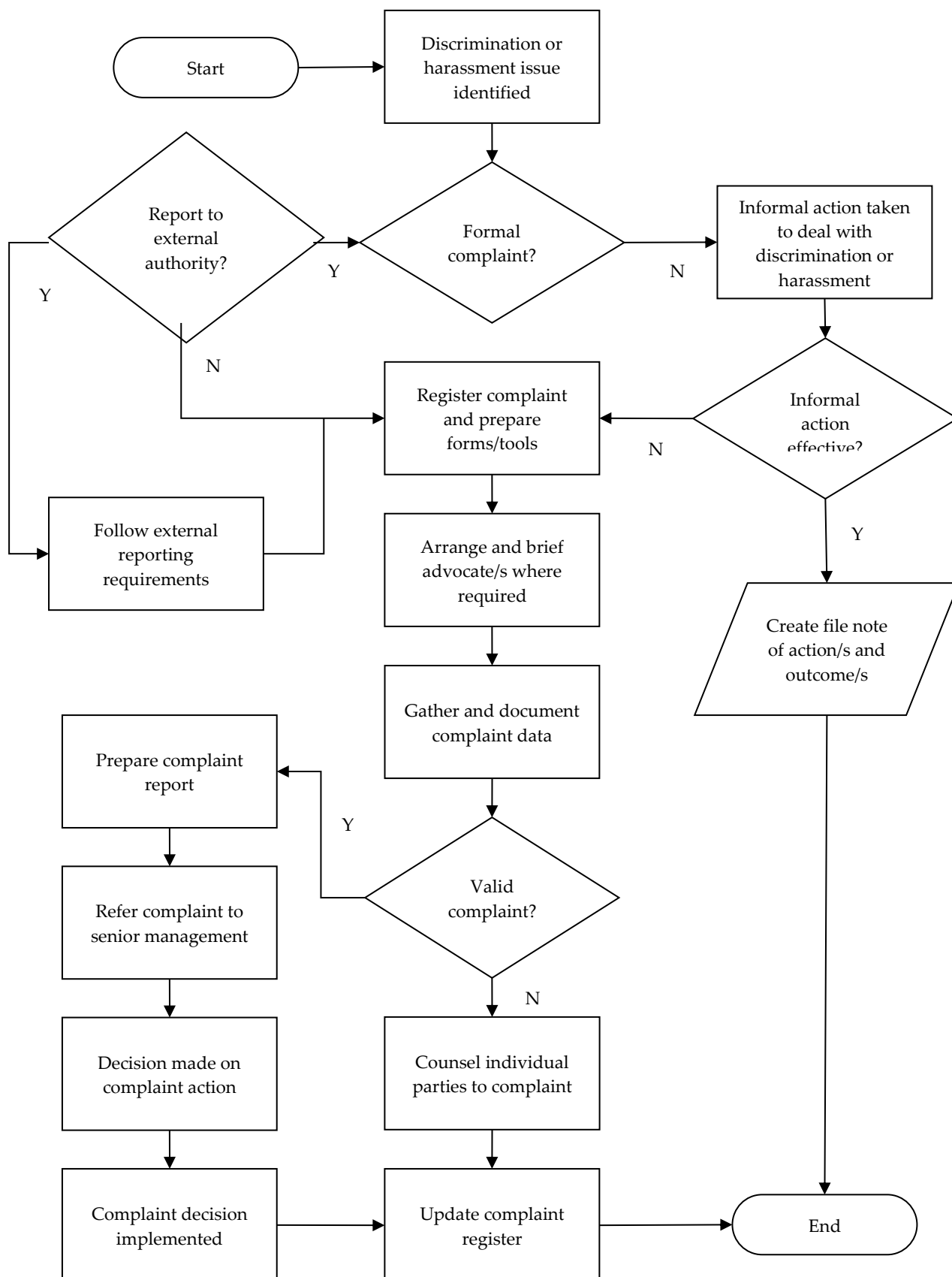
- Remind those involved of expected standards of conduct;
- Conduct further training and awareness raising sessions for staff; and
- Monitor the situation carefully.

Management must ensure that the outcome of a substantiated complaint does not disadvantage in any way the person who was discriminated against or harassed.

¹⁸ Good practice, good business: Eliminating discrimination and harassment from your workplace: Developing and implementing internal complaints procedures, page 3, © Human Rights and Equal Opportunity Commission.



Discrimination and Harassment Process





1.12 – Privacy

TMT is a Registered Training Organisation with responsibility for delivering vocational education and training. TMT collects and stores personal information on our learners and industry clients.

TMT complies with the Privacy Act 1988 (Commonwealth). This policy describes how TMT collects, manages, uses, discloses, protects, and disposes of personal information in accordance with the thirteen Australian Privacy Principles (APPs) outlined in Schedule 1 of the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

Definitions

Under the Privacy Act 1988 and Privacy Amendment (Enhancing Privacy Protection) Act 2012 (s6(1)), personal and sensitive information is defined as follows:

- *Personal information*: “information or an opinion about an identified individual, or an individual who is reasonably identifiable: (a) whether the information or opinion is true or not; and (b) whether the information or opinion is recorded in a material form or not.”
- *Sensitive information*: “(a) information or an opinion about an individual’s: (i) racial or ethnic origin, or (ii) political opinions, or (iii) membership of a political association, or (iv) religious beliefs or affiliations, or (v) philosophical beliefs, or (vi) membership of a professional or trade association, or (vii) membership of a trade union, or (viii) sexual preferences or practices, or (ix) criminal record, that is also personal information; or (b) health information about an individual; or (c) genetic information about an individual that is not otherwise health information; or (d) biometric information that is to be used for the purposes of automated biometric verification or biometric identification; or (e) biometric templates”.

Authority to collect and store information

TMT is an approved Registered Training Organisation by the Australian Skills Quality Authority. This registration is issued under the authority of the *National Vocational Education and Training Regulator Act 2011*. This legislation requires TMT to collect personal and sensitive information from its learners. This requirement is specified in the *Data Provision Requirements 2012* which is one of five legislative instruments that TMT must comply with as a condition of its registration.

The data provision requirements require TMT to collect data from learners in accordance with the Australian Vocational Education and TMT Information Statistical Standard (AVETMISS). This is a complex information standard that defines information about who the learner is, where the training is delivered and what they are studying. The Standards for Registered Training Organisations require TMT to retain and store this information for up to 30 years and to report training activity to government agencies in accordance with mandatory reporting requirements.



Together these requirements form a statutory obligation to collect, store and report information of any learner participating in nationally accredited training. The publications referred to in this section can be accessed from the ASQA website.

Collection and use

TMT collects personal information, either directly or indirectly, that is reasonably necessary for, or directly related to its delivery of the services it offers. Some of the information collected may be regarded as 'sensitive' as defined by the Privacy Act. In broad terms the kinds of personal information and purposes for which it is collected are:

Solicited information

- Contact information such as name, organisation, position, address, telephone, and email are collected for marketing, support services, mandatory reporting and for communicating with stakeholders as part of our day to day operation.
- In addition to information collected training activity, TMT will also collect, store and report information relating to satisfaction surveys, complaint handling and on our client employers.
- Names, addresses, phone numbers, emergency contact details, bank account details and other employment related information is collected from employees for the purpose of managing human resources. The management of staff personal information complies with this policy.

Collection methods

- Learner personal and sensitive information as well as training activity information is prescribed by the AVETMIS Standard. This information is collected directly from our learners using enrolment forms which may be paper based or electronic and other administrative forms including but not limited to complaint forms, recognition application, request for refund, transfer application, etc. Much of this information is entered into our learner management software called "RTO Data". Hard copy records are retained within our learner files.
- Survey responses are collected using our Employer and Learner Satisfaction Surveys which are issued both in hard copy and electronic format. These survey results are returned to the main office and entered into our survey analysis software "Satisfaction Data". Survey forms once entered into Satisfaction Data are either destroyed if hard copy or permanently deleted if in electronic form.
- Enquiry information from prospective learners including personal contact information is collected directly from individuals who make data requests either by telephone or email in person or via our website.
- TMT personal information is collected from individuals on employment commencement.



Sensitive information

- Personal information collected by TMT that may be regarded as ‘sensitive’ under the Privacy Act includes:
 - ‘Disability’ and ‘long-term impairment status’ (health); and ‘indigenous status’, ‘language spoken at home’, ‘proficiency in spoken English’, ‘country of birth’ (implies ethnic/racial origin). This information is specified in the AVETMISS data elements and is collected for the national VET data collections, national VET surveys, and may be collected for VET-related research.
 - ‘Dietary requirements’ (health-related) are collected for event catering purposes only.
 - Biographical information, which may contain information on ‘affiliations’ and ‘membership of a professional or trade association’ are obtained from key note speakers for event marketing purposes.
 - ‘Memberships of professional associations’ and ‘health and work injury information’ is collected from TMT employees for HR management purposes.

Direct marketing

TMT respects an individual’s right not to receive marketing material, and provides an option within communications and on its website for individuals to unsubscribe from receiving marketing material. TMT conducts its marketing communications and dissemination of service information in accordance with Australian Privacy Principle 7 (Direct marketing), the Spam Act 2003 (in respect of electronic communications), and the Do Not Call Register Act 2006. It is not, however, TMT’s practice to ‘cold call’ for the purpose of marketing its products and services.

Google Analytics and cookies

Google Analytics is a web service provided by Google Inc. Cookies are used to generate data on website activity and usage. The cookies, which include IP addresses, are transmitted to and stored in Google servers in the United States where they are used to compile web-use reports. Google may transfer this information to third parties, where required by law, or for information processing on its behalf. Google will not associate IP addresses with any other data held by Google. More information on Google’s privacy policy can be found at: <https://www.google.com.au/intl/en/policies/privacy/>. It is possible to disable cookies by adjusting web-browser setting and to opt-out of Google Analytics (<https://tools.google.com/dlpage/gaoptout>). Doing so, however, may affect web-site functionality.

The TMT web servers automatically log information such as server address, date and time of visit and web pages accessed. No personal information is recorded. These logs are used for website management and improvement.



Unsolicited personal information

If TMT should receive unsolicited personal information, it will be treated and managed according to the Australian Privacy Principles.

Notification of collection

TMT aims to notify individuals of the collection of their personal information before, or at the time of collection, or as quickly as possible thereafter. Notifications are usually in writing, but may be verbal for telephone help-desk services, or research conducted by telephone interview.

- Marketing – notification is provided on our website course application page. Individuals are also notified at the time of collecting personal information for events. A privacy notice is provided in all TMT marketing communications.
- Quality Indicator surveys – notification is provided in the letter of invitation to participate in the surveys and also at the time of collecting the information (online or by telephone).
- TMT staff – Notification is provided on employment commencement.

Disclosure of personal information

TMT does not disclose personal information other than for the purpose for which it was collected, or an individual has consented to a secondary purpose, or an individual would reasonably expect this (such as receiving communications about upcoming events), or if required by law.

TMT may share personal information with the Commonwealth government in accordance with Commonwealth contractual obligations. In these circumstances TMT will take reasonable steps to inform and seek consent from the individuals concerned and take all reasonable steps to ensure that the recipient handles the personal information according to the APPs.

TMT does not sell its mailing lists to third-parties for marketing purposes.

TMT does not disclose personal information to overseas recipients. While people around the world can access material published on our website, no statistical or research publications contain identifiable personal information.

Management of personal information

TMT endeavours to ensure the personal information it collects and uses or discloses is accurate, up to date, complete and relevant. TMT routinely updates the information held in its customer relationship management system. In addition to periodically checking with stakeholders if their personal contact details have changed.



Access to and correction of personal information

Individuals may, subject to the exceptions prescribed by the Australian Privacy Principles, request access to and correction of their personal information where this is collected directly from individuals by TMT.

TMT does not charge for giving access to or for correcting personal information.

Requests for access to or correction of personal information should be made in writing. Requests will be answered within 14 business days.

Information retention and disposal

Personal information is held in electronic and paper format:

- Information collected from learner enrolment applications and survey responses is held in databases.
- Names and contact details of stakeholders are held in RTO Data and email contact lists.
- Names and contact details collected during the delivery of services may be held either in electronic form in TMT's document management system or in paper documents which are locked in cupboards and filing cabinets.
- Personal staff information is held in RTO Data and HR management, pay roll database.
- Backup copies of all electronic files held in TMT's systems are kept in the event of system failure/loss. All backup copies of system files are secured.

TMT retains personal information for 30 years. When personal information is no longer necessary for TMT's business functions, and it is lawful to do so, TMT destroy the information.

Information security

TMT takes active steps to protect personal information from misuse, interference and loss, and from unauthorised access, modification or disclosure.

- TMT's systems and internal network are protected from unauthorised access using appropriate technologies. Most system data transferred over the internet is protected by Secure Socket Level protocol (SSL). The inherent risks associated with data transmission over the internet are, however, commonly acknowledged. Individuals, who do not wish to provide their personal information via the online website forms have the option of mailing this information to TMT.
- Access to RTO Data is protected through user log-on and password, and assignment of user access rights.



- Third-party providers used by TMT for the delivery of services are all located within Australia and are required to be compliant with the Australian Privacy Principles and offer appropriate safeguards to protect personal information.
- TMT's premises and data storage systems are fully secured. TMT practices clean-desk policy and locking workstations when working with personal information. Paper documents containing names and addresses are required to be locked away and shredded when destroyed. All hardware is properly 'sanitised' before disposal.

Complaints and concerns

Complaints or concerns about TMT's management of personal information should be directed in writing to TMT's Director. TMT will respond in writing within 14 business days.



Section Two - Administration



2.1 - Fees and Refunds

TMT is entitled to charge fees for services provided to learners undertaking training and assessment that leads to a nationally recognised outcome. These charges are generally for items such as course materials, text books, learner services and training and assessment services.

Fees payable

Fees are payable when a learner has received a confirmation of enrolment. The initial fee payment must be made prior to &/or on commencing training or within 7 days of receiving an invoice from TMT. TMT may discontinue training if fees are not paid in accordance with the agreed fee schedule. TMT allows discretionary accounts for long-standing customers. The current fees and charges for TMT are published within the current schedule of fees and charges.

Schedule of Fees and Charges

The Directors are responsible for approving TMT Schedule of Fees and Charges. The schedule of fees and charges is to include the following information:

- the total amount of all fees including course fees, administration fees, material fees and any other charges for enrolling in a training program;
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- the nature of the guarantee given by TMT to honour its commitment to deliver services and complete the training and/or assessment once the learner has commenced study;
- any discounts, fee reductions or exemptions available for multiple enrolments, concession card holders, continuing learners, group bookings etc;
- the fees and charges for additional services, including such items as issuance of a replacement qualification parchment or statement of results and the options available to learners who are deemed not yet competent on completion of training and assessment; and
- TMT refund policy. The refund policy is made available for all participants who book online.



Replacement of text and training workbooks

Learners who require replacement of issued text or training workbooks will be liable for additional charges to cover the cost of replacement. Where a learner has purchased a text or training workbooks and subsequently cancels his or her enrolment, TMT will not refund monies for the text unless a written request for a refund is received and we are satisfied that the text is in as-new condition. For a full list of replacement charges please refer to TMT schedule of fees and charges.

Giving notice of enrolment cancelation

A learner who wishes to cancel their enrolment must give notice in writing. This may be via email or letter. TMT staff who are approached with initial notice of cancelation are to ensure the learner understands their rights with regards to the refunding of tuition fees. The learner is also to be advised of other options such as suspending the enrolment and re-commencing in another scheduled training program.

Refunds policy

There are no refunds available on fees. TMT allows cancellations more than 24 hours in advance of the course booking without a cancellation fee. TMT also allows transfer to a future course without any additional fees being charged.

However, discretion may be exercised by the Directors in all situations, if the learner can demonstrate that extenuating or significant personal circumstance led to their withdrawal.

Statutory cooling off period

The Standards for Registered Training Organisations require a person to be informed of their right to a statutory cooling off period. A statutory cooling off period is defined within the Australian Consumer Law which was introduced in 2011. A statutory cooling off period (which is 10 days) is a period of time provided to a consumer to allow them to withdraw from a consumer agreement, where that agreement was established through unsolicited marketing or sales tactics. These include tactic such as door-to-door sales and telemarketing. A statutory cooling off period allows a consumer to withdraw from a sales agreement within 10 days of having received a sale contract without penalty. All staff are recommended to refer to the [Australian Consumer Law, Sales Practices Guide](#) for further details about a statutory cooling off period and our general obligations for consumer protection during the enrolment process.

TMT do inform prospective learners within the learner handbook. It must be noted by all staff that TMT do not engage in unsolicited marketing or sales tactics and therefore a statutory cooling off period is not likely to be applicable to our learners who have enrolled into a program. For refund option in other circumstances, learners and staff must refer to the refund policy.

Our Guarantee to Clients

If for any reason TMT is unable to fulfil its service agreement with a learner, TMT must issue a full refund for any services not provided. The basis for determining “services not provided” is to be based on the



units of competency completed by the learner and which can be issued in a statement of attainment at the time the service is terminated.

Limiting fees being paid in advance

TMT acknowledges that it has a responsibility under the Standards for Registered Training Organisations to limit the fees paid by learners in advance of their training and assessment services being delivered. To meet our responsibilities,

TMT may accept payment of no more than \$1,500 from each learner prior to the commencement of the course. This requirement only applies when the payment for the fees are being made directly by an individual that falls under the protection of Australian Consumer Law. By this we generally mean the learner or the learner's family member. This requirement is not applicable where the fees are being paid by the learner's employer or a funding authority. This is an entity to entity transaction and does not require the limiting of fees paid in advance.

Following the course commencement, TMT may require payments of additional fees in scheduled payments in advance from the learner but only such that at any given time, the amount required to be paid in advance is consistent with the portion of training being delivered.

Payment of GST

GST is exempt under section 38-85 GSTR 2003/1 Goods and Services Tax, tax ruling. The ruling explains the supply of a course for 'professional or trade course' is a GST-free education course.

ATO reference: <http://law.ato.gov.au/atolaw/view.htm?docid=GST/GSTR20031/NAT/ATO/00001>

Where a learner is enrolled in a course which is offering units of competency or a whole qualification, the course fees attached to this enrolment will be exempt from the payment of GST. GST does apply on the payment of some miscellaneous charges where these charges are in addition to and outside the normal services offered in a course. Please refer to TMT schedule of fees and charges for details of what GST is and is not applied to.

Miscellaneous Charges

TMT will levy some miscellaneous charges for services. These *may* include:

- Re-issuing a certificate after it has been initially issued to a learner.
- Replacing issued learning materials which the learner has lost or damaged
- Re-assessment services
- Photocopy fee



These miscellaneous charges are to be clearly specified in TMT Schedule of Fees and Charges. It is to be made clear if these services will include GST. All miscellaneous charges are to be based on a cost recovery basis and are not intended to be a source of profit.

Learner complaints about fees or refunds

Learners who are unhappy with TMT arrangements for the collection and refunding of tuition fees are entitled to lodge a complaint. This should occur in accordance with TMT complaints policy and procedure.



2.2 - Version Control

TMT manages a wide range of documentation throughout our operations. To ensure that our representatives are using the correct version of documentation, this version control policy is provided.

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). TMT is to apply version control to all documentation and tightly control the release and availability of documentation that is approved for use.

The authority to approve amendments and revisions of TMT documentation rests with the Directors.

Version Control Procedure

Version numbering

The following procedure is to be applied when allocating and tracking the version of TMT documents:

- All draft documents will initially be numbered Version 0.1
- After each revision the number to the right of the dot point increases by 0.1 (Version 0.2, 0.3 etc)
- When the document is authorised, the number converts to Version 1.0 and the document is published
- Once published the number to the right will increase with each minor amendment approved (Version 1.1, 1.2 etc)
- A full review of a document will result in the number to the left of the point increasing by 1 and the number to the right of the dot point returning to zero i.e. Version 2.0;
- There may be circumstances when a document may require immediate and significant change. For example, to comply with new legislation or other external factors. In these cases, a change from, Version 1.3 to Version 2.0 will need to be made in order to show that the new version is a major revision from the previous version.

Document Footer – (internal documents only)

In all internal documents, the version control number and date of amendment are to be indicated in the left-hand margin of the footer section. The version number and date approved are to be updated after each amendment. The date the policy came into effect must remain the date the original version was approved, until the next full review.

Document location and protection

All TMT documentation is to be tightly controlled in one central file location. This file location should be accessible to all TMT representatives who are authorised to access and use these documents.



Generally, where documents are used for print purposes, these should be available in PDF format only. Where documents are required to be populated with data electronically, these should be available in an amendable document form but must be protected as 'read only'.

Document distribution

Where documentation must be distributed away from a central location, this is to be conducted systematically and formally with the recipient required to acknowledge the receipt of a new document version and that old versions have been discarded.



2.3 – Issuing Certificates and Outcomes

It is a requirement of the Standards for Registered Training Organisations for TMT to meet the following:

- 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. This means that the learner has been assessed in accordance with the standards and if being issued a qualification has achieved the required units of competency as specified in the training package.
- Clause 3.2. All AQF certification documentation issued by an RTO meets the requirements of Schedule 5. This means that any certificate issued by TMT is produced in the required format as specified in Schedule 5 and includes integrity mechanisms to prevent its fraudulent production.
- 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. This means that TMT must maintain an accurate register of all AQF outcomes it has issued and that current and past learners can access their records including obtaining a record of results or a re-issued certificate if this is requested by a learner.

In order to provide clarity throughout this policy and procedure, there are three types of AQF certificates that TMT can issue.

These are described below:

- **Statement of Attainment.** A statement of attainment recognises that one or more accredited units has been achieved. A statement of attainment is generally issued when the learner has achieved one or more units of competency as a result of completing a course which included units of competency only or where the learner achieved one or more units of competency as part of an enrolment in a qualification based course but the learner did not achieve all of the units of competency to receive the full qualification.
- **Qualification.** An AQF qualification is the result of a learner achieving the units of competency for a qualification outcome as specified in an endorsed training package or an accredited course. A qualification is a formal certification that a learner has achieved learning outcomes as described in the AQF. Technically within the AQF a qualification is comprised of a testamur and a record of results. A testamur is the actual official certification document that confirms that a qualification has been awarded to an individual. In Australia a testamur may also be referred to as an ‘award’, ‘parchment’, ‘laureate’ or ‘certificate’. Within this policy, it is referred to as a qualification or an AQF qualification.



- **Record of Results.** A record of results is a record of all achieved units of competency leading to an AQF qualification. In Australia this may also be referred to as a ‘transcript of results’, ‘academic transcript’, ‘record of achievement’ or ‘statement of results.’ A record of results can be issued at any time during a learner’s enrolment and is often used to provide a learner with a formal notification of their current progress in a course in which they are enrolled. A record of results is also issued with a testamur or AQF qualification to specify the units of competency that were issued to the learner as part of the achievement of the qualification.

When we refer to AQF certificates, we are referring to all of the above documents generally. These requirements are outlined in detail in the Australian Qualifications Framework (AQF), Second Edition, 2013 and also within the Standards for Registered Training Organisations, Schedule 5.

In terms of issuing AQF certificates, TMT is required to issue qualifications or statements of attainment to learners who have achieved the required outcomes **within 30 days** of the final assessment being completed. In addition to achieving the required outcomes, learners must have paid all fees owed to TMT to be eligible to receive their certificate. The learner must also hold and have provided to TMT a valid Unique Student Identifier unless an exemption applies under the Student Identifiers Act 2014.

At TMT we recognise our responsibility to comply with this requirement in accordance with the Standards for Registered Training Organisations. Specifically, TMT will issue a qualification or statement of attainment (as appropriate) to a person it has assessed as competent in accordance with the requirements of the Training Package or accredited course.

Staff with responsibility for preparing certificates for issue must be familiar with the policy outlined on the ASQA website at the following address: [ASQA - Issuing qualifications and statements of attainment](#).

Specific reference should be made to the [Standards for Registered Training Organisations, Schedule 5](#).

Record Retention and Reporting

TMT is required to maintain a register of AQF qualifications and statements of attainment it has issued. This is maintained within RTO Data and can be produced as a report in the Learner Management Reporting section. TMT is also required to retain records of AQF certification documentation issued for a period of **30 years** and must provide reports of qualifications and statements of attainment it has issued to ASQA on request. Further details on reporting obligations can be found within the reporting obligations policy.

Format for a Qualification

All qualifications issued by TMT will include the following elements:

- Legal name, RTO Code and ABN
- Logo of TMT
- Name of person receiving the qualification



- Code and title of the awarded AQF (e.g. CHC30113 Certificate III in Early Childhood Education and Care)
- Date issued
- Name, title and authorising signatory (of the Directors)
- Contact details for enquiries relating to issued certificates
- Occupational or functional stream, in brackets (e.g. Training and Education)
- The words, ‘The qualification is recognised within the Australian Qualifications Framework’ or the AQF logo
- The Nationally Recognised Training logo.
- TMT embossed seal
- Where applicable, include the words, ‘achieved through Australian Apprenticeship arrangements’
- Where applicable, include the State / Territory Training Authority logo
- Where applicable, include the industry descriptor (e.g. Engineering)
- Where applicable, include the occupational or functional stream, in brackets, (e.g. Fabrication)
- Where applicable, include the words, ‘these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
- All qualification certificates will be issued accompanied by a Record of Results (or otherwise known as a Transcript). This document identifies the units of competency issued within the qualification.

Format for a Statement of Attainment

A Statements of Attainment issued by TMT will include the following elements:

- The words “Statement of Attainment”
- Name and code of TMT
- Logo of TMT
- Name of the person who achieved the competencies
- Date issued
- A list of including the national code for each unit of competency or modules where no units of competency exist) showing their full title and the national code for each unit of competency
- Name, title and authorising signatory (of the Directors)



- Contact details for enquiries relating to the Statement of Attainment
- The Nationally Recognised Training logo
- TMT embossed seal
- The words ‘A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units’
- Where applicable, the words ‘These competencies form part of (code and title of qualification / course)’
- Where applicable, include the State / Territory Training Authority logo
- Where applicable, include the words, ‘these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
- Where applicable, include the words, ‘These competencies were attained in completion of (code and title of qualification / course)’

Skills Sets

When a skill set has been achieved by a learner a Statements of Attainments is issued to recognise achievement of a skill set. The statement of attainment is to contain the name of the skill set and a statement using the wording given in the Training Package to indicate whether the skill set meets a licensing or regulatory requirement or an identified industry need.

Unique Student Identifier

In July 2014 the *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. All learners studying nationally recognised training in Australia from 1st January 2015, will be required to have a Unique Student Identifier (USI). A USI is a reference number made up of numbers and letters. The USI will allow learners online access to their training records and results (transcript) through their online USI account. In respect of certificates relating to nationally recognised training being issued by TMT, the following rules apply:

- TMT must **not** include the Learner’s USI on either the qualification or statement of attainment. This requirement is specified within the *Student Identifiers Act 2014*.
- All Learners who are **not** in receipt of a verified USI must not be issued a certificate relating to nationally recognised training, unless an exemption applies under the Student Identifiers Act 2014.
- Where an exemption applies to the above requirement, TMT must inform the learner 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.



Issuing AQF Certificates

When the learner has completed all required units of competency, VET Quality and Administration Manager will update the learner's enrolment record within RTO Data to record the completion of the learner's training and enrolment. This then presents the opportunity to create the appropriate Qualification or Statement of Attainment and present this for authorisation by the Directors. Certificates are published direct from RTO Data and include a unique certificate number and the learner's RTO Data number (not the learner's USI). In addition to these items that uniquely identify the certificate it is also personally signed by the Directors and is embossed with the TMT embossed seal. The embossed seal places a physical attribute to the certificate and together with the signature of the Directors make the certificate uniquely identifiable as an authentic document issued by the TMT RTO.

Once the certificate is authorised, the VET Quality and Administration Manager will then make a note in the learner's enrolment register (Student notes) that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the learner (registered post) or alternatively handed to the learner directly if this opportunity is available.

Issuing AQF Certificates Procedure

The following section identifies the specific steps to be followed by VET Quality and Administration Manager to publish, gain authorisation and issue AQF certificates:

1. Receive completed learner assessment records and check for their completeness accuracy. **Note.** In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product, all completed assessments must be returned to the head office for processing **within 5 working days** from the date the assessment was completed. Assessors must comply with this requirement in order to allow sufficient time for the result to be recorded into RTO Data and the certificate to be produced and dispatched to the learner.
2. Enter assessment outcomes into the learner's training plan within RTO Data ensuring that the correct Outcome Identifier National is selected and the date assessed corresponds with the date the learner was assessed by the assessor. **Note.** The date field linked with the Outcome Identifier National within the learner training plan (within RTO Data) will automatically default to the date the outcome identifier is selected. This means that VET Quality and Administration Manager must ensure they select the correct date before exiting the learner's training plan.
3. In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product, all assessment results must be entered into RTO Data **within 10 working days** from the date the assessment was completed.
4. Recognise when all units of competency have been completed by the learner (or the learner's enrolment has otherwise ended) and commence the process to produce the certificate. **Note.** Before a certificate can be issued, VET Quality and Administration Manager are to confirm that the learner has



paid all outstanding fees owed to TMT and that we have a verified Unique Student Identifier for the learner recorded within RTO Data. If either of these items are identified as not being outstanding, VET Quality and Administration Manager are to contact the learner via phone immediately (and send an email to confirm the discussion or message) and seek their assistance to resolve the issue as a matter of urgency. Detailed notes are to be recorded within the Student notes section of RTO Data of attempts to contact the learner and to resolve these issues. The delay caused by these outstanding items does not impact on our obligation under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product. The day count (for the 30 day requirement) is suspended until these items are resolved. It should be noted however that active collection of the learners fees in accordance with the agreed fee schedule and early verification of the learner's USI (at their enrolment) must occur in order to prevent these issues hindering the timely completion of the certification process.

5. Once all fee payment is confirmed and the learner's USI is verified, enter a date into the "Qualification Issued Date" field or the "Statement of Attainment Issued Date" field, whichever is applicable. If a qualification is being issued the "Qualification Issued" Flag should also be changed to "Y" for yes.
6. Select the "Certificate" button and then select the type of certificate that is desired. Then choose to publish the certificate using the internal RTO Date certificate format. At this point the certificate will appear which should be checked to ensure all details are correct. **Note.** Refer to the following video on You Tube for the procedure to produce a certificate in RTO Data using the mail merge function: [Click Here](#).
7. Load the parchment paper into the printer (or select the correct paper draw if pre-loaded) and select print. Check the quality of the certificate printing. Also produce a letter of completion from RTO Data relevant to the learner's enrolment.
8. Together with the letter of completion, hand the prepared certificate to the Directors ensuring that at no time certificates are left unattended or have any opportunity to be overlooked by the Directors. It is critical that record integrity of the certificate is maintained. **Note.** In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product, all certificate requiring authorisation must be handed to the Directors **within 15 working days** from the date the assessment was completed.
9. The Directors may want to review the learner's records to confirm the validity of the certificate being issued. Once the Directors is satisfied the certificate is valid, the Directors is to sign the certificate as the authorised person. A good quality blue pen is preferred as this presents better on the certificate. The Directors is also to sign the letter of completion.
10. The Directors is to then retrieve the TMT embossing seal and emboss the certificate. **Note.** The TMT embossing seal is to remain in a secure place such as a locked desk draw or locked office cabinet. This should only be accessible by the Directors and other authorised representatives. The embossed



seal along with the physical signing of the certificate are key attributes which seek to prevent the fraudulent production of the certificates issued by TMT. The security of the embossing seal and the restricting the authorisation to sign certificates are important components to maintain the integrity of the TMT certification and compliance with the Standards for Registered Training Organisations.

11. With the certificate now properly authorised, together with the letter of completion; it is passed back to administration. **Note.** In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product, all authorised certificates must be handed back to administration **within 20 working days** from the date the assessment was completed.
12. With the certificate now authorised, it along with the letter of completion is then to be issued to the learner. The VET Quality and Administration Manager are to make a note in the student notes that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the learner (Registered Post) or alternatively handed to the learner directly if this opportunity is available. **Note.** At no time is the certificate to be handed to any third party unless the learner has provided written and signed instructions for this to occur and these instructions are confirmed with the learner via a telephone conversation. In such instances, these details are to be recorded within the Student notes section of RTO Data and any written instructions received from the learner are to be retained on their learner file. At no time are certificates to be issued electronically. There are no exceptions to this requirement.
13. In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the learner being assessed as meeting the requirements of the training product, all assessment results must be dispatched (or handed) to the learner **within 25 working days** from the date the assessment was completed.

Re-issue of Certificates

TMT acknowledges the requirement to provide past and present learners with re-issued qualifications and statements of attainment when required. The following principles are to be applied to reissuing Qualifications and Statements of Attainments:

- Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued. The individual must make a written request to TMT for a re-issue and must verify their identity by providing a license, birth certificate, passport or other formal identity document in support of the request.
- All reissues are to be authorised only by the Directors. No other staff member of TMT is authorised to re-issue Qualifications and/or Statements of Attainments under any circumstances.
- TMT charges a fee for reissue of Qualifications or Statements of Attainments. For a full list of current fees and charges please refer to TMT schedule of fees and charges.



