



Parade College - RTO Division Policy & Procedure Manual

Version 2.0

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1.1 Governance

Parade College – RTO Division will ensure through a variety of structures, policies and processes that it has the capacity to meet required statutory, corporate and regulatory requirements.

Governance Processes

Parade College – RTO Division will maintain a strategic plan that includes a business plan for a five year period and ensure an annual review of each plan is conducted annually. The strategic plan will include the organisation’s vision, mission, and details of its senior management group and outline its strategic directions.

The business plan will include an organisational chart, an outline of all courses, locations and organisational facilities and will include the organisation’s risk management strategy, workforce development plan, and marketing plan.

Parade College – RTO Division will establish and maintain appropriate governance structures which include personnel with appropriate qualifications and educational experience to manage the affairs of the organisation and enable them to act appropriately in their roles.

The College Principal, Executive Officer – RTO division and any other individual who has decision making authority or influence within the RTO must satisfy fit and proper person requirements and working with children’s checks. The College Principal will notify ASQA if one or more people no longer meet fit and proper person requirements.

Governance Structures

RTO Leadership Group

1. Role

Provides oversight of the RTO, ensures the strategic and operational directions of the RTO are in line with the broader aims and directions of the College, approves RTO program expansion and facility and resource expenditure. Decisions of the RTO Leadership Group will be informed by the experiences and feedback of trainers and assessors, students and other stakeholders.

2. Membership

College Principal

College Business Manager

Executive Officer – RTO division

Principal Personal Assistant – Minute Taker

3. Meetings

The RTO Leadership Group meets fortnightly and will be chaired by the Principal. Minutes of meetings will be prepared, circulated to all attendees and retained for historical and regulatory purposes.

Executive Officer – RTO Division

1. Role

In conjunction with the Principal, holds responsibility to ensure that structures, policies and processes to support the operations of the RTO are in place; that an effective regulatory compliance program is maintained, and strategic and operational documents and records are appropriately prepared, approved and maintained.

The Executive Officer – RTO Division will report directly to the Principal, and maintain regular communications in respect of RTO operations. Such communications will be recorded and retained by the RTO.

2. Essential Requirements

- The Executive Officer – RTO Division will optimally have the following combination of knowledge, skills and experience:
 - Certificate IV in Training and Assessment or higher;
 - business finance;
 - RTO/business management;
 - education and/or training;
 - industry experience in one of more program areas related to the scope of registration.

In the event of a deficit in any area of expertise Parade College will seek an additional resource with appropriate knowledge, skill and experience to support and advise the Executive Officer – RTO Division.

3. Responsibilities

- Implement the vision of the organisation in line with strategic and operational plans;
- Establish, prioritise and achieve organisational strategies, goals, budgets, business plans and performance indicators;
- Identify, prioritise and manage the principal risks to the organisation;
- In conjunction with senior College staff, appoint, train, motivate, monitor and evaluate trainers and assessors;
- Establish and implement policies and procedures to ensure statutory and regulatory responsibilities are met, an effective compliance program is in place and associated documents and records are appropriately prepared, approved and maintained;
- Investigate and propose new services and products;

- Disseminate operational and compliance information to relevant staff on an as needs basis.

Trainers Group

1. Role

Has responsibility to ensure that organisational services and products are implemented and reviewed in accordance with organisational policies, procedures and processes.

2. Responsibilities

- Implement the vision of the organisation via the provision of quality training and assessment products and services.
- Evaluate training and assessment services and products, with a view to continuous improvement.
- Maintain currency by engaging in ongoing professional development activities and sharing of industry and compliance developments.
- Where appropriate, contribute to new program and service development.
- Liaise with other Parade College staff on training and assessment matters.

3. Meetings

The Trainers Group meets monthly and will be chaired by the Executive Officer – RTO Division or delegate. Minutes of meetings will be prepared, circulated to all attendees and the Parade College Principal, and retained for historical and regulatory purposes.

External Advisors

If, in order to properly discharge its functions, duties and responsibilities, it is necessary in the opinion of the College Principal or Executive Officer – RTO Division to obtain the advice and counsel of external advisors, the Principal or the Executive Officer – RTO Division shall engage the necessary advisors.

Probity Arrangements

Any individual who exercises a degree of control or influence over the management or direction of a registered training organisation must satisfy fit and proper person requirements. Such requirements may be met via a federal police or state police check, statutory declaration or Victorian Teachers Registration.

Employees of Parade College – RTO Division who are *required* to satisfy the fit and proper person test include:

- *Parade College Principal*
- *Parade College, Business Manager*

- *Parade College, Executive Officer – RTO Division*
- *Parade College, Assistant Executive Officer – RTO Division*

Individuals who engage in paid or voluntary child-related work i.e. under the age of 18 are required to hold a current Working With Children Check. Such requirements may be met via a current Working With Children Check card, Victorian Teachers Registration, or letter from the appropriate government department, for example Department of Justice in Victoria.

Employees of Parade College – RTO Division who are *required* to have a Working with Children Check in place include:

- *Parade College Principal*
- *Parade College, Business Manager*
- *Parade College, Executive Officer – RTO Division*
- *Parade College, Assistant Executive Officer – RTO Division*
- *All trainers and assessors*
- *All administrative staff*

Verified documentation to support probity arrangements will be retained by the RTO in the appropriate staff file.

1.2 Interaction with Regulatory body

Parade College – RTO Division will interact and cooperate with national registering body requirements in the monitoring of its performance and ensure the national registering body is notified in the event of any significant changes to its operations.

Processes

Parade College – RTO Division will:

- provide accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
- comply with the Standards for Registered Training Organisations 2015 and ensure such standards apply to all operations within the organisation;
- provide an annual declaration on compliance with the above Standards to the VET regulator;
- maintain a current and up to date scope of registration;
- only issue qualifications and statements of attainment pursuant to its scope of registration;
- cooperate with the VET Regulator in the conduct of audits and the monitoring of its operations;
- allow government departments or their agents, access to training records, delivery locations and staff for auditing purposes when required, in line with privacy and confidentiality principles, and in line with the requirements of the registering body;
- provide accurate and timely data quality/performance indicator data;
- cooperate with its registering body's requirements in relation to retention, archiving, retrieval and transfer of records;
- provide a statement of its financial viability, an annual report and/or a business plan on request of the registering body;
- provide information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring, and
- provide information to its registering body about significant changes to its ownership within 90 calendar days of the change occurring.

The Principal of Parade College (or delegate) will be responsible for the implementation and monitoring of these processes.

1.3 Compliance with legislation

Parade College – RTO Division will comply with relevant Commonwealth and State legislation and regulatory requirements that relate to operating as a Registered Training Organisation (RTO) in the Vocational Education and Training (VET) sector.

Legislative Overview

The following legislation is applicable across all RTO operations. Legislation, regulations, codes relevant to specific courses are detailed in the respective Training and Assessment Strategy.

Standards for Registered Training Organisations 2015(Commonwealth)

The purpose of the standards is to describe the requirements that Parade College – RTO Division must meet in order to be an RTO in Australia; to ensure that training delivered by Parade College – RTO Division meets industry requirements, and ensures Parade College – RTO Division operates ethically. Parade College – RTO Division will seek to comply with the requirements of the Standards through implementation of robust and ethical business and operational management systems and programs, which are learner centred and industry focused.

National Vocational Education and Training Regulator Act 2011 (Commonwealth)

This Act underpins the vocational and education training sector at a national level. In particular the Act describes processes for the registration and ongoing registration of RTOs and ensuring RTO compliance with the VET Quality Framework.

Privacy Act 1988 (Commonwealth)

Both Acts underpin Parade College's approach to privacy and ensures the organisation meets its legal and ethical requirements in regard to the collection, storage and disclosure of personal information it holds in regard to its student population, staff, other clients and interactions with external organisations.

Occupational Health and Safety Act 2004 (Victoria)

Parade College recognises the importance of providing a safe and healthy environment for staff, students, contractors and visitors during their participation in work and training activities with the organisation. Parade College aspires for excellence in health and safety and is committed to providing an environment which is free from risks and conducive to the productivity and efficiency needs of its staff, students and others.

Student Identifiers Act 2014 (Commonwealth)

Parade College recognises its obligations under the Act and will collect, verify and report on the Unique Student Identifier (USI) of each student

enrolled in nationally recognised VET qualifications, accredited courses and units of competency.

Copyright Act 1968 (Commonwealth)

Parade College recognises its obligations under the Act and will maintain licence agreements for any external material utilised within its operations and where appropriate acknowledge the original source of external material.

Working With Children Act 2005 (Victoria)

Parade College will comply with the Act by ensuring that all members of the management team, trainers and assessors, and administrative staff who interact with persons under the age of 18 years have current Working With Children checks.

Sex Discrimination Act 1984 (Commonwealth); Racial Discrimination Act 1975 (Commonwealth); Disability Discrimination Act 1992 (Commonwealth) and Equal Opportunity Act 1995 (Victoria).

Parade College recognises and values the individual differences of its students, staff and industry stakeholders, and within the spirit of the legislation promotes an inclusive training environment and recognises that diversity is an opportunity to enrich and extend opportunities for all.

Dissemination of information

Staff will be informed of legislative requirements via an initial induction process and Trainer Information Booklet, students will be informed of relevant legislation via the Student Information Booklet.

Maintaining currency

Legislation is to be reviewed annually by the Executive Officer – RTO Division or delegate, and on an as needs basis when the organisation is made aware of changes to particular legislation.

Any changes/updates are to be communicated to stakeholders including trainers and assessors who need to remain abreast of legislative changes; and training, learning and assessment materials amended accordingly.

1.4 Privacy and personal information

Purpose

This policy ensures that Parade College – RTO Division meets its legal and ethical requirements in regard to the collection, storage and disclosure of personal information it holds in regard to its student population, staff, other clients and interactions with external organisations.

Principles

In collecting personal information Parade College – RTO Division will comply with the requirements set out in the *Privacy Act 1988 (Commonwealth)* and the *Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Commonwealth)*.

- 1.1 Parade College – RTO Division is committed to ensuring the confidentiality, integrity and security of all information.

Collection and use of Information

- 2.1 In the course of its business, Parade College – RTO Division will collect information from students, potential students, and other clients either electronically or in hard copy format; including information that personally identifies individual people.
- 2.2 Parade College – RTO Division will only collect personal information by fair and lawful means which is necessary for the functions of Parade College – RTO Division.
- 2.3 The information supplied by individuals will only be used to provide information about study opportunities, to enable efficient administration, and to maintain proper student and client records. If an individual chooses not to provide certain information then we may be unable to provide some services or provide appropriate information.

Disclosure of Personal Information

- 3.1 Personal information about students studying with Parade College – RTO Division may be shared with the Australian Government and designated authorities, such as the Australian Skills Quality Authority (ASQA) and the National Centre for Vocational Education Research (NCVER). This information includes personal and contact details, course enrolment details and changes, competency completion and results.
- 3.2 Parade College – RTO Division will not disclose an individual's personal information to another person or organisation unless:

- a) the individual concerned is reasonably likely to have been aware, or made aware, that information of that kind is usually passed to that person or organisation;
- b) the individual concerned has given written consent;
- c) Parade College – RTO Division believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
- d) the disclosure is required or authorised by or under law; or
- e) the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.

3.3 Any person or organisation to whom personal information is disclosed as described in this policy is not permitted to use or disclose the information for a purpose other than the purpose for which the information was supplied to them.

3.4 Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of public revenue, Parade College – RTO Division shall include in the record containing that information, a note of the disclosure.

Security of Personal Information

4.1 Parade College – RTO Division will take all reasonable steps to ensure that any personal information collected is:

- a) relevant to the purpose for which it was collected;
- b) up to date;
- c) complete; and
- d) accurately recorded.

4.2 Parade College – RTO Division will store securely all records containing personal information and take all reasonable security measures to protect personal information collected from unauthorised access, misuse or disclosure.

Right to Access Records

5.1 Students have the right to access records of participation and results held by Parade College – RTO Division. Requests to access such information

can be made to the Executive Officer – RTO Division, students should allow 24 – 48 hours for information to be retrieved.

Amendment to Records

- 6.1 If an individual considers the personal information that Parade College – RTO Division holds about them to be incorrect, incomplete, out of date or misleading, they can request that the information be amended.
- 6.2 Where a record is found to be inaccurate, a correction will be made. Where a student requests that a record be amended because it is inaccurate but the record is found to be accurate, the details of the request for amendment will be noted on the record.

1.5 Health and safety

This policy outlines the approach taken by Parade College – RTO Division to ensure a healthy and safe environment for all students, staff and others participating in any activities within the registered training organisation (RTO).

Overview

Parade College – RTO Division recognises the importance of providing a safe and healthy environment for staff, students, contractors and visitors who may be affected by the operations and activities of the RTO.

Parade College – RTO Division aspires for excellence in workplace health and safety and is committed to providing an environment which is free from risks and conducive to the productivity and efficiency needs of its staff, students and others.

