



MAROOCHYDORE
STATE HIGH SCHOOL
.....
STRIVE AND SERVE

VET QUALITY ASSURANCE MANUAL

VET Quality Framework

2024

Correct at time of publication but subject to change

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Obligations of school RTO Principals

The RTO must interpret and apply the *VET Quality Framework* (VQF) to its RTO operations. The RTO must ensure that it delivers a quality product for students, that enable them to perform to the standard expected in the workplace. Effective industry consultation is crucial to the development of a quality product.

Legal responsibility of the Principal

A significant and ongoing commitment is required to operate the RTO. The Principal (i.e. Chief Executive) signs a **Statutory Declaration** stating that he or she:

- has read and understood the VET Quality Framework
- accepts responsibility for ensuring the school RTO complies with the VET Quality Framework and all other applicable conditions of registration
- will ensure that the school RTO will cooperate with QCAA as delegate for ASQA
- understands that QCAA may impose conditions on the registration of the school RTO.

Sanctions

QCAA, as Regulator, has provided the following advice:

- failure to ensure compliance will result in non-compliances being identified at audit, and in sanctions being imposed if non-compliances are not addressed within specified timelines.

The Act provides a range of sanctions of increasing severity, escalating from enforceable undertakings and additional conditions on registration through to suspending or cancelling the registration of an RTO.

Details of regulatory decisions — including the RTOs details, the name of the CEO (i.e. the principal) and the type of regulatory decision imposed — are available at the [ASQA website](#).

Policies and procedures

1. Governance and administration

Section 1 of this policy and procedure provides guidance on: (a) delegating authority to RTO officers; (b) managing the RTO's relationship with the regulator; (c) identifying the specific responsibilities of the Principal and RTO Manager or equivalent high managerial agent; and (d) managing the RTO's legislated compliance requirements relating to systematic monitoring of a quality-assured process and practice.

Relevant Standards: 1, 2, 3, 4, 5, 6, 7, 8 and Schedules 1 to 6.

Governance and administration policy and procedure			
Policy	Governance	Administration	RTO officers
The Principal as CEO of the school RTO: <ul style="list-style-type: none">• represents the RTO in all dealings with QCAA as delegate for ASQA, the national regulator• provides leadership and advocates	<ul style="list-style-type: none">• The Principal ensures the RTO's organisational structure caters for effective implementation of:<ul style="list-style-type: none">- a documented Quality Management System (QMS)	<ul style="list-style-type: none">• The Principal approves the RTO's policies and procedures.• The RTO Manager:<ul style="list-style-type: none">- establishes and implements the RTO's QMS calendar	<ul style="list-style-type: none">• The Principal:<ul style="list-style-type: none">- ensures the safety and well-being of all students and officers- ensures all RTO officers are suitably qualified to fulfil the duties and meet the

<p>delivery of quality VET within the school curriculum</p> <ul style="list-style-type: none"> • ratifies all policy and procedure documents for RTO operations • vests the RTO Manager with sufficient authority to ensure the RTO complies with the Standards and regulatory requirements at all times. 	<ul style="list-style-type: none"> - quality-assured operations of the RTO, including a coordinated set of policies and procedures - roles and responsibilities, defined timelines and activities in the QMS calendar - systematic monitoring of <ul style="list-style-type: none"> ▪ the RTO's assessment system ▪ its systematic validation of assessment ▪ the systematic monitoring and evaluation, including training and assessment strategies ▪ the RTO's practices and behaviours. <ul style="list-style-type: none"> • The RTO Manager reports directly to the Principal on all matters relating to compliance with the Standards. 	<ul style="list-style-type: none"> - records and addresses all recommendations for improvement identified through analysis of data collected by the RTO - administers all components of the RTO's QMS to ensure compliance with the Standards, including implementation of the checklists contained within the policy and procedure documents - retains sufficient evidence of all past compliance activities or plans in accordance with each respective policy and procedure for internal and external audit purposes. 	<p>responsibilities of their position</p> <ul style="list-style-type: none"> - provides each RTO officer sufficient time to complete their assigned duties and responsibilities. <ul style="list-style-type: none"> • The RTO Manager: <ul style="list-style-type: none"> - oversees the RTO's complaints and appeals processes - monitors each RTO officer's staff profile and continuing professional development to ensure ongoing compliance with the Standards - monitors all marketing activities and materials - monitors all information provided to current and prospective students and other stakeholders to ensure they are transparent and accurate at all times.
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Quality assurance

Requirements of governance and administration

The Principal	RTO Manager	RTO officers
<p>The Principal:</p> <ul style="list-style-type: none"> • promotes and monitors educational and business practices that are focused on continually providing and improving services and student outcomes while minimising the risk of harm to students, officers and operations resulting from non-compliance • ensures the combined duties and responsibilities of delegated officers enable the RTO to operate in compliance with the Standards and regulatory requirements for RTOs at all times 	<p>The RTO Manager:</p> <ul style="list-style-type: none"> • identifies and implements business practices that focus on continually improving services and student outcomes • uses the outcomes of systematic evaluations, including the feedback of students, trainers, assessors and other stakeholders, to continually improve the RTO's training and assessment strategies and practices • informs the QCAA of substantial changes to the RTO's operations or any event that would significantly affect 	<p>All RTO officers:</p> <ul style="list-style-type: none"> • acknowledge their individual responsibilities as delegated by the Principal and specified in the RTO's policies and procedures • act at all times in accordance with the RTO's current policies and procedures • carry out all duties relevant to responsibilities delegated to them by the Principal • identify and recommend to the RTO Manager educational and business practices that focus on continually improving high
<ul style="list-style-type: none"> • ensures the RTO meets its legislative obligations through ongoing implementation of its QMS. 	<p>the RTO's ability to comply with the Standards within 90 days of the change occurring.</p>	<p>quality services and student outcomes.</p>

Requirements of systematic monitoring

Quality-assured management system	Monitoring	Evaluation	Continuous improvements
Dynamic and ongoing systematic monitoring of all RTO operational practice and processes confirming how all RTO officers are aware of and comply with all relevant criteria or requirements specified in the Standards and timelines.	<p>The RTO has and can provide documented evidence that matches the quality calendar as approved for the following:</p> <ul style="list-style-type: none"> • accuracy of Training and Assessment Strategy (TAS) program/s and assessment system aligned with current scope of registration • all policies and procedures • student data records • vocational competence, currency and professional development of all trainers and assessors • reporting. 	<ul style="list-style-type: none"> • Executive summary of current and recent performance and practice in accordance with the policies and procedures within the approved timelines. • Analysis of recommendations, outcomes or required changes for continuous improvements or timing of activities. 	<p>Records of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> immediate action taken or planned timelines by the RTO to rectify any non-compliances <input type="checkbox"/> program development <input type="checkbox"/> implementation of best practice and/or <input type="checkbox"/> modification of current procedures.
Timing	The QMS calendar is a dynamic record and is updated as required to reflect the RTO's day-to-day practices and is reviewed at least once annually to maintain compliance at all times.		