- All re-issues issued by TMT will be replicas of the original document, including the ‘learner name’, ‘learner number’ and other distinguishing features such as paper weight and the logo or corporate identifier in the top centre of the certificate. The only detail which is to be changed is the ‘issued on’ date, which will be the date of re-issue and specified as ‘re-issued’.
- The re-issue will be published using our learner management system RTO Data. TMT will cross check the information for the relevant certificate with the photocopy or scan of the original which has been retained in the learner file.
- Re-issues are required to comply with the AQF requirements; identify the RTO by its national provider number from Training.gov.au; include the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. These requirements are consistent with those for the original issue of a Qualification or Statement of Attainment.
- Once authorised, the re-issue is to be issued to the learner. A photocopy or scanned copy is to be retained by TMT on the learner’s file and will be clearly labelled as being a re-issue. The written request from the learner for re-issue will also be retained alongside the photocopy of the reissue.
- Certificates being issued via the post are to be sent only by registered mail.



2.4 - Advertising and Marketing

TMT will ensure that marketing and advertising of AQF qualifications to prospective learners is ethical, accurate and consistent with its scope of registration.

Critical with this requirement, is compliance with the conditions of use for the Nationally Recognised Training (NRT). These conditions are specified within the Standards for Registered Training Organisations at Schedule 4.

All staff with responsibility to prepare advertising and marketing materials are to be fully conversant with the requirements detailed in this document.

Authorisation

All advertisements and marketing material must be approved by the Directors before it is released. No staff member of TMT is authorised to approve the use of any advertisements or marketing material.

Advertisements and promotional information

The following guidelines are to be followed when preparing advertisements and promotional information. TMT must:

- not provide any guarantees to learners about the successful completion of training or any particular employment outcome that is outside of the control of TMT;
- only advertise those qualifications or units of competency that are listed as current on the TMT scope of registration;
- identify qualifications in advertising by their full code and title as they appear in the training package and not to represent these qualifications or units of competency in any other way;
- maintain a clear distinction between nationally endorsed training being offered and other training being offered by TMT;
- not integrate or confuse in any way training that is nationally endorsed with training that is not accredited;
- use the NRT logo only in accordance with the Standards for Registered Training Organisations, Schedule 4;
- identify TMT in any marketing material by its full RTO code and legal name;
- not refer to another person or organisation in any marketing material without obtaining prior consent and approval;



- clearly distinguish where training and assessment is being delivered on behalf of TMT by any third party organisation;
- include details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment;
- not provide approval for any third-party organisation to advertise on behalf of TMT unless it is appropriately specified with limitations within a written and signed agreement with the third party organisation; and
- monitor closely the advertising and marketing been provided by any third party organisation on behalf of TMT

Marketing non-accredited training

When TMT is promoting the non-accredited training it must clearly distinguish between nationally recognised training and that which is not nationally recognised. The NRT logo must not be used in association with non-accredited training. Practices where nationally endorsed and non-accredited training are combined within a brochure or a website are to be avoided. Ideally it is best to completely separate these course offerings into different areas of our website in order to make a clear distinction.

Stationery, business cards, building signage, training resources

The NRT logo is not to be used on TMT products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, coffee cups, USB sticks and packaging around products. The NRT logo must also not be incorporated into or on the cover of learning and assessment resources supplied by TMT. This includes PowerPoint presentations.

NRT Logo Colours

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

Delivery of standalone units of competency

Where TMT has qualifications on its scope of registration, the core units of competency and the listed (named) elective units of competency may be offered and delivered as standalone units of competency. This means that whilst these units of competency are not individually listed on the TMT scope of registration, they are approved by ASQA for delivery as standalone units and TMT does not need to seek approval for the delivery of these units of competency. TMT is entitled to publish advertising that promotes these standalone units of competency as individual courses.

Informing learners of their rights and obligations



It is a mandated requirement within the Standards for Registered Training Organisations for TMT to inform learners prior to their enrolment about their rights and obligations, about the services to be provided and about the payment of fees, other charges and refund arrangements. Whilst this requirement relates to the marketing and advertising of training, it is addressed in policy arrangements detail within the Enrolment Policy provided within this policy manual.



2.5 – National Recognition (credit transfer)

TMT acknowledges the requirement as a Registered Training Organisation to recognise the awards issued by other RTOs. This is limited to outcomes that are drawn from the national skills framework being units of competency awarded and accurately identified in statements of attainment and qualifications.

What is national recognition?

National recognition (commonly referred to as Credit Transfer) is the recognition of learning achieved through formal education and training. Under the Standards for Registered Training Organisations, qualifications and statements of attainment issued by any RTO are to be accepted and recognised by all other RTOs. National recognition allows the unit of competency previously achieved by a learner to be recognised when they are enrolling in a related course where those units can assist them in meeting the requirements for a qualification. It is important to note that **national recognition is not recognition of prior learning (RPL)**. RPL is assessment and is addressed within the Recognition policy.

When unit codes and titles are different

If national recognition is being sought for a unit of competency which has a different title or code, then it is necessary to establish the equivalence status between the unit held and the unit being sought. In many cases this information can be found in the mapping guide published on the National Training Register www.training.gov.au. Our VET Quality and Administration Manager will obtain this information and validate claims of equivalence. VET Quality and Administration Manager should note that the mapping notes within the National Training Register are sometimes very clear and in general will use language such as “Not equivalent” or “Is superseded by and is equivalent to”. In some cases, there will appear to be no direction, and this may be because the unit is new and has no previous version of the unit. In some cases, it will say words to the effect: “Is superseded by:” without any clarification about the equivalence status. In these cases, the new unit should be considered as not equivalent. If in doubt, admin staff are to seek the advice of the Directors or the related industry skills council.

If there is no such mapping available of the unit is deemed not equivalent, then we are not to recognise the unit through national recognition. In these circumstances, the applicant should be referred for RPL in accordance with our Recognition policies and procedures. Under no circumstances is a comparison between units to be used as the basis for issuing national recognition. If the skills council has not determined it to be equivalent, then it is not. Subjective comparisons by the RTO are not valid.

Evidence requirements

An applicant will be required to present his or her statement of attainment or qualification for examination by TMT. These documents will provide the detail of what units of competency the applicant has been previously issued. Applicants must provide satisfactory evidence that the statement of attainment or qualification is theirs and that it has been issued by an Australian RTO. Statements of attainment or qualifications should be in the correct format as outlined in the Australian Qualifications Framework,



Second Edition, 2013. The applicant is required to submitted copies only which are certified as a true copy of the original by a Justice of the Peace (or equivalent).

National recognition guidelines

The following guidelines are to be followed when an application for national recognition is received:

- Any learner is entitled to apply for national recognition in a course or qualification in which they are currently enrolled.
- Learners may not apply for national recognition for units of competency or qualification which are not included in our scope of registration.
- Whilst learners may apply for national recognition at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the learner down a more efficient path to competence.
- The learner does not incur any fees for national recognition and we do not receive any funding when national recognition is granted.
- National recognition may only be awarded for whole units of competency. Where a mapping guide identifies a partial credit, this will not be considered for national recognition and the applicant will be advised to seek recognition.
- National recognition will only be issued when the learner's enrolment includes at least one other unit of competency for which the learner is participating in training or is seeking recognition. Learner may not enrol only for national recognition.
- The recognition of a unit of competency under a national recognition arrangement is not contingent on the applicant demonstrating their currency. If the unit has been previously awarded and equivalence can be demonstrated, then the unit can be recognised. The currency of the applicant is not a factor to be considered.

National Recognition Procedure

The following procedure is to be applied by TMT upon receipt of an application for national recognition:

Step 1 We will provide sufficient information to candidates to inform them of opportunities for alternative pathways via national recognition and the national recognition policy. Ideally, this information should be provided to candidates prior to enrolment.

Step 2 To apply for national recognition, the applicant must complete and submit the following documentation to TMT:

- National Recognition Application Form;



- Certified copy of the qualification or statement of attainment; and
- Enrolment application for the training program applicable to the units of competency for which national recognition is requested.

Step 3 On receipt of the application, we will check the qualification or statement of attainment for authenticity and grant national recognition for the equivalent units of competency that have been completed at any other Registered Training Organisation.

Step 4 Where the units of competency do not align with the units of competency requested, further information is to be sought in the form of the Training Package mapping guide if available.

Step 5 Verified copies of qualifications and statements of attainment used as the basis for granting national recognition must be kept on the learner file.

Step 6 The completed national recognition application form must be signed by the learner and TMT Directors (or delegate) and retained on the learner's file at TMT.

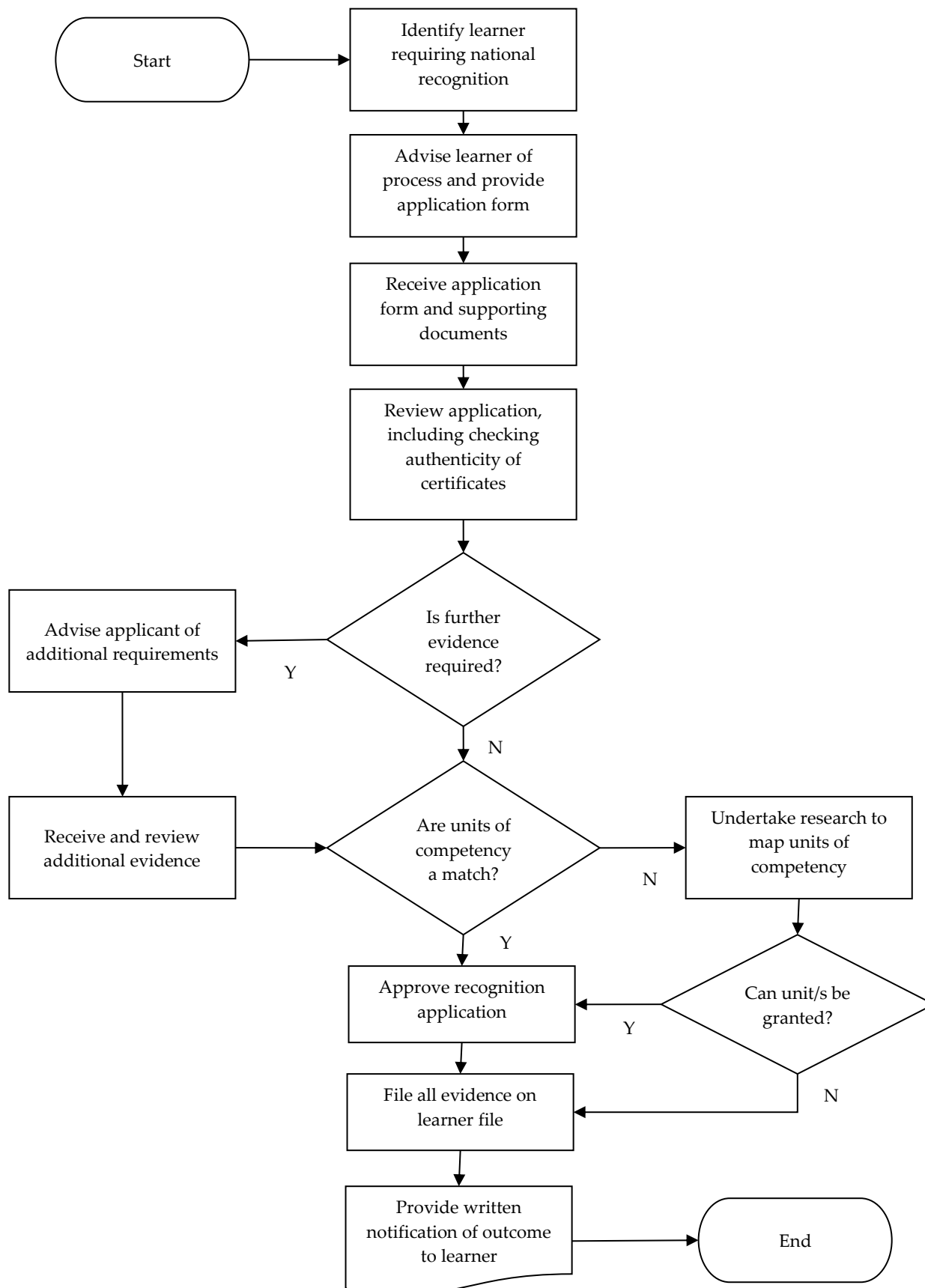
Step 7 Learners will be notified in writing of the outcome of their application. This may include issuing statements of attainment or qualifications awarded through national recognition in accordance with our Certification policies and procedure.

Adhoc RPLs

Where applicable forms are provided by the authorised body, TMT will ensure RPL processes are followed accordingly via national recognition and the national recognition policy. Ideally, this information should be provided to candidates prior to enrolment.



National Recognition Process





2.6 – Records Retention and Management

At TMT we recognise our obligation to retain certain records from our delivery of training and assessment services to clients. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements. We are committed to retain records to ensure their accuracy and integrity.

For the purposes of this policy, records include:

- **Learner results.** Training results include a record of the learner’s details, date of enrolment and results of training and assessment. This should include what units of competency (including codes) and the result the learner achieved. This may include if the learner withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued national recognition for current competency held. Learner results also include all relevant data elements relating to the Australian Vocational Education and TMT Information Statistical Standard (AVETMISS).
- **Qualifications / Statements of Attainment.** Qualifications and Statements of Attainment are documents issued to recognise the award of nationally endorsed and accredited outcomes. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualification Framework.
- **Completed assessment resources.** Completed assessment resources include documents or other media where assessments evidence has been recorded by learners and assessment decisions are recorded by assessors. It may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from assessors to learners. Assessment resources include all those items which substantiate the assessment decision made by an assessor. ASQA refer to these records as “*Completed learner assessment items*”¹⁹.
- **Assessment tools.** Assessment tools refer to the various templates, checklists and assessment records that TMT uses over the term of its operations. This specifically refers to the retention of the versions (master copy) of tools used as opposed to retention of completed resources. The aim of retaining a record of versions used over time is to allow an appropriate record for future review by regulatory bodies.
- **Administrative records.** Administrative records are those documents which are used to facilitate the learner’s administration during their enrolment. Examples of administrative records are enrolment forms, privacy forms, requests for refund, etc.
- **Learner file.** The learner file is simply the file location where all learner results, completed assessment resources and administrative records are retained in hard copy. This will usually be a standard office file and will be archived within an archive envelope at the end of the learner’s enrolment.

¹⁹ ASQA General direction: Retention requirements for completed learner assessment items, 22 June 2012



- **RTO management records.** RTO management records are those files which assist management and staff to coordinate RTO services. These may include policies and procedures, data registers, enrolment registers, attendance records, financial records and records of complaints and appeals.

Storage of records

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorized personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of learners and TMT staff.
- Records must be kept to avoid damage by fire, flood, termites or any other pests.
- Learner results and Qualification / Statements of Attainment must be backed-up in an electronic format and must be available to be retrieved at any time.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

Period of retention

TMT must comply with a range of record retention requirements including:

- ATO requirements relating to financial records
- State Funding Authority requirements relating to training and assessment records, and
- ASQA General Direction: Retention requirements for completed learner assessment items [Click Here](#).

In determining our period of retention, TMT has selected retention periods beyond some requirements in order to simplify our approach and to ensure compliance with all requirements under the one approach. The following time periods are to apply to the retention of learner electronic records at TMT:

- **Learner results / Qualifications / Statements of Attainment.** Learner results / Qualifications and Statements of Attainment (100%) are to be retained for a minimum of thirty (30) years.
- **Completed assessment resources.** Completed assessment resources (100%) are to be retained for a minimum of three (3) years from the date on which the judgement of competence for the learner was made.
- **Completed assessment resources – That relate to High Risk Work Outcomes.** Completed assessment resources (100%) are to be retained for a minimum of seven (7) years.
- **Assessment tools.** Assessment tools (100%) are to be retained for a minimum of five (5) years.



- **RTO management records.** RTO management records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records.
- **Administrative records.** Administrative records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records and completed records.

Note. Records may be retained in hard copy or electronically.

Destruction of Records

A TMT Director is the only person who can authorise (in writing) the destruction of records. Records are only to be authorised for destruction after the retention period has lapsed or the digital copies have been saved and backed up appropriately.

Documents identified for destruction are to be shredded before being recycled. The archive register must be updated in the notes section to identify that a particular record has been destroyed.

Record Handling Responsibilities

To ensure records are maintained in a safe and suitable condition, the following responsibilities apply:

- The **Directors** are to ensure that TMT implements suitable arrangement to comply with the requirements of this policy and the requirements of the Standards for Registered Training Organisations. This is to include the acquisition and installation of records and data storage facilities and the application of records retention procedures.
- **VET Quality and Administration Manager** ensures that procedures for the achieving and storage of records are applied including the backing up of electronic data. VET Quality and Administration Manager is to monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required. Administrative support staff are also to liaise with Trainers and Assessors to ensure that approaches to records handling are consistent throughout TMT operation.
- **Trainers / Assessors** are to ensure that learner records are appropriately gathered during and at the completion of a training program and are suitably bundled and packaged in accordance with records archiving procedures, including:
 - Liaising with administrative support staff to ensure that their practices are aiding the efficient retention of learner records.
 - Ensure learner records are fully completed with sufficient information recorded by Assessors to allow an independent review of the assessment decision by a third party.
 - Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision.



- Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
- Use authorised TMT records only to record learner progress and the outcomes of assessment activities

Archiving and Completion Procedure

The following procedure is to be followed by all staff when archiving learner records and completing an enrolment:

Trainers

- Retain all records which record information about the evidence collected during assessment. Note that learners may retain a copy of any work they have produced and submitted as evidence toward the assessment. Work submitted in an electronic version must also be retained and is to be gathered on a suitable electronic storage media such as a CD, disk, or flash-drive for archiving.
- **Important to Note:** Trainers are to ensure that their observations and comments recorded onto completed assessment resources are detailed and complete. It is an ASQA requirement that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's performance against the standard required. If assessment records are received by administration for entry and archiving and they are deficient of detail, administration staff are instructed to return the assessment documentation to Trainers for further detail and completion. Trainers who receive returned assessment documentation and who have issues with this arrangement are to refer their issue directly to the Directors.
- At the completion of each training module, all learner records are to be sorted and placed into a TMT archiving envelope. The archiving envelope will have printed on the front TMT Learner Archive Record. The Trainer / Assessor is to complete this form with as much detail as possible.
- The archiving envelop is **not** to be sealed and should either be handed personally to TMT administrative support staff or mailed via registered express post to TMT office.

Administration

On receipt of the archiving envelope, the VET Quality and Administration Manager is to:

- Conduct an audit of the learner record to ensure that all evidence and assessment records (including electronic files) correspond with the units of competency being issued to the learner.
- As records are received into TMT office, they are to be scanned and appended to the relevant electronic file. This includes all submitted learner work and evidence of assessment.
- **Important to Note:** VET Quality and Administration Manager is to ensure that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's



performance against the standard required. If an assessment record is received by administration for entry and archiving and is deficient of detail, administration staff are to return the assessment documentation to Trainers for further detail and completion. Trainers who contact administration and who have issues with this arrangement are to be referred directly to the Directors.

- Enter assessment outcomes into the learner’s training plan within RTO Data ensuring that the correct Outcome Identifier - National is selected and the date assessed corresponds with the date the learner was assessed by the assessor. **Note.** The date field linked with the Outcome Identifier - National within the learner training plan (within RTO Data) will automatically default to the date the outcome identifier is selected. This means that VET Quality and Administration Manager must ensure they select the correct date before exiting the learner’s training plan. It is an important requirement to ensure that the date entered in the RTO Data system corresponds with the date recorded by the assessor. This is the date that the assessment decision was made and final sign-off occurred, not the date the statement or ticket is issued.
- When the learner has completed all required units of competency, VET Quality and Administration Manager will update the learner’s enrolment record within RTO Data to record the completion of the learner’s training and enrolment. This then presents the opportunity to create the appropriate Qualification or Statement of Attainment and present this for authorisation by the Directors. Certificates are published direct from RTO Data and include a unique certificate number and the learner’s RTO Data number (not the learner’s USI). In addition to these items that uniquely identify the certificate it is also personally signed by the Directors and is embossed with the TMT embossed seal. The embossed seal places a physical attribute to the certificate and together with the signature of the Directors make the certificate uniquely identifiable as an authentic document issued by the TMT RTO.
- Once the certificate is authorised, the VET Quality and Administration Manager will then make a note in the learner’s enrolment register (Student notes) that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the learner (registered post) or alternatively handed to the learner directly if this opportunity is available. **Note.** Please refer to the Issuing Certificates and Outcomes Policy for a detailed outlined of the procedure to produce, authorise and issue AQF certificates.
- Create a new entry in the RTO Data Archive Register and insert a hyperlink to the learner’s electronic file.

Learner Records Integrity

During the handling of records relating to a learner’s enrolment and training and assessment outcomes, there is potential within a busy office that records may be misplaced, not entered correctly or mishandled. To minimise the potential for inaccurate record keeping, this policy includes specific guidelines for both administrative and training staff on the handling of records during the critical end stages of training. These include procedures and processed guidelines on the validation and entering of learner results into the TMT learner management system. These procedures must be strictly applied by all staff handling learner records.



Combined with this, TMT will also undertake periodic integrity audits of learner records to ensure the information entered into the learner information management system (RTO Data) are accurate. To achieve this, the VET Quality and Administration Manager will undertake periodic desk audits of learner records. The VET Quality and Administration Manager will aim to undertake a desk audit of at least 10% of learner records each quarter. The desk audit will be conducted by making a direct comparison with the learner's record (enrolment record and assessment result) with the data entered into the learner's enrolment profile within RTO Data. Specifically, the desk audit will seek to identify inaccuracies in learner's enrolment information and the details relating to the achievement of units of competency. The desk audit will be quality controlled and recorded using Learner Records Integrity Checklist. Completed checklist will be electronically scanned and appended to the relevant learner file. Identify inaccuracies will be corrected and form the basis of opportunities for improvement to improve data integrity.

Email records and correspondence

In many cases, information relating to TMT operation will be transmitted using electronic communication. It is important that this information is also retained and archived.

Any email record or correspondence which relates to training and assessment services provided by TMT is to be copied or forwarded to a designated archive email address. This email database is to be backed up at least once weekly and a copy kept off-site in a secure location.

Unique Student Identifier

The *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. Any USI provided to TMT by a learner must be **verified** with the USI Registrar. This may be achieved by inserting the USI into the Learner details within RTO Data and changing the USI status to "Verify". RTO Data will verify any records with the USI Registrar with this status every 30 seconds. Once verified the status will have changed to "Valid". If the status does not change to valid then one of the following learner details is incorrect:

- First name
- Last name
- Date of Birth
- The Unique Student Identifier

These are the only data elements used to verify a USI so if it does not verify then one of these elements is incorrect. A common error is the abbreviation of the learner's name. The learner may have registered their USI with the first name of "Benjamin" but has completed the enrolment application form with the first name of "Ben". The first name provided by the learner must align with the name they provided when they registered their USI.

- Learner Identifier details and all related documentation under the control of TMT **must be kept secure**. This includes the information stored within RTO Data. User profiles and password protections to RTO Data are to be used in order to prevent any unauthorised access to USI information. Where TMT assisted



the learner to create their USI, additional details such as the learners Driver's Licence information will have been collected and stored within the RTO Data - Document Verification System (DVS). Once the learner's USI has been successfully created, these details within the DVS are automatically removed (deleted) from the database. This is a requirement of the USI legislation and is aimed at protecting the learner's privacy.

Further information on the Unique Student Identifier can be accessed via the following website:

<http://usi.gov.au/Training-Organisations/Pages/training-organisations.aspx>

Treatment of records on ceasing operation

TMT acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to ASQA should TMT ceased to operate. It is a requirement that RTOs who ceased to operate,²⁰ must within 30 days of registration ending, forward to ASQA an electronic copy of the records for each learner who were enrolled in a course during the period of registration.

This requirement does not include hard copy learner files and relates specifically to electronic data providing evidence of activities the learner has performed²¹. For the purposes of this policy, TMT will interpret "activities" to mean records providing information on the outcomes achieved by learners. This will include records of qualifications and units of competency which have been issued by TMT during the entirety of its registration period. TMT will retain these records electronically and will provide this information electronically in Microsoft Excel format.

The following information must be included:

- Students full name
- Residential post code
- Date of birth
- Student ID number (if issued)
- Enrolment/commencement date(s)
- Code and title of qualifications
- Codes and title of units of competencies
- Results for each unit of competencies
- Date the certificate or statements of attainment were issued

²⁰ This includes voluntarily withdraws its registration, whose registration either lapses or is not renewed, or is cancelled by ASQA.

²¹ Standards for Registered Training Organisations

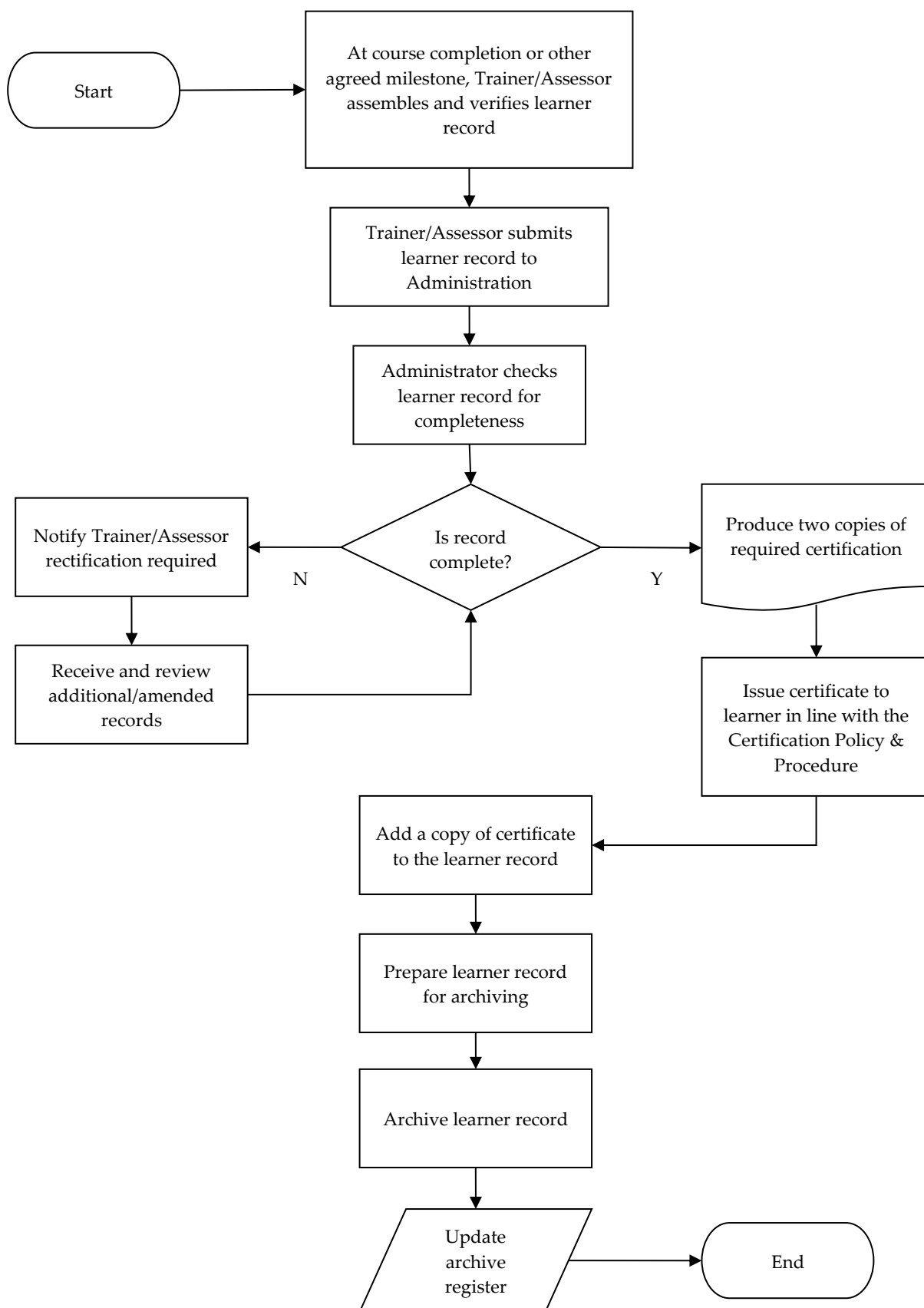


- Unique Student Identifier

These reports are to be generated by year and supplied to ASQA in a suitable file structure and format to enable it to be navigated and used. The files must be in a nationally AVETMISS compliant format produced using our RTO Data learner management system.



Records Archiving and Completion Process





2.7 – Reporting Obligations

Total VET Activity Reporting

TMT is required to maintain the capability to provide AVETMISS compliant data reports to the NCVET on an annual basis. This requirement is specified in the [Data Provision Requirements 2012](#) and the [Total VET Activity Reporting](#) guide on the ASQA website, which explains the requirement for all RTOs to report their nationally recognised training data in accordance with the [National VET Provider Collection Policy](#). TMT will meet this requirement by maintaining its activity data with RTO Data, our learner management system.

National VET Provider Collections must be submitted to the National Centre for Vocational Education Research (NCVER) before the end of February each year. The activity report will relate to the previous calendar year. So a report being made on 28th Feb 2016 will relate to the activity period of 1st Jan 2015 – 31st Dec 2015.

Activity reports including all NAT files are to be submitted to the [AVETMISS Validation Software](#). This system will report any data entry errors which must be corrected and then resubmitted. TMT must be registered with the NCVET to use the AVETMISS Validation Software. This video explains how to use the AVETMISS Validation Software: [Click Here](#)

Please note that the report must include a full set of NAT Files produced from RTO Data and must be in the current AVETMISS format which is currently AVETMISS 7.0 VET Provider Collection. The full set of NAT Files include:

- Training organisation (NAT00010) file
- Training organisation delivery location (NAT00020) file
- Program (NAT00030) file
- Subject (NAT00060) file
- Client (NAT00080) file
- Client postal details (NAT00085) file
- Disability (NAT00090) file
- Prior educational achievement (NAT00100) file
- Enrolment (NAT00120) file
- Program completed (NAT00130) file

General information about AVETMISS reporting can be accessed via the NCVET at the following link:

http://www.ncver.edu.au/content/cssfaqs.htm#about_avetmiss

Quality Indicator Reporting

TMT is required to report quality indicator data to ASQA in accordance with scheduled reporting dates. This requirement is specified in the Data Provision Requirements 2012 and explained further on the ASQA website: [ASQA - Quality Indicator Reporting](#). ASQA also issued a General Direction regarding Quality Indicator Reporting on 24th April 2012 which introduced new reporting arrangements using the ASQA Quality Indicator Annual Summary Report. The General Direction can be accessed at: [General direction - Quality Indicators](#)



The VET Quality and Administration Manager is responsible to use the [Learner Questionnaire](#) and the [Employer Questionnaire](#) to collect survey data regarding learner and employer satisfaction. TMT will utilise [Satisfaction Data](#) to collate and report learner and employer survey responses.

There are two Quality Indicators which are explained in the following table:

<p>Learner Satisfaction</p> <p>and</p> <p>Employer Satisfaction</p>	<p>After data is collated and analysed using the Satisfaction Data database, TMT is to collate the results of the survey and produce a report in using the Quality Indicator Summary Report . A summary report is to be emailed to ASQA between the period 01 Jan – 30 June each year and will relate to the learner engagement and employer satisfaction QI survey response rates and improvement actions identified for the previous calendar year – i.e. 01 Jan – 31 Dec. The report is to be emailed to the following email address: qidata@asqa.gov.au.</p> <p>The summary report must address the following information:</p> <ul style="list-style-type: none">– numbers of surveys issued against numbers received (rates of response)– trends in response statistics (for instance, which learner/employer cohorts provided high/low response rates)– commonalities or surprising/unexpected survey responses– trends with previous year/s QI data findings– information gained from analysis– preventive and/or corrective actions implemented, and– how the effectiveness of such actions is or will be monitored. <p>Further information on the reporting of Quality Indicator Data reporting is available at the ASQA website: Click Here</p>
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2.8 – Training Package Transition

At TMT we acknowledge our obligation to remain informed of changes to training packages and to establish transition arrangements for existing learners and those learners who may be enrolled during a transition period. Our obligation is underpinned by the Standards for Registered Training Organisations requiring RTOs to manage their scope of registration to transition from superseded Training Packages within 12 months of their publication on the national register in order to only deliver currently endorsed Training Packages and currently accredited courses.

Background

Like all things in the national training system, nationally endorsed training packages are amended from time to time under a continuous improvement approach to ensuring that training packages are aligned with industry requirements. In addition to these smaller changes, training packages can be entirely reviewed on a cyclic basis and this often leads to new versions being issued or new training packages being developed and released.

The impact of these changes can mean that qualifications and unit of competency codes and titles can change. Qualification issuing rules can change and units of competency that are superseded may or may not be equivalent. This will all happen at different times during a learner's enrolment and requires TMT to manage the change process so that we comply with the Standards for Registered Training Organisations and ensure that our learners are not disadvantaged by these changes.