Compliance with Legislation

- 1.1. Parade College – RTO Division meets the requirements of the *Occupational Health and Safety Act 2004* (Victoria) and complies with all other relevant legislation, codes of practice, advisory and best practice standards as well as relevant policies and procedures of the College.

Organisational Responsibility and Commitment

2.1 Parade College – RTO Division is committed to:

- a) Providing a safe and healthy environment for all students, staff and others during their participation in activities with the RTO.
- b) Implementing effective risk management systems that; are relevant and suitable for the RTO's scope of business; promote workplace health and safety at all times; and continuously improve performance in relation to health and safety.
- c) Encouraging active participation, cooperation and consultation with all students, staff and others in the promotion and development of measures to improve health and safety.
- d) Actively responding to, recording and investigating all incidents.
- e) Taking immediate response to reduce the risk of identified hazards.
- f) Maintaining relevant policies, procedures, training, codes of conduct systems and resources to support and communicate effective health and safety practices throughout the RTO.
- g) Routinely conducting checks of the RTO environment to assess risks, identify hazards and identify areas for improvement.

- h) Providing appropriate induction, information and updates to staff and students about workplace health and safety.
- i) Maintaining appropriate records in relation to the risk management program.
- j) Ensuring all relevant OHS documentation is made available to employees and regulatory authorities on an as required basis.

Staff and Student Responsibility

3.1 All staff and students have a responsibility to take all reasonable care for their own health and safety; and always consider the health and safety of others who may be affected by their actions.

Reporting

4.1 All staff, students and others are required to report any identified hazards and associated risks as soon as they become aware of them.

4.2 All staff, students and others are required to report any incident that causes harm to a person during their participation in work and/or training activities with Parade College – RTO Division.

1.6 Access, equity and anti-discrimination

Overview

Parade College – RTO Division is committed to ensuring that:

- i. Access and equity principles are applied to all aspects of its operations, promoting full and equal opportunities for all students, prospective students and other clients.
- ii. No person is discriminated against, harassed or treated unfairly in their dealings with the RTO Division.
- iii. Each student has access to the level of support required to enable them to reach their full potential without it causing unjustifiable hardship to the organisation.
- iv. The RTO Division complies with relevant Equal Opportunity and Discrimination legislation.

Scope

This policy applies to the RTO's interactions and dealings with all students, prospective students, employers, prospective employers, host workplaces and staff.

Diversity

- 1.1 Parade College – RTO Division recognises and values the individual differences of its students and the community, and recognises that students come into its programs with a wealth of personal knowledge and life experiences.
- 1.2 Parade College – RTO Division promotes an inclusive training environment and recognises that diversity is an opportunity to enrich and extend opportunities for all.
- 1.3 Parade College – RTO Division creates an inclusive environment for all people regardless of their background by:
 - a) Providing a welcoming and supportive training community.
 - b) Offering flexibility in training and assessment.
 - c) Providing reasonable adjustments to training and assessment activities.
 - d) Having open recruitment and selection procedures.
 - e) Determining the needs of all individuals upon engagement with the organisation.
 - f) Providing students and clients access to a range of support services.

Discrimination

In accordance with legislation, no person or organisation will be treated unfairly or discriminated against on the basis of age, colour, race, gender, religious or political conviction, sexuality, ability or disability, location, family responsibilities, membership or non-membership of an association or for any other stereotypical or illegal reason.

Harassment

3.1 Parade College – RTO Division is committed to providing all people with an environment free from all forms of harassment. Parade College – RTO Division will not tolerate any behaviour that harms, intimidates, threatens, victimises, offends, degrades or humiliates another person.

Fairness

4.1 The principles and practices adopted by Parade College – RTO Division aim to ensure, that current and prospective students, clients and other stakeholders are treated fairly and equitably in their dealings with Parade College – RTO Division.

4.2 Parade College – RTO Division aims to provide open, fair, clear and transparent policies and procedures for use by staff and students.

4.3 Parade College – RTO Division has fair and equitable processes for selecting students for enrolment into its courses. Decisions about student selection are based on clearly defined entry requirements. Students will be selected on merit, based on the course's publicised criteria. Entry requirements as well as application and enrolment procedures are published in Parade College – RTO Division's marketing materials such as course guides and website.

4.4 All people will be treated courteously and expeditiously throughout the process of enquiry, selection and enrolment and throughout their participation in a course.

Exclusion from Services

5.1 A person may not be permitted access to training services if:

- a) They have a criminal history which impacts on the requirements of the course or vocation of the area being studied.
- b) The student requires delivery in a language other than that being offered by Parade College – RTO Division in accordance with the related Training Package.
- c) The student requires special services or facilities and provision of such would cause unjustifiable hardship to the organisation.

Equity in Access

6.1 Parade College – RTO Division provides equity in access to the level of training and support required by each student. All students are supported in a manner that enables them to achieve their full potential and success in their training outcomes. All students are provided with opportunities to develop and successfully gain skills, knowledge and experience through education and training.

6.2 Parade College – RTO Division provides equitable access to training and education services by:

- a) Offering culturally appropriate teaching resources that are relevant to participant needs and circumstances.
- b) Referring students to support and counseling services where needed.
- c) Offering a wide range of course and learning options.
- d) Assisting students to arrange additional services if required such as interpreters or trained note takers.
- e) Providing courses that are self-paced and flexibly delivered.
- f) Encouraging participants to be involved in their own feedback and decision making processes regarding realistic goals and progress.

Support Services

7.1 General learning support is available to assist students with any aspect of learning and assessment and includes assistance for students from non-English speaking backgrounds. Where the required support is beyond the scope of Parade College – RTO Division, students will be provided with the contact details of relevant external agencies.

NB For Parade College – RTO Division students any costs incurred as a result of consulting with an external agency will be met by the student's parent or guardian. For external students undertaking VET courses at Parade College – RTO Division students any costs incurred as a result of consulting with an external agency will be met by the home school or referring agency.

1.7 Continuous improvement

Parade College strives for excellence and quality and takes every opportunity to improve and enhance all aspects of its business operations, products and/or services.

The following mechanisms are in place to assure quality within the RTO Division of Parade College:

- a) A robust continuous improvement and feedback cycle that ensures feedback is collected from a range of stakeholders on a regular basis and used to monitor and improve the organisation's own performance.
- b) An internal self-assessment audit cycle that ensures the RTO Division of Parade College systematically checks that it meets the requirements of legislation, regulatory frameworks, and client service expectations.
- c) Regular assessment validation and moderation sessions that ensure the training and assessment methods used by the RTO Division of Parade College are adequate and appropriate.

Stakeholder Feedback

Students

At the end of each semester students are requested to complete an electronic questionnaire (via www.surveymonkey.com). Student responses are collated and analysed by the Executive Officer – RTO Division or delegate. Recommendations are considered and discussed at Trainer's Meetings, where appropriate these recommendations will be actioned, recorded on the Continuous Improvement Register and relevant staff/students informed. Completed survey monkey questionnaires will be stored electronically.

Additionally and on course completion, students are requested to complete a Learner Engagement - Quality Indicator (QI) survey.

Student responses are collated via an MS Excel spreadsheet by the Administration Officer, on completion the spreadsheet is forwarded to the relevant Trainer/Assessor and the Executive Officer – RTO Division for analysis and possible action.

Where improvements are to be made, these will be assigned to the relevant staff member/s, recorded on the Continuous Improvement Register and relevant staff/students informed.

Original QI forms will be archived in the specific course box.

Also refer Data Provision Requirements section below.

Staff

Staff are encouraged to provide feedback, recommendations, knowledge and advice on any aspect of the organisation's operational, training and assessment processes.

Monthly meetings of trainers and assessors and the Executive Officer – RTO Division provide a forum for such feedback; with meetings minuted.

Suggested improvements are considered by meeting attendees and where improvements are to be made, these will be assigned to the relevant staff member/s, recorded on the Continuous Improvement Register and relevant staff/students informed.

Employers

As a school based RTO with limited employer engagement, formal feedback processes will not be implemented; however from time to time the organisation may receive ad hoc, informal feedback from employers via professional and industry networks or forums. Such feedback will be discussed as part of staff meeting procedures and minuted.

Where improvements are to be made, these will be assigned to the relevant staff member/s, recorded on the Continuous Improvement Register and relevant staff/students informed.

Data Provision Requirements

In line with ASQA Data Provision Requirements, Parade College – RTO Division collects and uses data from two of the required Quality Indicators to gauge its performance. The two endorsed indicators are:

- a) Learner Engagement
- b) Competency Completion Rates

Reports from the Quality Indicator feedback collection tools will be used by Parade College – RTO Division to monitor and benchmark its performance at regular intervals. This allows identification of:

- a) Areas that need improvement;
- b) Areas where performance is getting weaker;
- c) Improvement targets; and
- d) Whether the improvement plan is working.

Parade College – RTO Division will provide an annual summary report of Quality Indicator data to ASQA by 30th June each calendar year.

Audits

An annual internal audit of compliance against the NVR Standards will be conducted and reported. Such internal audits will provide an opportunity to review all managerial and operational policies, procedures and associated

forms and templates. Furthermore, internal audits will also review training and assessment services, facilities, equipment and materials, and staffing arrangements.

Parade College – RTO Division will also cooperate with audits or any other monitoring activity required by the Australian Quality Skills Authority. Where Parade College – RTO Division receives government funding, the organisation will comply with any similar monitoring procedures.

Refer to the Audit Processes Policy and Procedure for further details.

Performance Reviews

As part of the organisation’s continuous improvement processes, all staff will undergo a performance review on an annual basis. Whilst the outcome of such reviews will remain confidential; it is expected that any improvement in staff performance will have a rippling effect to the wider organisation including the RTO Division.

Complaints and Appeals

Where improvements are to be made as a result of a Complaint or Appeal process, these will be assigned to the relevant staff member/s, recorded on the Continuous Improvement Register and relevant staff/students informed.

Continuous Improvement Schedule

A rolling 12 month schedule is utilised to guide continuous improvement activities in a planned and systematic way.

Continuous Improvement Register

All continuous improvement action items will be logged on the register for historical and regulatory purposes.

1.8 Audit processes

This procedure ensures that Parade College – RTO Division complies with required regulatory standards and legislation across all areas of its operations, in all its training/assessment activities and improves the quality of services it provides to stakeholders.

Regulatory Audit

Process

1. A request by the relevant regulatory body or delegate will be sent to Parade College – RTO Division in the event that an audit (or any other performance monitoring activity) is to be conducted.
2. The request will be read and understood by the Principal in consultation with the Executive Officer – RTO Division.
3. The Principal in consultation with the Executive Officer – RTO Division will reply to the request and an audit date and location will be negotiated in full cooperation with the regulatory body or delegate.
4. The Executive Officer – RTO Division will ensure that Parade College - RTO Division prepares for the audit and ensures all personnel, systems and documents required for the audit are presented on the agreed audit date and audit location.
5. If there are any issues or situations that may affect the conduct of the regulatory audit the Executive Officer – RTO Division will advise the regulatory body as soon as these become evident.
6. The Executive Officer – RTO Division will ensure that a suitable space with all necessary personnel, systems and documents are provided for the audit.
7. During the audit Parade College – RTO Division will present personnel, systems and documents in a manner and format requested by the regulatory auditor/s.
8. Parade College – RTO Division will discuss issues of non-compliance and areas of improvement with the Auditor in an objective manner. If there are disagreements these will be discussed with the Auditor in a professional manner.
9. The findings of the audit will be discussed and finalised with the Auditor/s before the Auditor/s leaves College premises.
10. If areas of non-compliance are highlighted in the audit report, Parade College will follow the instructions and rectification plan/process required by the regulatory body to address areas of non-compliance.
11. Parade College will provide all rectification evidence within timelines set out by the regulatory body.
12. If there is disagreement with the findings of the audit report, Parade College – RTO Division will formally write to the regulatory body outlining such concerns and seek appropriate resolution.

13. All relevant College staff will be advised about the outcomes of the audit, and any improvements stemming from the audit will be implemented in a consultative, timely and compliant manner.
14. All documents (audit report, verification documents, Registering Body forms etc) will be properly stored (electronic and hardcopy).

Internal Audit

Process

1. The Executive Officer – RTO Division is to ensure that an internal audit of Parade College – RTO Division’s compliance against regulatory standards is conducted at least annually.
2. The Executive Officer – RTO Division, in consultation with other staff, will engage a suitably qualified and experienced external consultant(s) to conduct the internal audit.
3. In preparation for such audits the Executive Officer – RTO Division in consultation with other staff will ensure that all necessary documentation is prepared for the audit.
4. The audit is to be conducted as scheduled and all audit outcomes are to be documented using an audit checklist. As a professional development initiative, the Executive Officer – RTO Division will arrange, where possible, staff members active contribution to the audit process.
5. The audit outcomes will be recorded in an audit report and discussed with relevant staff members before being finalised.
6. As part of the audit report or as an attachment to the audit report, a rectification plan (if required) will also be developed in consultation with staff members.
7. Once finalised the audit report and its findings along with the rectification plan will be presented to the Principal and rectification actions will be discussed and implemented.
8. Once all agreed rectification actions have been implemented these will be reported to the Principal.
9. All audit and rectification documentation and systems will be properly filed and saved to ensure evidence of conduct of these audits and continuous improvement of Parade College RTOs operations;
10. All information obtained from these audits will be used to continuously improve the quality of the services that Parade College – RTO Division provides to its students and other stakeholders.