2. AQF issuance and replacement

Section 1 of this policy and procedure addresses: (a) conditions for issuance of qualifications and statements of attainment; (b) templates to be used; (c) timeframes for issuance; (d) records to be kept; and (e) replacement of certification documents.

Relevant Standards: 3.1–3.6, 7.5, 8.1(f), Schedule 4.6, Schedule 5, AQF policy requirements

Issuance

Issuance policy and procedure				
Policy	Qualification	Statement of Attainment (SoA)	Timeframe	Records
A student is only issued with: <ul style="list-style-type: none"> • a Qualification when they meet the training 	Issue an AQF certificate and Record of Results if the qualification in which the student is enrolled is	Issue an SoA if the qualification in which the student is enrolled is	Issue certification documentation to a student within 30 calendar days of	Maintain sufficiently detailed records capable of identifying the student, type of certification
package requirements <ul style="list-style-type: none"> • a Statement of Attainment when one or more units of competency are successfully completed. 	successfully completed.	partially completed.	all conditions for issuance being met.	(Certificate or SoA), qualification, award/attainment date and issuance date.

Conditions for issuance				
Unique Student Identifier (USI)	Fees and exemptions	Verification	Templates	Replacement
<ul style="list-style-type: none"> A USI must be held prior to issuance. The USI must be verified by the RTO using the USI Registry System website. 	<ul style="list-style-type: none"> Any agreed student fees have been paid. Certification may be issued on sighting confirmation that a student has been granted an exemption issued by the USI Registrar. 	<ul style="list-style-type: none"> AVETMISS-compliant data that supports issuing of certification. Data held in the QCAA provided AVETMISS-compliant student management system. 	Certification documentation is based on templates compliant with Schedules 4 and 5 of the Standards and the AQF. Attached templates include the RTO's measures to reduce fraudulent reproduction.	A certification documentation replacement policy and procedure is in place and is publicly available.

Replacement

Replacement policy and procedure				
Policy	Verification	Records	Templates	Replacement
On request the RTO permits replacement of AQF certification documentation it has issued in the previous 30 years. Fees may be charged.	Verify the identity of the applicant (name, address, date of birth) based on suitable proof of identity documents.	Confirm details of certification to be replaced using records from the AVETMISS-compliant student management system provided by QCAA.	Issued certification documentation is based on templates that meet the requirements of Schedules 4 and 5 of the Standards and the AQF.	The replacement certification documentation shows the current Principal's signature and the original award/attainment date.

3. Assessment system

Section 1 of this policy and procedure ensures that: (a) the RTO develops assessment tools, conducts assessment and gathers assessment evidence in accordance with the Principles of Assessment and Rules of Evidence; (b) all assessment meets the requirements of the relevant training package or accredited course; (c) all assessment meets the Standards' requirements for systematic monitoring; and (d) all assessment has been listed in the relevant training and assessment strategy (TAS) document.

Relevant Standards: 1.1, 1.4, 1.5, 1.8, 1.15, 2.1, 2.2, 5.2(d), (i)

Assessment

Assessment policy and procedure				
Policy	Assessment tools	Judgments and outcomes	Continuous improvement	Appeals
<ul style="list-style-type: none"> The RTO's assessment system will ensure all assessment (including recognition of prior learning (RPL)) adheres to the Principles of Assessment and the Rules of Evidence, meets all current training package requirements and is monitored for compliance. Every qualification on scope will have a current and complete TAS. 	<ul style="list-style-type: none"> Assessment will be conducted using tools that have been: <ul style="list-style-type: none"> approved by the delegated officer mapped to the requirements of the units of competency recorded in the TAS document. Assessment tools are retained and systematically validated. Assessments are based on clearly explained assessment activities. Evidence-gathering tools will be based on clearly defined techniques applied during assessment activities. 	<ul style="list-style-type: none"> Assessment judgments will be based on decision-making rules that are clearly identified in evidence-gathering tools. Interim and final judgments must be recorded on assessment tools and student profiles. Any assessment decisions of the RTO are justified, based on the evidence of performance of the individual learner where assessment of knowledge and skills are integrated with their practical application. 	<ul style="list-style-type: none"> Assessment tools will include provision for feedback from students. Tool development responds to feedback from assessors, industry and validators. Outcomes from the RTO's systematic monitoring of assessment practices are used to guide continuous improvement. TAS documents record monitoring of assessment practices and are updated to reflect changes made to tools and practices. 	<p>Students will be informed of their right to appeal assessment decisions in accordance with the RTO's Complaints and appeals policy and procedure.</p>