New training packages are published and released using the National Training Register (training.gov.au). It is the date of release that marks the date for subsequent transition arrangements which are covered in this policy.

Aim

The aim of this policy is to ensure TMT is delivering the most current outcomes to learners and to ensure TMT actively manage its scope of registration.



Transition principles

TMT is to apply the following principles to the management of a training package transition:

- TMT is to monitor the status of training packages by subscribing to the Training.gov.au notification service and the notification service offered by the relevant Industry Skills Council. When changes to training packages are identified that effect the scope of registration of TMT a new continuous improvement is to be raise within RTO Data.
- Continuous improvement actions relating to training package transition are to be managed through the Management Team meeting to ensure transition is managed in a systematic way. Centralised and systematic management will enable other aspects of the TMT operation to be included in the transition planning and the progress of the transition to be monitored. Other aspects of the TMT operation that mat be effected by training package transition include marketing, business development, administration, compliance, resource development, learner welfare, interaction with ASQA, etc.
- RTO Data is to be used to record the details of superseded qualifications including the date existing qualifications were superseded and to create new courses on the scope of registration once they are approved on the National Register. RTO Data allows for the production of various reports which permits learners affected by transition to be identified and managed.
- TMT will initiate transition arrangements in response to training package changes as soon as possible following the publication on the National Register of revised qualifications or units of competency. Within the period of **one year** from the date the replacement training product was released on the National Register learners must have either completed their training and have been issued with their AQF certificate or they must have been transferred to the revised training product. The learner cannot remain in or be issued a certificate for a superseded training product beyond the 12 month time period from the release date published on the National Register.
- Where the qualification or unit of competency is equivalent, these items will be automatically updated on the TMT scope of registration. Where the items are not equivalent, TMT must apply to have new training products added to its scope of registration by submitting an application to change RTO scope of registration to ASQA via [ASQANet](#), accompanied by supporting evidence and the required fee.
- Once a new qualification or unit of competency has been added to the scope of registration of TMT, enrolments in the superseded item must cease as soon as practical and all new enrolments must be made into the revised qualification or unit of competency. Please note that, the Standards for Registered Training Organisations does allow enrolments in superseded qualifications to continue until the superseded qualification or unit is removed from the national register of the RTO (which occurs 12 months after it is superseded). TMT has taken the position to cease enrolments into superseded qualifications or units of competency as soon as possible in order to ensure learners are receiving the most current training product.



- Learners who are enrolled in qualifications which are superseded part way through a training program are to be offered and encouraged to transfer their enrolment to the new qualification once it is obtained on TMT scope of registration.
- Where an AQF qualification is no longer current and has not been superseded, all learner's training and assessment is to be completed, and the relevant AQF certification documentation issued within a period of **two years** from the date the AQF qualification was removed or deleted from the National Register.
- Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of **one year** from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register.
- A new learner must not commence training and assessment in a training product that has been removed or deleted from the National Register.
- Where a qualification is listed on our scope of registration and that qualification includes a superseded unit of competency that has been imported from a different training package, the transition requirement specified in the Standards for Registered Training Organisations at clause 1.26 do not apply.

Teach out arrangements

Learners who are enrolled in qualifications which are superseded part way through a training program are to be offered and encouraged to transfer their enrolment to the new qualification once it is obtained on TMT scope of registration. Learners who choose not to transition to a new qualification are to be 'taught out' to the conclusion of their qualifications. To support this arrangement, the following business rules are to apply:

- TMT may continue to deliver training and assessment services, and issue awards, to current learners of the superseded qualification for a period of **one year** from the date the replacement training product was released on the National Register.
- Learners who have not completed a superseded qualification within 12 months from the date the replacement training product was released on the National Register must be immediately issued with a Statement of Attainment with any eligible units of competency and transferred to the new qualification.
- Except to replace an AQF Certificate issued by the RTO previously, an RTO must not issue an AQF certificate to a learner for a qualification that was superseded more than 12 months from the date the replacement training product was released on the National Register.
- Where a specific cohort of learners is likely to be disadvantaged by the forced transition of a qualification within the 12-month timeframe the National VET Regulator may make a determination that provides TMT additional time to teach the learner out. These determinations will be published by the National VET Regulator.



Transition Management

The transition to new training packages is to be managed through the Management Team to ensure the transition is management in a systematic way that integrates changes into all other areas of TMT operation. It is critically important that high attention to detail is applied by staff who are leading this work.

The following steps are to be applied:

Monitor the status of training packages. The Directors is to monitor the status of training packages to remain aware of changes in the revised training package and how these might affect TMT scope of registration. Changes to training packages are to be reported to the Management Team using the Continuous Improvement Report. The primary information source for monitoring the status of training packages is the National Register (training.gov.au).

Determine an action plan. Once changes are confirmed, the Management Team is to determine an action plan to respond to changes. The Management Team is to provide advice about the actions to be taken and appoint a person to lead the work to analyse the amendments that have occurred in the revise training packages and develop an action plan to address all necessary changes. Attention to detail must be given to minor changes that may occur to unit codes and titles to ensure these are not missed during the transition process. The common changes will include:

- revised unit of competency and the qualification codes and titles;
- revised packaging rules for qualifications changing the requirements in relation to the allocation of core or elective units;
- revised units of competency, this may include the combining of two units of competency into one or minor changes where the unit of competency has remained equivalent;
- revised pre-requisites, co-requisites or entry requirements; and
- revised assessment guidelines which may relate to identifying new requirements relating to trainers and assesses.

Whilst not an exhaustive list, the common changes identified in the list above are certainly the most commonly seen in the transition of training packages.

Review Training and Assessment Strategies. Review the existing training and assessment strategy to determine the higher-level changes that have occurs to a qualification and the likely changes that are required. This may include additional consultation with industry to gauge their reaction to training packages changes, to identify new preferred electives and to determine if there are specific industry requirements that need to be incorporated. Attention to detail must be given to minor changes.

Keep learners informed. Take steps to inform existing learners of the changes to the applicable qualification. Before engaging with learners, ensure that the options that learners will have available to

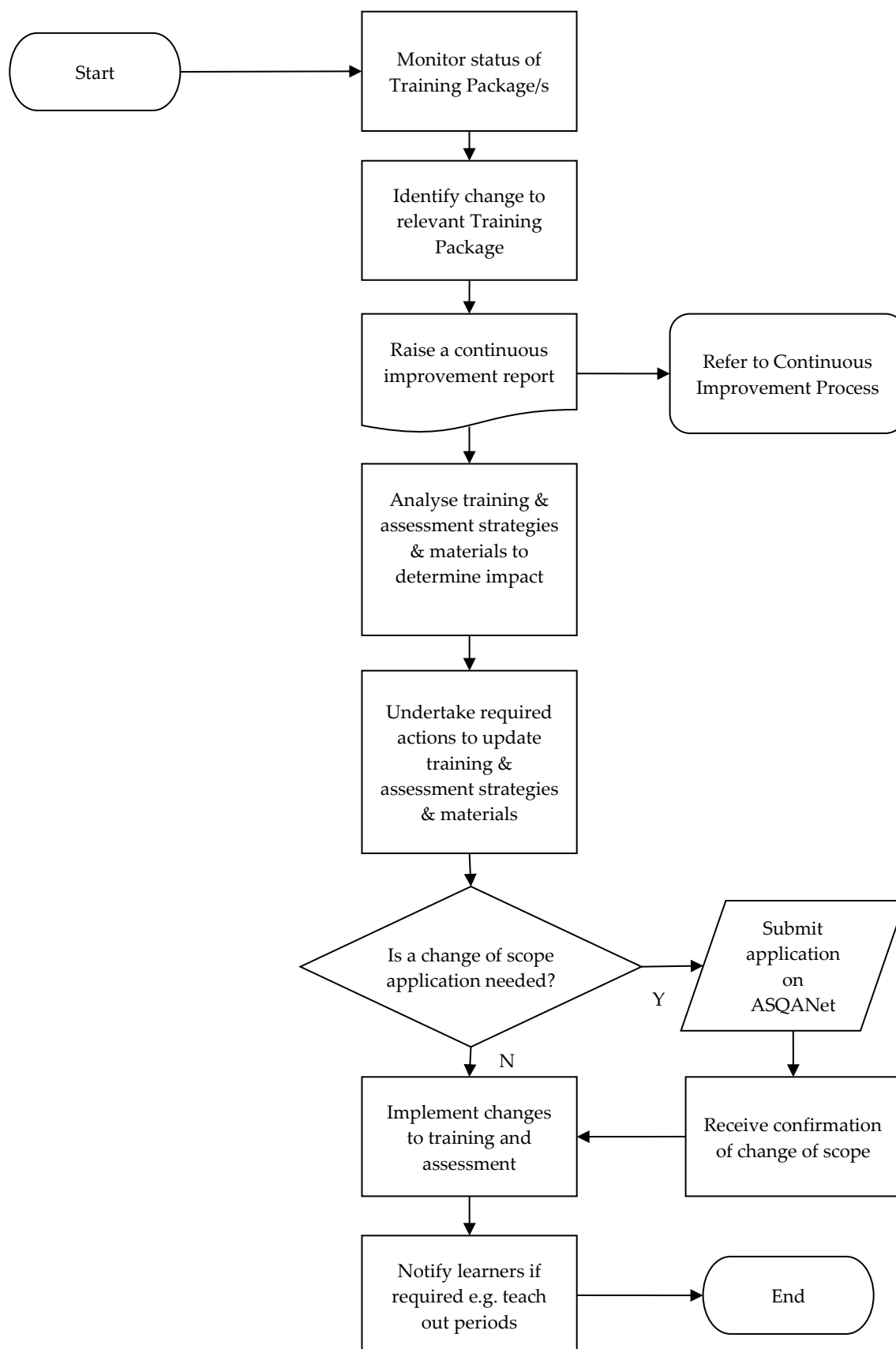


them have been fully considered. Provide information to learners and ensure that they fully understand their options and feel supported in any decision they may take. Learners are not to be disadvantaged because of the transition to a new training package.

Revise training and assessment materials. Undertake an analysis of the current training and assessment resources to identify relevant changes that are required to ensure training package requirements are being met. Once these have been identified, implement arrangements via the management meeting to have training and assessment materials revised.



Training Package Transition Process





2.9 – Partnership Arrangements

TMT acknowledges that we are accountable for the quality of training and assessment provided on our behalf. We therefore ensure that any partnership arrangements (or outsourced arrangement) are underpinned by a clearly articulated agreement that fully expresses the roles and responsibilities of each party and that the arrangements to monitor compliance with these arrangements. The level of documentation and monitoring will be appropriate to the level of complexity of the arrangements with our partners and the level of risk to the quality of training and assessment outcomes for learners.

What are partnering arrangements?

A partnering arrangement exists where an organisation (which may or may not be an RTO) enters into an agreement to deliver training and/or assessment services on behalf of TMT using our own scope of registration. A partnering arrangement can often be confused with a standard contractual arrangement where a contractor is engaged to deliver services on behalf of an RTO.

The distinguishing feature of a partnership arrangement is where the “partner” has access to their own market (learners seeking an enrolment) and operates at arm’s length from the RTO and collects fees directly from its learners. The partner, in this situation would typically pay the RTO a fee for each learner enrolment or unit of competency issued.

This policy may also be applicable under some third party arrangements where an organisation or individual is providing services on behalf of TMT. For the purposes of this policy a “Third Party” is defined using the definition contained within the Glossary of the Standards for Registered Training Organisations as “*Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.*” The national regulator has provided further explanation of ‘services’ which could be delivered by a third party as including recruitment of learners, learner support services as well as training and assessment. The Directors will need to look carefully at each third party arrangement to make a determining if the arrangement requires a formal agreement and the imposition of monitoring arrangements.

Informing ASQA

TMT takes its responsibility to cooperate with ASQA seriously. Entering into a partnership is a significant development in any RTO operation and is a compliance risks which must be managed. It is prudent that we keep the registration authority informed of our developments.

In the event that TMT enters into a partnership with another entity, the Directors is required to notify ASQA within 30 calendar days of the obligations under that agreement taking effect. Notifications should be made using the [RTO notification of material change or event form](#). ASQA may request further information about the arrangement such as a copy of the agreement between the parties. This reporting requirement is only applicable where the partnership involves the use of TMT scope of registration or a third party is delivering services on behalf of TMT.



ASQA must also be informed within 30 calendar days of the agreement coming to an end.

Risk Analysis

Using the methods outlined within the compliance risk management policy, TMT must undertake a risk analysis on the compliance risk that is presented by a partnership arrangement before it is entered into. The outcomes of this partnership arrangement will influence the allocation of monitoring arrangements that the partner and TMT must comply with.

The risk analysis will also guide the allocation of the partnership fee which should also be considered in conjunction with other relevant commercial matters. The risk analysis will contribute significantly to establish the parameters of the partnering arrangement and should be formally documented in order to provide a valid basis for annual review.

Written agreement

In all circumstances where TMT enters into a partnership arrangement a signed partnership agreement is required. We will also maintain a Partnering Arrangement Register of all such agreements and shall forward a copy of the agreement to the other party. A template for the partnering agreement is available within the TMT forms folder.

These partnership arrangements shall have specified time limitations and shall be reviewed annually to ensure the arrangement remains in the interests of TMT.

Where the arrangement is between TMT and another organisation, the written agreement shall include arrangements for:

- Cooperating with the VET Regulator by providing accurate and factual responses to information requests from the VET Regulator, and in the conduct of audits and the monitoring of its operations.
- Ensuring that training and assessment and learner services are appropriate and continuously improved;
- Facilitating the collection and analysis of learner feedback;
- Developing, monitoring and reviewing training and assessment strategies and materials;
- Ensuring that staff, facilities and equipment are in place, as described in training and assessment strategies;
- Recruitment and induction of new trainers and assessors;
- Validating the competence of trainers and assessors and ensuring suitable arrangement to maintain their currency;



- Providing information to learners on training, assessment and learner support services, and on their rights and responsibilities prior to their enrolment;
- Where relevant, ensuring that employers and others are engaged in the development, delivery and monitoring of training and assessment;
- Providing support services to learners;
- Managing records including the charging and receipt of learner fees;
- Issuing qualifications and statements of attainment;
- Managing complaints and appeals;
- Approving, implementing and monitoring the marketing of services;
- Developing and implementing management systems and quality assurance arrangements;
- Monitoring the effectiveness of the arrangement.

Monitoring partnering arrangements

Once agreements have been established, we will monitor these arrangements to ensure that both parties are meeting their obligations and that the services being provided comply with the Standards for Registered Training Organisations. We will monitor these arrangements through:

- Regular management liaison (minimum monthly);
- Mandating the use of learning and/or assessment materials;
- Collection of learner feedback survey;
- Site visits to inspect facilities and delivery activities;
- Internal audits;
- Self-assessments;
- Approval of training sites;
- Approval of trainers and assessors;
- Desk audits of returning assessments;
- Shared assessment moderation; and
- Shared professional development activities.



All monitoring activities are to be recorded in the Partnering Arrangement Register within RTO Data to provide a quick and easy reference of the status of monitoring activities and the partnering arrangement.

Marketing by Partners

Marketing material used by our partners must be approved by TMT Directors. This includes course brochures, learner information that is issued prior to enrolment, advertisements, etc. It is critical that the partnership that exists between TMT and other training providers is clearly explained to prospective learners so they can make an informed choice when enrolling. Marketing material should identify the partnership in an obvious way using easy to understand language. The partnering organisations must incorporate both logos in the marketing material. Information disseminated by partnering organisations must:

- not provide any guarantees to learners about the successful completion of training or any particular employment outcome that is outside of their control;
- only advertise those qualifications that are approved by TMT under the partnering agreement for delivery;
- identify qualifications in advertising by their full code and title as they appear in the training package and not to represent these qualifications in any other way;
- maintain a clear distinction between nationally endorsed training offered under the partnership agreement and other training being offered by it;
- fully inform prospective learners that qualifications and other outcomes will be issued by TMT under the partnership arrangement;
- use e NRT logo only in accordance with the Standards for Registered Training Organisations, Schedule 4 and only after proposed marketing has been approved by TMT;
- identify TMT in marketing by its RTO code and legal name; and
- only advertise qualifications on behalf of TMT that are specified within the partnering agreement.

Records Retention by Partners

The management and retention of records during a partnership is an area of key risk for TMT. TMT is to collect and retain all records of training and assessment delivered on its behalf by partnering organisations. These are to be the original records and are to include completed learner assessment items as defined within the ASQA General direction—Retention requirements for completed learner assessment items, 20th Feb 2013. The Directors may approve alternative arrangements for records being returned to TMT. This may include the transmitting of scanned copies of records via email or and electronically shared folder.

Records are to be forwarded to TMT by the partnering organisation with 7 working days of an assessment decision being made. This requirement is to be specifically stated in any partnership agreement. The



retention of these records by TMT is the same as that outlined in TMT policy on records retention provided in this manual. Partnering organisations may retain a copy of learner records prior to forwarding the original to TMT. The intent of this policy is to ensure that records relating to learner outcomes are received continuously by TMT in order to ensure that these records are managed with accuracy and integrity and that TMT can maintain an accurate record of a learner's progress in courses being offered by partnering organisations.

All records of learner assessment items returned to TMT are to be fully reviewed by VET Quality and Administration Manager to confirm that assessments have been fully documented, marked, signed and dated. This includes confirming that the assessment has been undertaken only by an approved assessor identified within the partnering agreement, that the recorded evidence by the assessor provides sufficient detail to demonstrate their judgement about the learner's performance.

Records received by TMT that do not meet these criteria are to be returned to the partnering organisation for rectification and return. No learner outcomes are to be recorded within the TMT learner management system until records of learner assessment items provided by partners are fully and accurately documented.

Issuing qualifications and statements of attainment

Under no circumstances are partnering organisations to be given any approval to issue qualifications or statements of attainment on behalf of TMT. In all circumstances, records detailing the outcomes of assessment will be returned to TMT and entered into the learner management system. When the particular course outcomes have been completed, TMT will produce the relevant certificate and mail this directly to the learner in accordance with the Issuing Certificates and Outcomes Policy. This requirement is to be specified within any partnering agreement that TMT enters into.

TMT does not support the dual branding on qualification certificates or statements of attainment. Under no circumstances is a partner's logo or branding to be included on any certificate issued by TMT.

Learner Engagement and Support Services

Learners of partnering organisations must be engaged with prior to their commencement in order to accurately identify their needs and ensure that learners are informed of their rights and obligations, the services to be provided and the arrangements for the payment of fees and other charges. Engagement by partners during the learner's enrolment process is to be conducted in accordance with the enrolment policy outlined within this policy manual. This includes the conduct of the first point of contact procedure, supplying pre-enrolment information and the conduct of an enrolment interview. Learner individual needs identified during the enrolment process must be recorded and appropriate support services must be made available to learners in accordance with the enrolment policy.

It must be specified within a partnering written agreement that the enrolment form signed by the learner together with a fully completed enrolment interview record must be returned to TMT in order to create the enrolment on behalf of the partner. The allocation of learner support services by partnering organisations is also to be notified to TMT.



Managing complaints and appeals

Learners undertaking training with partnering organisations have the same rights and obligations as the learners completing their training directly with TMT. This includes the right to make a complaint about services being provided or to appeal any decision that TMT or the partnering organisation may make.

The handling of complaints associated with partnering arrangements is to be in accordance with the complaints and appeals policy outlined within this policy manual. Partnering organisations are required to inform TMT of a complaint (however minor) by a learner within 5 working days of receiving such a complaint.

Complaints and feedback can also be provided via the website contact page.



2.10 – Interaction with the National VET Regulator

The Australian Skills Quality Authority (ASQA) is the National VET Regulator is the body established by the National Vocational Education and Training Regulator Act 2011. TMT is registered by ASQA and therefore must comply with requirements set down by ASQA under the VET Quality Framework.

It is an important requirement that TMT establish arrangements to ensure appropriate cooperation and interaction with ASQA. The Directors is responsible to coordinate arrangements to achieve this. The primary effect of cooperating with the ASQA is to keep ASQA informed of material or significant changes to TMT operations.

The following actions are to be applied to ensure TMT cooperates with ASQA requirements:

- **Audits and the monitoring of its operations.** The Directors shall act as the designated point of contact during ASQA audits and monitoring activities. The Directors are to coordinate the preparation for external audits and ensure all documentary evidence and access to staff is provided to support the conduct of the audit. The Directors show also coordinate the response to any request for information or corrective action as a result of a compliance audit.
- **Accurate and timely data.** The Data Provision Requirements released by ASQA are a separate legislative instrument that outline TMT’s responsibilities to report the following data:
 - Australian Vocational Education and TMT Information Statistical Standard (AVETMISS) data;
 - Proof of legal entity;
 - Financial viability risk assessment information (please refer to Financial Management Policy);
 - Business Name Registration Certificate;
 - Australian Company Number (ACN);
 - Australian Business Number (ABN);
 - address and contact details;
 - Fit and Proper Person information;
 - Information to demonstrate compliance with Standards for Registered Training Organisations; and
 - quality indicator data (please refer to the Continuous Improvement Policy).

The Directors are responsible to maintain this information and establish mechanisms to ensure it is available for reporting to ASQA on request.



- **Changes to registration/contact / location details.** Situations which represent a change to registration details include:
 - registered training name/s;
 - address and/or contact details of the RTO's head office;
 - principal place of business (if different from the head office);
 - contact details of Directors or equivalent person;
 - contact details of 'day-to-day' contact person;
 - contact details of high-managerial agents;
 - location and/or contact details of permanent delivery sites (for delivery to domestic learners only);
 - commencement or cessation of offshore delivery; and
 - commencement of delivery in other states or territories.

The DIRECTORS is required to notify ASQA using the [Notification of change of provider details](#). Notifications are to be made within 90 calendar days of the changes occurring.

- **Significant changes to its operation.** Situations which represent a significant change to operations include:
 - changes to Directors;
 - changes to high managerial agent;
 - changes to financial administration status;
 - changes to legal name or type of legal entity;
 - changes to ownership; and
 - changes to directorship and/or control (including sale of RTO business).

The Directors are responsible to report changes to operations to ASQA by completing the [RTO notification of material change or event form](#) available from the ASQA website. Notifications are to be made within 90 calendar days of the changes occurring.

- **Enter into an outsourced arrangement (Partnership).** In the event that TMT enters into an outsourced arrangement or a partnership with another entity, the DIRECTORS is required to notify ASQA using the [RTO notification of material change or event form](#). ASQA may request further



information about the arrangement such as a copy of the agreement between the parties. This reporting requirement is only applicable where the partnership involves the use of TMT scope of registration. Notifications are to be made within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect (whichever occurs first). ASQA should also be notified within 30 calendar days of the agreement coming to an end.

- **Changes to Financial Viability.** TMT will notify ASQA immediately if there are significant changes to its financial viability. This includes:
 - Net tangible assets fall below 2% of Revenue.
 - Working capital falls below 2.5% of Revenue.
 - Debt Ratio is greater than 1.00.
 - Profitability falls below 0%.
 - Change in financial guarantor arrangements.
 - Change in mechanisms for securing learner fees paid in advance.

Documentary Evidence

In addition to the notification requirements listed above, in most circumstances supporting documentary evidence is also required. The following table provides a guide to this supporting evidence when making notification to ASQA:

Situation	Documentation Required
Change to legal name	ASQA Form - Notification of material change or event form An ASIC Historical Company Extract An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. ASIC Certificate of Registration of Trading Name showing the change of ownership with the new entity name. An organisational chart that reflect the ownership structure and reporting lines of the RTO
Change to legal trading name	ASQA Form - Notification of change of provider details ASIC Certificate of Registration of Trading Name (may have been issued by a State or Territory)



Change to address and/or contact details of the RTO's head office	ASQA Form - Notification of change of provider details
Change to principal place of business (if different from the head office)	ASQA Form - Notification of change of provider details
Change to contact details of Directors, 'day-to-day' contact person or high-managerial agents	ASQA Form - Notification of change of provider details (assuming that the Directors remain the same)
Change to location and/or contact details of permanent delivery sites (for delivery to domestic learners only)	ASQA Form - Notification of change of provider details
Change of Directors	ASQA Form - Notification of material change or event form Directors Declaration Fit and Proper Person Requirements Declaration
New executive officer or high managerial agent	ASQA Form - Notification of material change or event form Fit and Proper Person Requirements Declaration An ASIC Historical Company Extract An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. An organisational chart that reflect the ownership structure and reporting lines of the RTO
Change of legal entity	Application for Initial Registration
Change to ownership, directorship and/or control (including sale of RTO business)	ASQA Form - Notification of material change or event form An ASIC Historical Company Extract An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. An organisational chart that reflect the ownership structure and reporting lines of the RTO



	Directors Declaration Fit and Proper Person Requirements Declaration
Commencement or cessation of offshore delivery	ASQA Form - Notification of material change or event form ASQA will likely request additional evidence
Change to financial administration status	ASQA Form - Notification of material change or event form ASQA will likely request additional evidence
Entering into an outsourced arrangement (partnership)	ASQA Form - Notification of material change or event form Partnership Agreement / MOU

Ceasing to operate

The Directors are responsible to ensure that there are suitable arrangements to provide records of learner outcomes to ASQA in the event that TMT ceases to operate. Further details regarding the scope and format of this requirement is provided within the records retention policy.

If circumstances are such that TMT are not able to carry on operations (death, liquidation, bankruptcy), the Directors is to advise ASQA of this decision and provide advice regarding impact on currently enrolled learners. Notifications are to be made within 90 calendar days of the changes occurring. TMT has a responsibility to transfer these enrolments to another RTO with least disruption to individual learners. On ceasing operations, TMT is to, facilitate currently enrolled learners transfer to another RTO, issue these learners with an appropriate refund for service not provided, and issue learners with Certificates based on completed units of competency.

Directors Annual Declaration

The RTO provides an annual declaration on compliance with Standards for Registered Training Organisations. The declaration confirms to ASQA that TMT currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months.



Section Three - Continuous Improvement



3.1 - Continuous Improvement

At TMT we are committed to the continuous improvement of our training and assessment services, learner services and our administrative management systems. Central to this commitment is this policy which outlines our approach to continuous improvement and the procedures we apply to achieve systematic and sustained improvement.

Systematic Approach

TMT applies a systematic approach to support continuous improvement. This approach includes:





Selection of Data

- Data collected by TMT has been selected on the basis of its relevance to the Standards for Registered Training Organisations and quality indicators. Most important, is the collection of data from learners and employers relating to their expectation and experience of our services. Data sources have been selected to provide a balance of qualitative and quantitative information. The following data is identified for collection and for input into our continuous improvement system:
 - Learner satisfaction rates
 - Employer satisfaction rates
 - Competency completion rates
 - AVETMISS Data (activity data)
 - Outcomes of complaints and appeals processes
 - Opportunities for improvement reported by staff or other stakeholders
 - Outcomes of validation and moderation processes
 - Outcomes of industry consultation
 - Advice or directions from ASQA or Industry Skills Council
 - Outcomes of management meeting
 - Outcomes of internal and external quality audits

Collection of Data

- Data will be collected using a range of methods to enable sufficient data on which valid judgements may be made. Data collection methods will provide maximum opportunity for TMT to engage with learners and employers and to seek and obtain input from our staff and other stakeholders. The primary method of collecting quantitative data is via written survey of both learners and employers. This is achieved using the Quality Indicator Survey tools. Specifically, the methods of collection are the learner and employer engagement survey and the collection of competency completion data.
- The Learner Questionnaire and the Employer Questionnaire can be accessed at the following links: [Learner Questionnaire](#) and [Employer Questionnaire](#)
- Survey responses are received and entered into the [Satisfaction Data](#) database. Qualitative data is collated by the DIRECTORS who will raise Continuous Improvement Reports for consideration by the management team as required.



- Data will be collected from our internal processes. These internal processes include complaints and appeals, moderation, validation and quality auditing. These processes produce outcomes such as recommendations and opportunities for improvement. In addition to these, we also seek input directly from our staff or other stakeholders (contractors, learners, members of the public).
- TMT staff and other stakeholders are often best placed to observe deficiencies in our services and can best identify opportunities for improvement. In all of these instances, persons who identify an OFI are to raise a Continuous Improvement Report so it may be captured within the RTO Data Continuous Improvement Register and tabled at the next management meeting.

Analysis of Data

- Quantitative data is evaluated using the [Satisfaction Data](#) database and specifically the reporting function which enables analysis of learner and employer questionnaire results over the long term. This enables data to be measured against broad performance indicators which are inbuilt within the Quality Indicator Survey tools and which provide a measure of our performance in key service areas. Performance measures which appear in Satisfaction Data with a colour rating of **Orange** or **Red** must be raised as a continuous improvement report requiring further consideration.
- Qualitative data arising from staff suggestions, consultation with industry, outcomes of complaint handling, etc are submitted as a continuous improvement report for consideration by the management team. The primary means of analysing OFI is to review and discuss these during the fortnightly management meeting.

Identify and Act on Improvement Opportunities

- Once improvements have been identified, they are reviewed via the Management Team with clearly defined improvement actions, implementing responsibilities and validation. This is achieved by generating a report in RTO Data and systematically reviewing each improvement action using the following schedule:
 - 1st - Review items due for validation
 - 2nd - Review items currently being implemented
 - 3rd - Review new continuous improvement items
- Based on the review by management, items will be either progressed as an improvement action or not. All items are ultimately being progressed toward completion and this regular review by management ensures that items are monitored and those responsible for progressing improvement actions are accountable.



Monitor Improvement

- Like all changes to a complex system, improvements must be validated to confirm that they have produced the intended result. This is achieved through the collection of further data over time to evaluate the improvement's effect on the system and how it has been received by learners and/or employers. Validation may result in the improvement action being closed or may require additional actions to fine tune the improvement. Validation occurs during the fortnightly management team meeting as outlined above. It simply involves looking back at the improvement in light of further data collected and engaging in a discussion about the improvement and if it achieved the intended outcomes. The result of this discussion will be to either close the improvement altogether or to initiate further improvements.
- **Please note.** It is critical to use the RTO Data Continuous Improvement Register to initiate and update improvement actions. The information recorded into this register provides a valuable tool for monitoring and retrospective review of system performance.

Continuous Improvement Committee

The Continuous Improvement Committee is a consultative group that meets quarterly to review the state of continuous improvement activity. The Continuous Improvement Committee compliments the day-to-day management of continuous improvement by the Management Team and allows for a more dedicated process with wider stakeholder involvement.

Membership. The committee is led by the Directors as the Committee Chairs. The Committee is comprised of selected staff from within TMT and invited members from external organisations to contribute technical advice on industry requirements or training systems compliance. The size of the committee will be guided by the scope of our operations and the complexity of the issues being routinely considered.

The following principles are to be applied when managing the membership of the Continuous Improvement Committee:

- Membership of the Committee is determined by the Directors and may include designated staff members and non-staff members.
- Members may be drawn from the VET industry, representatives of professional associations and industry as well as training quality consultants.
- It is mandatory to have a strong representation of lead trainers and assessors to ensure that the decisions taken by management within the context of the Committee are informed by trainers and assessors.
- It is desirable but not mandatory to have representation by industry on the Committee. This may include an employer, a representative for an industry peak body or industry skills councils.
- The Committee may recommend other individuals to become members of the Committee on the basis of their particular expertise, or as the representative of a particular organisation.



- The Chair of the Committee is the Directors.
- Committee members are to declare any actual or perceived conflict of interest that might arise in the course of their contribution to the Committee.

Responsibilities. The Continuous Improvement Committee is responsible for the following:

- Reviewing the policy and procedure for continuous improvement within TMT,
- Evaluating data and making recommendations to the Committee Chair on opportunities for improvement and providing technical advice to inform decisions of the Committee,
- Fully participating in continuous improvement activities to encourage all TMT staff members to do the same, and
- Actively complete all tasks allocated by the Committee Chair to enable improvement initiatives to be progressed in a timely manner.

The Committee Chair is to appoint a Committee Secretary. The Secretary is responsible for raising and issuing the agenda. The Secretary will also maintain a record of proceedings and draft minutes of the Continuous Improvement Meeting for review by the Committee Chair. Once approved, the minutes are to be issued to all TMT staff members to inform them of improvement initiatives underway and/or tasks which have been allocated for completion. The Secretary is also to maintain the currency of the Continuous Improvement Register within RTO Data.

Continuous Improvement Meetings

Continuous Improvement Meetings are to be held not less than once each quarter. The Committee Chair may schedule meetings on a more frequent basis if required. The following procedure is to be followed to conduct Continuous Improvement Meetings:

- An agenda must be raised and issued not less than seven days prior to the meeting. The agenda is to be developed by the Committee Secretary and approved by the Committee Chair before being issued to the Committee.
- The Committee Chair should facilitate the meeting along the following schedule:
 - Open the meeting;
 - Welcome and apologies;
 - Review minutes from previous meeting;
 - Review previously implemented improvements due for validation;
 - Review improvements currently being implemented;
 - Review new Continuous Improvement Reports;



- Attend to any other business identified in the agenda;
- Nominate the next meeting; and
- Close the meeting.