1.9 Complaints and appeals

Introductory notes

The essential elements of a complaints handling procedure are to:

- Explain the meaning of 'complaint and appeal';
- Ensure confidentiality, fairness and timeliness;
- Explain in detail what a complainant can do – state the different options available;
- Explain what will happen once a formal complaint is made;
- Detail outcomes if complaint is substantiated or unsubstantiated;
- Explain the appeals procedure;
- Detail the names of Compliant Officer/s, and include the right of the complainant or appellant to go outside the College if dissatisfied.

DEFINITIONS

Complaints Process:

A process by which a student, parent/guardian, staff member, or other stakeholder may raise a concern about the conduct of:

- a) the RTO, its trainers, assessors or other staff;
- b) a third party/partner organisation providing services on behalf of the RTO, its trainers, assessors or other staff; or
- c) a student of the RTO.

Where a complaint relates to a third party/partner organisation, the complainant may lodge a complaint with the third party/partner organisation, with Parade College, or both. The process for managing a complaint as detailed below will be followed irrespective of whether Parade College or the third party/partner organisation is managing the complaint.

Appeals Process:

A process by which a student, staff member, parent, guardian or other interested party may dispute a decision made by the RTO. An appeal is generally an escalation of a complaint, where the appellant is dissatisfied with the process or outcome of a complaint.

Purpose of this procedure

Parade College – RTO Division is committed to providing a safe and pleasant working and learning environment for all students, parents, guardian, staff and visitors. However we acknowledge that sometimes individuals may feel aggrieved about something that is happening at the RTO which appears to be unsatisfactory.

The purpose of this document is to provide a clear procedure by which individuals can have such complaints addressed.

If you feel that you are being harassed or discriminated against, or a product or service of the College's RTO Division or one of its partner organisations is

unsatisfactory, this complaints handling procedure is available to you so that your concerns can be addressed.

Key elements of the complaints handling procedure

Impartiality: If you make a complaint, it will be investigated in a fair and impartial manner. No judgements or assumptions will be made, and no action taken until the investigation is complete. If a complaint is made against you, your rights will be protected and you will be given an opportunity to tell your side of the story.

Confidentiality: You can feel secure that if you do make a complaint under this policy, details of the complaint will remain confidential. The only people who will have access to information about the complaint will be the person making the complaint and the person investigating.

No Victimisation: You can also rest assured that if you make a complaint you will not suffer in any way as a consequence. The College authorities will ensure that a person who makes a complaint is not victimised in any way.

Timeliness: Each complaint will be finalised within as short a period as possible. All complaints and appeals should be finalised within one month. If for any reason the management of a complaint or an appeal takes longer than 60 days, the complainant/appellant will be informed of the reasons for the delay and will be provided with regular updates on the progress of the matter.

What to do if you have a complaint

1. Approach the person involved.

In many situations, the most appropriate thing to do in the first instance is to tell the person who is the cause of the complaint how you feel. If the complaint is about their behaviour, tell them that is offensive/hurtful/not acceptable. If it is about a product or service tell them the reason for your dissatisfaction. If it is about an assessment decision tell them the reasons for your dissatisfaction. Telling the person will give them an opportunity to stop what they are doing; improve the product or service; or review the assessment decision.

2. Go to a member of the Leadership Team

If you don't feel that you can approach the person directly, then go and explain your concern to your Teacher, the Executive Officer RTO, or a Complaints Officer (the names of Complaints Officers are listed at the end of this procedure). These people have been trained to be the first point of contact for people with complaints. This person will advise you of your options and what will happen if you decide to make a formal complaint. Nothing will be done in relation to your complaint without your agreement.

3. What happens next?

If you decide to proceed to a formal complaint, you will need to put your complaint in writing and submit this to the Executive Officer RTO or a Complaints Officer. Receipt of your written complaint will be acknowledged in writing, and your complaint will be investigated by the Executive Officer RTO or Complaints Officer.

The investigation process will generally include an interview with you. During this interview a number of things will be explained to you, such as what will happen if the complaint is found to be supported by evidence or not found to be supported by evidence. During the interview you should provide details of the complaint and tell the Executive Officer RTO or Complaints Officer what action you would like to be taken, for example an apology from the person, a written warning etc.

The Executive Officer RTO or Complaints Officer will then talk to the person about whom the complaint is being made to hear their side of the story. Any witnesses will also be interviewed. These interviews will be conducted separately and impartially. The importance of confidentiality will be stressed to all parties and they will be warned of the consequences if there is a breach of confidentiality. Any relevant documentation will also be considered.

Based on the outcome of the investigation you will receive written correspondence from the Executive Officer RTO or Complaints Officer, within one month of lodging the written complaint, as to whether your complaint has or has not been substantiated. If the complaint is substantiated, strategies to resolve the complaint will be included. If the complaint is not substantiated, reasons for this decision will be included. You will also be told where you can go for assistance if you are not happy with the complaint process or outcome.

Appeals

If you believe the complaints process has not been followed or that the outcome is unacceptable to you, you may appeal in writing to the Principal, Parade College.

The Principal will consider the way in which the complaint was investigated and managed, and examine the outcome. If the Principal believes the complaint process was properly followed and that the outcome was appropriate, the Principal will take no further action. If the Principal believes the complaint process was not properly followed, or that the outcome was inappropriate, the Principal will organise for the complaint to be reviewed. In this instance the appeal will be dealt with by someone other than the person who first managed the complaint.

Based on the outcomes of the review, you will receive written correspondence from the Principal, within one month of lodging the appeal, as to whether your appeal has or has not been substantiated. If the appeal is substantiated, strategies to resolve the matter will be included. If the appeal

is not substantiated, reasons for this decision will be included. You will also be told where you can go for assistance if you are not happy with the appeal process or outcome.

Appeal against assessment result

Any student dissatisfied with the mark awarded or the outcome of an assessment task, or the final result for a unit/module because they feel the mark or result is unfair or incorrect, may submit a request to the Executive Officer RTO for review.

In the first instance, such review will be undertaken by the original assessor. If the student remains dissatisfied with the outcome then he/she may lodge a formal appeal. The appeal must be in writing, explaining reasons for the appeal and submitted to the Executive Officer RTO within 10 working days of the student being notified of the review outcome. Where reasonable grounds for appeal exist, the Executive Officer RTO will arrange for an external review to be undertaken. Any costs associated with the external review will be borne by Parade College.

Going to an external agency

After exhausting the College's internal complaints and appeals procedure, the complaint/appellant may wish to lodge a complaint or appeal with an external agency. You may take your complaint or appeal to an external agency at any stage of the Complaints and Appeals process if you are unhappy with the management, progress or outcome of your complaint or appeal. Such external agencies include but are not limited to:

- In the Melbourne Archdiocese – the coordinating Chairperson, Pastoral Care Unit, Catholic Education office.
- For Edmund Rice Schools – contact Edmund Rice Education Australia
- The National Training Complaints Hotline – Telephone 13 38 73 (Monday – Friday, 8.00 am – 6.00 pm) or via email to skilling@education.gov.au

Record management

All documentation related to a complaint or appeal will be kept in an individual file and stored in a secure area. Documentation related to a complaint or appeal must be stored in such a way that relevant parties cannot be identified or cannot be used for purposes other than which such documentation was intended. All complaints and appeals will be logged on a Complaints and Appeals Register.

Continuous improvement

Where improvements are to be made as a result of a Complaint or Appeal process, these will be assigned to the relevant staff member/s, recorded on the Continuous Improvement Register and relevant staff/students informed.

Parade College complaints officers

- Mr. Andrew Kuppe – Principal

- Mr. Mark. Aiello – Deputy Principal
- Mr. Paul Harris – Business Manger
- Mr. Anthony McKay – Executive Officer RTO

1.10 Marketing

Parade College will ensure that marketing and advertising activities to prospective students are ethical, accurate and consistent with our scope of registration.

1. All marketing and advertising materials (including brochures, newspaper advertisements, website content and any other media advertising materials) are to be developed by RTO staff members in consultation with the Executive Officer RTO.
2. During the process of developing these materials:
 - Parade College accurately represents our training and assessment products and services and does not mislead students/stakeholders by making false claims about our products and services which may have an impact on their decision to use our products and services.
 - Parade College will clearly separate nationally recognised training from non nationally recognised training in our marketing materials to ensure we do not mislead students/stakeholders.
 - Parade College will ensure that we only market and advertise AQF qualifications/units of competency/accredited courses on our scope of registration.
 - Parade College will ensure that advertised outcomes are consistent with AQF Qualifications or Statements of Attainment.
 - Parade College will ensure that we use the exact codes and titles as required by the Training Package or Accredited Course.
 - Parade College will use the NRT logo only in accordance with its use.
 - Parade College will clearly outline course/qualification/unit of competency requirements as required by the Training Package/Accredited Course.
 - RTO staff will obtain written permission from person/s or organisation/s prior to publication of materials which refers to the person/s or organisation/s in such materials, for example images, comments and/or testimonials. Parade College will abide by the conditions of that permission. Parade College will file the written permission documents into our filing system for future reference.
3. RTO staff will utilise the Marketing and Advertising Material Checklist to guide the design and preparation of such materials.
4. Once the materials have been developed these must be approved by the Executive Officer RTO. If amendments are required these will be made and resubmitted for approval to the Executive Officer RTO, until these materials are fit to be published.
5. The Student Services Administration Assistant will arrange production or publication of marketing and advertising materials and keep a copy of these materials in our filing system.

Monitoring and Review

All marketing materials will be reviewed on an ongoing basis; and will also be reviewed at least annually as part of our internal audit program.

1.11 Financial management

This policy ensures that the finances of Parade College – RTO Division are accurately maintained, substantiated and reported. Parade College – RTO Division conducts its business to ensure a sound financial basis, effective risk management and probity at all times.

Responsibility

All financial operations are under the control of the Parade College Principal and are managed and administered by the Parade College Business Manager.

Maintenance of Records

A record of all financial activity within the business will be kept in the Parade College's financial software system. Financial records will be kept accurate and current and no more than one month in arrears. This includes a record of all payments made to Parade College – RTO Division including student fee payments and student refunds.

Physical records of financial documents will be stored in a clear, consistent and transparent manner for a period of at least seven (7) years.

Accounts will be reconciled monthly to ensure accurate and efficient reporting can be provided as needed. Reporting obligations include those to the Australian Taxation Office (business activity statements, payroll and company tax (if applicable), employee superannuation entitlements etc) and other requested reports. Other financial reports are generated as needed for ongoing business financial activities.

Financial Viability

Parade College maintains an annual budget as part of a three year financial plan, to ensure continued financial viability and to demonstrate the organisation's capacity to sustain quality operations into the future. The plan includes projections on student enrolments and a range of financial indicators such as credit rating, cash flow analysis, asset to liability ratio, debt ratio and working capital.

Parade College's cash flow position is regularly checked against short and medium term liabilities.

All normal activities of the business are budgeted to ensure a net positive return unless specifically designated as a marketing or speculative exercise. All activities are monitored to ensure that they meet or exceed budgeted figures.

Financial reports are generated and issued to the Parade College Principal monthly for the purposes of monitoring the financial activities of the business.

Fees Information

Parade College – RTO Division has a fair, equitable and clearly stated Fees and Refund Policy which is provided to all students and where appropriate parents/guardians, prior to entry into a VET course including:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit and administration fees;
- where required, fees and charges for any additional services, and the
- Refund Policy.

Accounts Receivable

All invoicing and claiming procedures are designed to meet the requirements of contractual and legal obligations where applicable. Regular monitoring against these requirements occurs.

Parade College will use necessary means to collect monies owing from debtors. This may include the use of an external debt recovery agent where necessary. Services provided by Parade College – RTO Division may be suspended until payment is made for accounts that are overdue more than 60 days.

Certified Accounts

Parade College's financial report shall be certified annually by a qualified auditor.

The certification report will be made available to the national registering body upon request.

Parade College shall obtain and make available, if requested by the registering body, a full set of audited financial statements from a qualified auditor.

Reporting Financial Indicators to Registering Body

Where Parade College identifies any significant changes in its financial position which may impact on its viability and student or client consumer protection entitlements, Parade College will notify the registering body as it becomes aware.

Furthermore, the registering body will be notified where there is any significant change to the organisation's financial viability, debt ratio or insurance arrangements.

1.12 Insurance

Parade College – RTO Division will ensure it has necessary insurance provisions relevant to its operations.

Procedure

1. An insurance broker will be appointed by Edmund Rice Education Australia.
2. The insurance broker is to be provided with details of operations and the broker is to provide Edmund Rice Education Australia with advice on what insurances are required.
3. As a minimum Parade College – RTO Division operation requires an appropriate level of Public Liability Insurance i.e. minimum \$10M.
4. The types of required insurances are to be finalised by the Business Manager.