Conditions of assessment

Assessors	Retention of student work and assessment tools	All assessment tools are developed and validated based on the Principles of Assessment — Rules of Evidence	Development of assessment tools
<ul style="list-style-type: none"> • All assessors will meet the following requirements prior to the commencement of training and assessment services to students: <ul style="list-style-type: none"> – a relevant TAE qualification – vocational competency for each unit being delivered and assessed – current industry skills relevant to the units being delivered and assessed – current knowledge in competency-based training and assessment practice – professional development relevant to the training being delivered in accordance with the RTO's Trainers and assessor's policy and procedure. 	<ul style="list-style-type: none"> • All student assessment evidence used to make judgments, as well as the assessment tools, will be securely retained for six months after final judgments are made. • Student assessment evidence (student work) must be securely retained for six months to comply with the appeal policy and any scheduled validation processes. • As a minimum, all assessment tools in current use will be retained until after the RTO's next renewal of registration audit. • All assessment tools will be retained and managed by the RTO Manager and the delegated officer. 	<ul style="list-style-type: none"> • The approved assessment tool templates and validation process will demonstrate clear alignment to the: <ul style="list-style-type: none"> – Principles of Assessment: <ul style="list-style-type: none"> ▪ fairness ▪ flexibility ▪ validity ▪ reliability – Rules of Evidence: <ul style="list-style-type: none"> ▪ validity ▪ sufficiency ▪ authenticity ▪ currency. • Systematic validation will be used to confirm the reliability of the assessment decision-making process and the validity of interim and final judgments of competency. • Validation of assessment tools will compare all the features of assessment tools with requirements of the Principles of Assessment and Rules of Evidence. 	<ul style="list-style-type: none"> • Development of assessment tools will be guided by engagement with relevant industry representatives to establish the relevance of assessment strategies and activities, suitability of trainers and assessors, and that resources meet industry standards. • Well-defined assessment tool development processes will be used. The processes will ensure: <ul style="list-style-type: none"> – assessment activities are clearly defined and include sufficient instructions to students and assessors. Activities will integrate knowledge and skills with their practical application – evidence is gathered using techniques appropriate to the unit of competency and the assessment activity. Techniques may include observation, questioning, product/artefact review and third-party reports – evidence-gathering tools will include sufficient instructions to the assessor and contain lists of unambiguous decision-making rules appropriate to the technique selected – assessment activities and evidence-gathering tools will be mapped to the requirements of the units of competency, including any specialised unit of competency assessment or frequency requirements and, where required, specified Foundation Skills.

Principles of Assessment and the Rules of Evidence

These Principles of Assessment and Rules of Evidence are used when developing and validating competency-based assessment tools.	
Validity in principle and by rule	<p>Rule of Evidence:</p> <ul style="list-style-type: none"> Assessment tool decision-making rules are mapped to the performance criteria (and Foundation Skills when not implicit) and assessment requirements of the units of competency. <p>Principle of Assessment:</p> <ul style="list-style-type: none"> Assessment tools gather evidence of skills and knowledge through integration with their practical application. Assessment tools clearly describe and comprehensively explain how the project/activity/task is to be undertaken by the student and managed by the assessor. The assessment project/activity/tasks require competent performance across a range of situations.
Reliability	<ul style="list-style-type: none"> <input type="checkbox"/> The assessment tools provide sufficient instructions to the assessor on how to manage the project/activity/task assessment requirements. <input type="checkbox"/> Decision-making rules used when gathering evidence are unambiguous and not open to interpretation. <input type="checkbox"/> The project/activity/task documents provide sufficient instruction and guidance to the student and assessor. <input type="checkbox"/> A review of student work indicates consistency of assessment judgment outcomes.
Fairness	<ul style="list-style-type: none"> The assessment tools provide clear information for the student on the project/activity/tasks to be undertaken and how evidence will be gathered. The assessment tools include advice to the student on how to provide additional evidence to address performance and knowledge gaps. Provision for assessor feedback is included in the assessment tools. This includes provision to identify student performance and knowledge gaps and how to address them. The assessment tool provides advice to students on how to appeal decisions through direct feedback to the assessor.
Flexibility	<ul style="list-style-type: none"> A simple explanation of provision for reasonable adjustments is included. A range of projects/activities/tasks is used and identified in the relevant mapping tools and TAS documents. Context of projects/activities/tasks is relevant to the requirements of units of competency. RPL is offered to students and any appropriate credit is taken into account. This is stated in the relevant TAS documents.
Sufficiency	<ul style="list-style-type: none"> The mapping tool is used to confirm that sufficient assessment tools are being used to gather evidence to enable a judgment to be made on student competency. Only evidence relevant to assessment is gathered. The quality of decision-making rules is confirmed by mapping to units' requirements.
Authenticity	<p>Provision is made on the assessment tools to:</p> <ul style="list-style-type: none"> identify the student and assessor confirm that the evidence is authentically the student's work.
Currency	<ul style="list-style-type: none"> Date ranges are included on assessment tools to identify when the projects/activities/tasks were undertaken by the student as well as date ranges to confirm when evidence was gathered by the assessor. Evidence is from the present or very recent past.

4. Complaints and appeals

Section 1 of this policy and procedure sets out how the RTO addresses a complaint or appeal it receives relating to its officers, students or third parties providing services on behalf of the school RTO.

Relevant Standards: 2.2(b), 5.2(d), (i), 6.1–6.5

Complaints

Complaints policy and procedure			
Policy	Inform	Act	Record and review
<ul style="list-style-type: none"> Complaints received by the RTO will be acknowledged in writing and finalised as soon as practicable. Complaints can involve the conduct of the RTO's officers, students or third-party service providers of the RTO. Any RTO officer may receive a complaint verbally, in writing or electronically. The RTO identifies two types of complaints: <ul style="list-style-type: none"> type 1: allegations of inappropriate behaviour and/or child protection. These allegations are processed according to the RTO's complaints policy and procedure type 2: all other complaints. Without limiting the action in type 1 complaints, this complaints policy is publicly available and upholds the principles of natural justice and procedural fairness. A review of the issues that triggered the complaint is undertaken. The review aims to identify corrective actions that will eliminate or mitigate the likelihood of a similar complaint occurring in the future. Records of complaints are securely retained and registered in the RTO's <i>Complaints and appeals register</i>. 	<ul style="list-style-type: none"> On receipt of a complaint, the delegated RTO Complaints officer: <ul style="list-style-type: none"> provides written acknowledgment to the complainant informs both the complainant and the respondent of their right to be assisted by a support person or representative throughout the complaint process communicates on the progress of the proceedings to the complainant and the respondent throughout the complaint process if the complaint relates to the conduct of a third-party service provider, the Complaints officer informs the third party on receipt of the complaint and communicates progress on the proceedings with the third party. All communication by the RTO complies with the RTO's privacy policy and personal information management. 	<ul style="list-style-type: none"> The RTO officer receiving the complaint forwards it to the RTO Complaints officer (unless it relates to the Complaints officer, in which case it is forwarded to the Principal). For type 1 complaints, the Complaints officer follows the school's complaints policy and procedure in accordance with the student protection policy. For type 2 complaints, the Complaints officer: <ul style="list-style-type: none"> organises a mediation process that is non-threatening to the complainant establishes a review by an appropriate party independent of the RTO if mediation has not resolved the complaint refers the complainant to the QCAA website for further information about complaint processes if the complainant is still not satisfied. Students are informed that they may lodge a complaint to QCAA only after exhausting this complaints and appeals policy and procedure. 	<ul style="list-style-type: none"> The Complaints officer: <ul style="list-style-type: none"> establishes a written record for each complaint received updates the record throughout the complaint process. The RTO Manager: <ul style="list-style-type: none"> registers the complaint in the RTO's <i>Complaints and appeals register</i> securely retains all complaint records reviews each complaint process to identify corrective action/s that eliminate or mitigate the likelihood of reoccurrence ensures corrective actions are implemented including those actions impacting on any third-party arrangements.
Requirements for processing complaints			
Complaints	Forwarding complaints	Timeframe	Impacting policies and procedures