Raising and processing a Continuous Improvement Report

The following procedure is to be followed to raise and process a Continuous Improvement Report:

- **Step 1.** The person initiating the report is to raise the form and complete sections one and two. These sections require specific information on the problem and an outline of the suggested improvement. The person initiating the report must provide as much information as possible and is to identify a solution to the problem.
- **Step 2.** The Continuous Improvement Committee is to review the report and record the agreed actions if any. The person responsible to implement the action is to be nominated and a date nominated for implementation is to be complete. Agreed actions may include taking no action and providing appropriate information to the initiating person. If specific resources are required to implement the improvement, these should be recorded on the report for authorisation by management.
- **Step 3.** The person responsible for implementing agreed actions is to undertake the required actions to implement the improvement and complete section four. This is to include details of the actions taken and the initial outcomes observed.
- **Step 4.** The Continuous Improvement Committee is to review the actions taken and the initial outcomes and to provide advice on further action required. If all actions are complete, the Continuous Improvement Committee will record these observations and nominate a proposed date for validation. The date for validation of the improvement will be based on the time required to allow the improvement to be integrated with other systems and to gather additional data in order to make a valid observation about the effectiveness of the improvement. A period of six months is considered appropriate to gather further performance data.
- **Step 5.** The Continuous Improvement Committee is to review the improvement actions at the proposed validation date and complete section six. Validation is to include reviewing the effectiveness of the improvement in light of further data collected and evaluated. The Continuous Improvement Committee may close the report at this stage or may recommend further actions.



3.2 - Internal Audit

Internal audit is the planned, systematic and documented process used by TMT to assess our compliance with the Standards for Registered Training Organisations. It also provides us with information about the quality of our training, assessment, learner services and the management systems we use to support the continuous improvement of our operations and outcomes.

This policy provides for the implementation of the internal audit function to ensure compliance with laws and regulations that impact upon the organisation. It aims to establish an internal function that complements the external audit process undertaken by ASQA.

Scope of internal auditing

The scope of internal audit is to include the Standards for Registered Training Organisations.

Audit frequency

Internal audits are to be undertaken not less than every 12 months.

Identifying an auditor

Internal auditors may be appointed from within TMT or may be sourced externally. Auditors sourced externally are to meet the following selection criteria:

- Be a currently approved (contracted) auditor with ASQA;
- Hold the TAE40110 Certificate IV of Training and Assessment or can demonstrate its equivalence;
- Holds an appropriate qualification in quality auditing; and
- Conducts the audit in accordance with the AS/NZS ISO 19011:2014 Guidelines for auditing management systems.

Auditors appointed internally are to be selected at the discretion of the Directors. These staff members should have appropriate skills and knowledge to adequately interpret evidence against the scope of the audit.

Internal Audit Procedure

The internal audit should be conducted like any external audit. The audit process should include:

- Audit planning;
- Audit notification;
- Desk-top review;



- Site audit; and
- Audit reporting.

Audit planning

Internal audit planning should be risk based and aligned to the organisation's Standards for Registered Training Organisations Risk Management Plan. The risk based methodology will inform the focus or the scope of the audit. In addition, internal audit planning will take into consideration the results of previous audits both internal and external. Once the scope of the audit is established, the auditor is to:

- Formulate an evidence gathering plan to systematically review evidence against the scope of the audit;
- Establish a timetable for the audit which is suitable for all stakeholders; and
- Prepare correspondence for stakeholders to initiate the audit and request evidence to enable preliminary desk-top review prior to site audit.

Audit notification

Once planning has concluded, the auditor is to issue notification to key stakeholders no less than 14 days prior to the audit. Stakeholders will include any member of the organisation who holds responsibility for particular business processes such as training and assessment, learner services, RTO administration and RTO management.

Notification is to include:

- The scope of the audit;
- Timings and the schedule for audit activities;
- Specific evidence to be submitted for desk-top audit and the date and time for submission; and
- Specific evidence to be available during site audit.

Preparing for audit

The following procedure will be followed when preparing for an internal audit or an audit by ASQA:

- Review the intent and requirements of the audit as advised by ASQA. There are a number of resources available from ASQA. The audit tool made available by ASQA is a particularly useful tool for an internal audit: <http://www.asqa.gov.au/news-and-publications/publications/forms.html>
- Consider evidence requirements - the auditor's role is to verify evidence that we are achieving quality training and assessment outcomes and are using a continuous improvement approach to ensure the ongoing achievement of these outcomes.



- Conduct a self-assessment prior to audit to determine if and how we are achieving the following:
 - Delivering training to industry standards;
 - Meeting the learning needs of clients;
 - Continuously improving the outcomes of these; and
 - Meeting the requirements of the national VET system.
- Work with the auditor to help them understand our training system. We will provide the auditor with a snapshot of our operation, such as our scope of delivery, number of learners, modes of instruction, staffing, facilities, client groups, special features, etc.
- Identify key contacts - staff, learners, clients.
 - Decide which staff will be best placed to provide supporting evidence, and ensure they will be available.
 - Recognising that participation in an audit can be stressful, we will work with our staff to help them feel more at ease with the audit process and let them know what is expected during the process. It is most likely that the auditor will track the progress of learners and as a result may identify learners and clients, such as employers, to interview to determine the extent to which we are achieving the desired outcomes.
- Consider logistics for the audit – any special access requirements, etc
 - Allocate a staff member to be the auditor guide during the visit. The guide assists the process by maintaining the auditor, ensuring staff are available at planned times, assisting with auditor requirements and acting as the liaison between the auditor and our stakeholders.
 - Allocate a workspace for the auditor to work at for evidence analysis and interviews and advise the auditor of any special access arrangements, such as safety clothing, security or parking arrangements.
 - Give consideration to the duration of the site audit — this will be dependent on the size and scope of the audit.
 - Where we have used a consultant to assist in our preparation for an Standards for Registered Training Organisations audit, we will ensure that any interaction is between the auditor and our organisation, and not between the auditor and the consultant. We may invite our consultant to attend the audit to provide support but recognise that the consultant cannot provide responses to the auditor on our behalf, or enter into discussions regarding the conduct, progress or findings of the audit.



Desk-top review

The following procedure should be followed by the Auditor for desk-top review:

- Liaise with stakeholders and confirm the evidence of the standards that are going to be reviewed;
- Confirm that the evidence required to conduct the review has been received;
- Conduct the review using the standards as a guide, examine the evidence provided and identify and gaps if they exist;
- If evidence is lacking, request further evidence from stakeholders; and
- Formulate desk-top review findings to inform the focus for the site audit.

Site audit

The following procedure should be followed by the auditor for site audit:

- Liaise with stakeholders and confirm the evidence of the standards that will be audited;
- Conduct an in-brief to inform stakeholders of site audit activities, and the general findings from the desk-top review that require further information;
- Collect evidence via interview, review of documentation or information systems;
- Formulate initial findings including, non-compliances, strengths and opportunities for improvement; and
- Provide an exit brief to inform stakeholders of findings.

Audit reporting

The following procedure should be followed by the auditor for audit reporting:

- Draft audit report including non-compliances, strengths and opportunities for improvement;
- Submit audit report to the Directors for initial review and opportunity to respond to audit findings;
- Finalise audit report with specific advice on action items to inform continuous improvement; and
- Raise continuous improvement report as required.



3.3 – Industry Engagement

At TMT we recognise that engagement with industry representatives is critically important to developing training and assessment strategies and resources that accurately reflect the needs of industry and the expectation of employees.

Standards for Registered Training Organisations require that TMT’s training and assessment practices are relevant to the needs of industry and informed by industry engagement.

That TMT implements a range of strategies for industry engagement and systematically uses the outcomes of industry engagement to ensure the industry relevance of:

- its training and assessment strategies, practices and resources; and
- the current industry skills of its trainers and assessors

To achieve this requirement, we will apply a number of ways to seek industry feedback on the appropriateness of training and assessment strategies and resources. These include:

- **Industry engagement workshop.** Industry engagement workshops are opportunities to invite employers and other industry representatives to a workshop where training and assessment strategies are presented and discussed. We will also use these opportunities to review a number of resources which typify the intent of the delivery and assessment methods. The outcomes of these opportunities are to be recorded in the form of minutes to enable actions to occur and as a point of reference for future activities. Identified opportunities for improvement are to be recorded using TMT Continuous Improvement Report.
- **Employer survey.** Employer surveys are part of the Quality Indicator Resources. These survey tools collect quantitative data on the employer’s observations of training quality, the work readiness of employees and training conditions. The results from surveys are entered into and collated using the survey database. This software platform also provides reporting on performance using a pre-determined scale of performance indicators. This reporting is very useful to TMT Management Team.
- **Direct industry engagement.** We will also undertake direct industry engagement. This involves making time to visit a representative selection of employers in their workplace. It will usually involve an interview and a joint review of a resource or strategy with the employer. This may be undertaken by our trainers, assessors or management representatives. The outcomes of direct engagement are to be recorded onto an Industry Engagement Questionnaire. This form records actions to be taken by us as a result of direct engagement and acts as a point of reference for future activities and quality compliance. Identified opportunities for improvement are to be recorded using TMT Continuous Improvement Report.
- **Industry Network.** All trainers and assessors are to engage with industry networks, the bodies or industry groups in order to remain informed about industry developments including changes to industry practices and standards and the introduction of new equipment. The information gathered through



engagement networks will contribute directly to the improvement of training and assessment to ensure that learners who complete a training program with TMT have the most up-to-date skills and knowledge required in the workplace. Staff participation in industry networks also contributes to demonstrating their ongoing currency in their particular industry. Staff identifying opportunities for improvement to training and assessment resulting from engagement with industry networks are to raise a Continuous Improvement Report and submit this to the management meeting.

Recording Industry Engagement and Responding to Outcomes

It is important that a record of industry engagement be maintained in order to provide a record for retrospective review in situations such as management team meetings and quality compliance audits. The details of industry engagement such as the method of engagement, the organisation, the representative, the date, the subject of the discussion and the outcomes should be recorded within the industry engagement register within RTO Data. This capability allows the organisation to generate a report of industry engagement completed relevant to a course on the scope of TMT.

It is also important that outcomes of industry engagement that relate to the improvement of training and assessment be recorded within a Continuous Improvement Report and submit this to the management meeting for review. The continuous improvement mechanism within the Management team meeting is the primary function within TMT to implement changes to systems (including training and assessment) within the organisation.



3.4 – Assessment Validation

Assessment Validation is the quality review of the assessment process. Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package are met. It includes reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations.²²

Assessment Validation forms part of TMT review of assessment strategies in accordance with the requirements of the Standards for Registered Training Organisations and industry training package. The process of validating our assessments will also serve to moderate assessment decisions made by assessors.

Method²³

At TMT we use group assessment validation as our preferred method of reviewing assessment. These activities may be conducted using teleconference or conducted face-to-face. This includes groups of assessors / subject matter experts coming together to examine a statistically valid sample of completed assessments, assessment instruments, processes and outcomes of assessment and to reach consensus about the compliance of current assessment arrangements.

These sessions also provide an opportunity for assessors to discuss and present ideas about how they each apply their professional judgement to reach an assessment decision. This serves to moderate assessment practices across TMT.

Assessment validation is a quality review process designed to check that the assessment process is resulting in assessment in accordance with the rules of evidence, the principles of assessment and aligns with the requirements of the training package.

The Assessment Validation model utilised at TMT is adapted from the publication *Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, NCVER, 2002*. This relies on the review of quantitative data and qualitative based questions framed around the principles of assessment and the rules of evidence to examine how assessment for a particular unit is occurring.

The Standards for Registered Training Organisations specify that assessment validation includes reviewing a statistically valid sample of the assessments. This implies that validation is being conducted after a period of implementation of assessment and that the review is based on actual completed assessments. This aligns with identifying assessment validation as a quality review process which is the monitoring of an activity which is ongoing as opposed to a quality control process which examines something before its release or implementation. This is an important facet of the model adopted in this policy and the requirements of the

²² Standards for Registered Training Organisations 2015

²³ Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, NCVER, 2002



RTO Standards. We are not just validating the arrangements for assessment, but are validating the actual conduct of assessment and the outcomes being produced.

The following provides a guide to how an assessment validation activity should occur:

- Based on the TMT Assessment Validation Plan, an event will be scheduled that identifies the training product (unit) to be validated, the time and place for the meeting and who is designated to lead and assist with the validation. A reminder email should be sent to those identified to participate no later than one month before the scheduled event. The suggested group size for an assessment validation activity is 3-5. It is also suggested that the assessment validation activity only focus on one unit of competency for each session.
- The person nominated to lead the validation activity will plan the day and begin to gather the required documentation and validation sample. This will include:
 - the complete assessment tools and resources,
 - any available assessment mapping,
 - relevant references relating to the unit requirements,
 - available data on completion rates,
 - the relevant training and assessment strategy, and
 - the selected statistically valid sample of completed assessments.
- It is advised that each participant be provided a complete set of assessment tools and resources for the nominated training product. This will allow each participant to make their own notes and refer to the resources individually. The venue for the validation activity should also be arranged.
- Participants will gather for the assessment validation where the lead validator will provide an outline of the model being applied and of the process to be followed. The lead validator will issue each participant and themselves with the assessment tools and resources and an equal number of sampled assessments. The lead validator will brief the participants on the use of the assessment validation tool and the criteria which comprise the tool and need to be responded to.
- At the beginning of the activity, each participant should be allocated an hour or so to individually review the assessment tools and resources, the training and assessment strategy and their allocated sample of completed student assessment items relevant to the training product being validated. During this time each participant will make their own notes against the criteria within the assessment validation tool. Whilst this is a time for individual review it is acceptable for participants to ask each other questions and exchange views about the assessment and the evidence they are reviewing. At the end of this initial time it is expected that each participant will have formed their own views and recorded their notes within an assessment validation tool and be ready to contribute to a group discussion.



- After each participant has completed reviewing the evidence individually, the lead validator will then facilitate a discussion about the assessment of the training product following the points identified within the assessment validation tool. As each point is presented it provides an opportunity for participants and the lead validator to exchange their views based on their own review of evidence indicating if the current assessment practice is suitable or needs improvement. The lead validator will note these discussion points and facilitate the discussion in order to attempt to arrive at a consensus. This is recorded within the assessment validation record which becomes the official record of validation activity. It is important that any suggested improvements to the assessment arrangement are clearly stated so that the original intent of the improvement carries through to the continuous improvement process.
- At the conclusion of the assessment validation activity, the lead validator is to summarise the collective findings of the assessment validation activity and identify the recommended opportunities for improvement for the assessment arrangements relevant to the training product being validated. It is important that the final assessment validation tool records the details of all evidence reviewed including the assessment sample and the names of those who to suppose in the assessment validation. The lead validator is then responsible raising a continuous improvement report to be considered at the next management meeting. These opportunities for improvement will then be considered and implemented in a systematic way utilising the continuous improvement and management meeting process.

Who can undertake assessment validation?

Assessment validation is to be 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. Persons selected to conduct assessment validation must have vocational competencies and current industry skills relevant to the assessment being validated. Persons must also be competent in training and assessment, i.e. hold the TAE40110 Certificate IV in Training and Assessment or its successor.

Scheduling assessment validation and moderation

In consultation with assessors, the VET Quality and Administration Manager will take on the role of the validation co-ordinator and will formulate a schedule that identifies:

- When/Where meetings are to occur;
- What units of competency or modules are to be included;
- Who will lead anticipated in assessment validation; and
- How identified improvements will be made.

Assessment validation is to be scheduled using RTO Data using the event register. TMT is required by the Standards for Registered Training Organisations to validate training products (unit assessments) at least once every five years, with at least 50% of products validated within the first three years of each five year cycle.



Assessment validation meetings are to occur not less than once each quarter. Outcomes of the meetings will be recorded using the assessment validation tool to provide a record for retrospective review. This is to include raising continuous improvement reports as required.

Assessment sampling

Assessment sampling involves choosing a selection of assessed work from a sample of target units of competency. Samples are to be selected using the following criteria:

- The assessment work of a range of learners in the selected program;
- The assessment work of a range of assessors across different sites; and
- Include any apparent anomalies or borderline cases.

Equally the sample size must be large enough that the validation outcomes can be applied to the entire sample applicable to the unit of competency being validated. When calculating a sample size, the VET Quality and Administration Manager is to use the sample size calculator provided by ASQA at the following website:

<http://www.asqa.gov.au/media-and-publications/conducting-validation1.html>

This calculator is to be used by entering the number of assessment judgements that have occurred for a particular unit of competency. The settings relating to the percentage of error (15%) and confidence level (95%) are recommended to remain at their pre-set levels. The resulting sample size is to be used as a basis for selecting completed student assessment items from student records and archive.

Assessment validation tools

To support a consistent approach to Assessment Validation, standard tools have been developed and are to be used. The Assessment Validation Record is available within the TMT forms folder. The tools provide the basis for the group discussion based on the qualitative questions aligned with the rules of evidence and the principles of assessment.

Relationship to the continuous improvement process

Often improvements will be identified as an outcome of assessment validation. These improvements are to be fed into our systematic approach to continuous improvement by raising a continuous improvement report and submitting this to the management meeting. Outcomes identified as a result of assessment validation must be recorded within the assessment validation tool and then collated into a continuous improvement report.

Further information on continuous improvement reporting is available in the Continuous Improvement Policy.



Section Four - Access & Equity



4.1 - Learner Enrolment and Completion

At TMT our approach to enrolment and induction is to provide a pathway for learners to make informed decisions about their training and assessment and enter a training pathway that is the right fit for the learner and their current or future employer.

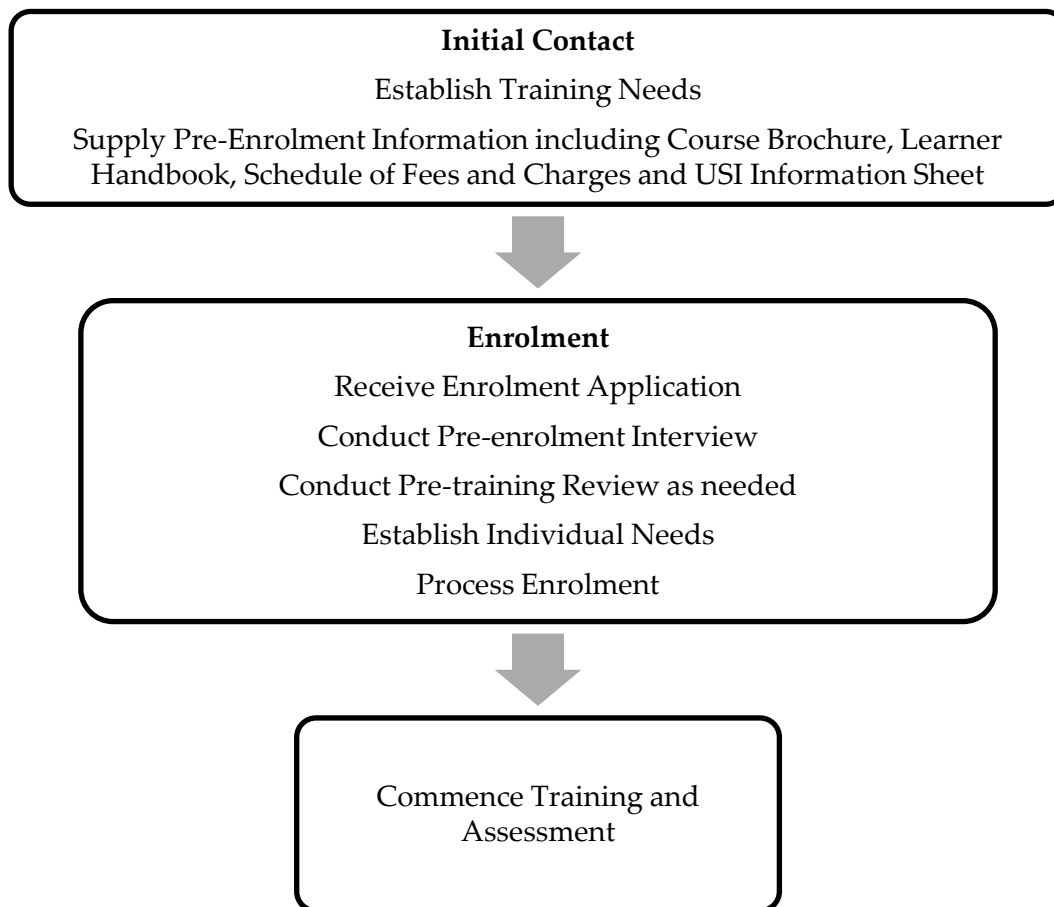
We strive to identify a learner's needs during the enrolment process to ensure that our services to each individual learner are appropriately adjusted to allow for their unique requirements.

To achieve this, we will:

- Provide persons making an enquiry with accurate and ethical marketing and pre-enrolment information that enables them to make confident and suitable decisions about selected training programs;
- Conduct a one-on-one enrolment interview either face-to-face or over the telephone to individually assess the person's needs and circumstances and provide them information about their rights and obligations;
- Provide information about special requirements for their desired training program and pathways to obtain these;
- Provide information about the occupational outcomes produced by their selected program and discuss how these align with their occupational goals and aspirations;
- Validate that applicants meet the entry requirements for their selected program to ensure that they have the greatest opportunity for success and completing the course;
- Determine if the applicant has the required access to information technology including modern computer systems and access to the internet if applicable.
- Determine that the applicants have appropriate language, literacy and numeracy skill and abilities to meet the requirements of their desired training program;
- Determine if the applicant has any need for reasonable adjustment at the point of enrolment to allow training programs to be suitably adjusted;
- Ensure there are no unnecessary barriers for persons to participate in the training program of their choice;
- Provide comprehensive administrative support that allows the applicant to complete enrolment efficiently and commence training at an agreed time and place; and
- Inform applicants about alternate pathways to training such as gaining credit transfer for current competence or recognition of prior learning.



TMT will apply the following steps during the enrolment process:



Please refer to the following description and associated process diagrams for detailed information on the steps to be taken to fully engage with and induct a learner into a course program offered by TMT.

Initial contact

The primary purpose of the initial contact process is to establish the needs of the client and ensure the client receives all pre-enrolment information applicable to the program they are interested in. Establishing the client needs is important to ensure that those clients enrolling in programs are aligned to training and assessment that meets their vocational requirements in the industry of their choice. By providing clients with pre-enrolment information early, we are also ensuring that prospective learners are informed about their rights and obligations, about the training and assessment services to be provided and about the fee payment and refund arrangements.

There will be times when TMT staff are contacted by potential clients (quite often these contacts will be employers) for information pertaining to available training. TMT staff should establish a positive client relationship from the start. How questions and answers are provided the client may make a big difference between securing an ongoing relationship or losing them to a competitor. Staff responding to inquiries is to do so courteously and professionally.

The following are guidelines are to be applied when engaging with an enquiring person:



- Try to establish over the phone which training program would be most appropriate. If the person really needs a training program that is not on TMT scope of registration, advise the person that we are not able to provide the training and tell them how they can find a course that better suits their needs. One way of doing this is to direct them to <http://training.gov.au> or refer the person to an Australian Apprenticeship Centre.
- If the person's needs do aligned with one of our training programs, inform the person of the TMT delivery model and the choices they have in the scheduling of training to suite their particular circumstances.
- Obtain an email address from the person and send them via email a copy of the learner handbook, a copy of the fee schedule, a copy of the course brochure applicable to the program they have enquired about and a copy of the enrolment application form. **Please note.** It is important to stress to a person making an enquiry that they are advised to read carefully the material you are sending to them.
- If the person requests to proceed with enrolment, provide them with instructions on completing the enrolment application form and sending it to TMT via email or fax.
- Arrange a time for the person to conduct an enrolment interview with an TMT representative either in person or over the phone.

Enrolment procedure

The following steps are to be followed when enrolling a new learner into a training program:

- Receive the enrolment application form and check that it is completed correctly. Take note of any individual needs and LLN suitability the person has identified. Contact the person and arrange a suitable time to undertake an enrolment interview.
- Undertake an enrolment interview (in person or by phone) to:
 - explain the training and assessment services involved in the relevant training program;
 - highlight the cluster model and assessment methods that will be used throughout the training program and the mandatory work placement requirements that apply to the qualification;
 - assess the person's individual needs and circumstances and present / discuss support options available to the person both within TMT and those available through specialist service providers;



- confirm the person received all required pre-enrolment information and talk through the person's rights and obligations, confirm fee payment arrangements and the services to be provided;
- inform the person about opportunities for recognition of their prior learning or current competence; and
- confirm the next step to complete the enrolment process and commence training program.

Following the enrolment interview, if the learner is continuing with their enrolment the remaining enrolment actions are required:

- Complete enrolment application processing and create the learner profile within RTO Data.
- Enter and verify the learners USI or create the learners USI. Please refer to the USI website for the Proof of ID requirements and options:
<http://usi.gov.au/Learners/Pages/proof-of-ID.aspx>
- Create a training plan according to the learner's and/or employers requirements. Ensure allocated units of competency reflects the learners training needs.
- Record any support arrangements for arrangements (if applicable) to cater for the learner's individual needs within the learner enrolment register in RTO Data. Inform training staff of these requirements and schedule a reminder for the allocator trainer prior to the commencement of the learners program.
- Raise a hard copy learner files complete with enrolment application form, proof of identity, enrolment interview record and course schedule report from RTO Data. The learner's file is to be batched with other learner files on the scheduled course and passed to the allocator trainer on the scheduled day of training.
- Make an appointment to visit the Learners nominated work placement location and point of contact.
- Prepare a learner confirmation of enrolment letter and invoice for tuition fees (initial payment) and send these to the learner via their supplied email.
- Confirm payment of tuition fees prior to the commencement of the training program and visit to work placement venue.
- Issue learning materials applicable to the enrolled training program to the learner and notify the allocated trainer of the learner's commencement and send both an introductory email.

Funded training enrolment procedure

The following steps are to be followed when enrolling a new learner into a funded training program:



- Receive notification from the Australian Apprenticeship Centre;
- Provide a letter of acceptance to the Australian Apprenticeship Centre and provide a letter to the employer and learner advising them of the enrolment process;
- Obtain the learner’s registration number from the funding body;
- Undertake an enrolment interview (in person or by phone) to:
 - assess the learner’s individual needs and circumstances;
 - provide them with a Learner Information Booklet;
 - inform them about their rights and obligations;
 - inform the learner about opportunities for RPL and credit transfer; and
 - obtain a completed enrolment form.

Following consideration of these issues, if the learner is continuing with their enrolment the remaining enrolment actions are required:

- Complete enrolment application processing and create the learner profile within RTO Data.
- Create a training plan according to the learner’s and/or employers requirements. Ensure allocated units of competency reflects the learners training needs. Ensure the training plan is signed by the learner and
- Record any support arrangements for arrangements (if applicable) to cater for the learner’s individual needs within the learner enrolment register in RTO Data. Inform training staff of these requirements and schedule a reminder for the allocator trainer prior to the commencement of the learners program.
- Raise a hard copy learner files complete with enrolment application form, proof of identity, enrolment interview record and course schedule report from RTO Data. The learner’s file is to be batched with other learner files on the scheduled course and passed to the allocator trainer on the scheduled day of training.
- Prepare a learner confirmation of enrolment letter and invoice for tuition fees and send these to the learner via their supply email.
- Learning materials applicable to the enrolled training program are to be sent to the learner



On the day of commencement

On the day of the first scheduled training the nominated trainer is required to:

- engage with learners identified as requiring support services during the enrolment interview. Support services are to be negotiated with the learner and put in place before the commencement of the training program.
- record the attendance of learners and report any non-attendance to administration to enable a follow-up phone call to be made.
- confirm the payment of tuition fees and supply of learning resources.
- Confirm licencing checks have been completed and a copy is held on the learners file.
- Confirm arrangements for the learners work placement (**if applicable**) and that the work placement agreement and checklist have been completed or are scheduled.

Provision of pre-enrolment information to learners

The Standards for Registered Training Organisations under Standard 5 identify that each learner is properly informed and protected either prior to enrolment or the commencement of training and assessment. At TMT we achieve this by providing prospective learners with the following three pre-enrolment information sources:

- **Learner Handbook.** The learner handbook is the primary information vehicle to inform learners about their rights and obligations prior to their enrolment. Ideally, the learner handbook is supplied electronically as a PDF document. It is important that this document is professionally presented as it reflects the quality of the organisation. The learner handbook is effectively the policy manual for all the learner's participation in training and engagement with TMT. It should constitute a valuable information source for the learner who can reference the handbook when the learner has questions about their course participation. The learner handbook should contain information on the following topics for the learner:
 - Introduction to TMT;
 - Parking arrangements;
 - Public transport options;
 - Meal options;
 - Our expectation of you;
 - Training safety arrangements;
 - Equity and diversity support arrangements;
 - Privacy arrangements;



- Refund policy;
 - Learner access to records;
 - Continuous improvement arrangements;
 - Assessment arrangements;
 - Re-assessment policy;
 - Language, literacy & numeracy skills;
 - Education support services;
 - Making complaints & appeals; and
 - Recognition of existing skills & knowledge.
- **Course Brochure.** The course brochure is the primary means of informing prospective learners about the services to be provided in relation to a specific course leading to a qualification or units of competency. Course information can be displayed on the website and be available in a downloadable PDF for the learner to print and review. A course brochure will also be sent to the learner via email as pre-enrolment information. The course brochure should contain the following minimum information:
- the nationally endorsed outcome by code and title;
 - the expected duration of the course;
 - the entry requirements or prerequisites;
 - the mode of delivery of training and assessment;
 - the units of competency that comprise the course;
 - the assessment requirements to successfully complete the course;
 - learner resource requirements;
 - the expected locations for delivery;
 - identify clearly any third-party providers (if applicable);
 - identify any work placement arrangements;
 - the expected occupational outcomes;
 - contact details for TMT; and
 - identify the RTO by its national code and legal name.
- **Schedule of Fees and Charges.** This schedule of fees and charges provides a central place where the nominated fees and charges to participate in services with TMT are listed. Schedule of fees and charges should contain the following information:
- the total amount of all fees including course fees, administration fees, material fees and any other charges for enrolling in a training program;



- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- the nature of the guarantee given by TMT to honour its commitment to deliver services and complete the training and/or assessment once the learner has commenced study;
- any discounts, fee reductions or exemptions available for multiple enrolments, concession card holders, continuing learners, group bookings etc;
- information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services;
- the fees and charges for additional services, including such items as issuance of a replacement qualification parchment or statement of results and the options available to learners who are deemed not yet competent on completion of training and assessment; and
- TMT refund policy.

Informing learners of changes

If at any time there is a change to the agreed services to be provided or policies relating to the learner's rights and the payment of fees and other charges, TMT must advise current learners prior to any of these changes coming into effect. This includes changes in relation to new third-party arrangements or changes to ownership of TMT.

Completion Procedure

The steps to complete an enrolment from an administrative process are largely explained within a combination of the Records Retention and Management policy and the Issuing Certificates and Outcomes policy. These policies specify the procedures for:

1. Confirming the completeness of completed student assessment items before results are entered into the student management system;
2. Correctly entering competency outcomes into the student management system and recognising when a learner has completed all of the requirements for the course in which they are enrolled;
3. Generating the relevant AQF certificate and checking that it contains the correct details about the learner and their achievements;
4. Obtaining authorisation for the AQF certificate from the authorised person and together with the letter of completion issuing this issued to the learner no later than 30 days after the date of the learner's final assessment of competency;
5. Recording the dispatch of the AQF certificate to the learner in the student management system; and
6. Filing the learner's records into archive and noting this within the archiving register of the student management system.



Whilst this is a typical process where the learner has achieved all outcomes, there are circumstances where a learner may finalise their enrolment early for personal or academic reasons. Where this is the case, the learner is requested to complete the form Application for Course Deferment / Transfer / Withdrawal. This provides the learner the opportunity to specify their reasons and select to indicate their preference to defer their enrolment, to transfer their enrolment to another course or to terminate their enrolment altogether. Where the enrolment is being deferred or terminated, learners are to be issued a statement of attainment to recognise the outcomes they have achieved during their enrolment. A learner who defers and returns to complete a course will be eligible to recommence their training and receive a credit transfer for any completed units of competency. The Directors will review these applications, where possible is to interview the learner to understand their circumstances and is to record their decision using the section provided on the application. Learners are to be informed of this decision in writing.