Types of insurances will include but not be limited to:

- Public Liability;
 - Professional Indemnity;
 - WorkCover, and
 - Contents.
5. The Business Manager will complete the relevant forms and documents required by the broker.
 6. The broker returns confirmed insurances policy documents for approval by the Edmund Rice Education Australia
 7. The insurance policy documents are approved and signed Edmund Rice Education Australia and returned to the broker who will forward appropriate invoices to Parade College..
 8. Parade College Business Manager will arrange payment.
 9. Certificate of currency are filed in the Business Manager's office for reference in the event a claim needs to be made and for audit purposes.
 10. The above steps are to be followed each year our insurance policies need renewal and/or updating.

1.13 Third party – partnership arrangements

Parade College acknowledges that we are accountable for the services delivered under our registration, regardless of who delivers them or where they are based.

Where such services are delivered on our behalf by a third party partner, delivery of services will be underpinned by a clearly articulated written agreement that fully expresses the roles and responsibilities of each party and any monitoring arrangements. Services which may be delivered by a third party partner are limited to training and assessment delivery. It should be noted that the hiring of trainers and assessors as contractors, arrangements for advertising our services, workplace supervision and information technology support, as well as counselling, mentoring or mediation services do not constitute a third party partner arrangement.

Organisations we may enter into a third party partner arrangement with include non-registered training providers.

Parade College is aware of its obligation to inform the Australian Skills Quality Authority (ASQA) and any relevant funding bodies when it enters into a written agreement with a third party partner for the delivery of services. The relevant authorities will also be notified when a third party partner agreement comes to an end.

Process

The RTO Leadership Group will oversee the selection, approval and appointment of a third party partner for the delivery of services on behalf of Parade College.

The Executive Officer - RTO will be responsible for informing ASQA of any third party arrangement:

- a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever comes first; and
- b) within 30 calendar days of the agreement coming to an end

The Executive Officer - RTO will inform any funding bodies as per the timeframe required of the funding contract.

Written agreements with organisations providing training and assessment services on our behalf will include but not be limited to the following:

- The name and address of both organisations;
- The commencement and end date of the Agreement;
- The duration of Agreement;
- Clauses detailing Parade College's obligations, roles and responsibilities under the Agreement;

- Clauses detailing the third party partner's obligations, roles and responsibilities under the Agreement,
- Details of any fees or charges to be paid by the third party partner;
- Mechanisms by which Parade College will monitor the third party.

Refer to Partnership Agreement document for specific details of obligations, roles and responsibilities.

The Executive Officer - RTO will be responsible for overseeing the implementation and monitoring of the Agreement.

2.1 Fees and refunds

This policy aims to ensure that all course fees are protected and subject to appropriate auditing processes, and a fair and transparent refund policy is in place.

Fees

Course fees will be established and reviewed by the Business Manager in consultation with the Executive Officer RTO.

As a school based RTO parents/guardians are responsible for the payment of all fees and charges associated with each course, including VET courses. In Term 4 of each school year parents/guardians of Parade students who enrol in Parade College RTO division courses, receive a detailed fee invoice from the College which itemises such fees and charges applicable to the following year. This information will also be made available via the Parade College website. External students will receive a detailed fee schedule at a scheduled information evening. All advertised fees will be fully inclusive i.e. tuition, materials; resources and GST.

In Term 1 of the school year, the Parade College Accounts Department will be notified by the RTO Administrative Officer of students enrolled in VET courses. The Accounts Department will generate an invoice for College fees inclusive of VET training fees and charges, and the invoice will be forwarded by postal mail or email to the parent/guardian responsible for payment. Payment of fees can be made by cash, cheque, money order or credit card, in person, by mail or telephone.

NB Where course fees are greater than \$1,000.00, individuals will be required to pay no more than \$1,000.000 prior to course commencement, and no more than \$1,500.00 in one instalment thereafter.

Refunds

Parade College is committed to a refund process which is prompt, accessible and easily understood by students, parents/guardians and other clients.

Course Cancellation: In the event of a training course being cancelled by Parade College, all students enrolled in the course will have the option of being transferred to a later course or receiving a full refund of monies paid.

Course Withdrawal: In the event of a student withdrawing from a VET course during the year, there may be an entitlement to a partial refund or fee rebate in accordance with the following policy:

- If withdrawal occurs before 28th February 100% of RTO related fees and levies is refundable.
- If withdrawal occurs after 28th February but before 30th June 25% of RTO related fees and levies will be refundable.
- If withdrawal occurs after 30th June no refund of RTO related fees and levies is applicable.

2.2 Record management

This procedure describes the processes whereby Parade College – RTO Division administers and manages all records and documentation relating to its delivery of training and assessment services to ensure accuracy and integrity of these records.

Student Records Process

1. Parade College – RTO Division is committed to maintaining the integrity and accuracy of electronic and hard copy academic records.
2. Electronic copies of student records will be stored on the RTO's AVETMISS approved Student Management System.
3. Records will be maintained in a format consistent with current technology to facilitate transfer to the ASQA and other regulatory authorities in the event that the Parade College – RTO Division ceases operations or on request.
4. All electronic records will be kept in confidence and will be retained for a minimum period of 30 years.
5. Information recorded includes, but is not restricted to:
 - Full name and address including residential post code (Mandatory).
 - Date of birth (Mandatory).
 - Unique Student Identifier.
 - Enrolment commencement date (Mandatory).
 - Course/unit code and title of course/unit in which the client is enrolled (Mandatory).
 - Completion date (Mandatory).
 - Course/unit assessment results (Mandatory).
 - Qualification issued and date of issue (Mandatory).
 - Special needs requirements.
6. In addition Parade College – RTO Division will maintain hard copy records of the following student data on site for a period of 5 years:
 - Enrolment form.
 - Completed assessment tools for each unit of competence.
 - RPL assessments/Credit Transfer documentation, if applicable.
 - Attendance records.
 - Copy of Certificates/Statements of Attainment and transcript of units completed.
7. Student records and results will not be made available to any other party without written prior consent from the student concerned.

Trainer/Assessor Record Keeping Procedure

1. Obtain and work from current curriculum/training package documentation.

2. Ensure learning materials, exercises, handouts etc. all relate to current curriculum/training package documentation.
3. Ensure assessment instruments and standards are compatible with current curriculum/training package documentation i.e. match the competency standards/learning outcomes.
4. Maintain and submit Attendance Records – record each attendance session. Attendance records, upon completion of modules/units should be retained for 5 years post module/unit completion.
5. Follow up students who are absent, are one week behind in submitting assigned work and/or who are deemed to be at risk of dropping out.
6. Submit final results. Reporting of course/unit results must be done on a continuous basis, as soon as practicable after completion of the course/unit.
7. Ensure results are recorded in line with Parade College – RTO Division’s assessment reporting protocol. This will be done by clearly highlighting Competent and Not Yet Competent on assessment instrument/tools.
8. Submit all course/unit documentation to the Student Services Administration Officer to be uploaded onto the Student Management System.
If there are complications with an assessment outcome for a particular student these will be clearly stated in a file note to assist the Student Services Administration Officer in entering accurate information on the Student Management System.
9. If the Student Services Administration Officer requires any further information about a student’s result then the Trainers/Assessors will provide this to the Student Services Administration Officer.
10. Regular checks will also be conducted by the Student Services Administration Officer to ensure that student competency data is being entered correctly into the Student Management System and any discrepancies will be rectified.

Student Access to Records

Students have the right to access records of participation and results held by Parade College – RTO Division. Requests to access such information can be made to the Student Services Administration Officer, students should allow 24 – 48 hours for information to be retrieved.

Staff Files

All qualifications of trainers and assessors including certified/verified copies of staff qualifications/certificates are to be filed in staff personnel files and securely stored.

Version Control

- All Parade College – RTO Division documentation will contain a version identifier within the document footer; the version identifier will be consistent across both hard copy and electronic documentation.

- Version control will be identified numerically by 0.0. The first number will change if major amendments are made; the second number will change if the amendment is only minor.

Data Security

- All electronic records will be password protected with nightly server backup procedures performed. A full copy of backed up server data will be kept off site.
- All hard copy records will be stored in a secure on site location.

2.3 Issuance of certificates and statements of attainment

Parade College – RTO Division will ensure issuance of Certificates (Qualifications) and Statements of Attainment to students that have been assessed as competent in accordance with the requirements of the Training Package and/or Accredited Course on our Scope of Registration.

Design of Certificates and Statements of Attainment

1. The *Australian Qualifications Framework (AQF) handbook, 2nd Edition, January 2013* which can be found at www.aqf.edu.au sets out design and inclusion requirements.
2. Using these directions Parade College – RTO Division will design our Certificates and Statements of Attainments. We will ensure that:
 - Certificates and Statements of Attainment identify the Provider Number allocated to our RTO operation.
 - Two logos are noted on Certificates - the Nationally Recognised Training logo and the Australian Qualifications Framework (AQF) logo. One logo is noted on Statements of Attainment - the Nationally Recognised Training logo. Parade College – RTO Division will ensure such logos are used and formatted according to required specifications.
 - The noted qualification/unit of competency/module code and title must match the code and title in the Training Package or the Accredited Course.
3. Once the Certificates and/or Statements of Attainment have been designed, these are to be approved by the Managing Director prior to being printed or issued.
4. The master electronic copy of these documents are to be stored in a secure folder on our IT server with limited access as delegated by the Executive Officer RTO.

Issuing Certificates (Qualifications) and/or Statements of Attainment

There are two main reasons when Parade College – RTO Division would issue a Certificate and/or a Statement of Attainment.

- The student has successfully completed all requirements related to a qualification/accredited course/unit of competency/ module listed on our Scope of Registration and the Certificate and/or Statement of Attainment is issued by default; and
- The student has requested that we issue a Certificate and/or a Statement of Attainment for the qualification/accredited course/unit of competency/module listed on our Scope of Registration which they have successfully completed.

Certificates and Statements of Attainment are issued within 30 calendar days to each student who has successfully completed all qualification/accredited

course/ unit of competency/ module requirements, providing all agreed fees the student owes the RTO have been paid.

NB Certification documentation will be issued directly to the student, and not to a third party. Where a third party requests such information, a copy of certification documentation can be provided with the written permission of the student.

Procedure

1. The student's training and assessment outcomes are to be checked by the relevant trainer/assessor to ensure results of training and assessment are up to date and correct.
2. The student's hard copy file should reflect results of training and assessment as entered on the database. If a student has been deemed competent for training then there should be a copy of the assessment document in their file. Any discrepancies are to be rectified to ensure details on the Student Management System (SMS) are the same as supporting documents in the student file. The Administration Officer should not proceed with issuing a Certificate and/or a Statement of Attainment until discrepancies have been investigated and rectified.
3. The Administration Officer prepares the Certificate and/or Statement of Attainment by using the information on SMS and merging this information onto approved templates.
4. The Administration Officer will check the accuracy of information on the Certificate and/or Statement of Attainment; ensuring student names are spelt correctly, unit codes and titles are correct.
5. The Administration Officer will print the Certificate and/or Statement of Attainment on approved template.
6. The Administration Officer will obtain signature of authorised personnel
7. The Administration Officer will take a copy of the Certificate and/or Statement of Attainment and place in the relevant student file.
8. The Administration Officer will send the Certificate and/or Statement of Attainment to student.
9. The Administration Officer will ensure the SMS has been updated to reflect Certificate and/or Statement of Attainment issue details (including the issuance date of the Certificate and/or Statement of Attainment and the number of the Certificate and/or Statement of Attainment).

Re-Issuing of Certificates and Statements

Records of qualifications and statements of unit achievement are kept on record for a period of at least thirty (30) years. Students can request copies of certificates or statements at any time for an additional charge of \$30.00.

3.1 Course development and review

This procedure outlines the approach taken by Parade College – RTO Division to ensure all courses are developed and/or reviewed appropriately so as to:

- a) Provide excellence in the training and assessment delivery of its courses;
- b) Ensure effective industry engagement and consultation in order to reflect the needs of industry in its courses;
- c) Meet legislative, workplace and regulatory requirements; and
- d) Meet the requirements of the relevant Training Package or Accredited Course.

Course Development

- 1.1. A lead Course Developer will be nominated by the Executive Officer RTO. The lead Course Developer will be in charge of overseeing the entire course development and documentation process.
- 1.2. At the commencement of the course development process, the Course Developer will convene a Course Development Team which will include representation from the relevant industry, relevant trainers/assessors, and where appropriate external consultants.
- 1.3. In the preliminary stages of course development, input will be sought from all members of the Course Development Team including course design, content, delivery methods and assessment approaches. Industry representatives will play an essential role in ensuring the course development process takes account of current industry practices and expectations. Wider industry consultation may occur at the discretion of the Course Development Team.
- 1.4. The Training and Assessment Strategy is the key document that is to be used to record all strategies in place for development and delivery of the course. The lead Course Developer is responsible for developing the Strategy to accurately describe the proposed training and assessment arrangements, and is responsible to ensure the Strategy is consistent with organisational format and provides sufficient detail for effective course implementation.
- 1.5. When developing a course, the Course Development Team will consider:
 - a) The requirements of the Training Package and/or Accredited Course;
 - b) The input and feedback received through the initial consultation process;
 - c) Relevant regulations or laws governing the industry;

- d) Information about the industry work environment that will affect training and assessment arrangements;
- e) The specific needs of the target students and employers;
- f) Preferences from industry about the way in which the qualification will be delivered; as well as
- g) The human and physical resources that will be required to deliver the course and the capability of the organisation to meet these needs.