Complaints policy and procedure

<ul style="list-style-type: none"> • The receiving RTO officer informs the complainant that an appropriate delegated RTO officer will contact them regarding the complaint. • Whenever applicable, the receiving RTO officer ensures that the safety of the complainant is maintained. 	<ul style="list-style-type: none"> • For type 1 complaints, the receiving RTO officer immediately commences to implement the school's complaints or child protection policy. • For all other complaints, the receiving officer forwards the complaint to the RTO's Complaints officer for processing (unless it relates to the Complaints officer, in which case it is forwarded to the Principal). • The Complaints officer is responsible for ensuring a written record is established for all complaints received (unless it relates to the Complaints officer, in which case the Principal is responsible). 	<ul style="list-style-type: none"> • The Complaints officer finalises complaints within 60 calendar days. • If more than 60 days are required, the complainant and respondent are informed in writing of the reasons for the need to extend the time required to finalise the complaint. 	<p>Policies that must be considered in conjunction with this policy and procedure include the school's:</p> <ul style="list-style-type: none"> • privacy policy • student protection policy.
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Appeals

Appeals policy and procedure				
Policy	Inform	Act	Record	Review
<ul style="list-style-type: none"> All appeals received by the RTO will be acknowledged in writing and finalised as soon as practicable. Two types of appeal may be lodged: <ul style="list-style-type: none"> – appeal of final assessment decision – appeal of any other RTO decision. This policy is publicly available and upholds the principles of natural justice and procedural fairness. A record of each appeal process is reviewed to identify and implement corrective actions that aim to eliminate or mitigate the likelihood of reoccurrence. Records of appeals are securely retained and registered in the RTO's <i>Complaints and appeals register</i>. 	<ul style="list-style-type: none"> The RTO Manager provides written acknowledgment to the appellant. On receipt of an appeal, the RTO Manager informs a third party of the appeal if the appeal relates to a decision made by an employee of the third party. The RTO Manager communicates the progression of the appeal to all parties throughout the appeals process. 	<ul style="list-style-type: none"> When appealing final assessment decisions, the RTO Manager actions the following process: <ul style="list-style-type: none"> – appellant's trainer/assessor or reviews the decision – if the appellant is not satisfied, an independent trainer/assessor or reviews the assessment decision – if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure. For all other appeals: <ul style="list-style-type: none"> – the RTO Manager reviews the original decision – if the appellant is not satisfied, an appropriate independent party reviews the RTO's decision – if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure. 	<p>The RTO Manager:</p> <ul style="list-style-type: none"> establishes a written record for each appeal received updates the record throughout the appeal process registers the appeal in the RTO's <i>Complaints and appeals register</i> securely retains all appeal records. 	<p>The RTO Manager:</p> <ul style="list-style-type: none"> reviews each appeal process to identify corrective actions that eliminate or mitigate the likelihood of reoccurrence ensures corrective actions are implemented including those actions impacting on any third party arrangements.

Requirements for processing appeals			
Appeals	Forwarding appeals	Timeframe	Assessment result appeals
Appeals must be submitted to the RTO in writing using the RTO's Appeal form.	If the appeal relates to a decision made by the RTO Manager, the appeal is forwarded to the Principal for actioning.	<ul style="list-style-type: none"> The RTO Manager finalises appeals within 60 calendar days. If more than 60 days are required, the appellant is informed in writing of the reasons for the need to extend the time required to finalise the appeal. 	For assessment results appeals, the RTO Manager ensures the appeals process is informed by the: <ul style="list-style-type: none"> <input type="checkbox"/> assessment requirements of the relevant training package or accredited course <input type="checkbox"/> Principles of Assessment <input type="checkbox"/> Rules of Evidence.

5. Data management and USI

Section 1 sets out the RTO's policy and procedure relating to obtaining, recording and reporting compliant Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data.

Relevant Standards: 1.26, 2.1, 2.2(b), 3.4–3.6(a), 3.6(d) and Schedule 5, 5.2(c), 7.5, 8.1(a, c, f), Australian Qualifications Framework (AQF), *Student Identifiers Act 2014*, Data Provision Requirements 2012, AVETMISS and National VET Data Policy 2017.

Data management

Recording student data policy and procedure			
Policy	Enrolment	Management	Records and retention
<ul style="list-style-type: none"> The RTO will maintain and provide accurate and complete student enrolment and outcome data using the QCAA-approved student management software system (SMSS). All training and assessment provided by the RTO will be reported to QCAA. Student unit enrolment must align with the relevant qualification's current TAS document. Students will only be enrolled in qualifications that are on the RTO's current scope of registration. Complete student enrolment data for qualifications and units of competency will be entered into the SMSS by the end of Term 1 of each calendar year. 	<ul style="list-style-type: none"> Prior to commencement of training and assessment, student data will include: <ul style="list-style-type: none"> enrolment in at least the minimum number of units of competency required by the qualification or accredited course proposed start and end dates for each unit of competency interim outcome of <i>Continuing enrolment</i> for each unit of competency confirmation that the qualification's currency period on training.gov.au is of sufficient length for 	<ul style="list-style-type: none"> Recording of student progression data is managed through cooperation between the assessor, RTO management and data management officers. Assessor's outcome decisions will be recorded in a student profile. The student profile document is approved by RTO management as part of the assessment system. The profile data will be used to enter student unit of 	The RTO will ensure that: <ul style="list-style-type: none"> records of final student outcomes are accessible and retained for a period of 30 years students are informed that personal information will be collected and reported on their behalf for 2018 students only, signed or electronically acknowledged student declarations