Learner who are not contactable or not responding

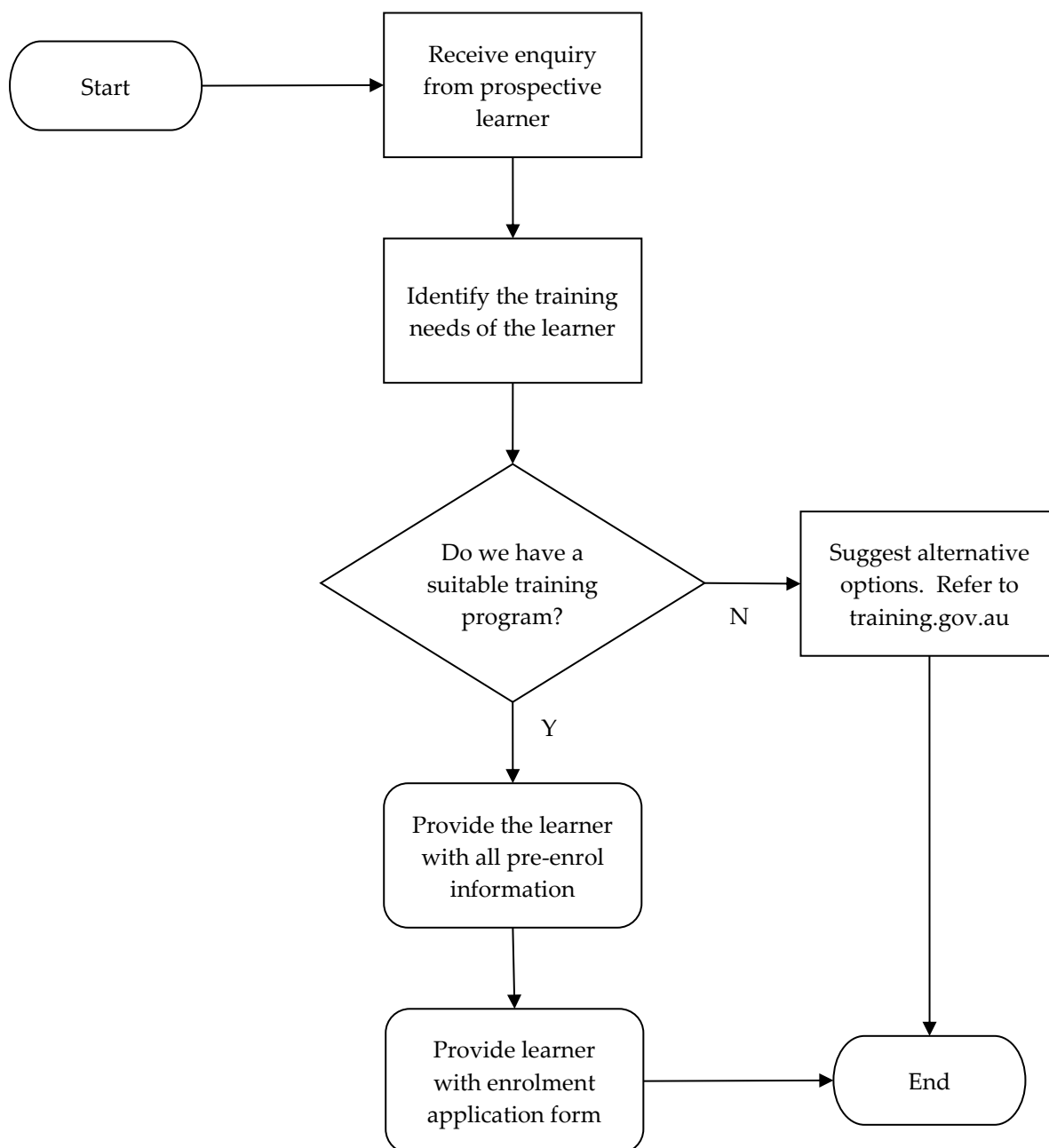
Where a learner is not contactable or fails to respond to requests by the TMT, the learner's enrolment may be terminated in absentia. This action may only be taken where the TMT has made every reasonable attempt to engage with the learner or contact the learner to seek their instructions about their intentions to continue with or complete the applicable course. Advice received from a learner via email or phone conversation communicating their request is to be accepted where the learner is not willing to complete an Application for Course Deferment / Transfer / Withdrawal. Email records and written records of phone conversations are to be retained on the learner's file as evidence of these expressed instructions from the learner.

Before a learner's enrolment can be terminated without their written or expressed consent the following protocol is to be followed:

- A minimum of three attempts (four weeks apart) must be made using the last known contact details (email, phone and mail) to contact the learner and issue the learner with a warning letter notifying them of the intent to terminate the enrolment.
- Where the learner fails to respond, the learner's enrolment is to be terminated and the learner's record within the student management system is to be updated with the outcome of "withdrawn" entered into each unit of competency that has not been completed at the time.
- Any final AQF certificate to which the learner is entitled is to be sent registered mail to the learner's last known mailing address. This should also be noted in the learner's enrolment record and a photocopy of the certificate retained on the learner's record.
- The learner's record is to be archived in accordance with the Records Retention and Management Policy.
- Applicable trainers are to be informed of the learner's enrolment termination and advised to inform the VET Quality and Administration Manager if the learner makes contact.

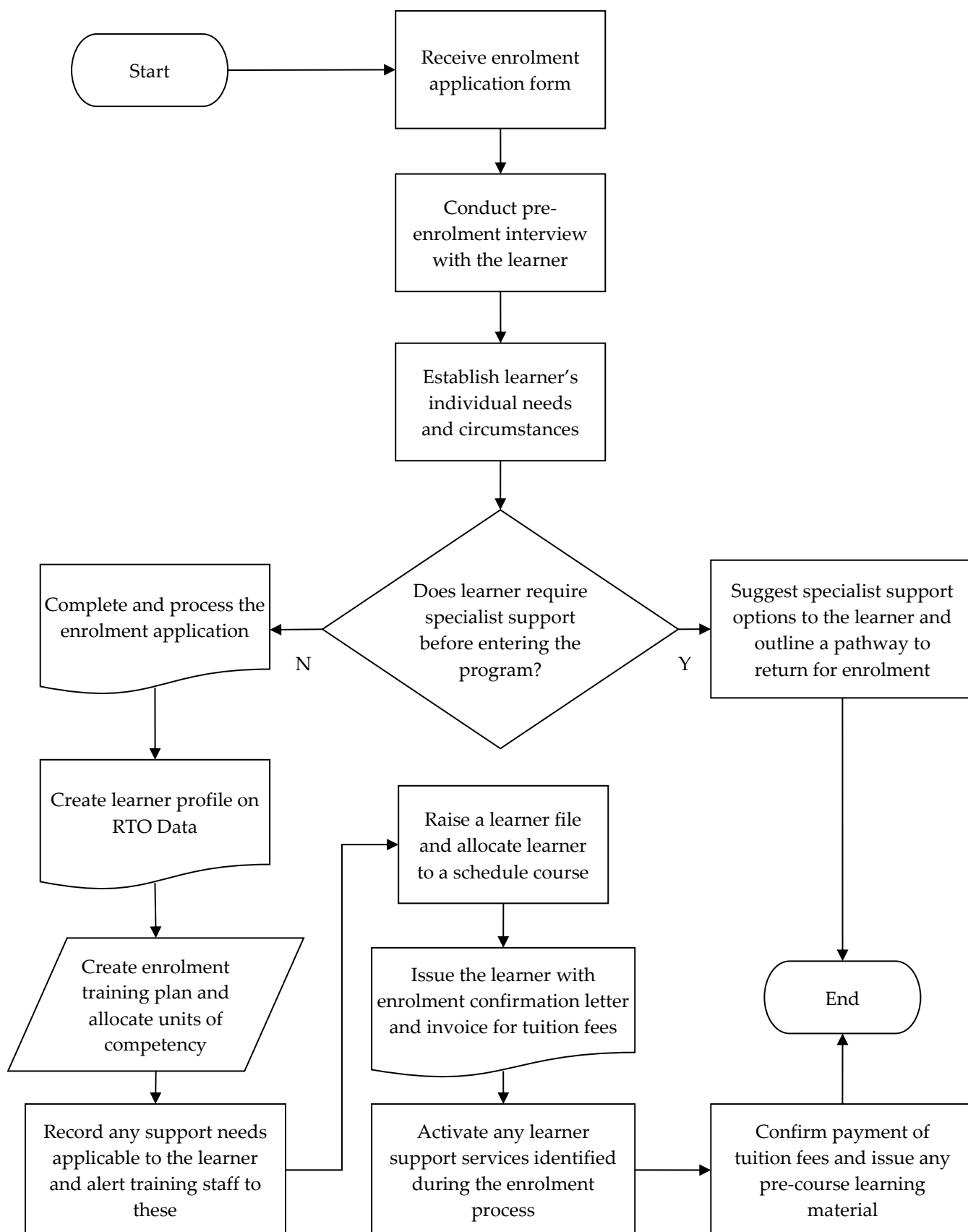


Initial Contact Process



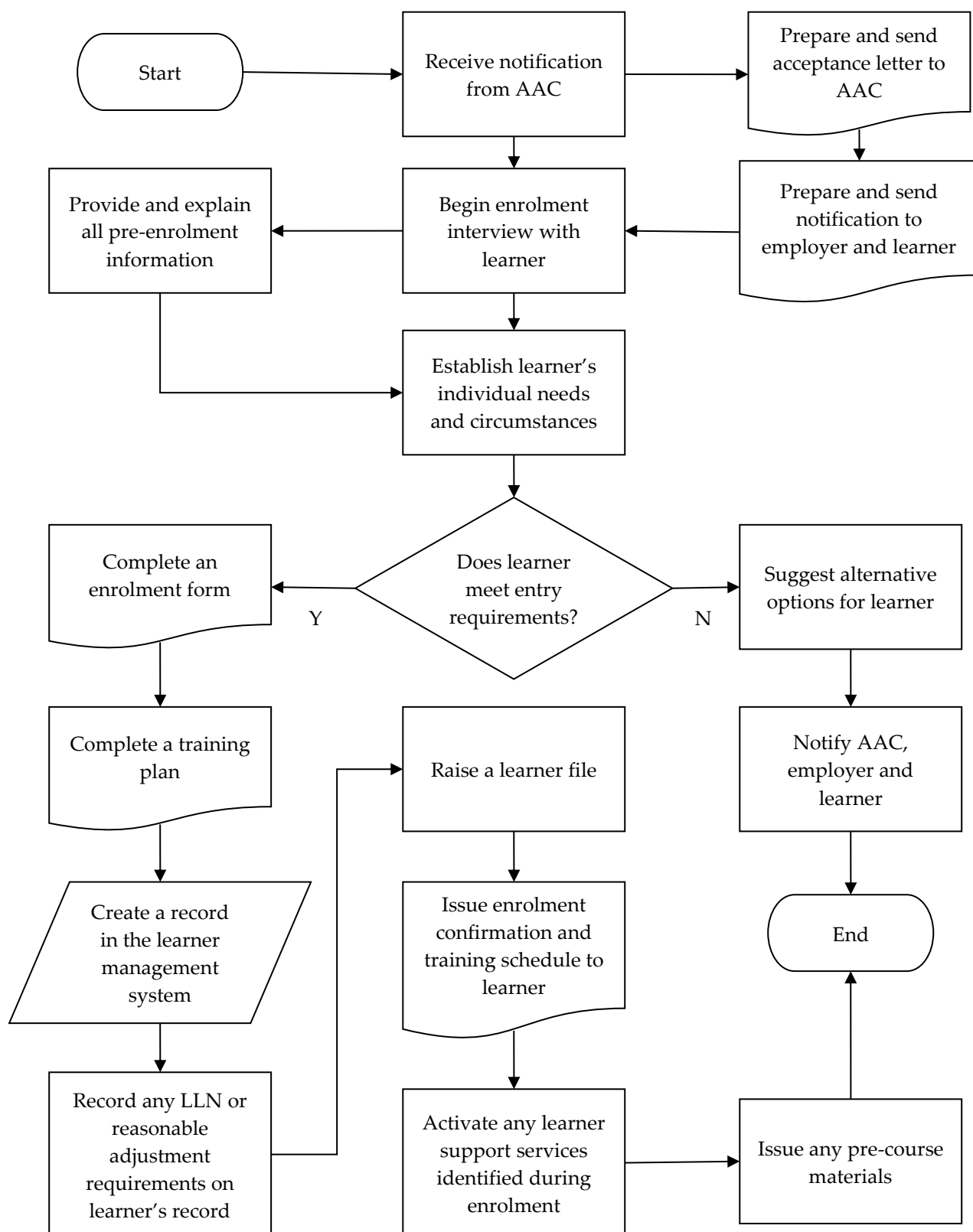


Fee for Service Enrolment Process





Funded Training Enrolment Process





4.2 – Learner Support Services

During the enrolment process, TMT will engage with a prospective learner in a number of ways in order to understand their individual needs and how we can best provide services to each learner in order to maximise their chances of successfully completing the selected training program.

We engage with learners in the following ways:

- **First Point of Contact.** During the first point of contact, the learner will be engaged either over the phone or in person to determine their training requirements and their vocational goal. This information will be used to align the learner with a particular program that we offer or to refer the learner to a different training organisation. Following the first point of contact, the learner sent an enrolment package which includes the enrolment form to gather personal information about the learner.
- **Enrolment form.** Enrolment form includes specific questions for the learner in regards to their cultural and educational background. Enrolment form also includes questions relating to their spoken English ability and their skill in literacy and numeracy. There is also a specific question which asks the learner if they have any individual needs that may prevent their full participation in the training program. This information is gathered and taking into account during the enrolment interview.
- **Enrolment interview.** Once the enrolment form is received, TMT personnel will review the information and arrange to engage with the learner to undertake the enrolment interview. This interview may be undertaken over the phone or face to face and is supported by an enrolment interview for which provides specific points for discussion during the interview relating to individual needs, LLN, rights and obligations, recognition opportunity, et cetera.

This multipoint approach ensures that learners entering a training program with TMT will have their individual needs identified which enables the allocation and arrangement for the applicable support services which may be supplied internally or by an external provider.

Under the revised 2025 Standards for RTOs (effective 1 July 2025), ASQA requires that Language, Literacy, Numeracy (LLN), and digital literacy assessments be completed prior to enrolment. RTOs must use these assessments to ensure student suitability, identify necessary support services, and align learner skills with training requirements.

Key Aspects of the 2025 LLN Requirements:

- **Pre-enrolment Mandate:** Assessments must occur before a student is enrolled, rather than after, to ensure they can succeed in the course.
- **Contextualized Assessment:** RTOs must review proficiency in the context of the specific training product.



- Digital Literacy Included: Assessment now officially includes digital literacy/capability, not just traditional LLN.
- Support Strategies: If gaps are identified, RTOs must have strategies to provide necessary support to the learner.
- Evidence Collection: RTOs must keep records demonstrating how they assessed skills and determined suitability.
- The changes focus on strengthening student support and reducing attrition by ensuring learners are not enrolled in courses beyond their current capability.



If support services are identified, the following is a guide to support that can and should be provided:

Individual need	Support Service
Pre-enrolment support to understand rights and obligations, fees and payment arrangements, and the services to be provided	Learners requiring additional support to understand the pre-enrolment information requirements are to be engaged on additional one-on-one sessions to talk the learner through the information contained within the learner handbook, the applicable course brochure and the schedule of fees and charges. It is preferable if these sessions are conducted face-to-face.
Minor LLN need that would inhibit the participation	<p>Scheduled training during a weekday only. Allocate an additional trainer to provide individual support during learning activities and reasonable adjustment during assessment activities. This support must be coordinated through the Training Manager to ensure suitable allocation of trainers is available.</p> <p>A verbal course can be offered and course structured altered to accommodate the learner.</p>
Significant LLN need that would prevent participation and completion of the course	<p>Refer the learner to TAFE to complete Course in Language, Literacy and Numeracy</p> <p>Nil Cost</p> <p>Part Time Day: 10 hours per week x 18 Weeks</p> <p>This course is delivered part-time 2 days a week 9.00am - 1.00pm</p>
Recognised difficulties in studying and learning	<p>Where appropriate to the program, learners identified with difficulties in studying and learning are to be scheduled with additional one-on-one support sessions at regular intervals throughout the course program.</p> <p>These support sessions are to be used to review the learning content with the learner and to engage the learner in discussion about the subject matter. These sessions should be structured in accordance with the planned learning applicable to the course program. The study sessions should direct learner back to the course reference material in order to encourage their individual self-paced effort.</p> <p>The following online resources are also useful for providing learner support to study:</p>



Individual need	Support Service
	<p>Effective Study skills A useful quick overview of study skills www.adprima.com/studyout.htm</p> <p>How to Study A large directory to study skills websites, including how to study in specific subject areas. www.howtostudy.org</p> <p>Study Guides and Strategies A wide ranging overview of the skills needed at all stages of learner life. www.studygs.net</p> <p>Study Skills Self-Help Covers important skills such as time management, note taking and exam preparation. www.ucc.vt.edu/stdysk/stdyhlp.html</p>
English as second language	A verbal course can be offered and course structured altered to accommodate (split days so not consecutive, more time to study and more individual attention from our trainers).
Learner suffers from a nervous/anxiety disorder.	We can accommodate by giving individual attention away from others involved in the training program. Training and assessment deliberately offered in a relaxed mode without time pressures.
Learners with a disability or medical condition	<p>All possible allowances may be provided to persons with disabilities.</p> <p>Assessors are to use their judgement in assessing the learner's ability to perform tasks in a safe manner.</p>
Learners with visual impairment	<p>Learners with visual impairment can be supported by supplying internal learning resources with a larger printed font.</p> <p>Learners can also be supplied with audio recordings of learning sessions where appropriate.</p>
Learners who are Aboriginal and Torres Strait Islander	Refer to ATSI Cultural Awareness Policy

Other individual needs can be considered on a case-by-case basis in consultation with the Directors.



4.3 - ATSI Cultural Awareness

TMT are committed to providing a culturally supportive learning environment for learners who identify as Aboriginal and Torres Strait Islander. The following information provides a guide to being culturally aware and sensitive:

Men's or Women's Business

Discuss with the learner if there are any aspects of the training that are considered Men's or Women's Business and if so make appropriate adjustments in the program for that learner.

Referring to Aboriginal People

Do not make general reference to Aboriginal people inferring that 'Aboriginal' covers both Aboriginal and Torres Strait Islander people.' This is considered offensive and generalises both cultures. It is also considered a generalisation to use the word Indigenous in reference to Aboriginal & Torres Strait Islander people — try to refrain from using this term.

Providing Support

It is important to approach this sensitively and not cause embarrassment or shame to the person by asking them whether or not they can read or write. When the time comes for the person to read or write something, ask them if they would like help. In most cases the person will ask for assistance if they need it, provided the issue has been approached with sensitivity and respect.

Swearing

It can be common for some Aboriginal people to use swear words in their regular vocabulary and in general conversation. Swearing is not considered to be as offensive as it is in non-Aboriginal culture. If this happens, try not to take any offence. This does not include a person swearing directly at you in a derogatory, threatening or offensive manner; this behaviour should not be tolerated by anyone.

Non-verbal signs

Aboriginal English makes considerable use of non-verbal signs, especially when discussing direction. These are an integral part of the communication process and should not be ignored.

Non-verbal communication

Be sensitive to the use of nonverbal communication cues which are a part of Aboriginal communication patterns. The use of silence does not mean Aboriginal people do not understand, they may be listening, remaining non-committal or waiting for community support. During discussions, Aboriginal people may delay expressing a firm opinion, preferring to listen to others' opinions first before offering their own.



Acknowledgement of land and original custodians

It is a requirement at TMT major events to provide an acknowledgement of land and original custodians. An example of this is:

‘I would like to acknowledge the original custodians, the Widjibal people of the Bundjalung nation, on whose land we are meeting today. I would also like to pay my respects to Elders past and present, and welcome all Aboriginal people here with us today.’

Welcome to Country

A Welcome to Country can only be performed by an Elder or leader who is from the community in which you are meeting. A non- Aboriginal person cannot perform a Welcome to Country and to do so is rude and disrespectful to the traditional owners and to all Aboriginal people. An Aboriginal person or group delivering a Welcome to Country for an event must be remunerated.



4.4 – Core Skills Support

Core skills are critical to almost all areas of work. This is particularly true in many vocations where language, literacy and numeracy skills influence the performance of workplace tasks such as comprehending written work instructions and producing written documents. The Australian Core Skills Framework (ACSF) describes each of the five core skills of learning, reading, writing, oral communication and numeracy. Staff non familiar with the ACSF are recommended to study the information available at the following two sites:

<https://www.education.gov.au/australian-core-skills-framework>

www.precisionconsultancy.com.au/acs_framework

Research has indicated that many adult learners do not have the language, literacy and numeracy skills they need to effectively participate in vocational education and training. The increasing importance of core skills such as communication in the workplace highlights the need for underpinning language, literacy and numeracy skills.

To support this approach TMT will:

- Assess a learner’s core skills during their enrolment on an as needed basis to ensure they have adequate skills to complete the training;
- Support learners during their study with training and assessment materials and strategies that are easily understood and suitable to the level of the workplace skills being delivered;
- Provide clear information to learners about the detail of the core skills assistance available;
- Refer learners to external language, literacy and numeracy support services that are beyond the support available within TMT and where this level of support is assessed as necessary; and
- Negotiate an extension of time and other support arrangements to assist learners to complete training programs if necessary.

Core Skills Support Procedure

The following procedure is to be followed in order to assess a learner’s core skills:

- **Self-assessment.** In the first instance, prospective learners are asked on the enrolment form “Do you consider that you have adequate language, literacy and numeracy skills to undertake the course?” In response to this question, the learner may tick yes, no or not sure. If the learner ticks yes, it is to be assumed that the learner will have the language, literacy and numeracy skills to undertake the training.
- **Interview.** If the learner ticks no or not sure on the enrolment form, the learner should be contacted and arrangements made for an interview to further assess their language, literacy and numeracy skills. The interview will be by phone. The purpose of the interview is to establish the background, motivation and



general abilities of the learner to determine what support TMT may provide. The Core Skills Interview Guide is available in the forms folder.

- **Core skills Indicator Assessment.** Depending on the information gained from the interview, it may be necessary to invite the learner to undertake a Core Skill Assessment. The assessment is not intended to cause anxiety but to determine where the learner has specific language and literacy deficits and to determine what support is required to undertake TMT training. The Core Skills Indicator Assessment is available in the forms folder.

Supporting learners with language, literacy and numeracy deficits

Where it is determined that a learner does have deficiencies with their core skills, TMT is to adopt strategies which enable the learner to progress in their desired training program. The following strategies are to be considered and will be informed by the level of language, literacy or numeracy deficit determined during the assessment:

- Negotiate a training program with the learner that recognises that additional time will be required to appropriately support the learner to complete the training.
- Obtain a strong commitment from the learner that they will provide personal effort that is in addition to that normally required to undertake the training program.
- If agreed to by the learner, engage with the learner’s employer to negotiate the additional time and effort required to appropriately support the learner during the training program.
- Provide the learner with a list of the words and terms which are highly relevant to the workplace skills and knowledge being delivered within the training program. This list should be practised with the learner to get them comfortable with identifying the words and their meaning. This list should be expanded over time and acts as a “vocational vocabulary” and will focus the learner on small steps of achievement.
- Program sessions where learning information that would usually be delivered to the learner via their own reading is presented to the learner verbally and is supported by questions and answers.
- Make arrangement to regularly engage via teleconference with the learner to monitor their progress and adjust the support strategies.

Referring the learner for language, literacy and numeracy assistance

Where it is determined that a learner has core skills which are beyond the support available within TMT, the learner should be referred for dedicated language, literacy and numeracy training. This training is available through most public training providers (SWSi TAFE in Sydney). These courses have been designed to provide learners with the opportunity to gain specific language, literacy and numeracy skills required in a vocational or work environment, which meet the requirements to gain entry into a range of vocational qualifications and gain language, literacy and numeracy related employability skills.



Deciding to refer the learner

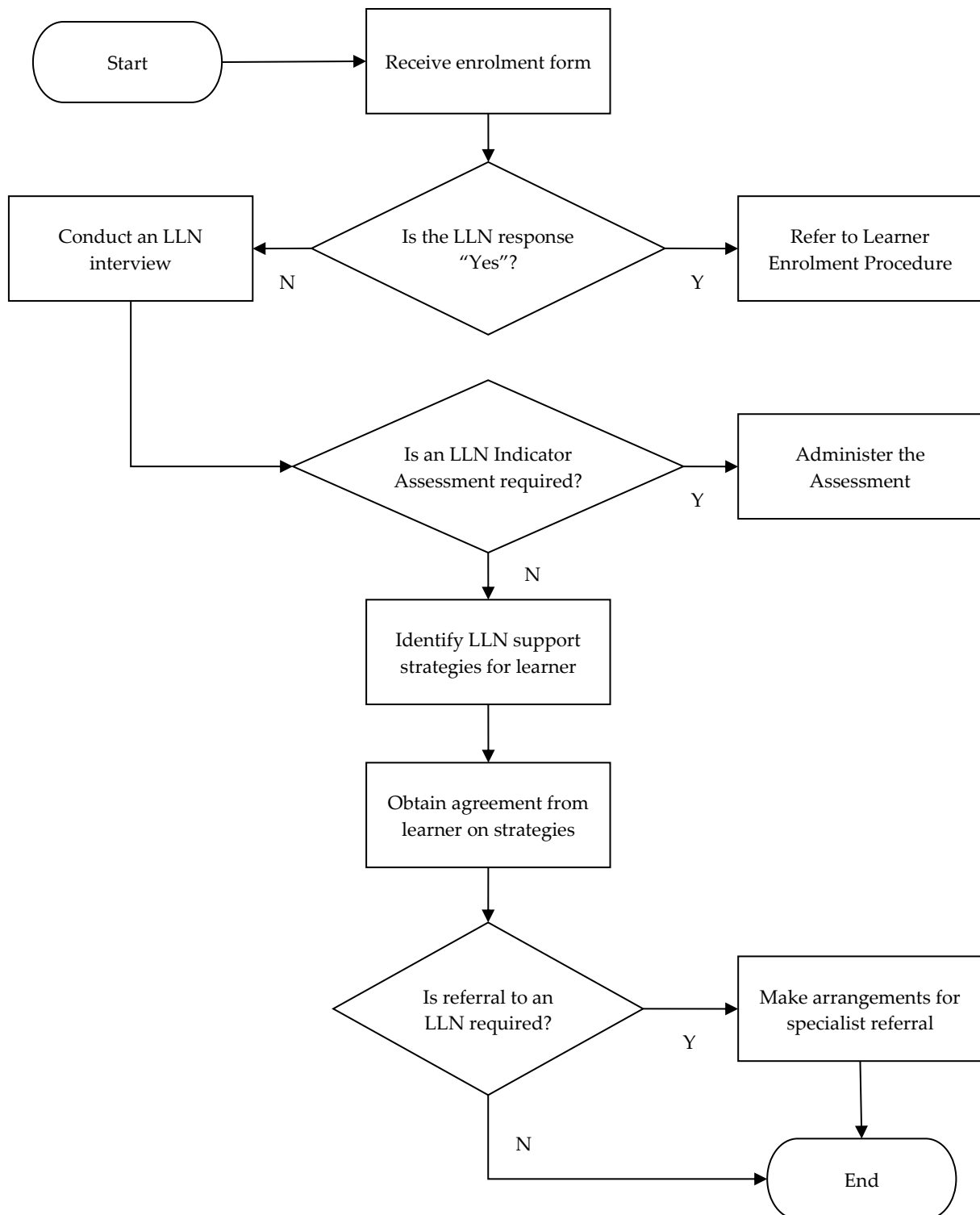
The decision to refer a learner to another training provider for language, literacy and numeracy training will be based on the level of assessed core skills deficit and the learner's motivation to improve their abilities.

As a general guide:

- If the learner does not currently possess the basic skills to perform training and development tasks in the workplace, they **should** be referred for assistance which should occur prior to enrolment with TMT.
- If the learner's skills are adequate for the workplace but will hinder their participation in training, they **should not** be referred. Instead, TMT is to design and implement suitable support services to enable their training and assessment.



Core Skills Process





4.5 - Complaints Handling

TMT is committed to providing a fair and transparent complaint handling process.

What is a complaint?

A complaint is generally negative feedback about services or people which has not been resolved locally.

Who does this policy apply to?

This policy applies to and may involve issues concerning the conduct of:

- TMT as an organisation, its trainers, assessors or other staff;
- Third party's services provided on the behalf of TMT, its trainers, assessors or other staff; or
- a learner of TMT.

This is an important point to note in understanding that this policy has a broad application and is not simply relevant to complaints that may be made by learners. A complaint may be made by an employer about TMT or by the trainer about the conduct of the learner. Throughout this policy we refer to the person making a complaint as simply the complainant.

Early resolution of complaints

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It is often the case that complaints can be avoided by proper communication and respect between persons involved.

Relationship to continuous improvement

Frequently, the complaints handling process will expose weaknesses in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of complaints handling is very positive and should be actively applied by all persons involved. It is for this reason that complaints received from stakeholders should be seen in a positive light and as opportunities for improvement.

Making a complaint

A complaint may be received by TMT in any form and does not need to be formally documented by the complainant in order to be acted on. Complaints may be made by any person.

To make a complaint, the person is recommended to complete the contact form expressing their concerns or produce a formal email or letter to outline the issues.



The completed complaint form is to be submitted to the VET Quality and Administration Manager either in hard copy or electronically via the following contact details:

admin@tmtraining.com.au

If a complainant has any difficulty accessing the required form or submitting the complaint to TMT, they are advised to contact the office immediately at the following phone number:

1300 699 644

Complaint handling procedure

TMT will apply the following procedure to its complaints handling:

- A complaint may be received in any form (written, verbal) although persons seeking to make a complaint are recommended to complete the complaint form which is available to them on the website. There is no time limitation on a person who is seeking to make a complaint. A person who makes a complaint must be **provided a written acknowledgement** as soon as possible and **not later than 24 hours** from the time the complaint is received. This acknowledgement is intended to provide the complainant assurance that TMT had received the complaint and will review the relevant issues and provide a response. The acknowledgement must inform the complainant that they will receive a written response within 14 days.
- A written record of all complaints is to be kept by TMT including all details of lodgement, response and resolution. The complaints register within RTO Data is to be used to record the details of the complaint and to maintain a chronological journal of events during the complaint handling process. Records relating to complaint handling must be stored securely to prevent access to unauthorised personnel.
- A complainant is to be provided an opportunity to formally present his or her case at no cost.
- Each complainant may be accompanied and/or assisted by a support person at any relevant meeting.
- Where a complaint is made about or involves allegations about another person, TMT is obliged to inform this person about this complaint or allegation and provide them the opportunity to respond and present information in response to the issues raised. This may be achieved through direct meetings or meeting via an electronic means. TMT must maintain a detailed record of these meetings in the form of a record of conversation. At all times information must be handled sensitively and treated in confidence. Persons involved in a dispute or complaint should be reminded to treat each other with respect and conduct themselves in a professional and courteous manner.
- Where a complaint is received by TMT which involve allegations about alleged criminal conduct, TMT are to recommend the person making the complaint refer the matter to the relevant State or Territory Police Service.



- The complaints policy must be publicly available. This means that the complaints policy and procedure must be published on the TMT website.
- The handling of a complaint is to commence within **seven (7) working days** of the lodgement of the complaint and all reasonable measures are taken to finalise the process as soon as practicable.
- The complainant is to be provided a written response to the complaint, including details of the reasons for the outcome. A written response must be provided to the complainant within **fourteen (14) working days** of the lodgement of the complaint.
- Complaints must be resolved to a final outcome within **sixty (60) calendar days** of the complaint being initially received. Where TMT Directors considers that more than 60 calendar days are required to process and finalise the complaint, the Directors must inform the complainant in writing, including reasons why more than 60 calendar days are required. As a benchmark, TMT should attempt to resolve complaints as soon as possible. A timeframe to resolve a complaint within thirty (30) calendar days is considered acceptable and in the best interest of TMT and the complainant. A complainant should also be provided with regular updates to inform them of the progress of the complaint handling. Updates should be provided to the complainant at a minimum of **two (2) weekly intervals**.
- TMT shall maintain the enrolment of the complainant during the complaint handling process.
- Decisions or outcomes of the complaint handling process that find in the favour of the learner shall be implemented immediately.
- Complaints are to be handled in the strictest of confidence. No TMT representative is to disclose information to any person without the permission of TMT Directors. A decision to release information to third parties can only to be made after the complainant has given permission for this to occur. This permission should be given using the Information Release Form.
- Complaints are to be considered and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the complaint handling process. This means that the complainant is entitled to be heard with access to all relevant information and with the right of reply. The complainant is entitled to have their complaint heard by a person that is without bias and may not be affected by the decision. Finally the decision must be made based on logical evidence and the decision-maker must take account of relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations. Further guidance on principles of natural justice and procedural fairness can be accessed at the following link: [Principles of Natural Justice and Procedural Fairness](#)
- Complaint handling procedures should conclude with an analysis of the circumstances to identify any opportunities for improvement.

Informing Persons and Responding to Allegations

Where a complaint involves one person making allegations about another person, it is a requirement for TMT to hear both sides of the matter before making any judgements about how the complaint should be



settled. A person who will be affected by a decision made by TMT as a result of a complaint has the right to be fully informed of any allegations and to be provided adequate opportunity to be heard and respond. The person has the right to:

- put forward arguments in their favour,
- show cause why a proposed action should not be taken,
- deny allegations,
- call for evidence to disprove allegations and claims,
- explain allegations or present an innocent explanation, and
- provide mitigating circumstances (information aimed at reducing the severity, seriousness, of something).

TMT also has an obligation to fully consider the substance of allegations and the response provided by parties before making a decision. Decisions must be communicated to the complainant and relevant persons subject of allegations in writing. This is to include advising these persons of their right to seek a third party review of decisions made by TMT.