Training and Assessment Strategy

3.1 When developing a new course, a Training and Assessment Strategy will be developed by the Course Development Team.

3.2 A current and accurate Training and Assessment Strategy will be maintained for each qualification or accredited course listed on Parade College – RTO Division’s Scope of Registration.

3.3 The purpose of the Training and Assessment Strategy is to specify how the requirements of the Training Package or Accredited Course will be met by the course, as well as outline all arrangements in place for its delivery. Therefore, the strategy will include, as a minimum:

- a) How the units are packaged to meet the qualification rules.
- b) Any pre-requisite or co-requisite requirements.
- c) Entry requirements.
- d) The mode/s of delivery to be offered.
- e) The nominal hours of the units and how hours will be utilised.
- f) The order in which the units will be delivered including an outline of any clusters of units.
- g) Any elective choices that have been made or that are offered to students.
- h) The learning approaches that will be used to suit the needs of students.
- i) How the course will be assessed in accordance with the assessment guidelines.
- j) Any additional competency requirements of the trainers and assessors of the course.
- k) The training and assessment tools and resources to be used in the delivery of the course.
- l) The physical resources that will be required for delivery such as facilities and equipment.

- m) A matrix showing the specific assessment requirements and tools to be used to assess each unit of competency (or cluster of units).
- n) A mapping of the elements, performance criteria, skills and knowledge, critical aspects of assessment and employability skills outlined in the unit of competency, against the assessment tasks.
- o) An indication of how industry has been involved in the development of the delivery and assessment approaches.
- p) Identification of the people involved in the delivery and assessment of the unit (or cluster of units).
- q) The approach to assessment validation for the particular qualification and/or unit of competency.

Training and Assessment Materials

4.1 The Course Development Team are responsible for the development or sourcing of the following tools, resources and documents to be used for course:

- a) Structured Training Resources
 - i. Student Learning Guides /Training Materials;
 - ii. Class Session Plans;
 - iii. Class Aids;
 - iv. Reading Materials;
 - v. Course specific equipment, facilities and consumables, and
 - vi. Support materials for work based components, if required.
- b) Assessment Materials
 - i. Clear instructions to the students about the way each unit will be assessed.
 - ii. Assessment Tools;
 - iii. Assessment criteria/Answer guides, and
 - iv. Assessment Record Sheets.

4.2 Where training resources and assessment materials are developed internally, all materials will undergo a process of validation prior to being used.

4.3 Where training resources and assessment materials are sourced from an external organisation, the Course Development Team is responsible for validating the resources prior to selecting them for use in delivery of Parade College – RTO Division’s courses. The developer must ensure that they undertake a process of mapping the resources to the unit of competency requirements to ensure that all unit requirements are met.

Course Review

All courses will be monitored in an ongoing way by the relevant training and assessment team. A formal review of all courses including Training and Assessment Strategies; training, learning and assessment materials, and specialised facilities and equipment will be conducted annually as part of an internal quality audit.

Course review will also be informed by:

- AVETMISS data
- Quality indicator data
- Client feedback
- Trainer and Assessor feedback
- Industry feedback
- Validation outcomes
- Complaints and appeals.

Outcomes of review processes will be used to improve our training and assessment strategies, practices and resources and will be logged on the Continuous Improvement Register.

Updates to Training Packages and Accredited Courses

Refer Transition from superseded Training Packages and expired Accredited Courses Procedure

3.2 Assessment

Parade College – RTO Division ensures assessment methods and associated documentation meet requirements of the relevant Training Package/Accredited Course; assessment meets requirements of the relevant training package/curriculum, and are designed and conducted in accordance with the principles of assessment and rules of evidence.

Definitions

- **Assessment Guidelines:** An endorsed component of a Training Package or accredited course which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment.
- **Assessment Tool/Instrument** – the specific questions or activity aligned with the selected assessment method as detailed in the Training and Assessment Strategy or curriculum document.
- **Principles of Assessment:**
 - **Validity:** assessment covers the broad range of skills and knowledge that are essential to each unit of competency/module; assessment includes practical application of knowledge and skills, and that these skills and knowledge could be demonstrated in other similar situations.
 - **Reliability:** evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.
 - **Fairness:** the individual needs of the learner are considered in the assessment process, and where appropriate reasonable adjustments are applied. Students are informed of the assessment process, re-assessment process, and if necessary opportunity to challenge the assessment result.
 - **Flexibility:** assessment takes account of individual student needs; assesses competency held by the student no matter how or where competency has been acquired; and draws from a range of assessment methods.
- **Rules of Evidence**
 - **Validity:** assessment evidence has direct relevance to the skills, knowledge and attributes as described in the unit or module.
 - **Sufficiency:** requires enough evidence to demonstrate competence over time, on a number of occasions and in differing contexts.
 - **Authenticity:** requires evidence to be candidates own work.
 - **Currency:** requires that assessment evidence is up to date and suitable to support a claim for competency today.

Procedure for Assessment Development

The Course Developer in consultation with other staff will select assessment methods for each unit of competency in line with evidence requirements as detailed in the relevant Training Package and Accredited course.

Selected assessment methods for each unit of competency will be noted in a matrix format on the relevant Training and Assessment Strategy.

Utilising the assessment methods as identified within the Strategy an Assessment Matrix will be developed. The Assessment Matrix will demonstrate articulation (mapping) of each assessment method/activity with requirements of each unit of competency at element and performance criteria level; required knowledge and skill level; and critical evidence requirement level.

To progress the implementation phase assessment instruments/tools will be developed. These tools/instruments must align with that detailed in the Assessment Matrix and the Training and Assessment Strategy.

As a minimum, the following Assessment instruments/tools for each unit of competency must be in place:

- Student assessment information for the unit as a whole
- Student instructions for each individual assessment activity/task
- Assessor information for the unit as a whole
- Assessment criteria/marking guides
- An assessment summary sheet for the unit as a whole.

Where possible, assessments will be validated prior to implementation.

Advising course students about assessment procedures

- Prior to or on commencement of each unit/module of competency students will be informed in writing of the assessment requirements for that unit/module. Whilst, additional verbal clarification can be provided written information must include the context of assessment, as well as the what (students will need to do); how (assessment method); where (assessment will take place), and when (due date) of assessment.
- Where appropriate students will also receive assessment criteria against which the assessment will be judged.
- Where assessments are conducted without the direct supervision of the Trainer/Assessor (take home written assignment; project; portfolio or similar), students will be required to complete a self declaration regarding authenticity of submitted work as part of the assessment cover sheet.

Conduct of Assessment

1. The student will be given the assessment tool for completion;
2. The completion of the assessment will be explained to the student;
3. Questions about the assessment will be encouraged to ensure that students are clear and comfortable about assessment requirements;
4. The assessment is to be completed by the student and the Trainer/Assessor will be available to the student if further information or clarification is required; and
5. On completion of the assessment within the given timeline the student is to return the completed assessment to the Trainer/Assessor.

Marking and Recording Assessment Outcomes

1. The Trainer/Assessor is to ensure student details are entered in the relevant section of the assessment tool, if information is missing the Trainer/Assessor is to chase up the relevant information prior to deeming a student Competent or Not Yet Competent;
2. The Trainer/Assessor is to mark the assessment in conjunction with the assessment criteria and/or marking guide developed for the assessment tool;
3. The Trainer/Assessor is to deem the student Competent or Not Yet Competent depending on the evidence provided by the student;
4. The Trainer/Assessor is to sign and date the assessment tool; and where possible the student will also sign the assessment tool to acknowledge receipt of the findings.
5. Assessment outcomes for each individual assessment activity/task are to be recorded on the unit/module Assessment Summary Sheet and given to the Administration Officer for uploading onto the Student Management Database; and
6. All completed assessment documentation will be filed in a single source file for each student.

Request for Special Consideration

A course student who believes that circumstances beyond their control will adversely affect an assessment result, may submit a written request for special consideration prior to the due date of an assignment or the administration of an assessment task (e.g. test or exam). The reasons for requiring the special consideration should be clearly articulated to the Assessor. Evidence to support the request (e.g. medical certificate) may also be submitted.

On the basis of the information provided, the Assessor will determine if the request for special consideration is approved or not approved. During this time, the Assessor may consult with other members of the assessment panel and/or the Executive Officer RTO. If approved, determine how the prescribed assessment processes will be altered for this course student (e.g. extension of assignment due date, alternative assessment task, review of assessment results taking into account the student's special circumstances).

Advise the student of the decision, ensuring that the reasons for the decision, and the changes that will take place in regard to the prescribed assessment processes are outlined. Also advise relevant staff of the decision and how it will impact on the assessment of this course student.

Ensure all appropriate documentation is placed in the relevant student file.

Reassessment

If a student is assessed as 'Not Yet Competent' on all or part of a unit/module the student will be provided with an opportunity to be re-assessed. In the first instance the assessor will need to discuss the initial assessment outcome with the student and decide on an appropriate course of action prior to re-assessment. This may include further training and/or further workplace experience. Fresh assessment tools will be utilised for any re-assessment process and RE ASSESSMENT will be clearly noted on the document.

3.3 Validation of assessment

Parade College – RTO Division conducts validation to ensure assessment processes meet training package/curriculum requirements, principles of assessment and rules of evidence.

Definition

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 adjustments to be made as to whether the requirements of the Training Package or VET accredited course have been met. It includes reviewing a statistically valid sample of assessments and making recommendations for future improvements to the assessment tool, process and/or outcomes and acting upon such recommendations.

Validation Schedule

Each unit/module will be validated at least once every 5 years, with at least 50% of units/modules validated within the first three years of each 5 year cycle. High risk units/modules may be validated more frequently, as deemed appropriate by the Executive Officer RTO and/or relevant Course Coordinator. An Assessment Validation Schedule will be prepared by each Course Coordinator to guide validation activities in an ongoing way.

Validation Panel

As per the Assessment Validation Schedule, the Executive Officer RTO or delegate will call an Assessment Validation Panel meeting for one or more units of competency/modules. The Assessment Validation Panel will, as a minimum, be made up of persons and who **collectively** have:

- a) vocational competencies and current industry skills relevant to the assessment being validated;
- b) current knowledge and skills in vocational teaching and learning; and
- c) the TAE40110 training and assessment qualification or ASQA approved assessor skill set.

Industry experts may also be involved in validation to ensure there is appropriate vocational/industry representation.

Trainers and assessors directly involved in the delivery and assessment of the unit/module being validated can participate in the validation process; however they cannot decide the validation outcomes of their own assessment decisions.

Process

Prior to the meeting, panel members will receive copies of relevant documentation which may include relevant unit/module outline, relevant Training and Assessment Strategy, instructions to candidate, assessor guidelines, assessment tool(s) including those related to RPL, assessment

criteria/marking guide(s) and Assessment Validation checklists. Additionally the Executive Officer RTO or Course Coordinator will randomly select and circulate a number of completed and de-identified student assessment tools. The sample must be statistically valid and be representative of both competent and not yet competent outcomes. To determine the size of the sample www.raosoft.com/samplesize.html will be used.

The Executive Officer RTO or Course Coordinator will chair the panel and based on outcomes of the validation process, develop an action plan for implementation of improvements. Records of the meeting will be retained and any improvements arising from the meeting communicated to all members of the relevant assessment team and noted on the Continuous Improvement Register.

3.4 Credit transfer and Recognition of prior learning

Purpose and Scope

This policy and procedure is designed to ensure that Parade College – RTO Division:

- provides for the assessment and recognition of skills and knowledge acquired through training, work or life experience
- recognises the Australian Qualifications Framework (AQF) qualifications and statements of attainment issued by other Registered Training Organisations (RTOs)

This policy and procedure applies to all Parade College – RTO Division applicants enrolling in nationally recognised training.

Definitions

Credit transfer is:

- the recognition by an RTO of the AQF qualifications and statements of attainment issued by any other RTOs, and
- the granting of credit for equivalent units of competency previously completed. The assessment process determines the extent to which the individual's initial course or unit of competency is equivalent to the required learning outcomes, competency outcomes, or standards in a qualification. Credit transfer applies where the unit of competency previously attained does not have the same unit code or unit title; however the Training Package states that it is equivalent to the unit of competency being sought. Credit transfer can also be applied to other certification and formal learning such as tertiary qualifications where equivalence can be demonstrated.

Recognition of Prior Learning (RPL) is an assessment process that assesses an individual's non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes or competency outcomes.