<p>This is a QCAA mandatory requirement.</p> <ul style="list-style-type: none"> • Final student outcomes for units of competency and qualifications will be quality assured by RTO management prior to being recorded in the SMSS. • Final outcomes will be recorded soon after a student has been assessed and RTO management approves the assessment decision. • If a student exits a program or leaves the RTO, records must be updated immediately and any certification issued within 30 days. • The RTO will fully cooperate with QCAA in providing data, including student enrolment, USI and quality indicator reports. 	<p>students to complete the learning program</p> <ul style="list-style-type: none"> – the duration (difference between start and end dates) of the learning program aligns with the TAS document. • QCAA expects students to be enrolled in all required units of competency. QCAA only requires outcome data to be recorded when it occurs or by the end-of-year reporting date, whichever comes first. 	<p>competency outcomes as they become available or by the end-of-year reporting date, whichever comes first.</p> <ul style="list-style-type: none"> • When a qualification or unit is superseded, the affected students will be transitioned within the required transition timeframe or complete the qualification before the expiry of the transition or end of the 'teach out' period. 	<p>and consent of the RTO's privacy notice are retained</p> <ul style="list-style-type: none"> • records are securely held and only accessible by authorised RTO officers.
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Requirements of student data			
Student management system and reporting	Monitoring	Evaluation and review	Collection and reporting periods
<ul style="list-style-type: none"> • Student VET course enrolment and outcomes details are maintained using the QCAA-approved SMSS. • The RTO management ensures all VET enrolments are recorded by the end of Term 1 of each year and all outcomes achieved during the year are recorded by the end-of-calendar-year reporting date. 	<p>In accordance with mandatory reporting requirements, the RTO Manager checks that:</p> <ul style="list-style-type: none"> • course details and duration dates are accurate • unit enrolments comply with the relevant TAS • student outcomes are accurate prior to recording them in the QCAA-approved SMSS. 	<p>The RTO Manager:</p> <ul style="list-style-type: none"> • reviews the previous year's performance through analysis of results from the annual learner survey questionnaire, student outcomes and systematic monitoring of this policy and procedure • identifies areas for improvement and actions any recommendations made • records any actions in Section 3 of this policy and procedure. 	<p>The RTO adheres to the mandatory record keeping timeframes prescribed by the QCAA in the Senior Education Profile (SEP) calendar including the:</p> <ul style="list-style-type: none"> • QCAA mandatory record keeping and reporting dates • Annual Declaration on Compliance • Annual Quality Indicator data summary report.

Unique Student Identifier (USI)

USI policy and procedure			
Policy	Verification	Records	Reporting
<ul style="list-style-type: none"> • Prior to enrolment in a VET course, students are informed: <ul style="list-style-type: none"> – of the USI requirements and the National VET USI Register – that AQF certification will only be issued to students who are entitled to receive it and have provided the RTO with a verifiable USI. • The RTO will have in place systems to verify a student's USI prior to issuance of AQF certification. • The RTO will advise students of the consequences of not providing a verifiable USI. • The RTO advises students that nationally recognised VET transcripts will be available to students who have provided a verifiable 	<ul style="list-style-type: none"> • All USIs are verified prior to the first reporting period. • If a USI is acquired on behalf of a student by the RTO: <ul style="list-style-type: none"> – the sector representative is consulted – consent from parent/carers is acquired – records are kept that the RTO verified the USI. 	<ul style="list-style-type: none"> • USIs are securely held and reported using the QCAA-approved SMSS. • USI information is securely retained by the RTO, and its access is restricted to authorised RTO delegated officers only. 	<ul style="list-style-type: none"> • QCAA reports all student outcomes and relevant enrolment data to NCVER (National Centre for Vocational Education Research), including USI codes. • National VET reporting is done through the services of the Queensland Department of Employment, Small Business and Training. • NCVER provides the student data in various forms to the: <ul style="list-style-type: none"> – national USI transcript service – Australian Bureau of Statistics.
USI through the national USI transcript service.			

6. Industry engagement

Section 1 sets out the policy and procedure for ensuring the industry relevance of the: (a) RTO's training and assessment strategies and practices (TAS); (b) assessment practices; (c) trainers and assessors; and (d) resources.

Relevant Standards: 1.5, 1.6, 1.8, 1.13(b), (c), 1.17, 2.1

Industry engagement

Industry engagement policy and procedure			
Policy	Engagement	Verifiable record	Outcome
<ul style="list-style-type: none"> The RTO ensures that all training and assessment delivered to its students reflects current industry practices. A clearly defined industry engagement process that includes all the <i>Requirements of engagement</i> outlined in the table below is implemented whenever: <ul style="list-style-type: none"> proposing to add a new qualification to scope substantially redeveloping a TAS a qualification is being superseded by a non-equivalent qualification. 	<ul style="list-style-type: none"> The Principal allocates sufficient time for delegated officers to engage with industry when developing a TAS. Delegated officers are required to engage with a minimum of two industry representatives who have current skills relevant to the qualification using any of the following methods: email, telephone or face-to-face communication. <ul style="list-style-type: none"> Minimum three industry representatives for Certificate III level and above. 	<ul style="list-style-type: none"> Each TAS must have: <ul style="list-style-type: none"> verifiable records identifying the representatives and engagement dates RTO officers' summaries of representatives' comments and recommendations on each of the <i>Requirements of engagement</i> outlined below. Each industry-endorsed TAS is reviewed, approved and filed by the RTO Manager. 	<ul style="list-style-type: none"> Verify the relevance of the engagement process by providing: <ul style="list-style-type: none"> a summary of actions that were or will be taken to implement appropriate recommendations details of the officer approving the actions the date actions were finalised.

Requirements of engagement			
Training and assessment strategies	Assessment practices	Trainers and assessors	Resources
<p>The proposed TAS is suitable for students and identifies:</p> <ul style="list-style-type: none"> time allocated to delivery of a qualification work experience where applicable appropriateness of the clustering of units selected to reflect the needs or trends within industry. 	<ul style="list-style-type: none"> Assessment activities are appropriate for gaining competence in current industry skills and knowledge. Evidence-gathering techniques are appropriate for assessment and conditions that reflect current industry practices. 	<p>Industry skills and experience are current and relevant to the units being delivered.</p>	<ul style="list-style-type: none"> Resources are sufficient for the number of students. Resources are industry standard and current. The workplace environment being used reflects current industry practice.