Where an allegation is made that involve alleged criminal or illegal activity and it is considered outside the scope and expertise of TMT to investigate the matter, then in these circumstances TMT reserve the right to report these allegations to law enforcement authorities. Persons related to the matter involving alleged criminal or illegal activity will be advised in writing if this course of action is being taken.

Third Party Review

Where the person making a complaint is not satisfied with the handling of the matter by TMT, they have the opportunity for a body or person that is independent of TMT to review his or her complaint following the internal completion of complaint handling process. Before a person seeks a review by an independent person, they are requested to first allow TMT to full consider the nature of the complaint to fully respond to the person in writing. If after this has occurred, the person is not satisfied with the outcome, they can then seek a review by an independent person.

To request a review by an independent person, the complainant should inform the VET Quality and Administration Manager of their request who will initiate the process with the Directors.

In these circumstances the TMT Directors will advise of an appropriate party independent of TMT to review the complaint outcome (and its subsequent handling) and provide advice to TMT in regards to the recommended outcomes. The independent third-party is required to respond with their recommendations within **fourteen (14) working days** of their review being requested. This advice is to be accepted by TMT as final, advised to the person making a complaint in writing and implemented without prejudice.



Where the TMT appoints or engages an appropriate independent person to review a complaint, the TMT will meet the full cost to facilitate the independent review. Where the person seeking an appeal objects to this appointment and requests to engage a person or organisation they nominate to undertake the review, the TMT may seek the person making a complaint to contribute to the cost of engaging this person to undertake the review. This is advised to the person making a complaint within the Learner Handbook.

Where a complaint is received by TMT and the Directors feels that they may be bias or there is a perception of bias, then the complaint is to be referred directly to an independent third-party for consideration and response as outlined above.

Unresolved Complaints

At full conclusion of the complaint handling process where the person making a complaint remains not satisfied with the outcome of the complaint handling procedure, the person making a complaint is to be directed to the following external agencies:

- In relation to consumer related issue, the person may refer their complaint to the **Office of Fair Trading**.
- In relation to the delivery of training and assessment services, the person may refer their complaint to the **National Training Complaints Service** via the following phone number: 13 38 73.

This guidance is communicated to learners within the Learner Handbook. It is expected that the above agencies will investigate the persons concerns and contact the TMT for information.

The TMT is to cooperate fully with agencies such as the National Training Complaints Service, the Office of Fair Trading or ASQA that may investigate the handling of a complaint. TMT considers that it would be extremely unlikely that a complaint is not able to be resolved quickly within TMT internal arrangements.

Record Management of Complaint Records

Records relating to complaints will present in two formats. There will be electronic records in the form of email correspondence and other documents which are communicated electronically and hard copy records which are submitted by the complainant or generated by TMT.

There is also a record of the complaint maintained within the TMT student management system RTO Data. This includes the details about the complaint and a diary log which records the progress of the complaint handling and closure. This record also records identified opportunities for improvement that result from complaints handling.

All records regardless of their format (excluding RTO Data) will be saved in a digital format into a secure folder located on the TMT file storage. Each file is to be clearly labelled with the document title or subject and the date of which the document was received or generated. This folder must only be accessible to persons authorised by the Directors. Records stored on RTO Data are to be accessible only to RTO data administrators and managers.



To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorized personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of complainants.
- Records must be kept to avoid damage by fire, flood, termites or any other pests.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

Period of retention of Complaints Records

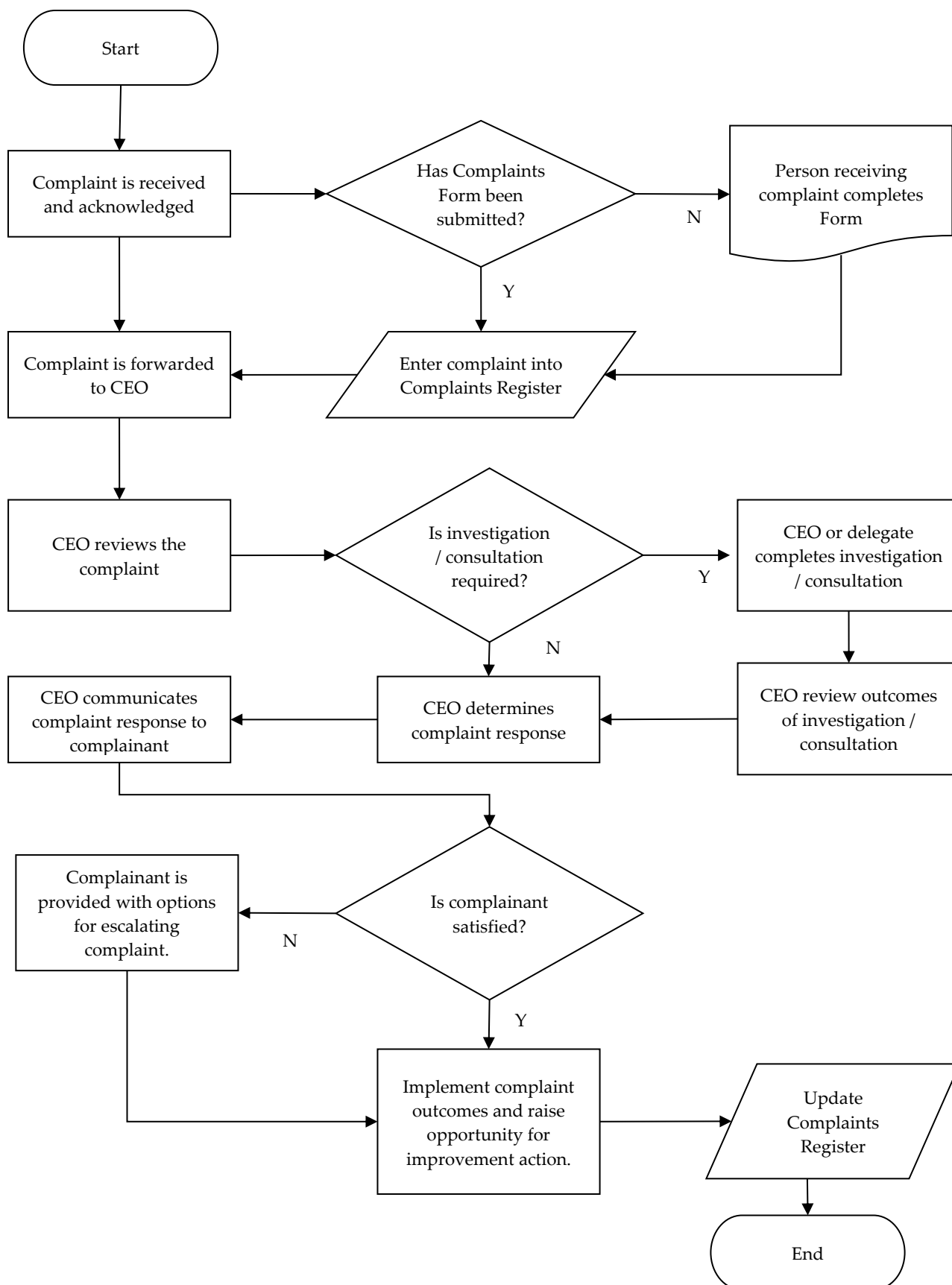
TMT is to retain records relating to complaints handling for a minimum of five (5) years.

Destruction of Complaints Records

TMT Directors is the only person who can authorise (in writing) the destruction of complaint handling records. Records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled.



Complaints Handling Process





4.6 – Appeals Handling

TMT is committed to providing a fair and transparent appeals handling process.

What is an appeal?

An appeal is an application by a learner for reconsideration of an unfavourable decision or finding during their time with TMT. An appeal must be made in writing and specify the particulars of the decision or finding in dispute. Appeals must be lodged within **twenty-eight (28) working days** of the decision or finding is informed to the learner.

It is important to note that a learner may appeal any decision made by TMT or a third-party providing services on TMT behalf. Contrary to the popular belief that appeal relates only to assessment decisions, appeals can relate to administrative decisions that TMT may make. Examples of this include an appeal of a decision to deny a refund or to deny an application for credit transfer. As the process for handling and assessment appeal compared with an appeal of an administrative decision is slightly different, this difference has been catered for within this policy with adjusted processes for both situations.

Early resolution of appeals

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It can often be the case that a learner's decision to make an appeal can be avoided by proper communication and consultation with learners at the time a decision is made.

Relationship to continuous improvement

Frequently, the appeals handling process will expose weaknesses in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of appeals handling is very positive and should be actively applied by all persons involved. It is for this reason that appeals received from stakeholders should be seen in a positive light and as opportunities for improvement.



Making an appeal

An appeal must be received by TMT in writing using the specified form within **twenty eight (28) working days** of the decision or finding being informed to the person.

To appeal a decision, the person is required to complete the TMT - Request for Appeal of a Decision. This form is available via our website. The completed Request for Appeal form is to be submitted to the VET Quality and Administration Manager either in hard copy or electronically via the following contact details:

10 Fox Street

BALLINA NSW 2478

ohs@aapt.net.au

If a person seeking an appeal has any difficulty accessing the required form or submitting the appeal to TMT, they are advised to contact TMT immediately at the following phone number:

(02) 6686 5053

Appeal handling procedure

TMT will apply the following procedure to its appeals handling:

- Appeals must be lodged within **twenty-eight (28) working days** of the decision or finding being informed to the person. An appeal must be submitted using the TMT - Request for Appeal of a Decision.
- A person who submits an appeal must be **provided a written acknowledgement** as soon as possible and **not later than 24 hours** from the time the appeal is received. This acknowledgement is intended to provide the person making an appeal assurance that TMT had received the appeal and will review the relevant issues and provide a response. The acknowledgement must inform the person making an appeal that they will receive a written response within 14 days.
- A written record of all appeals is to be kept by TMT including all details of lodgement, response and resolution. The appeals register within RTO Data is to be used to record the details of the appeal and to maintain a chronological journal of events during the appeal handling process. Records relating to appeal handling must be stored securely to prevent access to unauthorised personnel.
- An appellant is to be provided an opportunity to formally present his or her case at no cost.
- Each appellant may be accompanied and/or assisted by a support person at any relevant meeting.
- The appeals policy must be publicly available. This means that the appeals policy and procedure must be published on the TMT website.



- The handling of an appeal is to commence within **seven (7) working days** of the lodgement of the appeal and all reasonable measures are taken to finalise the process as soon as practicable.
- The appellant is to be provided a written response to the appeal, including details of the reasons for the outcome. A written response must be provided to the appellant within **fourteen (14) working days** of the lodgement of the appeal.
- Appeals must be resolved to a final outcome within **sixty (60) calendar days** of the appeal being initially received. Where TMT Directors considers that more than 60 calendar days are required to process and finalise the appeal, the DIRECTORS must inform the appellant in writing, including reasons why more than 60 calendar days are required. As a benchmark, TMT should attempt to resolve appeals as soon as possible. A timeframe to resolve an appeal within thirty (30) calendar days is considered acceptable and in the best interest of TMT and the appellant. An appellant should also be provided with regular updates to inform them of the progress of the appeal handling. Updates should be provided to the appellant at a minimum of **two (2) weekly intervals**.
- TMT shall maintain the enrolment of the appellant during the appeal handling process.
- Decisions or outcomes of the appeal handling process that find in the favour of the appellant shall be implemented immediately.
- Appeals are to be handled in the strictest of confidence. No TMT representative is to disclose information to any person without the permission of TMT Directors. A decision to release information to third parties can only to be made after the appellant has given permission for this release to occur. This permission should be given using the Information Release Form.
- Appeals are to be considered and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the appeal handling process. This means that the appellant is entitled to be heard with access to all relevant information and with the right of reply. The appellant is entitled to have their appeal heard by a person that is without bias and may not be affected by the decision. Finally, the decision must be made based on logical evidence and the decision-maker must take account of relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations. Further guidance on principles of natural justice and procedural fairness can be accessed at the following link: [Principles of Natural Justice and Procedural Fairness](#)
- Appeals handling procedures should conclude with an analysis of the circumstances to identify any opportunities for improvement.

Third Party Review

Where the appellant is not satisfied with the handling of the matter by TMT, they have the opportunity for a body or person that is independent of TMT to review his or her appeal following the internal completion of appeals handling process. Before a person seeks a review by an independent person, they are requested to first allow TMT to fully consider the nature of the appeal and to fully respond to the person in writing. If



after this has occurred, the person is not satisfied with the outcome, they can then seek a review by an independent person.

To request a review by an independent person, the person making an appeal should inform the VET Quality and Administration Manager of their request who will initiate the process with the Directors.

In these circumstances the TMT Directors will advise of an appropriate party independent of TMT to review the appeal outcome (and its subsequent handling) and provide advice to TMT in regards to the recommended outcomes. The independent third-party is required to respond with their recommendations **within fourteen (14) working days** of their review being requested. This advice is to be accepted by TMT as final, advised to the appellant in writing and implemented without prejudice.

Where the TMT appoints or engages an appropriate independent person to review an appeal, the TMT will meet the full cost to facilitate the independent review. Where the person seeking an appeal objects to this appointment and requests to engage a person or organisation they nominate to undertake the review, the TMT may seek the person seeking an appeal to contribute to the cost of engaging this person to undertake the review. This is advised to the person seeking an appeal within the Learner Handbook.

Where an appeal is received by TMT and the Directors feels that they may be bias or there is a perception of bias, then the appeal is to be referred directly to an independent third-party for consideration and response as outlined above.

Unresolved Appeals

Where the appellant remains not satisfied with the outcome of the appeals handling procedure, the appellant is to be directed to the following external agencies:

- In relation to consumer protection issues, these may be referred to the **Office of Fair Trading**.
- In relation to the delivery of training and assessment services, these may be referred to the **National Training Complaints Service** via the following phone number: 13 38 73.

This guidance is communicated to learners within the Learner Handbook. It is expected that the above agencies will investigate the persons concerns and contact the TMT for information.

The TMT is to cooperate fully with agencies such as the National Training Complaints Service or ASQA that may investigate the handling of an appeal. TMT considers that it would be extremely unlikely that appeals are not able to be resolved quickly within TMT internal arrangements.

Record Management of Appeals Records

Records relating to appeals will present in two formats. There will be electronic records in the form of email correspondence and other documents which are communicated electronically and hard copy records which are submitted by the appellant or generated by TMT.



There is also a record of the appeal maintained within the TMT student management system RTO Data. This includes the details about the appeal and a diary log which records the progress of the appeal handling and closure. This record also records identified opportunities for improvement that result from appeals handling.

All records regardless of their format (excluding RTO Data) will be saved in a digital format into a secure folder located on the TMT file storage. Each file is to be clearly labelled with the document title or subject and the date of which the document was received or generated. This folder must only be accessible to persons authorised by the Directors. Records stored on RTO Data are to be accessible only to RTO data administrators and managers.

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of the appellant.
- Records must be kept to avoid damage by fire, flood, termites or any other pests.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

Period of retention of Appeals Records

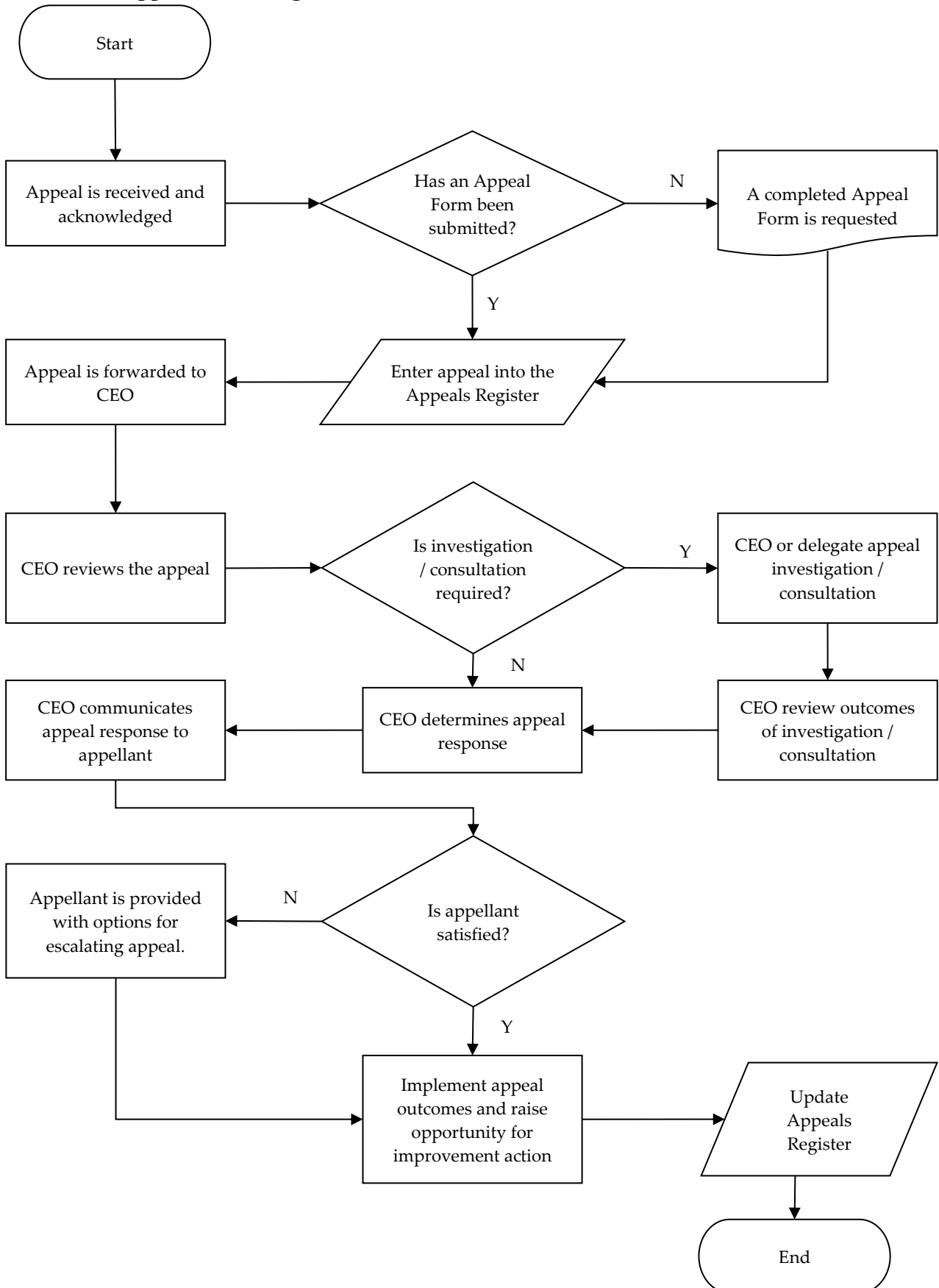
TMT is to retain records relating to appeals handling for a minimum of five (5) years.

Destruction of Appeals Records

TMT Directors is the only person who can authorise (in writing) the destruction of appeals handling records. Records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled.

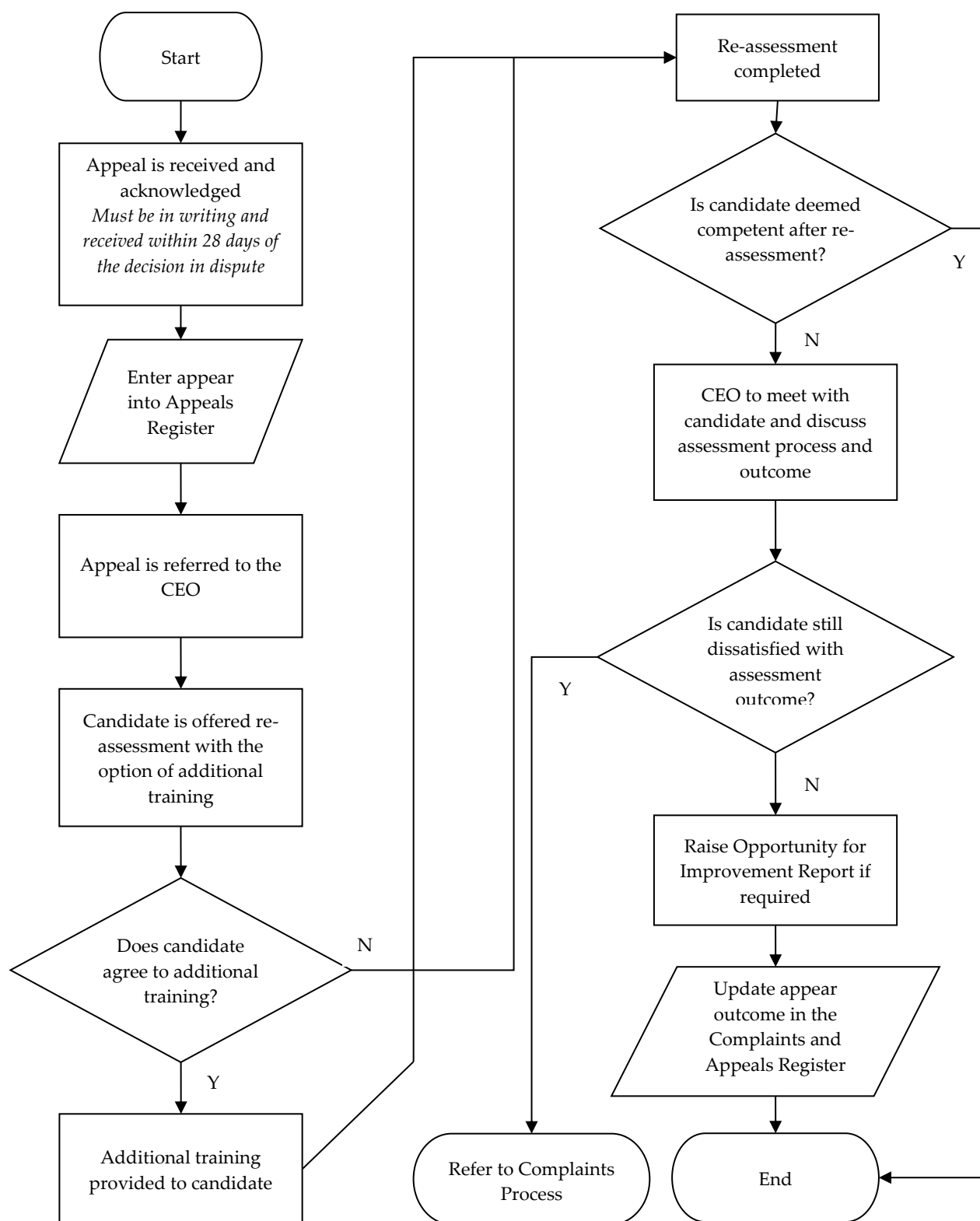


Administrative Appeals Handling Process





Assessment Appeals Handling Process





4.7 – Learner Access to Records

At TMT we acknowledge that learners need access to their records in order to monitor their progress and participation. TMT will facilitate access to records to a learner on request.

Requesting access to records

Learners who require access to their records are required to complete a Records Request Form. This form can be obtained from any TMT staff member. It is the responsibility of all staff to respond positively to these requests and assist the learner to complete the request form and facilitate access.

It should be noted that access will only be provided to the learner in person and only after identification has been confirmed. Photo ID is required.

TMT also requires the payment of an administrative fee of \$20.00 if the learner requires a copy of their records. This is a one-off admin fee that is only payable where copies are requested to take away by the learner. If the learner is simply requesting access to view records then this incurs no cost. The learner does however need to complete the Records Request Form on all occasions where access is requested.

The completed Records Request Form can be submitted to any staff member who will pass the request to the VET Quality and Administration Manager. The VET Quality and Administration Manager will respond to the request within five working days.

What records can be accessed?

The Records Request Form seeks to identify what specific records are requested to access. These may include:

- hard copy records from your learner file which will include enrolment administrative records and assessment evidence.
- activity data which is contained within the TMT learner management system including your electronic training plan and details of awarded units of competency.

How are records accessed?

Once a learner has requested access to records, a staff member will organise for the learner to attend the TMT office where controlled access will be provided. Controlled access means, hardcopy records may be viewed by the learner in the presence of an TMT staff member.

Learners who request activity data from the TMT learner management system can be provided this in a printed report format which details all activity recorded within the learner's training plan for any specific enrolment which includes achievement of units of competency.



Learners who request to access their records are to be provided with this access at the earliest opportunity. TMT is committed to maintaining a transparent and equitable training environment.

Access by external authorities

The Australian Skills Quality Authority is entitled to collect activity data about a learner's enrolment and achievements. This information includes all information submitted by the learner during the enrolment process. This information is collected for the purpose of auditing participation and the monitoring and reporting of training outcomes.

The information provided by learners may be accessed by Commonwealth officers and by the National Centre for Vocational Education and Research (NCVER) for statistical research purposes.



Section Five - Training and Assessment



5.1 – Training and Assessment Strategy Development

This policy outlines the approach to be applied to the development and application of the Training and Assessment Strategy (strategy) within TMT operations. The strategy is an important document for TMT. It is the plan by which our training and assessment is delivered. Once developed, it is continuously improved as training and assessment services are also continuously improved. It is a ‘live’ document and should always accurately reflect the current way in which training and assessment is being provided.

The strategy has an important relationship to other documents used to deliver training and assessment. It holds a central position as the parent document to all other documents used in training for the relevant training program.

We will develop and maintain a strategy for each training program we offer. Other important documents that support the implementation of a strategy include learning resources, assessment resources, industry resources and TMT resources.

Strategies are also supported by other resources such as those developed by industry, e.g. industry regulations or equipment operating instructions.





Training and Assessment Strategies Development Procedure

In the development of strategies to support TMT operations we apply the following guidelines:

The strategy should provide the following information:

The Front Matter

- **Title and Context.** It should identify the training program title and TMT contact details. It should also show what the qualification code and title (if applicable) is and the industry Training Package from where the qualification has been drawn. We will ensure that the selected Training Package is current and has not been superseded. Training Packages can be amended under a continuous improvement arrangement. This means that they can change frequently.
- **Units of competency.** The strategy should clearly identify the units of competency which comprise the training program. It should also show which units are core and which units are elective. Note that the shape and content of a course can vary greatly when elective units are selected. It is acceptable in the strategy to only list those units that we have identified as most likely required by industry (through industry consultation). There is no need to list every possible elective as individual learner needs will be established at enrolment and appropriate training plans can be developed on an individual basis. It should be noted in the strategy that the units as shown are indicative and will vary based on a learner's or employer's workplace requirements.
- **The Target Learner.** Next, the strategy should identify the target learner. As much information should be recorded about the analysis of the target learner which is gathered during industry consultation. At a minimum, information should include the following:
 - Typical employment situation such as school leaver, employed, unemployed, etc.
 - Characteristics, such as typical age, vocational experience, prior training and qualifications, physical requirements or motivation. The statement about motivation should clearly identify what motivates the learner group to undertake the training. This might be such things as to acquire new skills, to seek new employment or to obtain a particular licence. It is important for TMT to recognise that learners will have different motivations and we will seek to understand these during the enrolment process and when tailoring training to meet a learner's needs.
 - Perceived language, literacy and numeracy (LLN) skills and how this aligns to the LLN requirements of the course.
 - Pre-requisites that apply to the course, these should be clearly listed and perhaps explain how these will be checked during enrolment.



Training Strategy

The training strategy should outline how the training will be delivered in detail. This will include the following:

- **Duration.** The expected duration of the training program needs to be identified. These include a break down by units of competency and a clear statement of the indicative hours to complete the course. It should be noted that duration may vary from learner to learner depending on their choice of electives, recognised prior learning, national recognition and method of delivery. The Standards for Registered Training Organisations say that when determining the amount of training the RTO must have regard to:
 - the existing skills, knowledge and the experience of the learner;
 - the mode of delivery; and
 - where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.
- An important guide to determining a course duration is the expected volume of learning published for each qualification in the Australian Qualifications Framework. The volume of learning for each qualification is shown below:

Cert I	Cert II	Cert III	Cert IV	Diploma	Advanced Diploma
0.5 – 1 year	0.5 – 1 year	1 – 2 years	0.5 – 2 years	1 – 2 years	1.5 – 2 years

- **Delivery methods.** The delivery methods selected for use during training should be clearly identified. These may include workplace based, residential, face to face, distance, technology based or a combination of these. Importantly, this will shape what resources TMT develop or acquire as the supporting resources for the training program.
- **Organisation and Sequencing.** During the analysis of the Training Package requirements, units of competency which contain pre-requisite or co-requisite requirements must be identified. This will shape the sequencing of the delivery as will the requirements of industry and the deployment and expenditure of resources. Organisation and sequencing strategies that may be applied include simple to complex, clustered delivery, unit by unit or a strategy that is based on the way work is actually performed. It is important to note here that TMT recognise that the primary factors to influence the organisation of a training program are industry requirements.
- **Strategies for Evaluation.** Toward the end of the training strategy, the strategies for evaluation should be outlined that will ensure that the training program continues to meet industry requirements. Evaluation strategies may include:



- Surveying learners and employers about their satisfaction with training;
 - Moderation between trainers to seek out and agree on strategies to improve the services to learners;
 - Internal auditing by a suitably qualified and externally sourced auditor to provide impartial advice about training strategies; and
 - Engagement with employers and industry to determine if the training program is delivering skills and knowledge in line with current workplace requirements and the industry currency of TMT’s trainer and assessors is appropriate.
- **Trainers.** At the end of the training strategy, it should clearly identify (by name) the trainers to deliver the training. This should also include a statement about their vocational qualifications and experience applicable to the training program and their competence to deliver training in accordance with the Standards for Registered Training Organisations.

Assessment Strategy

The assessment strategy is a critically important component of the training program strategy. It will define how evidence will be gathered from learners and demonstrate how the assessment will meet the Training Package requirements, meet the rules of evidence and be conducted in accordance with the principles of assessment. The following points characterise the general requirements of good practice assessment that are applied by TMT:

- Evidence is gathered over time involving a number of assessments rather than on one assessment occasion.
- Evidence is gathered using a range of assessment methods to allow for differences in candidate performance.
- Evidence is gathered in the holistic performance of workplace tasks not on isolated performance which does not realistically reflect the way tasks are performed in the workplace.
- Evidence is gathered based on the candidate’s own performance in a real or a simulated workplace.

In developing the content for the assessment strategy, the following is a guide for TMT developers:

- **Assessment Method.** At the beginning of the assessment strategy, the strategy should identify the assessment methods selected to gather evidence from the candidate. The choice of assessment methods will be informed by a range of factors including the evidence guide requirements in the unit of competency, the assessment guidelines in the applicable Training Package and importantly the scope and nature of the skills and knowledge being applied. Assessment methods may include:



- Direct observation of workplace tasks being performed;
 - Structured activities that will lead to the demonstration of workplace tasks;
 - Questioning of required knowledge (verbal and/or written);
 - Development of a portfolio of evidence which may include workplace products, samples of work, statements by supervisors;
 - Review of products workplace products, samples of work; and
 - Workplace feedback (industry evidence).
- **Assessment Mapping.** An assessment map is a useful piece of information to include, as it provides a point of reference to all involved as to what evidence is to be collected to meet the requirements of each unit of competency. Assessment mapping will indicate the relevance of the assessment activities to the components within the applicable unit of competency. This information should provide a holistic picture of the evidence gathering which is occurring across the entire training program. In doing this, it will expose opportunities where assessment activities may be combined or clustered to create efficiencies in the assessment process. It will also demonstrate how holistic assessment may be possible to allow the assessment of multiple units of competency in one assessment event.
 - **Environment.** In this section, the environment in which assessment will be conducted should be identified. The environment includes the physical surrounds where an assessment occurs. This may include the actual or simulated workplace. The environment may also refer to the tempo of activity such as a busy call centre or reception desk. Most Training Packages require that the assessment environment is either a simulated workplace or the workplace. Both options will carry special requirements for assessment such as the facilities and role play scenarios in a simulated environment and special arrangements to support workplace assessment.
 - **Process.** The process for assessment is simply the steps the assessor takes when gathering evidence of a learner's competence. Typically, this is outlined in the assessment guide within the Training Package and should be unpacked here to provide clear guidance to assessors on TMT's expectation of the assessment process and to showcase to external stakeholders the process TMT applies. It is important to note that whilst TMT may have a set process for gathering evidence, the process does need to be negotiated with each candidate to ensure it reflects the individual needs of each person. The timing of assessment is determined by the assessor in consultation with the candidate. Assessment may begin at the conclusion of learning or may be timed to occur during a learning pathway. In some cases there is no learning and the assessor and candidate will move directly to assessment. An example of this is recognition of prior learning. A typical assessment process will include:
 - Step 1: Prepare for assessment;



- Step 2: Prepare the candidate;
- Step 3: Plan and prepare the evidence-gathering process;
- Step 4: Collect the evidence and make the assessment decision;
- Step 5: Provide feedback on the assessment;
- Step 6: Record and report the result;
- Step 7: Review the assessment process;
- Step 8: When required, participate in the reassessment and appeals process.

This assessment process is outlined in greater detail in the sections that follow.

- **Resources.** The resources section should outline the physical resources identified to deliver assessment. Key sources of information which will guide the identification of resources are the evidence guide, as included within each unit of competency, and the scope and nature of the tasks being performed.