Parade College – RTO Division Responsibilities

Parade College – RTO Division will inform all prospective students during the enrolment process of the opportunity to apply for RPL and credit transfer as an alternative pathway to course attendance. Prospective students will also be informed that Parade College – RTO Division recognises the AQF qualifications and statements of attainment issued by other RTOs. In relation to credit transfer, Parade College – RTO Division will:

- identify any nationally recognised competencies previously acquired and/or assess equivalence of previous units of competency/certification; certification may include university qualifications and non-accredited training such as industry related courses/workshops

- verify the authenticity of a qualification/statement of attainment/certificate with the issuing provider
- advise the applicant of the outcome of the credit transfer, including the applicant's right to appeal.

In relation to RPL, Parade College – RTO Division will:

- determine in consultation with the applicant, the learning, skills and knowledge that the applicant is able to demonstrate against the learning outcomes or performance criteria of the course or qualification for which the applicant is seeking entry;
- determine whether any further evidence is needed to support the claim of competence and arrange for appropriate additional learning experiences or gap training where appropriate. (NB Gap training will only commence upon completion of the RPL Assessment process), and
- advise the applicant of the outcome of the RPL application, including the applicant's right to appeal

Credit Transfer – direct recognition of qualifications/accredited courses/units of competency/modules

1. The relevant Course Coordinator will be responsible for processing all applications for credit transfer.
2. An individual seeking credit transfer will be required to provide the original qualification certificate or statement of attainment for sighting purposes. If original documentation is not available, any copy provided by the individual must be *certified* by an authorised person.
3. A copy of the original will be taken and the original will be returned to the applicant. In the case of a certified copy, Parade College – RTO Division will keep the certified copy.
4. In the first instance, licencing and/or regulatory requirements must be checked to ensure that a unit or module may be awarded via a credit process.
5. The RTO listed on the certificate or statement of attainment will be checked on www.training.gov.au and verified to ensure the issuing organisation is an RTO.
6. Parade College – RTO Division will contact the RTO that issued the certificate and/or statement of attainment and verify that the certificate or statement of attainment is authentic. The RTO will be asked to verify the certificate number or statement of attainment number and ensure that the number was allocated to the student/client who has presented the certificate or statement of attainment. Parade College – RTO Division will record the details of the conversation including the time and date of the telephone call and the name of RTO representative.
7. After conducting the above checks Parade College – RTO Division will recognise the certificate or statement of attainment. There is no requirement for further assessment.

8. The Student Management System will be updated to reflect the granting of credit transfer.
9. Any associated documentation including a copy of the verified/certified certificate or statement of attainment will be filed in the student's file.
10. There are no fees associated with credit transfer for direct recognition of qualifications/accredited courses/units of competency/modules.

Credit Transfer –equivalent qualifications/accredited courses/units of competency/modules

1. Where the applicant for a course provides evidence that they have completed a unit of competency/module for a similar unit/module but either the unit code or the unit title differ from the required unit, the relevant Course Coordinator will investigate whether the unit is equivalent according to the relevant training package.
NB This determination can also apply to university qualifications/courses/subjects and non accredited courses.
2. In the first instance, licensing and/or regulatory requirements must be checked to ensure that a unit or module may be awarded via a credit process.
3. Where equivalence is determined the applicant will not be required to train in the unit and a credit transfer result will be recorded on the learner record.
4. Where a gap is found between the unit of competency attained and the one required for the current course, an RPL process may be undertaken to investigate whether further evidence would be sufficient to support the claim of competence.
5. The Student Management System will be updated to reflect the granting of credit transfer.
6. Any associated documentation including a copy of the verified/certified certificate or statement of attainment will be filed in the learner's file.
7. The processing of credit transfer cannot proceed when a learner is unable to provide a copy of the relevant qualification or statement of attainment.
8. There are no fees associated with Credit Transfer.

Recognition of Prior Learning (RPL)

1. RPL may be undertaken for one or more units of competency relating to a vocational qualification to enable an individual to forego training and have their competencies assessed.
2. Applicants/Participants who consider applying for RPL should contact their Trainer/Assessor who will provide an explanation of the process, give advice to the applicant and supply them with the RPL Application Form and Kit either personally or via email;
3. All assistance will be provided to the applicant to successfully complete the form and kit;

4. Participants will use the information contained within the kit to conduct a self-assessment against the course/qualification/unit requirements (also to be supplied along with the RPL Form and Kit);
5. Participants will need to consider how they have achieved each component and if they can satisfy the course/qualification/unit requirements by submitting valid, sufficient, authentic and current evidence;
6. Applications for RPL must be accompanied by documentary, photographic or other forms of evidence gathered by the participant;
7. The completed form and kit, together with supporting evidence are then to be forwarded to the RTO Administration Officer who will forward submitted documentation and evidence to the relevant Trainer/Assessor;
8. The relevant Trainer/Assessor will assess the application and make a decision as to whether RPL is to be fully or partially granted;
9. In some instances, and in support of documentary evidence, an interview and/or practical demonstration of skills will be required. The schedule and location of such will be negotiated with the applicant.
10. In the event that RPL is granted, the RPL Application Form along with all evidence provided by the participant will be stored in the participant's file and the student management database will be updated to reflect the RPL decision. The participant will be advised about the outcome of their application in writing;
11. In the event that RPL is not granted, the participant will be advised of the outcome in writing (letter or email) along with information about the process to appeal the decision. The participant will then have the opportunity to lodge an appeal if they feel their application was unfairly judged. If the participant wishes to appeal the RPL decision then the Parade College – RTO Division Compliant and Appeals procedure applies from this point on;
12. All RPL applications and supporting documentation will be stored in the participant's file for future reference.

Fees

RPL fees include administrative and assessment fees. An administration fee of \$50.00 applies for all RPL Applications. The assessment fee for all RPL applications will be calculated at 50% of the full course/module/unit cost.

3.5 Intellectual property and copyright

Intellectual Property

Intellectual Property is the result of an individual's/organisation's intellectual endeavours and such property is capable of being protected by legal rights. Intellectual property rights are generally monopoly rights guided by economic principles. Such property rights reward individuals and organisations with monopoly rights over the creative outputs of their activities. As such, intellectual property rights are intangible assets which can be bought, sold, licensed and defended like other forms of property.

Ownership of Intellectual Property

Staff

Intellectual property generated by Parade College staff in the course of their employment is automatically owned by the College. This is in accordance with legal principles governing employer-employee relationships.

Third Parties

Where third parties utilise Parade College intellectual property, such use will be limited to the work of the College and shall not be disclosed or released to another party.

Infringements of Intellectual Property

If a staff member wishes to use the intellectual property owned by a third party, the staff member must ensure they have the right to do so. This right may be by way of permission from the owner, a licence agreement, or in the case of copyright exemptions from infringements provided under the Copyright Act (refer below).

Infringement of intellectual property rights of a third party can result in civil or criminal liability to the College as well as to the individual.

If a staff member is contacted by a third party alleging breach of their intellectual property rights, you must immediately refer the matter to the Principal. Similarly, if you are aware of any third party infringing the College's intellectual property rights, you must also bring this matter to the attention of the Principal.

Copyright

Parade College – RTO Division recognises its obligations under the *Copyright Act 1968 (Commonwealth)* and will limit operational use of any external

material according to the requirements of the legislation and where appropriate acknowledge the original source of external material.

Use of external materials:

Subject to the limitations below:

1. RTO staff including trainers and assessors can:
 - a. copy any third party material to distribute to students in both hard copy and electronic format and includes whole articles from newspapers and journals
 - b. embed any third party materials into any resources produced in house.
2. RTO staff must note there is a limitation of 10% to the use of such material, including materials from the internet.
3. Where external materials are used for training, assessment or marketing purposes the original source of the materials must be acknowledged
4. Monitoring of compliance will be included as part of the annual internal audit process.
5. Further information is available on www.copyright.com.au

3.6 Transition from superseded training packages and accredited courses

Parade College – RTO Division will ensure that:

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

NB The requirements specified above do not apply where a training package or accredited course requires the delivery of a superseded unit of competency.

Procedure

1. The Executive Officer RTO regularly checks the National Register via the training.gov.au website for any changes/updates to Training Package qualifications (including units of competency) and Accredited Courses that are on the RTO scope of registration.
2. The Executive Officer RTO also subscribes to email updates provided by a range of training and industry organisations including TGA and Industry Skills Councils which provide notification of updates.
3. When an update has occurred Parade College – RTO Division will download changes/updates to the Training Package/accredited course curricula via the training.gov.au or the Victorian Department of Education and Training website.
4. Once all updated information has been acquired and understood then Parade College – RTO Division, in consultation with relevant industry stakeholders, will make relevant changes/updates to:
 - Training and Assessment Strategies/Plans;
 - Training Materials;
 - Learner Materials

- Assessment Materials; and
 - Marketing materials.
5. Changes/updates to the relevant materials will be approved by the Executive Officer RTO in consultation with other relevant staff and stakeholders.
 6. On completion of material and resource changes/updates, the Executive Officer RTO will complete the ASQA Extension to Scope application process, as required by the national registering body and pay the required fee.
 7. On notification of satisfactory Extension to Scope application and notation on the TGA website the revised qualification/accredited course/module/unit will be implemented.
 8. As a general principle current students will be 'taught' out; new students will be enrolled into the revised qualification/module/unit. Refer required timeframes as detailed on previous page.
 9. All stakeholders will be advised, either verbally or via letter/email/website/newsletter, about the changes/updates.

4.1 Enrolment

Pre Enrolment Information

Parade College – RTO Division will ensure that all applicants and other clients receive information about the training, assessment and support services to be provided to them, prior to enrolment or the commencement of training. Pre-Enrolment information will include but not be limited to:

- a) Student selection and enrolment procedures;
- b) Course information including:
 - the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
 - the training and assessment services the RTO will provide including the:
 - i) estimated duration;
 - ii) expected locations at which it will be provided;
 - iii) expected modes of delivery;
 - iv) where appropriate, the name and contact details of the RTO responsible for the quality of the training and assessment and for the issuance of the AQF certification documentation;
 - v) course fees and charges including any required deposits;
 - vi) any work placement arrangements, and
 - vii) any materials and equipment the learner must provide.
- c) Refund policy;
- d) Provision of and access to educational and support support services;
- e) Flexible learning and assessment arrangements;
- f) Complaint and appeal procedures;
- g) Arrangements for recognition of prior learning (RPL) and credit transfers, and
- h) Where appropriate, government funding arrangements and implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Unique Student Identifier (USI)

Prior to enrolment course applicants will be required to apply for a Unique Student Identifier. Applicants can apply for the USI via the website <http://www.usi.gov.au/create-your-USI/Pages/default.aspx> . Applicants will be informed of the application process during Course Information Sessions or at the time of enrolment.

Students must include the USI on the Parade College Enrolment Form; the Administration Officer will verify the USI prior to entering details onto the student management system. All details related to the USI will remain confidential and be securely stored.

Enrolment - Internal Applicants

1. All internal applicants will complete a Parade College – RTO Division Enrolment Form on course commencement.
2. All Enrolment Forms will be checked for completeness and accuracy by the Trainer/Assessor prior to submission for data entry.
3. Following receipt of the signed student Enrolment Forms, and entry of AVETMISS data onto the Student Management Database by the Administrative Officer, the enrolment process will be deemed complete; and
4. Completed Enrolment Forms will be appropriately filed.

Enrolment - External Applicants

1. All external applicants will complete a Parade College – RTO Division Enrolment Form on course commencement.
2. For those external applicants funded by an external organisation or school, an invoice for course fees will be forwarded to the relevant organisation or school.
3. All Enrolment Forms will be checked for completeness and accuracy by the Trainer/Assessor prior to submission for data entry.
4. Following receipt of the signed student Enrolment Forms, and entry of AVETMISS data onto the Student Management Database by the Administrative Officer, the enrolment process will be deemed complete; and
5. Completed Enrolment Forms will be appropriately filed.

4.2 Discontinuation of enrolment

The procedure exists to ensure an expedient response to any major breach in the code of conduct by a course participant.

NB This procedure only applies to external students attending courses at Parade College – RTO Division. Internal Parade College students attending courses offered by the RTO Division will be managed according to internal Parade College procedures.

Scope:

A course participant's enrolment may be suspended or discontinued by the Parade College Principal in consultation with the Executive Officer RTO for:

- behaviour that threatens the safety of others, interferes with the duties of staff or other participant's study, damages or threatens Parade College property, or the good order of Parade College;
- non payment of course/module/unit fees,
- significant periods of non attendance, or
- a second incident of cheating or plagiarism.

Process

1. A report will be prepared by the Trainer and/or relevant staff member noting all details and contributing factors;
2. At a negotiated and planned interview with the course participant, the relevant staff and Principal or Executive Officer RTO will clearly outline the background and rationale for the decision to suspend or discontinue enrolment. The course participant may choose to be accompanied by an advocate to this interview.
3. The course participant will be given the opportunity to articulate why enrolment should not be suspended/discontinued. In particular, the course participant should indicate where due process has not been followed or that the decision needs to be reconsidered in light of new evidence.
4. Where the decision to suspend/discontinue enrolment is upheld, the course participant will be informed in writing within 5 days of the interview. A copy of the Complaints and Appeals policy will also be forwarded at this time.
5. Refund of fees paid will be at the discretion of the Parade College Principal.