7. Marketing

Section 1 of this policy and procedure addresses the: (a) minimum information that must be provided to students; (b) accuracy of information; (c) accessibility of information; (d) use of logo; and (e) approval procedures.

Relevant Standards: 1.1, 1.2, 4.1, Schedule 4, 5.1, 5.2

Marketing policy and procedure				
Policy	Transparent	Accurate	Accessible	Relevant
<ul style="list-style-type: none"> The RTO ensures that the marketing of its services and training products to prospective and current students is transparent, accurate and accessible, regardless of the way this information is distributed. The information provided by the RTO must be relevant to the students' needs, and allow students, parents and carers to make informed decisions about their training and assessment needs. 	<ul style="list-style-type: none"> The RTO will only advertise VET qualifications, accredited courses, or units of competency that are listed on the RTO's current scope of registration and that are consistent with the transition timelines. Consent must be obtained if the school is marketing VET qualifications to prospective students on behalf of external RTOs. 	<ul style="list-style-type: none"> The RTO will provide current and accurate details regarding qualifications and accredited courses offered, avoiding misleading or ambiguous statements. The Principal and RTO Manager approve all marketing materials prior to them being made public. Marketing material does not guarantee: <ul style="list-style-type: none"> successful completion completion in a manner contrary to the Standards employment outcomes. 	<p>The RTO will ensure the information is readily available to prospective and current students, parents and carers using electronic and/or print means, such as:</p> <ul style="list-style-type: none"> school website social media subject selection handbook school prospectus. 	<p>The RTO will ensure that the information provided is sufficient to enable the students to determine if the training product or service is relevant to meeting their needs.</p>

Mandatory requirements for marketing materials	NRT logo	Approval
<p>All marketing material must:</p> <ul style="list-style-type: none"> <input type="checkbox"/> identify RTO name and code for each relevant training product <input type="checkbox"/> meet current packaging rules, including full code and title of training products as listed on training.gov.au (TGA) be consistent with the information contained in the RTO's TAS 	<p>If marketing material contains the Nationally Recognised Training (NRT) logo, its use will be in</p>	<ul style="list-style-type: none"> All marketing of VET qualifications and accredited training is coordinated by the RTO Manager.
<ul style="list-style-type: none"> distinguish VET training and assessment from any other training and assessment delivered by the RTO (i.e. non-VET training) contain the following details about training offered: <ul style="list-style-type: none"> location duration mode/s of delivery assessment methods third party arrangements (if applicable) entry requirements fee information pathways. 	<p>accordance with conditions of use as specified in Schedule 4 of the Standards.</p>	<ul style="list-style-type: none"> The Principal/RTO Manager gives final approval to all VET marketing and advertising material.

8. Student information

Section 1 of this policy and procedure addresses: (a) the minimum information requirements provided to students; (b) obligations of the RTO; (c) rights and obligations of the student; (d) accessibility of information; and (e) related policies and procedures.

Relevant Standards: 1.7, 5.1, 5.2, 5.3, 5.4

Student information

Student information policy and procedure		
Policy	Publicly accessible information	Obligations
<ul style="list-style-type: none"> Prospective students are adequately informed about the services they are to receive, their rights and obligations, and the RTO's responsibilities prior to enrolment or on commencement of training. Provision of information enables students to make informed decisions about the appropriateness of the training, taking into account their existing skills and competencies. Students can be informed through referral to electronic and/or print copies in addition to the senior education and training (SET) plan process. 	<p>The RTO will:</p> <ul style="list-style-type: none"> provide current and accurate information to prospective students about the VET qualifications it offers, outlining details of the training and assessment as outlined in the relevant TAS ensure that student information is readily available using one or more sources (either electronically or in print), for example: <ul style="list-style-type: none"> school website student handbook enrolment form induction information. 	<ul style="list-style-type: none"> The RTO will commit to: <ul style="list-style-type: none"> training and assessment as outlined in the relevant TAS informing students of any changes to agreed services secure retention of personal information and records for verification and reporting reasons. The student will commit to: <ul style="list-style-type: none"> providing any materials and equipment requested by the RTO abiding by any specified requirements of the RTO to enter and successfully complete their chosen qualification payment of fees (if applicable).

Student information policy and procedure		
Minimum requirements	Appropriateness	Related policies and procedures
<p>The minimum information to be provided:</p> <ul style="list-style-type: none"> full course code and title delivery locations duration of course modes of delivery and assessment entry requirements support services Unique Student Identifier (USI) information recognition of prior learning credit transfer arrangements work placement arrangements RTO obligations and communication process to be followed if changes occur to agreed services student's rights and obligations third party arrangements (if applicable) fee information (if applicable). 	<p>The RTO will ensure that students' selections are appropriate in meeting their needs through any of the following:</p> <ul style="list-style-type: none"> interview with the student SET planning process enrolment process subject selection interviews subject selection handbooks student handbooks for vocational training areas (VTAs). 	<p>The following policies and procedures must be read in conjunction with this document:</p> <ul style="list-style-type: none"> Marketing Complaints and appeals Data management and USI Third party arrangements Training and assessment strategy AQF issuance and replacement.

9. Validation

Section 1 sets out the policy and procedure for ensuring the RTO has: (a) a five-year validation plan of assessment practices and judgments for each training product on the RTO's scope of registration; (b) conducted validation as per the five-year plan; (c) recorded all outcomes and how they will be acted on; and (d) used outcomes to inform training and assessment strategies and practices.