Typical resources include:

- Workplace location or simulated workplace;
 - Materials relevant to a fully functioning workplace;
 - Equipment and tooling appropriate to a functioning workplace;
 - Specifications, work instructions and workplace sources of information;
 - Workplace specific resources;
 - Qualified assessor with the relevant vocational and training and assessment competence;
 - Appropriate evidence gathering tools, exercises and instructions; and
 - A suitable environment to support candidate performance.
- **Validation.** The validation of assessment practices is a critically important process which must be closely managed by TMT. The validation process ensures that assessment strategies, resources and tools are continuously improved and meeting the needs of industry. Further information on validation is provided later in this section. Validation methods may include:
 - Field testing of assessment strategies, resources and tools;
 - Learner and employer satisfaction survey;



- Internal audit of assessment strategies; and
- Moderation meetings and forums between assessors to promote consistent judgements and interpretation of evidence.
- **RPL.** This section should outline the arrangements TMT have in place to assess RPL applications. This includes processes of lodgement through to decision and may outline the tools and resources to be used to assess RPL.
- **Reasonable adjustment.** This section should outline the relationship of reasonable adjustments to the assessment process. Reasonable adjustment may take into account the following:
 - Learner’s language, literacy, numeracy requirements;
 - Provision of personal support services, for example, reader, interpreter, scribe, support person;
 - Use of adaptive technology or special equipment;
 - Flexible assessment sessions to allow for fatigue or administering of medication;
 - Adjustment of assessment materials, for example, in Braille, first language, use of audiotape/videotape;
 - Adjustments to the physical environment or venue;
 - Considerations relating to age and gender; and
 - Considerations relating to cultural beliefs, traditional practices and religious observances.
- **Assessors.** Like the training strategy, the assessment strategy should clearly identify (by name) the assessors who will be conducting the assessments. This should also include a statement about their vocational qualifications and experience applicable to the skills and knowledge being assessed and their competence to conduct assessment in accordance with the Standards for Registered Training Organisations. If a team or partnership arrangement is to be used which allows the pooling together of suitable persons to conduct the assessment, this should be clearly explained to inform the reader of what skills and knowledge (competence) each member of the team brings to the assessment.

Industry Consultation

After the major sections relating to training and assessment, the last area (but no less important) to be included in TMT strategy is information relating to the industry consultation conducted during the development of the strategy.

TMT is committed to delivering training programs that build industry capacity. It is important to demonstrate that TMT strategy has been developed in direct consultation with employers. This not only supports TMT strategy to deliver workplace relevant skills and knowledge, but is also important to capture



a record of the consultation we have conducted for compliance purposes. This section of the strategy will be updated continuously as industry engagement occurs and informs the ongoing development of training. The following information is identified for inclusion to demonstrate TMT industry consultation:

- **The industry need.** This will include an overview of the industry's needs for the skills and knowledge. This will often be related to industry production and identified skills shortages and should be supported with reference to authoritative industry publications or stakeholders.
- **Staff involvement with industry.** This section should demonstrate the current engagement TMT staff members have in the industry. This may be a short bio with reference to qualifications and ongoing association with industry representative group, committees and forums. This should not only refer to the industry relevant to the course, but should also make reference to the ongoing engagement in the VET industry. Engagement refers to the activities undertaken by trainers and assessors to maintain their industry knowledge and vocational competence (i.e. their trade skills). Examples of engagement with industry may include membership of industry forums and associations, part time work, attendance at industry conferences and workplace visits.
- **Visits to industry sites.** During the development of training and assessment strategies it is important to physically go out and engage with employers and obtain their input to the way training and assessment should be conducted. This is also an important component to the ongoing validation of training and assessment resources. These visits should be recorded in the strategy as they serve to demonstrate the seriousness of TMT in directly engaging with industry.
- **Industry representatives on RTO governing bodies.** From time to time TMT will invite appropriate industry representatives to join governing bodies within TMT operation. Examples of these are the Continuous Improvement Committee or a panel of experts for the validation of resources. These arrangements should be listed as they again demonstrate the clear intent of TMT to seek and listen to industry advice.
- **Industry validation of resources.** This section should list the last round of resource validation conducted with industry by TMT. This should include the unit code and title, the industry representative who conducted the validation and the general outcomes of the validation.
- **Complaints received from industry.** Complaints are a rich source of information to aid in the continuous improvement of resources. Complaints from industry should be viewed positively and seen as an opportunity for improvement offered by an important stakeholder. If complaints from industry are received, they should be recorded in this section of the strategy along with information that indicates how the matter was dealt with and over what timeframe.



5.2 - Assessment

At TMT we recognise that assessment is a core service offered to our learners (candidates) and is at the centre of our operation as a Registered Training Organisation. Quality assessment ensures that the skills and knowledge of candidates are assessed using four principal determinants:

- That assessment decisions are based on the assessment of skills and knowledge compared with units of competency drawn from nationally endorsed Training Packages or accredited courses.
- That the target industry or enterprise requirements are contextualised and integrated within the assessment.
- That evidence is gathered that meets the rules of evidence.
- That assessment is conducted in accordance with the principles of assessment.

Assessing the Unit of Competency

TMT uses units of competency drawn from nationally endorsed Training Packages as the primary benchmark for assessment. Supporting these sometimes are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.

In order to identify the precise assessment criteria, we apply a methodology of unpacking a unit of competency in order to assess the full scope of the unit including elements of competence, performance evidence, knowledge evidence and the requirements of the evidence conditions. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package and are valid. To ensure alignment with all components of a unit of competency, unit mapping must be undertaken during the design and development of assessment. Unit mapping must also be undertaken when carrying out assessment validation.

Unit mapping will show the relationship between the planned assessment activities and each component of the unit. This must be conducted at a micro level of detail to allow the mapping to be useful later on as a reference to demonstrate the validity of the assessment. An assessment mapping document is available for this purpose.

Assessment context

TMT recognises the importance of establishing the right context for candidates during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. This may be a workplace such as an office setting or a manufacturing workshop. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of competency may be applied in any workplace such as skills and knowledge relating to workplace safety or leadership.



It is our responsibility to ensure that candidates are provided with the right context to undertake their assessment activities. To achieve this, we will apply the following strategies:

- Incorporation of the candidate’s own workplace policies and procedures into the assessment scenario or activity.
- Conduct of the assessment in the candidate’s workplace performing real workplace tasks where possible.
- Integration of relevant industry codes of practice and other industry information into the assessment activity.
- Incorporation of industry job descriptions for learners to align with during realistic simulated workplace scenarios and case studies.
- Incorporation of regulatory information relating to licensing which applies to the unit of competency.
- Tailoring the program outcomes to meet the organisational training needs of the enterprise without compromising the Training Package requirements.
- Creating assessment activities which require the learner to conduct specific research relating to industry situations and occurrences where applicable.
- Provide a realistic simulated workplace within TMT facilities.

While applying these strategies it is important to ensure that in establishing the context for assessment, we do not affect the transferability of the unit of competency. When the candidate is assessed as competent, this also means that the candidate can transfer the applicable skills and knowledge between different workplaces and context. This means that the competency is transferable and is a fundamental element of competency-based training and assessment.

Principles of assessment

In the delivery of assessment services, TMT applies the principles of assessment. Assessment strategies have been designed to ensure:

- **Validity.** We conduct assessment against the broad range of skills and knowledge identified within each unit of competency and which is integrated with the performance of workplace tasks. We ensure that the assessment is transferable to different context and situations and all components of the unit of competency are being assessed.
- **Reliability.** We seek to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the candidate and for assessors. We achieve this by using assessors who have the required competencies in assessment and the relevant vocational competencies. Our assessment



resources also provide for standardised outcomes supported by model answers to guide assessors in their judgements. Reliability is also supported by the moderation of assessment judgements across our assessors.

- **Flexibility.** We strive to provide assessment opportunities that reflect a candidate’s needs. Our chosen assessment strategies provide for recognition of a candidate’s current competency, employ a range of methods appropriate to the context of the industry, the unit of competency and the candidate themselves.
- **Fairness.** Our assessment approach encourages fairness in assessment through consideration of the candidate’s needs and characteristics and through making reasonable adjustments when it is required. Assessors achieve this through clear communication with a candidate to ensure that the candidate is fully informed about, understands and is able to participate in, the assessment process, and agrees that the process is appropriate.

Collecting evidence that counts – the rules of evidence

In collecting evidence, TMT applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:

- **Sufficiency.** We ensure the collection of valid assessment evidence in such quantity to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. The collection of sufficient assessment evidence will be supported by using a range of assessment methods which lead to the collection of evidence over time based on a range of performances.
- **Validity.** We collect evidence that directly aligns with the components documented within each unit of competency. The collected assessment evidence must replicate the outputs of the task as though it were being performed within an actual workplace. This may include the observation of the candidate performing the tasks relevant to the unit of competency or the collection of a completed workplace products. Assessment evidence that is purely academic in nature should be given a lesser priority to the collection of evidence that relates directly to the candidate performing the tasks indicative to the unit of competency.
- **Authenticity.** We seek evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the candidate’s own work. Where documentary evidence is relied on it must be certified or supported by two other forms of evidence which demonstrate the same skill or knowledge.
- **Currency.** We must be satisfied that the candidate currently holds the skills and knowledge relating to a particular unit of competency. Assessment evidence is to be based on the candidate’s performance either at the time of the assessment decision or in the very recent past. Questions of evidence currency will mostly relate to recognition of prior learning applications where a candidate has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through



workplace experience or previous training. In all situations, assessors must validate the currency of a candidate's knowledge and skills.

Employers and other parties contributing to assessment evidence

Where industry representatives are engaged to contribute toward assessment evidence, TMT will use a standard approach to collect this evidence. We place a high value on the assessment evidence that is gathered by supervisors or employers in the workplace. This evidence is usually very current and valid and contributes to the assessment decisions made by a qualified assessor.

We do not advocate the use of industry evidence (also referred to as third party evidence) as a substitute for the gathering of direct evidence by an assessor. In all areas of our operation, industry evidence is only to be used to complement and support the evidence being gathered by an assessor and is **not** to be used as primary evidence.

During the development of assessment tools, assessors are to ensure that the observation criteria used in industry evidence reports is wholly task orientated. These observation criteria should reflect the tasks that the supervisor would expect to issue to an employee and monitor during normal workplace duties. The industry evidence report is not to contain assessment criteria drawn from a unit of competency as these assessment criteria are suitable only for trained and qualified assessors to interpret.

It is also not desirable to collect industry evidence simply by providing a document to be completed. This leads to the collection of insufficient evidence and is an annoyance to industry. Where possible assessors are to engage with industry representatives directly and collect evidence about a candidate's performance through discussion with supervisors. This discussion will be based on observable workplace tasks and evidence is to be recorded by the assessor. These discussions may be undertaken face-to-face or over the phone. The assessor must record the industry representative's details, contact information and the date/time of the engagement.

Engagement with industry

TMT is well placed to leverage off current industry associations to incorporate industry requirements into the assessment process. Consultation with enterprises or industry will provide information about assessment requirements relevant to workplaces. Regulatory requirements that relate to specific units of competency will be incorporated to ensure our learners are well prepared for their workplace duties. Further information on industry engagement can be found in the Industry Engagement Policy.

Recognition of prior learning

TMT will provide all learners the opportunity to seek recognition of their prior learning. Recognition is viewed simply as another method of assessment and therefore is conducted in accordance with this policy. Further information can be found in this manual in the sections on Recognition.



National Recognition (Credit transfer)

TMT will recognise and award national recognition for candidates presenting with current competence. Where a candidate is seeking national recognition for a unit of competency that is on our scope of registration and the candidate can provide documentary evidence that the unit has been previously awarded to the candidate, national recognition will be awarded.

It is important to note that national recognition or credit transfer is not an assessment. It is an administrative function that determines the equivalence of a unit of competency the candidate has been previously awarded to units of competency incorporated into courses being delivered by TMT. If the unit is the same or is equivalent, then the unit may be issued as a credit transfer. This is not to be confused with the recognition of prior learning which is a method of assessment. Please refer to the National Recognition policy for further guidance.

Competence of assessors

In accordance with the Standards for Registered Training Organisations, assessors are required to hold the minimum competencies for training assessment and the vocational competencies at least to the level being assessed. TMT has appropriate systems in place to ensure that all staff members are appropriately qualified to meet our requirement under the Standards for Registered Training Organisations. Further information can be found in this manual within the Trainer Competency Requirements policy.

Where an assessor does not hold the required training and assessment competence, but is a recognised industry expert, we will put appropriate supervision arrangements in place to support the gathering of valid evidence. Further guidance on supporting these assessors can be found in this manual in the policy on Assessment Partnerships.

Assessment validation

Assessment validation is the process where assessors compare and evaluate their assessment methods, assessment procedures and assessment decisions. TMT will facilitate regular assessment validation opportunities to maintain a quality assessment and to continuously improve assessment strategies. Further information can be found in this manual in the policy on Assessment Validation.

Assessment tools

Assessment tools are the media (electronic or hard copy) used to gather evidence about a candidate's competence. We have developed assessment tools which support the assessment of applicable units of competency in accordance with the requirements of industry Training Packages. It is important for TMT staff members to acknowledge that these are generic tools which provide us with a starting point for the development of other supporting tools which will reflect the needs of our clients or target industry group. TMT staff members must be satisfied that tools developed for assessment fit with the requirements of the target industry and enterprise requirements. Some units of competency are associated with licensing



requirements and whilst this is not always stipulated in the unit of competency, we will need to be informed of the additional requirements this imposes during assessment.

The following are examples of assessment tools which may be incorporated into an assessment strategy to meet the Training Package and industry requirements, the rules of evidence and the principles of assessment:

- Direct observation checklist;
- Simulation exercises or role-plays;
- Project outlines and explanation sheets;
- Workplace templates;
- Written questionnaires;
- Verbal questionnaires;
- Portfolios, for example collections of work samples by the candidate;
- Product with supporting documentation or journal/log book;
- Workplace samples/products; and
- Industry/workplace evidence reports.

This list of assessment tools identifies only a small number of assessment tools which are in use. These are however the more common tools and support holistic assessment methods favoured by TMT.

Completed assessment tools are to be retained within the learner record in accordance with the Records Retention and Management policy.

Assessment information

Assessment information is the information provided to both candidates and assessors to guide their conduct of the assessment and the completion of assessment activities. This information is used to draw out a response from a candidate.

Examples of assessment information include:

- Instructions to set the framework for the activity such as who, what, where, when and how. The expected outcomes of the assessment should be included in these instructions and it is critical that they are straight forward and in line with the candidate's preparation during learning or through other competency development pathways.



- Scenario information includes information that sets the context for a simulated assessment activity. This may be a simple case study or a deep scenario which requires analysis and interpretation. It is important to note that the higher the AQF qualification level, the greater the requirement to analyse and apply cognitive skills to produce workplace outcomes. Scenario information used to support assessment at a Diploma level, for example, should be relatively deep and complex to allow the candidate to exercise their analytical skills and produce viable workplace products and outcomes.
- Industry information includes items such as codes of practice, policies and procedures, legislation and regulations. Whilst this may not be provided in hard copy to every candidate, they should be provided contacts, web sites or hyperlinks to access this information. Electronic copies of industry information are also acceptable.

At TMT our assessment activities are to be supported by clear assessment information that will ensure a reliable assessment across our operation. Ultimately, the quality of assessment outcomes produced by a candidate will be directly affected by the quality of the information provided at the commencement of the activity. TMT staff are to prepare suitable assessment information for all assessment activities and are to gain approval from TMT Directors for the use of assessment resources.

Re-assessment

Learners who are assessed as not yet competent are to be provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training. These learners are to be provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.

It is the policy of TMT to provide **three** opportunities for additional training and re-assessment at no additional cost to the learner or employer. Learners who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment. Please refer to the current fee schedule to identify the re-assessment fee.

Learner's requiring additional learning support are to be brought to the attention of TMT management so the progress of the learner can be monitored closely and additional support services can be applied well before it becomes necessary to impose an additional fee for re-assessment. Where learners repeatedly do not demonstrate competence following significant learning and assessment support, a learner's enrolment can be determined through mutual agreement.



Assessment Procedure

The following procedure is to be applied for conducting assessments:

- **Step 1: Prepare for assessment.** The assessor is to:
 - Establish the context and purpose of the evidence to be collected;
 - Identify and analyse the units of competency, Training Package and TMT assessment strategy to identify the evidence requirements; and
 - Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence.
- **Step 2: Prepare the candidate.** The assessor meets with the candidate to:
 - Explain the context and purpose of the assessment and the assessment process;
 - Explain the units of competency to be assessed and the evidence to be collected;
 - Outline the assessment procedure and the preparation the candidate should undertake, and answer any questions;
 - Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the competency outcomes;
 - Seek feedback regarding the candidate's understanding of the units of competency, evidence requirements and assessment process; and
 - Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment.
- **Step 3: Plan and prepare the evidence-gathering process.** The assessor must:
 - Establish a plan for gathering sufficient quality evidence about the learner's consistent performance in order to make the assessment decision;
 - Source or develop assessment materials to assist the evidence-gathering process;
 - Organise equipment or resources required to support the evidence-gathering process; and
 - Coordinate and brief other personnel involved in the evidence-gathering process.
- **Step 4: Collect the evidence and make the assessment decision.** The assessor must:
 - Establish and oversee the evidence-gathering process to ensure its validity, reliability, fairness and flexibility;



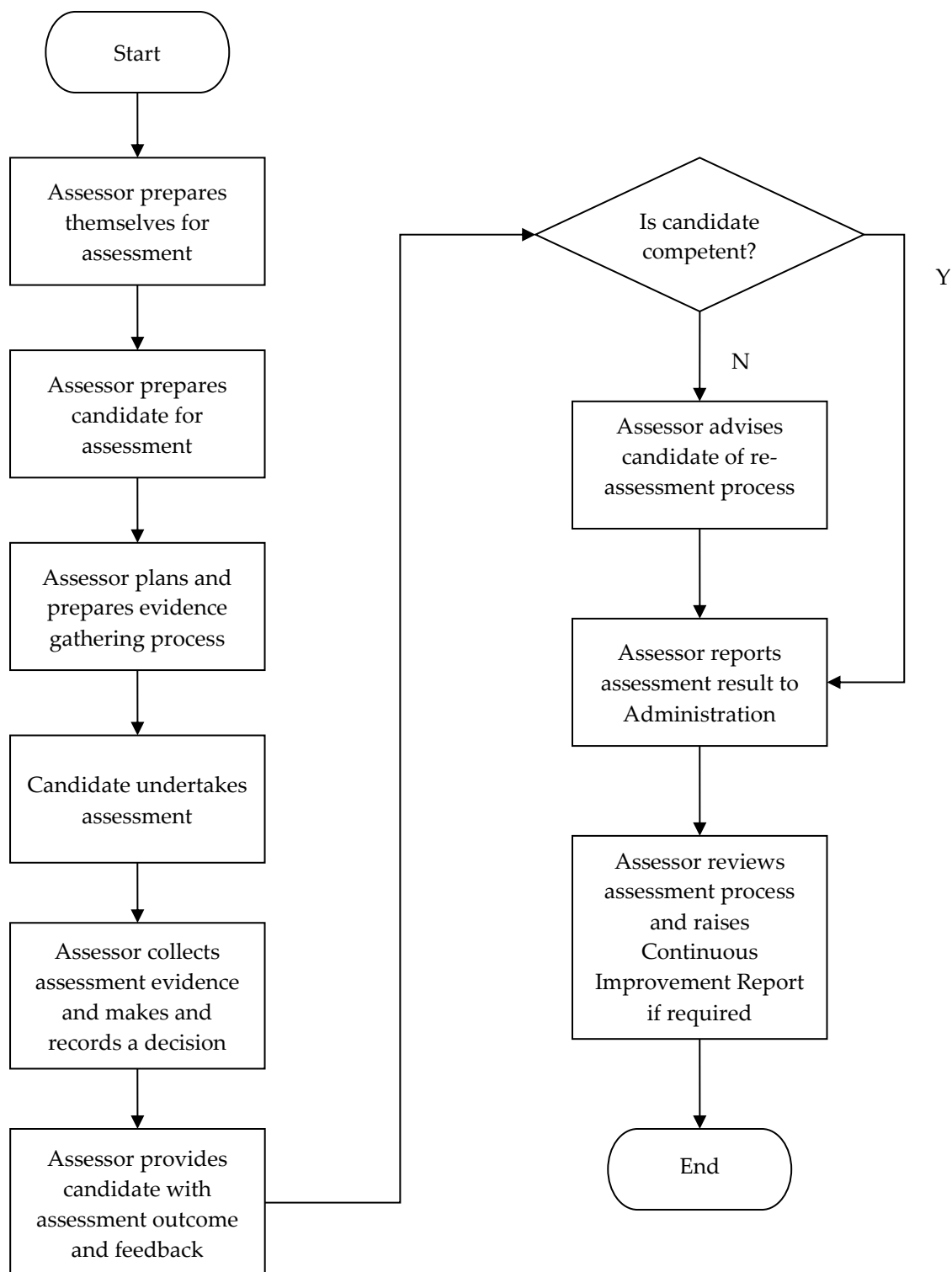
- Collect appropriate evidence and match compatibility to the elements, performance criteria, range statement and evidence guide in the relevant units of competency;
 - Evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills and job/role environment skills;
 - Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
 - Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency;
 - Consult and work with other staff, assessment panel members or technical experts involved in the assessment process;
 - Record details of evidence collected; and
 - Make a judgement about the candidate's competence based on the evidence and the relevant unit(s) of competency.
- **Step 5: Provide feedback on the assessment.** The assessor must provide advice to the learner about the outcomes of the assessment process. This includes providing the candidate with:
- Clear and constructive feedback on the assessment decision;
 - Information on ways of overcoming any identified gaps in competency revealed by the assessment;
 - The opportunity to discuss the assessment process and outcome; and
 - Information on reassessment and the appeals process if applicable.
- **Step 6: Record and report the result.** The assessor must:
- Record the assessment outcome according to the policies and procedures of TMT;
 - Maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of TMT;
 - Maintain the confidentiality of the assessment outcome; and
 - Organise the issuance of statements of attainment according to the policies and procedures of TMT.
- **Step 7: Review the assessment process.** On completion of the assessment process, the assessor must:
- Review the assessment process;



- Report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
 - If necessary, suggest to an appropriate TMT personnel ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation.
- **Step 8: Participate in the reassessment and appeals process.** The assessor must:
- Provide feedback and counselling to the candidate, if required, regarding the assessment outcome or process, including guidance on further options;
 - Provide the candidate with information on the reassessment and appeals process;
 - Report any assessment decision that is disputed by the candidate to appropriate TMT personnel; and
 - Participate in the reassessment or appeal according to the policies and procedures of TMT.



Assessment Process





5.3 – Recognition (RPL)

In accordance with the requirements of the Standards for Registered Training Organisations, TMT provides the opportunity for learners to apply to have prior learning recognised toward a qualification or units of competency for which they are enrolled.

Recognition generally takes two forms: recognition of prior learning, which is the focus of this policy, and national recognition which is dealt with in the National Recognition section of this manual. For the purposes of this policy, recognition of prior learning will be referred to simply as recognition.

What is recognition?

Recognition involves the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. Recognition assesses this unrecognised learning against the requirements of a unit of competency, in respect of both entry requirements and outcomes to be achieved. By removing the need for duplication of learning, recognition encourages an individual to continue upgrading their skills and knowledge through structured education and training towards formal qualifications and improved employment outcomes.²⁴ This has benefits for the individual and industry. Most importantly, it should be noted that recognition is just another form of assessment and requires the same application of policy and procedures outlined in the Assessment section of this manual.

Recognition guidelines

The following guidelines are to be followed when an application for recognition is received:

- Any learner is entitled to apply for recognition in a course or qualification in which they are currently enrolled.
- Learners may not apply for recognition for units of competency or qualification which are not included in TMT's scope of registration.
- Whilst learners may apply for recognition at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the learner down a more efficient path to competence.
- Learners who are currently enrolled in a training program are eligible to apply for recognition in that program at no additional charge.
- Assessment via recognition is to apply the principles of assessment and the rules of evidence.
- Recognition may only be awarded for whole units of competency.

²⁴ Australian Qualifications Framework (AQF) Advisory Board, 2004



Forms of evidence

Recognition acknowledges that workplace skills and knowledge may be gained through a variety of ways including both formal and informal learning or through work-based or life experience.

In evaluating assessment evidence, TMT applies the following rules of evidence:

- Sufficient,
- Valid,
- Authentic, and
- Current.

Like assessment, recognition is a process whereby evidence is collected and a judgement is made by an assessor or assessment team. The judgement is made on evidence provided by candidates of the skills and knowledge that they have previously learnt through work, study, life and other experiences, and that they are currently using. It also includes evidence to confirm a candidate's ability to adapt prior learning or current competence to the context of the intended workplace or industry.

Forms of evidence toward recognition may include:

- Work records;
- Records of workplace training;
- Assessments of current skills;
- Assessments of current knowledge;
- Third party reports from current and previous supervisors or managers;
- Evidence of relevant unpaid or volunteer experience;
- Examples of work products;
- Observation by an assessor in the workplace;
- Performance appraisal; or
- Duty statements.

Many of these forms of evidence would not be sufficient evidence on their own. When combined together with a number of evidence items, the candidate will start to provide a strong case for competence. TMT reserves the right to require candidates to undertake practical assessment activities of skills and knowledge in order to satisfy itself of a candidate's current competence.



Appealing recognition outcomes

If the learner is not satisfied with the outcomes of a recognition application, they may appeal the outcome like other assessment decisions. Further information on the appeals process is available at section three.

Recognition Procedure

The following procedure is to be applied by TMT upon receipt of an application for recognition:

Step 1 Provide sufficient information to prospective learners to inform them of opportunities for alternative pathways via recognition and the recognition process.

Step 2 Learners who request recognition of their current competence are to be invited to carry out a self-assessment prior to enrolment to determine their suitability for a recognition application (using the Recognition Self-Assessment Guide). This step is not compulsory but is strongly suggested. The learner should be provided an electronic version of the RPL application documents.

Step 3 Undertake a recognition assessment planning interview between the assessor and the candidate (using the Recognition Assessment Plan). This is to include where possible:

- Helping the candidate to identify appropriate forms of evidence;
- Guiding the candidate on the use of recognition tools; and
- Informing the candidate about the assessment process.

Step 4 Candidates are to compile their recognition submission (using a Recognition Evidence Report). This form allows candidates to record their particular documentary evidence against each unit of competency and to attach this evidence as required.

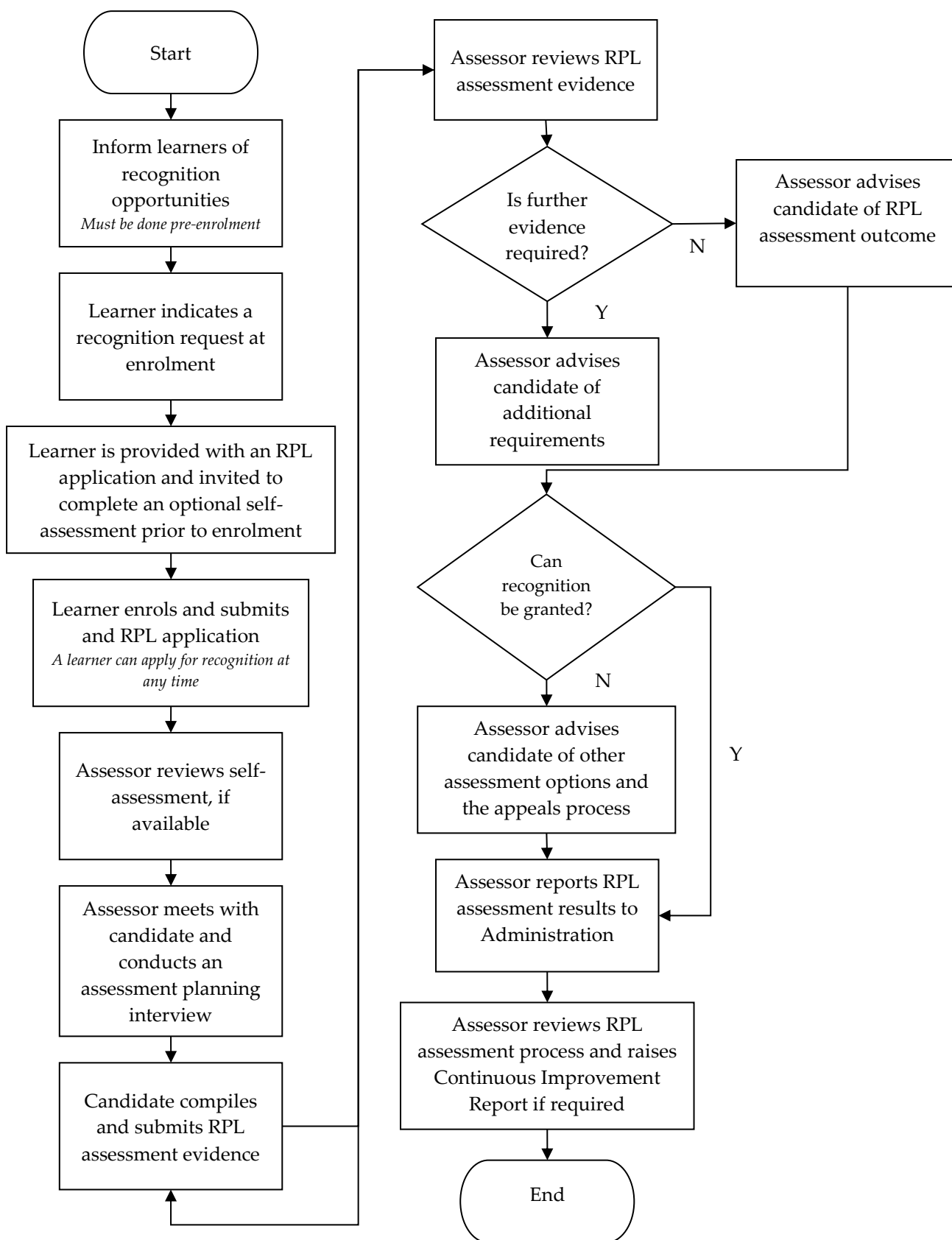
Step 5 The Assessor is then to review the assessment evidence and decide on the need for additional evidence on perceived gaps. The Assessor may invite the candidate to undertake a recognition interview to answer verbal questions or a practical assessment. At the end of the evidence gathering process the Assessor is to provide the candidate with written feedback regarding the assessment outcomes, including the procedure for the candidate to appeal the assessment outcome.

Step 6 If the candidate is not satisfied with the outcomes of a recognition application, they may appeal the outcome like any other assessment decision. Refer the candidate to the appeals process which can be found in the Learner Information Booklet or policy and procedure manual.

Step 7 When all assessment and appeal processes have concluded, the assessment outcome is to be recorded in the recognition register and issue the candidate with written advice of the outcome. This may include issuing statements of attainment or qualifications awarded through recognition in accordance with TMT Qualifications Issuance policies and procedures.



Recognition Process





5.4 – Assessment Partnerships

TMT acknowledges that in some circumstances assessment evidence will be gathered by personnel who do not have the necessary training and assessment competence in accordance with the requirements of the Standards for Registered Training Organisations. Examples of these circumstances may include where a recognised industry expert is contributing to training and assessment but does not yet have the required training and assessment competency.

We recognise the need to appropriately support the gathering of evidence in accordance with the principles of assessment and the rules of evidence. The focus of this policy is the collection of assessment evidence by an assessor who does not hold the required competence to perform assessment. In managing this situation, we will apply the following management approach:

- The assessor is to be an employee of TMT. It is an TMT requirement that assessors engaged through contract support are to have the required vocational and training and assessment competence as a basis for their contract for service with us.
- This policy only applies to an assessment partnership where the assessor lacks the required assessment competence. In all instances, assessors are to hold the required vocational competence and are to be recognised subject matter experts in their vocational field. Please refer to the Trainer Competency Requirements policy and specifically the section on Working under Supervision.
- TMT staff members employed in the collection of assessment evidence and who do not hold the required assessment competence must take all reasonable steps to acquire this competence through either course work or through RPL. Assessment partnerships are a short term solution only.
- Assessment partnerships are not to be established informally without the knowledge of TMT management. The conduct of assessment by a person who is not qualified is an area of high compliance risk for us and this practice may lead to unsatisfactory outcome for learners. The establishment of assessment partnerships is to be facilitated and recorded by TMT management.
- A TMT staff member engaged in conducting assessment under an assessment partnership is to be directly supervised by a supervising assessor. The supervising assessor is to provide regular support and direction and monitor the assessment practices being applied. It is not necessary for the supervising assessor to be present during all assessment. The supervising assessor is accountable for the assessment being conducted and may wish to closely monitor the assessment through moderation, validation, candidate surveys and through observation.