4.3 Cheating and plagiarism

This policy and procedure exists to ensure Parade College – RTO Division has mechanisms in place to investigate and respond to instances of cheating and plagiarism.

Definitions

Cheating includes but is not necessarily limited to:

- Submission of work that is not the student's own for papers, assignments or examinations.
- Submission of work which has been stolen purchased or borrowed.
- Submission or use of falsified data.
- Collaboration in the preparation of an assignment, unless such collaboration is specifically permitted or required by the assessor.
- Use of unauthorised material including textbooks, notes or computer programs during an examination.
- Submission of the same work for credit in two courses.

Plagiarism means to take and use another person's ideas or work without acknowledgement. Whether inadvertent or deliberate plagiarism includes the following:

- Word-for-word copying of sentences or whole paragraphs from one or more sources, or presenting substantial extracts from books, articles, internal reports, lecture notes CD's or the internet, without clearly indicating the origin;
- Using very close paraphrasing of sentences or whole paragraphs without due acknowledgement in the form of reference to the original work;
- Use of another person's ideas, work or research data without acknowledgement;
- Copying computer files without clearly indicating their origin.

Prevention

Students will be informed of cheating and plagiarism including definitions via the Student Handbook.

Unsupervised assessment activities will require students to complete an authenticity declaration; which will alert students to matters pertaining to cheating and plagiarism in an ongoing way.

Staff will be informed of cheating and plagiarism requirements during the orientation and induction process. Staff will have electronic access to this procedure.

Detecting

Upon the submission of all unsupervised assessment tasks, students are required to sign an Assessment Cover Sheet that includes a declaration of authenticity of the work.

Parade College will take the necessary steps to detect cheating and plagiarism which may include:

- a) Comparison of the work with the work of other students;
- b) Comparison of the work with electronic reference materials and internet sources;
- c) Other methods deemed appropriate by the trainer/assessor.

All staff have an obligation to identify and investigate any possibility of cheating or plagiarism.

A staff member who suspects that cheating or plagiarism may have occurred should first establish the evidence (through identification of the source) to support their allegation.

Process

1. Where the primary assessor believes that the action of a student may involve cheating or plagiarism, the assessor will notify the Executive Officer RTO and shall request that the participant attend an interview with the primary assessor and an independent assessor.
2. The student may elect to invite a support person or nominee to be present at this interview.
3. If, as a result of this interview, the primary assessor concludes that no cheating or plagiarism was involved, no further action will be taken and no record of the interview shall be kept.
4. Where the primary assessor and independent assessor conclude that the action of the student was an example of inadvertent cheating/plagiarism, the student will be counselled by the primary assessor and the primary assessor shall place a note to that effect on the student's file. The Executive Officer RTO will be informed of the interview outcome.
5. Where the primary assessor and independent assessor conclude that the case involves deliberate cheating/plagiarism and provides evidence to the student to this effect, and the student admits to cheating/plagiarism, the matter will be referred to the Executive Officer RTO.
6. The Executive Officer RTO will undertake additional investigation as required, and determine what penalty will apply.
7. In instances of deliberate cheating/plagiarism all evidence, interview records and other relevant documentation will be retained in the student file.

Penalties

A student found guilty of deliberate cheating/plagiarism shall be subject to any of the following penalties:

- Formal warning from the Executive Officer RTO and a notation in the student's file;
- Not Yet Competent or zero score, in the component of the course/module/unit, and a notation in the student's file.

A student found guilty of a second incident of cheating/plagiarism will have their enrolment terminated.

4.4 Student support

Parade College – RTO Division is committed to ensuring that all students receive adequate support to ensure learning goals are reached. To this end, Parade College – RTO Division ensures that:

- a) The learning and support needs of students is assessed upon entry into a qualification.
- b) All students are aware of how to access the services they require to successfully complete their training and assessment program.
- c) Feedback is collected about the provision of support services and the feedback is systematically collated, analysed and used to improve training services.

Needs Identification

Students' needs are identified upon entry into their course of study via:

- a) ongoing student records and testing for internal Parade College students.
- b) information provided by both internal and external students on the enrolment form.

Trainers/Assessors will review all enrolment forms, note any identified special needs and give consideration to such needs in the provision of training and assessment services. Where required, trainers/assessors will discuss the need for additional support and/or services with the individual student.

- c) written reports of language, literacy and numeracy (LLN) skills provided by the home school for external students undertaking a nationally recognised qualification.

Trainers/Assessors will review such reports, note any identified LLN needs and give consideration to such needs in the provision of training and assessment services. Where required, trainers/assessors will discuss the need for additional support and/or services with the individual student.

Support Services

All students are provided with a range of support options and resources to help them achieve success in their chosen study program. Where there is perceived difficulty in achieving program goals, the trainer will discuss these issues with the student. The student will be provided with information about possible alternative pathways, additional tools and resources available, and options and choices for accessing a supportive network. The information and services provided will vary depending on the individual needs of the student. Examples of support services include:

- a) Additional coaching from appropriately qualified trainers including phone and email contact.
- b) Course materials available in alternative formats including hard copy, CD, memory stick.
- c) Special consideration in assessment including reasonable adjustments.
- d) Flexible delivery and assessment schedules.
- e) Library and resource centre
- f) Computer labs
- g) Teacher supervised (after school) homework sessions
- h) Access and/or referral to the Parade College Student Support Department including:
 - o Counselling services
 - o Psychologist
 - o Speech Therapist
 - o Social Worker
 - o Special education and student support teachers
- i) Referral to external support services, on an as required basis.

Informing students

Students will be advised of the support services available to them through the Student Handbook distributed via hard copy at pre-enrolment information sessions and via the Parade College – RTO Division section of the College web site.

Accessing Services

The need for additional support services may be requested by the individual student, parent/guardian or Parade College teaching/support staff. Students wishing to access any support services can seek assistance directly with the relevant internal staff member/department, or discuss this with their trainer/assessor or the Executive Officer RTO.

NB Students from external schools may access College support services whilst on campus; and services of their home school when not undertaking studies at the Parade College campus.

Recording Provision of Support Services

Trainers and assessors should document any discussions pertaining to the special needs of individual students, the provision of support services and/or modifications to training and assessment. Additionally, student response to the provision of support services or course modifications should also be noted.

All notations should be dated and signed by the trainer/assessor and included in the relevant student file.

4.5 Student code of conduct

All students enrolled in programs or using the services of Parade College – RTO Division are required to maintain appropriate standards of conduct at all times, whether attending a Parade College – RTO Division training venue or representing Parade College – RTO Division in any capacity, such as a work placement or vocational experience program.

Principles of Student Conduct

Students enrolled or using the services of Parade College – RTO Division should adhere to the following principles:

- display a commitment to learning and to achieving success;
- be responsible and accountable for their own learning, behaviour and decisions;
- actively participate in all activities and learning experiences;
- work in harmony and respect the rights and opinions of staff and other students; and
- treat others as they themselves would like to be treated.

General Code of Behaviour

Parade College – RTO Division requires behaviour to be conducted in a physically and psychologically safe environment conducive to effective learning.

- Students are required to be punctual at all times so that fellow students are not disadvantaged by lateness or early departure from scheduled classes.
- Students are required to arrive at all scheduled classes with prescribed materials and equipment.
- Students are required to wear clothing and shoes suitable to undertake the training or assessment
- Food or beverages are not to be consumed in class, except for bottled water.
- The use of electronic equipment including mobile phones, iPods, CD players and the like are not permitted during training.
- Students are expected to use acceptable language at all times.
- Students should respect other person's rights to hold different positions and views.
- Students should not discriminate against another person(s) for their beliefs, nationality, religion, age, gender or associations.

Improper or Inappropriate Behaviour

Where student behaviour is deemed to be improper or inappropriate as outlined below, Parade College – RTO Division will take action in accordance with the Discontinuation of Enrolment Policy.

Improper or inappropriate behaviour includes but is not limited to:

- Persistent disruptive behaviour;
- Taking photographs or filming other participants or staff without their permission. This also includes posting on Face Book and other social media without permission.
- Engaging in verbally abusive or hostile behaviour which affects a staff member, fellow student or work site staff;
- Behaviour which constitutes discrimination, victimisation or harassment;
- Attending Parade College – RTO Division or work placement provider’s premises consuming or having consumed alcohol;
- Deliberate cheating or plagiarism;
- Smoking in non designated areas or the use of prohibited or illegal substances at Parade College – RTO Division or work placement provider premises;
- Willful or malicious damage of Parade College – RTO Division’s or work placement provider equipment, materials or property;
- Physical assault on a member of Parade College – RTO Division’s or work placement provider staff, fellow students or members of the public or behaviour which is perceived to be threatening;
- Theft from Parade College – RTO Division or work placement provider staff or fellow students;
- Carriage, use or being in possession of a prescribed or regulated weapon or dangerous article on Parade College – RTO Division or work placement provider premises;
- Any student found to be willfully or accidentally activating fire or security alarms which result in the call out of emergency services such as police, ambulance or fire services will be liable for whatever costs are incurred by their actions.
- Any behavior deemed contrary to the ethos of Parade College.

5.1 Staff selection, induction and monitoring

This procedure exists to ensure that Parade College – RTO Division appoints/employs suitably qualified trainers and assessors such that Australian Quality Skills Authority (ASQA) and Training Package/Accredited Course requirements are met.

Compulsory Requirements (as of 1 January 2016)

ASQA has identified the following compulsory qualification and experience requirements for Trainers and Assessors involved in the delivery and assessment of nationally recognised training within an RTO.

All trainers and assessors providing both training and assessment, or assessment only:

- Vocational competencies at least to the level being delivered;
- Current relevant industry skills;
- Current knowledge and skills in VET, and
- Ongoing professional development in VET.

Providing both training and assessment:

Must hold one or more of the following:

- TAE40110 Certificate IV in Training and Assessment or its successor, or a
- Diploma or higher qualification in adult education.

Providing assessment only:

Must hold one or more of the following:

- TAESS00001 Assessor Skill Set or its successor; or;
- TAE40110 Certificate IV in Training and Assessment or its successor; or a
- Diploma or higher level qualification in adult education.

Appointing Trainers and Assessors - Internal

1. The RTO Executive Officer will develop a communication strategy to inform Parade College teaching staff of a vacancy within the RTO Division;
2. The communiqué will clearly identify the vocational area; required vocational, and trainer and assessor qualifications; time commitment and other personal attributes etc. Applicants will be required to provide a cover letter, a signed copy of their current Resume/CV and certified copies of relevant qualifications.
3. Once the closing date for applications has passed, the RTO Executive Officer in consultation with the RTO Leadership Group will assess each application and ensure that the applicants have the above mentioned trainer and assessor qualifications and experience as a minimum;
4. The short listed (successful) applications will be invited to attend an interview and an interview panel will be formed. An industry representative relevant to the vocational area will be included as a

member of the interview panel. The industry representative will provide input as to the relevancy and currency of applicant vocational skills and experience.

5. Furthermore, the interview panel will be chosen in a manner which will ensure that access and equity principles are followed by interviewers during the interview, and the interview process is free of any form of discrimination;
6. The most suitable applicant will be chosen from those interviewees. Please note in some cases an additional round of interviews may be conducted in the event we have received a strong list of applicants;
7. The most suitable applicant will be advised about the outcomes of the interview and the applicant will be offered the position;
8. The applicant will be inducted into Parade College – RTO Division.

Employing Trainers and Assessors - External

1. The RTO Executive Officer in consultation with other staff will develop an employment advertisement to be published via relevant media (newspaper, online or networking);
2. The employment advertisement will clearly list the above mentioned trainer and assessor qualifications, other personal attributes and job requirements etc. In addition the applicant will be required to provide a cover letter, a signed copy of their current Resume/CV, and certified copies of relevant qualifications as part of their application for the role;
3. The advertisement is to be published in the chosen media;
4. Once the closing date for the advertisement has passed and all applications have been submitted, the RTO Executive Officer in consultation with the RTO Leadership Group will assess each application and ensure that the applicants have the above mentioned trainer and assessor qualifications and experience as a minimum;
5. The RTO Executive Officer in consultation with the RTO Leadership Group is to ensure that applicants without the relevant qualifications and experience are not short listed for interview and an unsuccessful letter is to be sent to these applicants;
6. The short listed (successful) applications will be invited to attend an interview and an interview panel will be formed. An industry representative relevant to the vocational area will be included as a member of the interview panel. The industry representative will provide input as to the relevancy and currency of applicant vocational skills and experience.
7. Furthermore, the interview panel will be chosen in a manner which will ensure that access and equity principles are followed by interviewers during the interview, and the interview process is free of any form of discrimination;
8. Written and verbal information provided by each applicant should be verified by contacting the provider named on the person's qualification

to confirm certificates are genuine, and conducting referee checks at the time of employment to confirm relevant industry experience.