Relevant Standards: 1.8, 1.9, 1.10, 1.11, 2.2(a), (b)

Validation

Validation policy and procedure				
Policy	Five-year validation plan	Qualified validation team	Records	Sample size
Assessment practices and judgments for each training product on the RTO's scope of registration are validated within a five-year period — 50% are validated	<p>The five-year validation plan will state:</p> <ul style="list-style-type: none"> • date planned for validation • qualification code and title • associated risk 	Appoint a validator or validation team of one or more persons not directly involved in the delivery of the qualification or accredited	<ul style="list-style-type: none"> • The intended plan and validation process/ activities are recorded in the five-year plan. • Validation outcomes and 	A random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of
within the first three years as per an approved five-year validation plan by a qualified validator or team not directly involved in the related delivery or assessment.	<ul style="list-style-type: none"> • how the outcomes of these activities will be documented and acted upon • the order programs are validated (determined through a risk-based approach). 	course and who collectively meet the requirements of a trainer/ assessor for the relevant qualification.	actions are outlined and recorded in Section 9 of each individual TAS.	the total population of all assessment tools being used to assess the training product being validated.
Requirements of validation				
Plan	Validation approach	Validator/team requirements	Statistically valid	
<ul style="list-style-type: none"> • A five-year cycle is recorded on the first page of this policy and procedure. • The current five-year validation plan is attached and updated when qualifications are removed or added to the RTO's scope of registration and when a validation activity is conducted. • All TAS documents reflect the current five-year plan and record how and when the outcomes will be acted on. 	<ul style="list-style-type: none"> • Validation is undertaken by either one person or by a validation team. • The trainer and assessor who delivered/assessed the training product being validated cannot: <ul style="list-style-type: none"> – be the lead validator in the assessment team – participate in the validation – determine the validation outcome for any assessment judgments they made. 	<p>The validator or validation team must collectively have:</p> <ul style="list-style-type: none"> • vocational competencies and current industry skills relevant to the assessment being validated • current knowledge and skills in vocational teaching and learning • the training and assessment credential specified in Item 2 or Item 5 of Schedule 1. 	<p>A statistically valid sample size of assessment tools is randomly selected from Section 8 of the TAS for validation and is large enough to be a representative of all assessment tools. This may mean validating tools that contribute to making final outcome decisions for two or more units.</p>	

10. Third party arrangements

Determining the need for a TPA

Use the decision matrix in Table 1 to determine if conditions exist for a third party arrangement (TPA). Examine your existing situation to determine the TPA condition that is listed below.

If an agreement is needed, use Table 2 as a guide to providing notifications.

Table 1

Decision matrix				
Existing situation	1	2	3	4
	<p>An external RTO provides resources to meet some of the requirements necessary for completion of a qualification on the school RTO's scope of registration.</p> <ul style="list-style-type: none"> The school RTO issues the certificate for a completed qualification or Statement of Attainment for partial completion. 	<p>An external RTO provides educational and support services for a student enrolled in a qualification or unit of competency on the school RTO's scope of registration.</p> <ul style="list-style-type: none"> The school RTO issues a certificate or awards a Statement of Attainment. 	<p>An external RTO's services are engaged by the school RTO to assist a student in obtaining a unit of competency for a qualification offered by the school RTO and on its scope of registration.</p> <ul style="list-style-type: none"> The school RTO issues a certificate for a completed qualification. The external RTO delivers specified services. 	<p>An external RTO provides an opportunity for a student to undertake a qualification not currently being offered by the school RTO.</p> <ul style="list-style-type: none"> The school RTO provides any or all of the following: <ul style="list-style-type: none"> trainers/assessors delivery location resources. The external RTO, issues a certificate or Statement of Attainment.
For the above situation, the decision is:	<p>The school RTO initiates a <i>written business agreement</i> and is responsible for compliance and monitoring.</p>	<p>The school RTO initiates a <i>third party agreement</i> and is responsible for compliance and monitoring.</p>	<p>The school RTO initiates a <i>third party arrangement</i> and has a responsibility to monitor student progress and services provided. Both RTOs must have the unit of competency on their scope of registration at all times.</p>	<p>The external RTO and the school RTO should have a <i>memorandum of understanding</i> or other written business understanding. The external RTO is responsible for enrolment, the outcomes of the training and assessment, and the issuing of the qualification to the student, and must have the qualification on its scope of registration at all times.</p>
	<p>Note: The purchase and subsequent ownership of resources is a procurement, not a third party arrangement for providing services.</p>			
<p>Notes:</p> <p>Credit transfer may only be requested by students and accepted for units of competency on the school RTO's scope.</p> <p>The school RTO will have any business understandings with other organisations recorded in writing.</p>				

Table 2

Notification actions for new or changed agreements			
Type	Student and parent/carers	Trainer/assessor	QCAA
Commencement of a new arrangement	Advise students and parents/carers of new arrangement in electronic or printed format.	Advise trainers and assessors and include relevant TPA details in appropriate sections of the qualification/s TAS.	Submit a completed <i>Notification to change organisational details</i> form via the QCAA Portal within 30 days of the new arrangement.
Substantial change to existing arrangement	Advise students and parents/carers of change in electronic or printed format as soon as practical.	Advise trainers and assessors and update all relevant sections of the qualification/s TAS.	
Cessation of an arrangement	Advise students and parents/carers of change in electronic or printed format. If the end of the TPA is due to failure to deliver services or early termination, advise students of RTO's alternative arrangements.	Advise trainers and assessors and update all relevant sections of the qualification/s TAS to reflect any alternative arrangements.	

Section 1 of this policy and procedure provides advice on: (a) preparing written agreements; (b) providing information needed by trainers, assessors and students on third party service arrangements; (c) notifying QCAA about TPAs; and (d) monitoring procedures to ensure services meet the terms of the agreement and the requirements of the Standards.

Relevant Standards: 2.3, 2.4, 4.1(e), (f), 5.2(b), (d), 5.3, 5.4, 6.1(b), 6.2, 8.2, 8.3

Third party arrangements (TPAs)

Third party arrangement policy and procedure			
Policy	Agreement	Notification	Monitoring
<p>The RTO ensures that when services are provided on its behalf by a third party:</p> <ul style="list-style-type: none"> • a written agreement is in place that defines the obligations of all parties under the arrangement • each written agreement is systematically monitored. 	<p>A written agreement outlining the obligations of all parties must be in place when the RTO engages another party to provide one or more of the following services:</p> <ul style="list-style-type: none"> • marketing • recruitment • resources • training • assessment • educational and support services. 	<ul style="list-style-type: none"> • The RTO will notify students and provide them with information on how the TPA affects them: <ul style="list-style-type: none"> – before enrolment – when a change to agreed services occurs. • The RTO will notify the QCAA with advice of a TPA: <ul style="list-style-type: none"> – commencing – substantially changing – ceasing. 	<p>Over the life of the agreement, the RTO delegates officers to regularly monitor, evaluate and review TPA services using the Section 3 checklist.</p>
		<ul style="list-style-type: none"> • Trainers and assessors will be provided with an up-to-date TAS. 	