Assessment Partnership Procedure

Establishing an assessment partnership

The following procedure is to be followed to establish assessment partnerships at TMT:



- Validate the competency requirements specified within the Trainer Competency Requirements policy and specifically the section on Working under Supervision.
- Establish written assessment partnership agreements and brief both the person being supervised and the supervising assessor on its requirements. The written agreements should outline the supervision and monitoring arrangement as well as the actions the assessor agrees to take to close the competence gap.
- Identify staff members that require an assessment partnership to bridge their competence gap.
- Monitor the competence of new staff applicants and make decisions about recruitment based on their vocational skills as the primary recruitment factor.
- Monitor the arrangement to ensure that appropriate monitoring and supervision is being provided and that learner outcomes are not being affected.
- Monitor the assessor's activity to undertake actions to close their competence gap and obtain the appropriate assessment competence.
- Monitor the assessor's professional development towards being independently competent.

Supervising and monitoring in an assessment partnership

The following strategies may be applied to provide individual assessors appropriate level of supervision and monitoring during an assessment partnership arrangement:

- Participate in assessment moderation sessions to allow the person to observe the methods and views of other assessors when facilitating assessment and making assessment decisions.
- Provide input to the preparation of assessment activities including resource preparation, setting the context, briefing the candidate and preparing assessment tools.
- Discuss strategies to support the different types of candidates and to make adjustment for individuals and their workplaces.
- Assist the assessor to identify and prepare resources for conducting the assessment.
- Observing some assessments being conducted and providing feedback in order to standardise assessment practices.

All activities to supervise and monitor assessment partnerships are to be recorded within the Assessment Partnership Register. An Assessment Partnership Register is to be raised for each TMT staff member who is undertaking assessment under a partnership arrangement. The register is to outline the action plan being implemented to close the gap in the staff member's competence and should record all activities where monitoring has occurred.



5.5 – Plagiarism Misconduct

TMT is committed to ensuring a great learning experience for its learners. It aims to provide a learning environment that fosters the qualities of independent learning and academic integrity.

This policy seeks to encourage ethical conduct and to inform staff and learners about TMT standards of academic behaviour. Learners have a responsibility to maintain the highest standards of academic integrity in their work. Learners must not cheat in assessment and must ensure that they do not plagiarise.

What is plagiarism?

Plagiarism is the act of misrepresenting as one's own original work the ideas, interpretations, words or creative works of another. These include published and unpublished documents, designs, music, sounds, images, photographs, computer codes and ideas gained through working in a group. These ideas, interpretations, words or works may be found in print and/or electronic media²⁵.

Academic integrity

One of the core functions of TMT is to develop learner's ability to apply critical reasoning to assessment activities through independent thought and to make decisions that reflect the learner's considerations of the task or workplace requirement.

TMT acknowledges that to develop this ability, the learner will study the work of others via issued textbooks, learning material or through their own research. However, it is important that learners in their learning acknowledge, through appropriate referencing, earlier work from which they have drawn information.

Referencing

Referencing demonstrates that the learner has read the issued material or has undertaken their own research in other sources. Failure to reference appropriately is considered unethical academic behaviour and will result in a learners work not being accepted.

Learners should understand that assignment and project work submitted for assessment must consist of original effort. It is insufficient to simply copy work from other sources and submit it, even if those sources are appropriately acknowledged. Work submitted by a learner must have an original component.

The following are examples of plagiarism where a learner intentionally does not acknowledgement or reference an author or source:

²⁵ Merriam-Webster Online Dictionary



- Direct copying of paragraphs, sentences, a single sentence or significant parts of a sentence;
- Direct copying of paragraphs, sentences, a single sentence or significant parts of a sentence with an end reference but without quotation marks around the copied text;
- Copying ideas, concepts, research results, computer codes, statistical tables, designs, images, sounds or text or any combination of these;
- Paraphrasing, summarising or simply rearranging another person's words, ideas, etc., without reference or explanation.
- Offering an idea or interpretation that is not one's own without identifying whose idea or interpretation it is;
- A 'cut and paste' of statements from multiple sources;
- Presenting as independent, work done in collaboration with others;
- Copying or adapting another learner's original work into a submitted assessment item.
- Copying or adapting a learner's own work submitted in a previous essay or assessment.
- Alternatively, there will be instances when a learner unintentionally fails to cite sources or to do so adequately.

Careless or inadequate referencing or failure to reference will be considered poor practice. Where careless referencing is identified, the learner will be required to correct the error and resubmit an assignment.

How to reference

At TMT, learners are to be encouraged to apply the Harvard Referencing System in-text citation. This approach requires three pieces of information about a source within the text of the learners work. This information is:

- the name of the author or authors
- the year of publication
- the page number

Examples

Citations may be placed at the end of a sentence (before the concluding punctuation) in brackets, eg:

- To succeed, the team will rely on both task process and group process (Dwyer, Hopwood 2010, p. 239)



A reference may be placed in the text to integrate the author's surname into the sentence, followed by the year of publication and page number, in brackets, eg:

- Dwyer and Hopwood (2010, p. 239) identify that to succeed, the team will rely on both task process and group process.

Reference List

At the end of the learner's work, a List of References must be included. This should include all the books, journal articles and other sources of information you have used to research your assignment. The reference list should be laid out alphabetically and the title of the source should be italicised. Each reference must include:

- the name of the author or authors
- the year of publication
- the title of the publication
- the edition of publication
- the publisher
- place of publication

Example

- Dwyer, J and Hopwood, N, 2010, *Management Strategies and Skills*, Sydney, McGraw Hill Australia

Common Knowledge

In every field, there is a body of knowledge and material that has become part of the public domain and which can be drawn on without specific acknowledgment. Common knowledge includes facts that are generally known, such as common facts of history, common sense information, accepted folklore and aphorisms that have been adopted as part of common English language.

As examples, it would not be necessary to reference the following:

- That John Howard was the Prime Minister of Australia (common fact of history)
- That humans need food and water for survival (common sense observation)
- That the “Bunyip” is a man-eating Australian animals that live in water-holes, swamps and creeks (accepted folklore)



Cheating

Cheating is defined as “a form of deceit with a view to gaining an advantage for the cheat.” At TMT, cheating is usually related to taking unauthorised material into assessments. TMT Trainers have a responsibility to explain clearly expectations related to any assessment, what constitutes cheating, and to promote a climate of honesty in learners.

Plagiarism Procedure

Staff responsibilities

TMT staff are responsible to:

- Inform all learners of expectations related to assessment;
- Inform all learners of referencing techniques and provide clear examples of what is acceptable;
- Explain to learners what constitutes plagiarism;
- Set realistic assessment activities and vary assignments and questions;
- Assist learners to understand and apply correct referencing techniques;
- Set appropriate conditions for group activities and make clear the distinction between group work and individual work; and
- Cultivate a climate of mutual respect for original work.

Learner responsibilities

Learners are responsible to:

- Submit only work that is their own or that properly acknowledges the ideas, interpretations, words or creative works of others;
- Avoid lending original work to others for any reason;
- Be clear about assessment conditions and seek clarification if in doubt;
- Be clear about what is appropriate referencing and the consequences of inappropriate referencing;
- Discourage others from plagiarising by observing the practices above.



Dealing with plagiarism

In the case of suspected plagiarism the staff member will report the incident to the Directors. The Directors, in consultation with the staff member will determine if the plagiarism has resulted from poor academic practice or was intentional. This preliminary step may involve an informal interview with the learner.

The Directors and staff member will:

- consider the extent of the plagiarism (noting that the more extensive the plagiarism, the more likely it was intentional);
- review the course profile and other information provided to learners by the Training Manager to determine if adequate information had been given;
- identify if the learner has been previously warned of plagiarism; and
- determine whether the learner is new to adult vocational education and training (it would be expected that continuing learners would be more likely to understand plagiarism and its consequences).

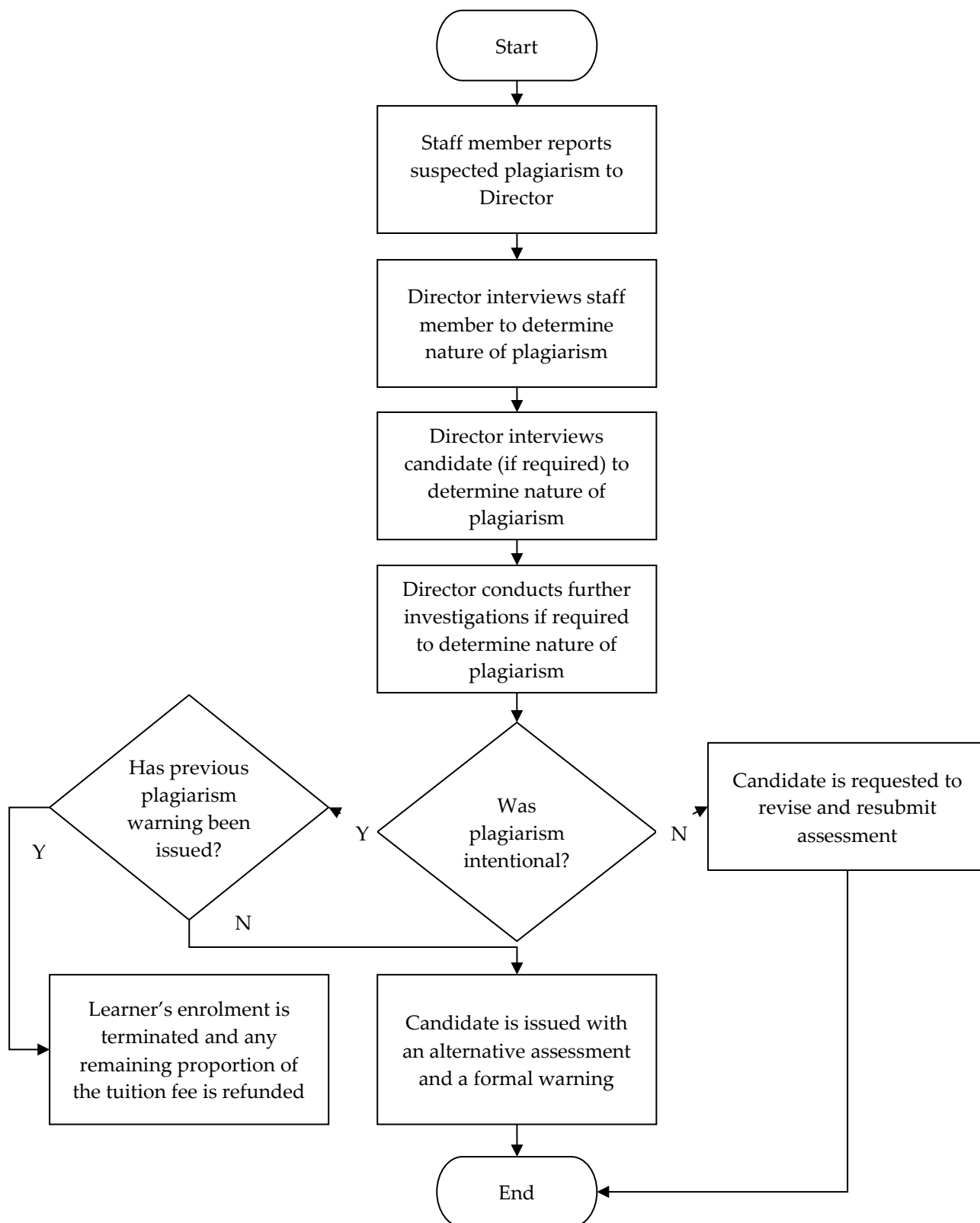
If the above factors have been considered and it has been determined that the plagiarism has arisen from poor academic practice, the learner is to be requested to revise the work and resubmit it for the assessment.

If, after consideration of the above factors it is determined that the plagiarism was intentional, the learner's work is not to be accepted and the learner is to be issued with an alternative assessment assignment to complete. The learner is to be given a formal warning (in writing) by the Directors explaining the seriousness of the incident and the consequences if the learner is found to plagiarise again.

Learners who commit plagiarism after being formally warned are to be withdrawn from the program they are enrolled and issued with a refund of their tuition fees less all expenses incurred by TMT up to the point of their withdrawal.



Plagiarism Process





5.6 – Behaviour Misconduct

TMT seeks to provide an environment that is free from unacceptable behaviour and promotes a positive learning environment for all learners.

This policy seeks to encourage acceptable behaviour and to inform all staff and learners about TMT standards of behaviour.

What is behaviour misconduct?

Behaviour misconduct is defined as actions that breach TMT policies. This includes but is not limited to:

- Breaches of Commonwealth or State law which impact on RTO operations
- Behaviour that impairs the reasonable freedom of other persons (learners) to pursue their studies and participate in the activities of the RTO
- Refusing or failing to identify themselves truthfully
- Any act or failure to act that endangers the safety or health of any other person
- Actions that impair any person's participation in a legitimate RTO activity or, by act or omission disrupts the peace or good order of the RTO
- Acting in a way that causes learners or staff or other persons within the RTO to fear for their personal safety
- Acting in a way that causes damage to RTO property
- Wilfully obstructing or disrupting any official RTO meeting, ceremony, activity, class or examination/assessment
- Any form of harassment, whether based on gender, race, age, sexual preference or religious belief
- Wilfully damaging or wrongfully dealing with any RTO property, or the property within the RTO of any person, including theft
- Being under the influence of prohibited drugs and/or substances including alcohol
- Trespassing or knowingly entering any place within the premises of the RTO that is out of bounds to learners
- Making a false representation as to a matter affecting learner status



- Possession of dangerous articles or banned substances
- Abusive Behaviour

A learner must at all times maintain a high standard of behaviour while engaged in RTO activities either within the premises of the RTO or at another location.



Behaviour Misconduct Procedure

Staff responsibilities

TMT staff are responsible to:

- Inform all learners of expectations related to behaviour;
- Explain to learners what constitutes behaviour misconduct;
- Model exemplary behaviour to act as a benchmark for learners and other staff;
- Supervise learner behaviour and the behaviour of other staff;
- Promote a positive environment that supports a learner's individual personality whilst setting clear boundaries relating to acceptable behaviour;
- Respond immediately to observed behaviour misconduct to maintain a safe environment for staff and learners and to protect the rights of individuals or groups;
- If the observed behaviour misconduct is serious in nature, the staff member may suspend the learners continued participation in RTO activities (training sessions, assessment, study sessions, lab sessions, field activities, etc);
- Report (in writing) behaviour misconduct when it is observed and actions taken in the immediate response using the Learner Behaviour Misconduct Report.

If the staff member reporting the incident considers that the learner may be violent or is likely to cause harm to other learners and /or staff, or damage property at the RTO, the Directors should be contacted immediately to assess the risk. If necessary the Police are to be contacted and requested to respond to control the situation.

Learner responsibilities

Learners are responsible to:

- Be informed of and comply with Commonwealth or State law
- Behave in a way that supports the freedom of other persons (learners) to pursue their studies and participate in the activities of the RTO
- Identify themselves truthfully
- Behave in a way that supports the safety or health of any other person
- Maintain the peace or good order of the RTO



- Treat RTO property with respect and prevent damage or destruction of property
- Behave in a way that supports the conduct of official RTO meeting, ceremony, activity, class or examination/assessment
- Treat others with respect and not discriminate based on gender, race, age, sexual preference or religious belief
- Be free from (not under the influence of) prohibited drugs and/or substances including alcohol during attendance at the RTO
- Not trespass or knowingly entering any place within the premises of the RTO that is out of bounds to learners
- Give truthful information relating to learner status
- Communicate in a way that demonstrates respect for others and is free from verbal abuse

Dealing with behaviour misconduct

The Directors may, in respect of any behaviour misconduct by a learner:

- Immediately suspended the learner for a period not exceeding fourteen (14) days as may be determined.
- Advise the learner in writing of the alleged incident of misconduct and that they have twenty (20) working days to make oral or written representations regarding the alleged incident of misconduct.
- Where State or Commonwealth laws appear to have been breached, the matter **will** be referred to the police or other appropriate authority.
- Impose one or more of the following behavioural management strategies:
 - Reprimand and warn (formal warning in writing) the learner against repetition of the misconduct;
 - Suspend the learner from using all or some RTO facilities and / or services for a designated period of time;
 - Instigate a behavioural management contract with the learner including agreed monitoring arrangements and consequences based on repetition of the misconduct;
 - Cancel the learner's enrolment (serious misconduct involving violence to others, damage to property or breach of State or Commonwealth law).

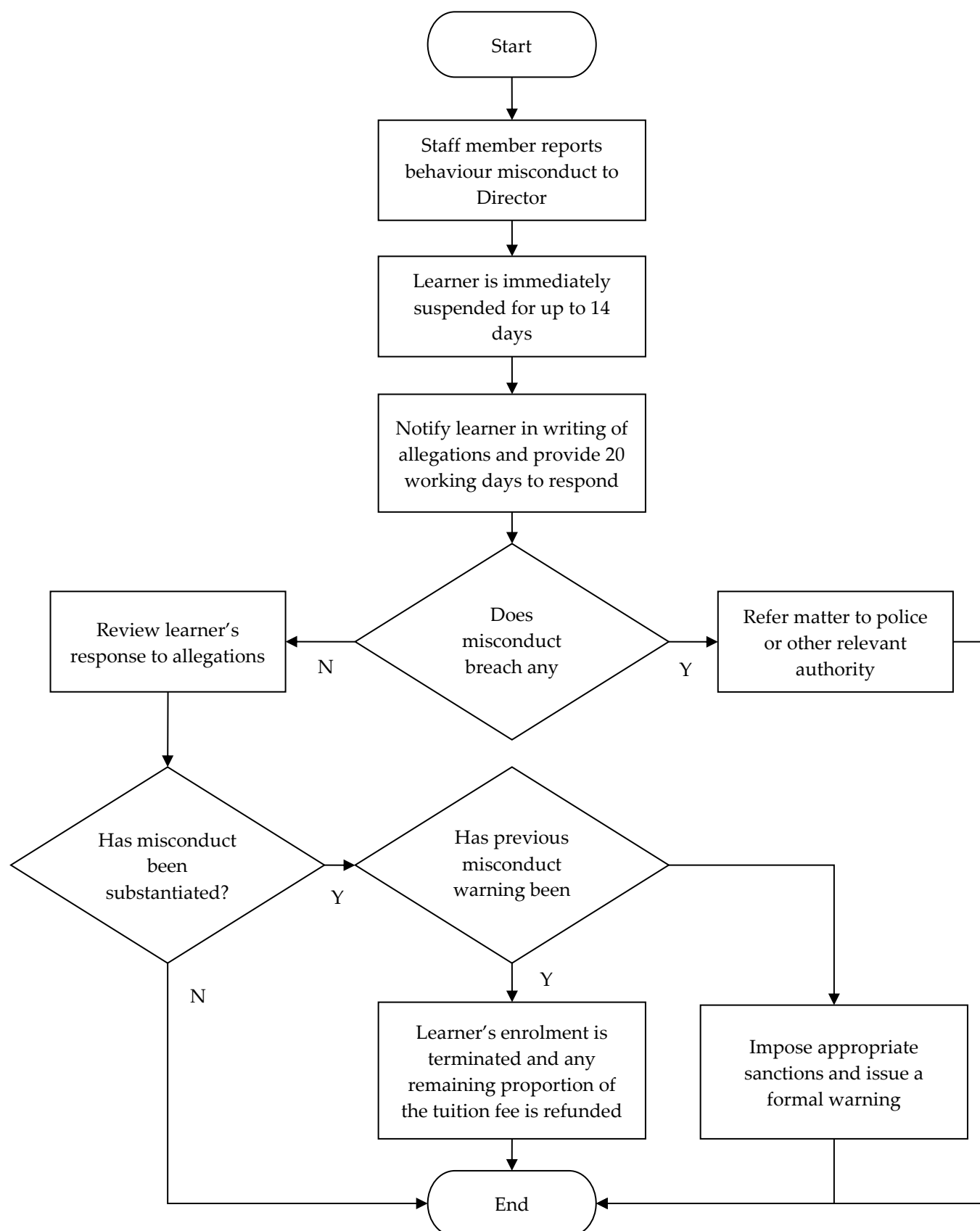
Learners are to be provided a written statement detailing the decision, including information on their right to appeal the decision.



Learners who commit behavioural misconduct after being formally warned are to have their enrolment cancelled and will not be entitled to a refund. This does not limit the requirement to provide the learner suitable warning in writing, the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision.



Behaviour Misconduct Process





Section Six - Staff Management



6.1 - Staff Induction

At TMT we are committed to meeting our obligations under legislation as an employer and ensuring that staff are appropriately inducted and given the organisational knowledge to perform their duties.

Aims

The aim of this policy is to:

- Ensure that all staff receive timely and appropriate information, instruction and training to commence their duties;
- Ensure that all staff receive information to enable them to understand our policy and procedure particularly with regard to training operations;
- Ensure that all staff are aware of relevant employment and other administrative procedures;
- Ensure that staff details are accurately recorded by us including certification of required qualifications and credentials;
- Ensure that all staff receive adequate and appropriate support during their preparation to undertake their duties.

Responsibilities

The following personnel are responsible for the application of this policy:

- The Directors are to provide adequate induction programs and procedures which achieve the aims of this policy and which foster cohesion and a productive work environment.
- Supervisors are to implement induction programs and procedures and work closely with staff to ensure that they are prepared for their duties in accordance with the aims of this policy. Supervisors are to monitor the induction of new staff members and report progress and finalisation of induction.
- Current staff members are to actively engage with new employees to guide their induction and to provide support during their transition to their new duties. Current staff members play an important function in the peer support component of professional development particularly as it relates to our own approach to training and assessment.
- New staff members are to actively participate in induction programs and procedures and seek out information rather than waiting for it to be provided to them. Active participation includes reviewing TMT policies and procedures carefully, taking responsibility for their own preparation to commence their duties and seeking clarification to uncertainties.



Induction program

The induction program will vary according to the background and circumstances of the staff member. As a general guide, induction will occur over a two – three day period.

The first day is generic to all new staff members and includes orientation, meetings with key personnel and review of TMT's policies and procedures. After this initial period, the staff member is orientated to their respective work area, be that training and assessment or support services. This time will also include the issuing of any resources required to commence their duties, confirmation of duty statements and allocation of work area.

A more detailed schedule of the induction program is available in the next section. The staff member is to be provided with an Induction Checklist to be used throughout the induction to confirm their completion of induction activities. This document is to be completed and signed by the staff member and their supervisor in recognition that induction has been completed in accordance with the required standard.

The Induction Checklist is available within the TMT forms folder.

Staff Induction Procedure

The following procedure is to be followed during the induction of new staff:

Before the new staff members arrives

- Issue a memo to all TMT staff members advising them of the name of the new staff member, the position filled, location and starting date.

Day One

- Welcome by the Directors.
- Receive briefing on the induction schedule and obtain a copy of the Induction Checklist.
- Tour of the premises and introduction to staff.
- Complete employment administration including tax file number declaration, pay account details, superannuation choice, and employment contract confirmation.
- Begin detailed review of TMT policy and procedure including all our policies and procedures.

Day Two

- Finalise the review of TMT policy and procedure.
- Receive introduction to RTO Data.
- Receive equipment and resources required to undertake duties.
- Allocation of workspace and organise for access to internal information systems.



- Review duty statement and discuss TMT’s expectations of duties and the staff member’s expectation of TMT.
- In consultation with supervisor, compile professional development plan to guide the staff member’s medium term development with TMT.
- Complete Induction Checklist and file.
- Meeting with Directors to conclude the formal component of the induction program.
- Commence work in allocated area fully orientated with a full workload.



6.2 – Trainer Competency Requirements

Competency is defined as an individual's consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments²⁶.

In accordance with the Standards for Registered Training Organisations trainers and assessors employed by TMT are required to meet specific competency requirements to deliver training and assessment services as a Registered Training Organisation. It is summarised here to provide clarity on the preferred approach to this requirement by TMT.

Vocational Competency

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

In determining requirements for vocational competency, TMT will have regard to Training Packages which include advice specific to the industry related to the vocational competencies of trainers and assessors.

TMT will also have regard to information collected during industry engagement activities that inform the current industry skills required of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing.

TMT require that training and assessment is delivered only by persons who have:

- Vocational competencies at least to the level being delivered and assessed. This means that they either hold the actual unit of competency or hold an equivalent unit of competency.
- If the nominated trainer does not hold the actual or an equivalent unit of competency then they may provide other supporting evidence to demonstrate their competency to the level being delivered and assessed. This other evidence should be presented like an RPL application and should overwhelmingly demonstrate the trainer's competency. Evidence may include certified copies of higher or related qualification or statements of attainment, work samples, employer references, resume, referees contact, etc. It must be very clear from the presented evidence that the trainer is competent in each and every unit of competency they are delivering.

²⁶ Standards for Registered Training Organisations 2015



Training and Assessment Competency

Trainers and Assessors must hold one of the following:

- TAE40110 Certificate IV in Training and Assessment, or
- A Diploma or higher level qualification in adult education.

TMT acknowledges that the Standards for Registered Training Organisations do make provision for those undertaking assessment only to only hold the Assessor Skill Set (up until 1 Jan 2016 only). TMT has determined that it will not apply this provision and require all staff delivering training or assessment to hold a full qualification as listed above.

Trainer and Assessor Currency

The Standards for Registered Training Organisations require that training and assessment is delivered only by persons who have following:

- 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.
- Can demonstrate the participating in professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

The requirement for current industry and vocational training skills and knowledge means that the trainer has maintained their skills and knowledge in their industry area of speciality. This is more general than the requirement to demonstrate competency and requires the trainer to have sufficient evidence to demonstrate the industry currency.

Further policy guidance on mechanisms to maintain currency is provided in the Trainer Currency and Professional Development policy.

6.3 - Trainer Currency and Professional Development

It is a requirement as a Registered Training Organisation to provide for the continued professional development of staff members. Specifically, TMT is required to apply systems to maintain and develop the professional competence of trainers and assessors and training support personnel. This includes ensuring that staff maintain the currency of their knowledge and skills relevant to the training and assessment being delivered or the role they perform. This requirement has three specified components:

- Continued development of their vocational competence (i.e. trade / industry skills and knowledge);
- Continued development of their training and assessment competence (if applicable to role); and



- Continued development of their awareness of applicable legislative and enterprise requirements.

To achieve this, TMT will implement professional development in two strategies:

- Individual professional development, and
- Collective professional development.

Aim

The aim of this policy is to:

- Provide support for career advancement, so that we will retain staff who perform well;
- Prepare staff members for possible future responsibilities within TMT;
- Enhance the standard of performance of all staff members in their current jobs;
- Maintain and increase job satisfaction;
- Improve and develop the ability of staff members to initiate and respond constructively to change;
- Maintain and continuously improve the vocational skills and knowledge of trainers and assessors;
- Provide a procedure for staff to play an active role in their own professional development; and
- To ensure trainers and assessors maintain the currency of vocational skills and knowledge.

Individual professional development

Each TMT staff member is required to compile an individual professional development plan. This plan is to be reviewed annually and forms the basis for our distribution of financial support for individual professional development activities. Individual plans are developed in consultation with supervisors and must be approved by the Directors.

Approval by the Directors does not guarantee financial support for the plan but does ensure that it will be considered when financial support is distributed and will depend on our financial position.

Financial support for professional development

The following principles guide the distribution of financial support for individual professional development:

- Individual financial support will not exceed \$500.00 per person annually. This amount is inclusive of GST. The annual entitlement is based on a calendar year (i.e. Jan – Dec).
- Financial support will only be provided where the individual professional development activity is directly related to the individual's current role within TMT or a role that has been identified in the immediate future.
- Financial support will only be provided on the basis of 50% of the activity cost and only up to the annual entitlement (\$500.00).



- Financial support will only be provided for registration costs or tuition fees. It will not cover incidental costs such as transport, meals or accommodation.
- Individuals will be considered “on duty” when attending professional development activities and will be remunerated at their standard rate of pay.

The following is an example of these principles at work:

John is seeking to attend a seminar on assessment practices. The cost for the seminar registration is \$600.00. John writes a letter to the Directors seeking financial support of \$300.00. The application is approved and John attends the seminar and covers all incidental costs himself. John has a remaining entitlement of \$200.00.

Collective professional development

Collective professional development includes all professional development activities organised and facilitated by TMT for the participation of all staff members. Activities that may be included in collective professional development include:

- In house training;
- Attendance at workshops and seminars;
- Trainers and assessors moderation;
- Induction training; and
- Focus groups.

We will develop a collective professional development schedule that meets our requirements under Standards for Registered Training Organisations and accurately reflects our training tempo and business priorities. The Directors are responsible for the development and implementation of the collective professional development schedule. This schedule is to include an annual training session on the legislative requirements applicable to TMT operations.

Recording Professional Development

To ensure an accurate record of professional development activities, all staff members are required to submit evidence of their professional development to administration so it can be properly recorded in RTO Data Staff Professional Development and Currency Register.

Currency Points Framework

In addition to the requirement to demonstrate ongoing professional development, staff employed as trainers and assessors must also demonstrate that they hold current skills and knowledge in both their vocational competence and their training and assessment competence. This requirement creates questions about how much evidence is required to demonstrate that a staff member is current. It is also acknowledged that some evidence is more valued based on its validity as currency evidence and so a suitable approach is required to define the types of evidence that are suitable and the amount required.



In response to this requirement, TMT has established Currency Points Framework. The Currency Points Framework allocates points to specific activities that are commonly used by Trainers to demonstrate their maintenance of skills and knowledge. The point's value is based on the perceived value an activity has in regards to its Validity as a form of evidence applicable to Standards for Registered Training Organisations, standard 1.13 – 1.16. The framework seeks to give value to a much wider type of currency evidence than simply professional development. The framework is equally applicable to employees and contract trainers.

The point's value has been determined through consultation with staff and is largely based on how measurable an activity is in terms of demonstrating currency. The less measurable an item is considered, the less points it is allocated.

In applying this pathway, the following business rules apply:

- Each Trainer is required to maintain a minimum of **20 Currency Points** at any time.
- Within the annual Currency Points requirement:
 - No less than **10 Currency Points** must be maintained for Vocational skills and knowledge.
 - No less than **10 Currency Points** must be maintained for Training/Assessment skills and knowledge.
- Where a Trainer has multiple vocational areas of delivery (such as sectors), the Trainer will be required to demonstrate a minimum of 10 Currency Points for each vocational areas of delivery.
- Each allocation of points based on currency activity completed is only valid for 12 months. When 12 months lapses, the point's value on the persons tally will be lost and the trainer must either have enough points to maintain a minimum balance or must offer additional currency evidence to restore the balance to the minimum level.
- A trainer can only use evidence related to a Currency Activity once in a 12 month period for both their Vocational skills and knowledge and their Training and Assessment skills and knowledge. This rule is intended to encourage the use of a variety of evidence and to prevent a person simply obtaining points for every time they read an industry journal.

The full Currency Points Framework and points allocation is provided on the following page.

Recording Currency Points

All staff members are required to submit evidence of their professional development and currency activity to administration so it can be properly recorded in RTO Data Staff Professional Development and Currency Register. The register will automatically calculate the points achieved in the calendar year and will be used to monitor staff compliance with the business rules.



Currency Points Framework and Points Table

The following table describes the value of Currency Points allocated to activities the Trainer may engage in to maintain their competence and currency.

Please note: It must be demonstrated that the activity claimed by the Trainer is directly relevant to their role as a trainer and assessor and the vocational area they deliver training and assessment in. Activities must be evidenced.

Currency Activity	Evidence Guide	Points
Formal Professional Development leading to a nationally endorsed qualification	AQF Qualification with copy of Transcript	5
Working in industry part time	Work log or equivalent	5
Formal Professional Development leading to a Statement of Attainment	Statement of Attainment	4
Delivering workplace training	Work log or equivalent	4
Undertaking formal research or a significant project	Research Paper or Project Report	4
Non-accredited Professional Development – Conference / Workshop	Certificate of Attendance or other proof	3
Work Placement (vocational) less than five days	Work log and post activity report	3
Development of learning and assessment materials	Example of developed materials	3
Internal Professional Development – Half day or less	Attendance record	2
Work Shadowing	Work log and post activity report	2
Industry site visit (half day)	Post activity report	2
Networking event (face-to-face)	Certificate of Attendance or other proof	2
Networking (online)	Print of activity demonstrating active involvement	1
Subscription to Industry Journal	Subscription fee receipt or letter of confirmation	1
Subscription to email based newsletter	Confirmation of subscription	1
Membership of an Industry Association or Professional Group	Receipt of membership fee or letter of confirmation	1

6.4 - Trainer Records Management

It is a requirement as a Registered Training Organisation to retain verified copies of relevant staff records. It is good management to ensure that these records are retained with accuracy and integrity. TMT is to retain these records in both hard copy and electronic format.



Hard copy records are to be maintained in a designated HR file and be stored in accordance with the records retention and reporting policy. Electronic files are to be stored in a structured folder and hyperlinked within the RTO Data “Staff Register”. The attachment field may be used to attach and retain commonly used electronic copies of staff records.

The following list defines what documents must be maintained in both hard copy and electronic format:

- Completed staff induction record - signed by staff member and Directors
- Certified true copy of trainer / assessor qualifications
- Certified true copy of vocational qualifications
- Evidence of equivalent competence if applicable
- Updated Curriculum Vitae or Resume detailing professional history
- Duty statement, signed by staff member
- Employment contract / Service Agreement, signed by staff member and Directors
- National Police Check if applicable
- Relevant licence documentation / working with children check, etc
- Evidence of recent professional development
- Individual professional development plan, signed by staff member and Directors