Parade College will retain records of verification processes.

9. The most suitable applicant will be chosen from those interviewed. Please note in some cases an additional round of interviews may be conducted in the event we have received a strong list of applicants;
10. The most suitable applicant will be advised about the outcomes of the interview and the applicant will be offered the position with Parade College – RTO Division;
11. Following acceptance of offer the applicant and the College Principal or delegate will be required to sign and date a contract of employment and position description;
12. The chosen applicant will be required to provide originals for sighting and verifying or certified copies of their qualifications, a signed and dated CV and various other documents;
13. Relevant checks such as Victorian Institute of Teaching registration will be conducted and relevant documents from these checks will be included in the applicants file along with verified or certified copies of their qualifications and a signed and dated CV/Resume;
14. The applicant will be inducted into Parade College - RTO Division.

Induction

The purpose of the induction process is for all divisional staff to:

- Understand and embrace the mission and values of Parade College – RTO Division.
- Contribute through their work to the mission and values of Parade College – RTO Division.
- Acquire the information they need to undertake their work effectively.
- Make professional adjustments as smooth as possible.
- Assist in supporting the Parade College – RTO Division with routines, procedures, and policy matters.
- Provide a focus for sharing of common needs, problems, concerns and ideas.

1. Orientation

Orientation will be held upon commencement to familiarise new staff with Parade College – RTO Division’s environment (inclusive of all SNR regulatory requirements) and administrative structure.

2. Duration

The induction program will continue throughout a twelve week period with support being provided by the RTO Executive Officer to oversee the development and assimilation of each new employee.

Performance Review

College wide performance review and management processes will apply to all staff of the Parade College – RTO Division.

Professional Development

All employees are encouraged and supported to undertake further training or professional development activities to ensure they perform better in their roles and to effectively contribute toward continuously improving the quality of our training and assessment services. To this end, at the commencement of each calendar year, trainers and assessors in conjunction with the RTO Executive Officer will develop an annual Professional Development Plan to guide professional development activities, and ensure such activities meet the needs of the individual and the broader organisation.

As a minimum, and in a 12 month period trainers and assessors must demonstrate professional development activity in the following areas:

- Vocational education and training
- Training and assessment competence, and
- Vocational competence.

All training and professional development activities are to be documented on a Professional Development Log. All Professional Development Logs are to be submitted on an annual basis and are to be filed in the relevant employee file.

5.2 Staff code of conduct

This code aims to guide the conduct of staff in the performance of their duties as an employee/ contractor of Parade College – RTO Division. All staff including contract staff of Parade College – RTO Division are expected to perform the duties associated with their position skillfully, impartially and diligently in order to contribute to the efficient and economic achievement of our organisation’s strategic and operational goals.

The fundamental ethical principles on which this code of conduct is based are:

- a) respect for others;
- b) integrity;
- c) diligence; and
- d) economy and efficiency.

Respect for others

All staff are expected to treat others, including students, staff, external organisations and members of the community with fairness and respect. This involves:

- a) Courtesy and responsiveness in dealing with others.
- b) Being sensitive to and respecting the rights and dignity of others.
- c) Making reasonable, fair and consistent decisions.
- d) Avoiding behaviour which might reasonably be perceived as harassment, victimization or intimidation.
- e) Avoiding discrimination on grounds such as age, race, sex, pregnancy, sexuality, ethnic background, nationality, disability, political conviction, religious belief, or other grounds covered by relevant legislation.
- f) Allowing alternative points of view to be expressed and reasonably debated.

Integrity

All Parade College – RTO Division staff have an obligation as a citizen and as an employee/ contractor to observe the laws of the State and Commonwealth.

Staff are required to be familiar with and comply with, all relevant Parade College – RTO Division’s policies, procedures and codes of practices of the organisation.

Conflicts of Interest

Staff should be honest in performing their role, and avoid conflicts between their private interests and those of their responsibilities to Parade College – RTO Division.

Conflicts of interest may arise when a staff member is in a situation where personal circumstances are affected by the decisions or duties carried out in their role.

A conflict may arise when any of the following are involved:

- a) financial interests;
- b) personal or sexual relationships;
- c) personal beliefs;
- d) outside employment;
- e) political participation;
- f) use of confidential information;
- g) use of facilities, equipment and resources; and/or
- h) acceptance of gifts or benefits.

All staff must act responsibly and report any actual or perceived conflicts of interest that arise as part of their role. If there is any question as to whether a conflict exists, staff must discuss the circumstances with management to determine whether a conflict exists. Appropriate strategies will be developed to manage any reported or perceived conflicts of interest.

Diligence

Staff are expected to carry out their duties in a professional, ethical and diligent manner at all times. This means staff must:

- a) make decisions fairly, impartially and without bias, using the best factual information available.
- b) always aim to achieve the highest possible standard of performance.
- c) continuously develop their knowledge in their professional fields and areas of responsibility. Trainers and assessors must continue developing their vocational competencies to support continuous improvements in the delivery of the services provided by Parade College – RTO Division.
- d) exercise best judgment in the interests of Parade College – RTO Division.
- e) ensure outside interests do not interfere with their ability to meet the responsibilities of their role.
- f) adhere to professional codes of conduct and standards of ethics.
- g) act responsibly when becoming aware of any unethical behaviour or wrong doing by any other person. This may involve a report to a senior member of staff.

Economy and Efficiency

Staff including contractors should use Parade College – RTO Division resources, facilities and intellectual property only for legitimate purposes related to their role with Parade College – RTO Division.

Staff should avoid waste or minimize it where avoidance is not possible.

Staff should maintain sufficient security and protection of Parade College property, facilities, resources and intellectual property.

Breach of the Code

This code of conduct is designed to promote and enhance the ethical practice of staff. If any staff member is found to have breached this Code, Parade College – RTO Division may instigate performance review processes or disciplinary action for misconduct or serious misconduct.

6.1 School based apprenticeship and traineeship

This policy aims to ensure that comprehensive procedures and arrangements are in place for the management of individuals undertaking a School Based Apprenticeship and Traineeship (SBAT) with Victorian government subsidised funding.

Definitions

AVETMISS stands for the Australian Vocational Education and Training Management Information Statistical Standard.

Australian Apprenticeships Support Network (AASN) is a Commonwealth Government program that supports employers, apprentices and trainees during the term of an apprenticeship or traineeship.

Contract Notifications means contract notifications issued by the Department from time to time via the SVTS.

Department means the State of Victoria acting through the Department of Education and Training (or its successor).

Eligible Individual means an individual who is eligible for government subsidised training in accordance with the eligibility requirements set out in this VET Funding Contract and related guidelines.

Guidelines about Apprenticeship/Traineeship Training Delivery means the most recent guidelines of that name issued by the Department from time to time.

School Based Apprenticeship and Traineeship (SBAT) A SBAT offers students the option of combining secondary school, part-time employment and training. The apprenticeship/traineeship is undertaken under a Training Contract and Training Plan jointly entered into by the apprentice/trainee, the Parade College as the Registered Training Organisation (RTO) and an employer. It should be noted that in some instances Parade College will act as both the RTO and the employer. The Training Contract and Plan signed by all parties is formally lodged with the Australian Apprenticeship Support Network (AASN). On satisfactory completion the Training Contract and Plan leads to a nationally recognised qualification.

A SBAT is an integral part of the student's secondary school learning program and study timetable. Regular school attendance is combined with a minimum of one timetabled day a week of employment and/or structured training. The time requirements of work and off the job training for the SBAT are calculated at an average of 13 hours a week over each four-month period each year. The Victorian Registration and Qualifications Authority is responsible for regulating the minimum hours per week for employment and training for SBATs.

Training plan is the document which outlines details about the formal training an apprentice or trainee will complete.

SBAT Roles and Responsibilities

The Student

- Is undertaking the VCE or VCAL secondary school program.
- Decides together with their parent/guardian and/or career advisor, that a SBAT forms part of their career plan.
- Where required, work with Parade College RTO to identify a suitable employer.
- Agrees to undertake the training specified in their Training Plan.
- Provide details of any formal courses, work experience and relevant skills to Parade College for Credit Transfer or Recognition of Prior Learning assessment.
- Spends at least one day a week in their school timetable on-the-job or in training.
- Notifies their employer or RTO of any absences.
- Participates in concurrent VCE or VCAL classes.

Parent/Guardian

- Gives permission for the student to undertake the SBAT, including training or on the job work during scheduled holidays where required.
- Supports student in undertaking on and off the job training.
- Reports any absences to the employer and Parade College as required.
- Maintains communication to support Parade College and the employer with any issues during the SBAT program.

Parade College

- Provides advice to the student in developing their career plan, and deems the SBAT to be in the best interest of the student.
- Checks whether a Training Contract has been signed by the employer, Parade College and the student and lodged with the AASN.
- Endorses the Training Plan for registration of the SBAT prior to student enrolment in training with Parade College.
- Checks the contribution towards the VCE or VCAL of the SBAT program on VASS to ensure the student is eligible to complete their VCE or VCAL
- Can provide release from structured classes within the College timetable to incorporate the on the job training component.
- Provides a staff member to regularly communicate with the student and external employer.
- Informs the external employer of any student issues that need to be addressed to minimise health and safety risk while attending the on the job component.

NB It should be noted that in some instances Parade College will act as both the RTO and the employer.

Employer

- Offers paid employment to a school student under an industrial agreement that recognises SBATs.
- To ensure the work site meets WHS/OHS requirements and is safe for the trainee. This includes the work site itself, equipment, resources and materials, and that appropriate PPE is available.
- To ensure the apprentice/trainee has an opportunity to engage in a

range of industry related work tasks commensurate with their knowledge and skill level.

- To allocate an on the job coach or mentor as the go to person for the apprentice/trainee during the on the job period.
- To ensure the apprentice/trainee has adequate work time to complete assigned tasks as required. Time frames can be adjusted as the on the job component progresses.
- To be a positive role model and support the apprentice/trainee during the on the job component.
- To provide feedback to the apprentice/trainee on an ongoing basis.
- To contact the assigned Parade College representative should concerns or challenges arise.

Australian Apprenticeship Support Network (AASN)

AASNs supports apprentices and trainees.

- Market and promote apprenticeships and traineeships in the local area
- Provide assistance to employers, apprentices/trainees and RTO's throughout the duration of the apprenticeship/ traineeship.
- Administer incentive payments to employers and apprentices.
- Work with the VRQA to provide an integrated service.
- Establish effective relationships with Job Services Australia providers, Group Training Organisations (GTOs), RTOs, schools and community organisations

Procedure

Step 1 – Marketing and Advertising

Parade College will market and advertise SBAT's as part of the annual College Senior School Information Sessions, via onsite College Career Counsellors, and via relevant web based course flyers.

A specific SBAT information session will be during Term 4 of the College academic year. The session will be open to all interested students and their parents/guardian/significant other. On completion of the information session, each student will complete and submit a Pre Training Review Form.

Step 2 – Sign Up and Approval

Students applying for a SBAT will be required to:

- Complete the Parade College Enrolment Form;
- Complete and agree to Statement of Fees;
- Meet Victorian state government funding eligibility criteria; and
- Where Parade College is not engaged as the employer, work with Parade College to identify a suitable employer.

Parade College will be required to:

- Prepare the Training Contract and Training Plan;
- Discuss the Training Contract and Training Plan with the employer and student, verify arrangements and ensure the Contract and Plan are signed by all three parties;
- Lodges the Training Contract and Training Plan with the relevant AASN who will register the SBAT with VRQA, and

- Where required, record the SBAT and VET on the SMS and VASS.

Step 3 - Implementation

- The student undertakes their VCE/VCAL and structured off the job training at Parade College, and on the job training with the designated employer.
- The student completes assessments as required by Parade College.
- Assessment results are entered onto the College's SMS.

Step 4 - Student Support

- Any absences, difficulties, issues or concerns must be reported to Parade College who will monitor these and follow up, where necessary.
- Regardless of which party the concern is with, Parade College has a constant duty of care and plays an important role as intermediary between the student and all other parties if any issues arise.

Step 5 – Changes to the Training Contract and/or Training Plan

- All parties must be notified immediately if there are any changes that need to be made to the Training Contract or Training Plan.
- Changes that may occur include: cancellation of an SBAT, program duration, or changes to units or training packages.
- In such instances Parade College will take the lead and facilitate clear communication between all parties.

Step 6 – Completion of a SBAT

- Upon achievement of the required competencies the student Parade College will issue the qualification certificate.
- Where relevant, the student will receive credit towards their senior school program by the VCAA.

Associated Documents

- Training Contract and Plan
- Pre-Training Review Form
- Statement of Fees document
- Enrolment Policy
- Employer Information Booklet
- Student Information Booklet
- Student Handbook
- Trainee On The Job Attendance – Contact Log
- School Based Apprenticeship and Traineeship (SBATs) in Victoria: Guide to establish and deliver SBATs, including stakeholders' roles and responsibilities.