Requirements of TPAs		
Student advice	Information	QCAA advice
<p>The RTO will:</p> <ul style="list-style-type: none"> • provide current and accurate information on any TPA that affects the student in print or through referral to an electronic copy • advise a student of any substantial change to the agreement as soon as practicable. 	<p>The minimum information an agreement must contain is:</p> <ul style="list-style-type: none"> • name and contact details of any third party service provider • details of the training, assessment or related educational and support services to be provided to students on the RTO's behalf • identification of the qualification/s and unit/s of competency involved by full code and title. 	<ul style="list-style-type: none"> • Within 30 days of a notifiable event, submit a completed <i>Notification to change organisation details</i> form using the QCAA Portal. • The online form will include a detailed description of the arrangement and identification of the qualification/s and unit/s of competency involved by full code/s and title.

11. Trainers and assessors

Section 1 of this policy and procedure addresses the need for trainers and assessors to meet: (a) the current TAE requirement; (b) vocational competency; (c) industry currency; and (d) vocational education knowledge and skills.

Relevant Standards: 1.3, 1.4, 1.6(b), 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, Schedule 1

Trainer and assessor

Trainer and assessor policy and procedure				
Policy	TAE qualification	Vocational competency	Industry currency	Vocational education skills
<ul style="list-style-type: none"> Commencement of training and assessment only occurs when all relevant trainers and assessors have an RTO-approved profile with documented and verifiable records supporting the requirements for: <ul style="list-style-type: none"> TAE credentials vocational competency current industry skills 	Trainers and assessors must hold: <ul style="list-style-type: none"> TAE40110 plus from 1 April 2019, the addition of either: <ul style="list-style-type: none"> TAELLN411 or TAELLN401A and one of: <ul style="list-style-type: none"> TAEASS502, TAEASS502A, TAEASS502B OR 	<ul style="list-style-type: none"> Trainers and assessors must have relevant vocational competency for each unit being delivered and assessed. Competency can be demonstrated through either tertiary or vocational qualifications or through 	<ul style="list-style-type: none"> Trainers and assessors must have current industry knowledge and skills that directly relate to the units being delivered. The current industry skills of trainers and assessors are endorsed by industry engagement. 	<ul style="list-style-type: none"> Trainers and assessors must have current knowledge and skills in competency-based teaching, learning and assessment. The RTO ensures all trainers and assessors undertake ongoing
<ul style="list-style-type: none"> vocational education knowledge and skills. The trainer and assessor must maintain currency once delivery has commenced. 	<ul style="list-style-type: none"> TAE40116 Certificate IV in Training and Assessment Persons not holding a TAE qualification must work under supervision and adhere to the requirements below.	relevant industry employment.		professional development to maintain currency.

Individuals not holding a TAE must work under supervision			
Requirements	Assessment	Arrangement	Supervisor
The individual must have an approved profile that includes documented and verifiable records supporting the requirements for: <ul style="list-style-type: none"> enterprise trainer skill sets vocational competency current industry skills current knowledge in competency-based training and assessment. 	<ul style="list-style-type: none"> The individual under supervision is not permitted to make assessment judgments. The RTO will require a suitably qualified assessor to make assessment judgments. 	<ul style="list-style-type: none"> A documented supervision arrangement must be in place and outline: <ul style="list-style-type: none"> name of supervising qualified trainer and assessor support and monitoring identified conditions or restrictions on the training activities carried out by the supervised person. Section 3 of the trainer and assessor profile. 	The supervising trainer and assessor must hold: <ul style="list-style-type: none"> TAE credentials vocational competency current industry skills current knowledge in competency-based training and assessment relevant to the training being delivered.

12. Training and assessment strategy

Section 1 of this policy and procedure addresses the development of a training and assessment strategy (TAS) for each qualification being delivered. See [Section 4](#) for an explanation of what each TAS section records. Section 1 also applies for any proposed additions to scope.

Relevant Standards: 1.1–1.7, 1.8, 1.9–1.19, 1.20, 1.26, 2.1, 2.2, 3.5, 4.1, 5, 5.2, 8.4(b), 8.5, Data Provision Requirements 2012, Schedules 1 and 5

Training and assessment strategies and practices

TAS policy and procedure							
Policy	Program overview	Training and assessment	Training and assessors	Physical resources and environment	Industry engagement	Validation	Monitoring
<ul style="list-style-type: none"> Each qualification on the RTO scope of registration will always have a current and accurate TAS document that provides the macro-level requirements of the learning and assessment program. A TAS will always be developed through industry engagement; a TAS may only be implemented after approval by RTO Management. The RTO will submit a TAS document with Sections 1–7 completed for every application to add a new qualification to scope. 	<ul style="list-style-type: none"> Sections 1, 2 and 4 of the TAS provide details of the program overview and requirements. Information in Sections 1–4 is to inform students before and at enrolment. Section 4 outlines any work experience. The trainer and assessor, RTO Manager and Principal will use Section 10 to verify TAS implementation. 	<ul style="list-style-type: none"> Section 3 of the TAS outlines the proposed learning and assessment program. All assessment is developed in accordance with the Assessment policy and procedure. When an assessment is used, update Section 8 for the validator/team to select from. 	<ul style="list-style-type: none"> Section 5 of the TAS shows how each individual trainer and assessor meets the mandatory requirements. Trainers and assessors are appointed in accordance with the Trainer and assessor policy and procedure. 	<ul style="list-style-type: none"> Section 6 of the TAS outlines availability of specific resources and how they meet the delivery and assessment requirements of listed units of competency and the training package. 	<ul style="list-style-type: none"> Section 7 records mandatory industry engagement. It includes verifiable details, confirmations, brief summaries of recommendations and defined timelines for required actions. Industry engagement is conducted in accordance with the Industry engagement policy and procedure during the development of each TAS. 	<ul style="list-style-type: none"> Section 8 identifies all assessment tools used in conjunction with this TAS. Section 9 records all validation activity including when and how outcomes will be actioned. Validation is systematically conducted in accordance with the Validation policy and procedure. 	<ul style="list-style-type: none"> Section 11 records TAS changes, dates and monitoring activities. The TAS is a dynamic document informed by ongoing evaluation including the evaluation of quality indicators. It will be updated whenever a strategy or practice changes.