



RTO name: TRAINING RTO

Policies and Procedures Manual



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1.0 Organisational requirements

Assessment policy (including RPL)

- Assessment complies with the principles of assessment
- Assessment complies with the rules of evidence
- The application of knowledge and skills is relevant to the workplace
- Timely and appropriate feedback is given to students
- All students have the opportunity to appeal an assessment outcome

Recognition of prior learning (RPL)

Recognition of prior learning is a method of assessment that enables students to have their current knowledge and skills formally recognised. The student's current knowledge and skills may have been acquired at work, through volunteer work, informal or formal training.

Without documented evidence, a RPL application will not be successful, so it is important to link the evidence to the unit outcomes. If gaps are identified, the RPL Assessor will notify the student and gap training and assessments may need to be completed.

A student's RPL application must be accompanied by:

- A completed self-evaluation checklist
- A portfolio of evidence
- Assessment Cover Sheet
- RPL Evidence Record Sheet

The RPL assessor will assess the evidence according to the principles of assessment (see table 1) and rules of evidence (see table 2).

Table 1 – Principles of assessment	
Fairness	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>



Flexibility	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> • reflecting the learner’s needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements and the individual
Validity	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> • assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements
Reliability	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p>

Table 2 – Rules of evidence

Validity	<p>The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.</p>
Sufficiency	<p>The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner’s competency.</p>
Authenticity	<p>The assessor is assured that the evidence presented for assessment is the learner’s own work.</p>
Currency	<p>The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.</p>



Assessment results

A student will either receive a competent or not yet competent result for their assessment. Each student has up to three (3) attempts to demonstrate competency in each unit.

- Competent (C) result: the student's submitted work satisfies the learning requirements and competency standards for the unit (in accordance with the National Register www.training.gov.au).
- Not Yet Competent (NYC) result: the student's submitted work does not demonstrate their understanding of all the competency standards in the unit. Gaps have been identified by the assessor and the student must rectify these gaps in their re-submission.

The assessor must complete an "Assessment Outcome" form once an assessment has been completed.

Reasonable adjustment options

When a learner is unable to complete an assessment task due to reasons including, but not limited to; sickness, learning disability, physical impairment, language, literacy, and numeracy needs, etc., the assessor must provide a reasonable adjustment to the assessment process. This is to ensure the learner can demonstrate their competency levels using alternative measures. For example, if a learner accidentally sprains their wrist and cannot write answers in a written questionnaire, the assessor could apply a reasonable adjustment and request the candidate to take the test via oral examination. The nature of the reasonable adjustment must comply with the principles of assessment and rules of evidence.

Assessment validation policy (review and evaluation)

The RTO will conduct validations on all assessment tools every six (6) months.

Validators must satisfy the criteria stipulated in Clause 1.11. The validators must comply with the guiding principles of assessment and rules of evidence.

- Persons who were not involved in the training and assessment of the course
- For example, a panel consisting of industry experts, trainers, assessors and management personnel

The validators must record their findings in the [Validation Checklist](#). All issues that arise from the validation process will be discussed at the monthly management meeting.



Determining LLN skills

Before commencing any nationally recognised course each student must complete the Language, Literacy and Numeracy (LLN) Indicator Tool. This LLN evaluation will assist in identifying learner needs and appropriate support.

Learning programs

When designing a new learning program, the following documentation is required:

- Training and assessment strategies
- Language, literacy and numeracy (LLN) Matrix
- Learning program review

Transition requirements

As per Clause 1.26 of the Standards for Registered Training Organisations 2015, where a training product on its scope of registration has 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.

Document formatting protocol

All electronic documents must comply with the following:

- Microsoft Word
- Minimum font size is 11
- At least 1.5 line spacing
- Text colour is black
- The document footer must contain the document name, page number and version control

Filing protocol

All finalised assessment tools are saved in Microsoft Word version. The file name must follow the procedure below:

- Document name – Version control number



Version control protocol

All documents must comply with the procedure below:

- Contain the word “Version”
- Insert the version number such as 1
- For example, Version 1
- Version control must appear in the document footer

Reporting systems

- All student outcomes are recorded in the student database.
- All student data is reported annually to National Centre for Vocational Education Research
- All qualifications and statements of attainment issued are maintained for 30 years

Storage procedures

All completed assessments must be scanned into the student’s folder located on the company server.

Student records

Staff must have authorisation (e.g. protected password or security pass) to access a student’s file. Staff must not take advantage of obtaining this information and must comply with all confidentiality requirements. If printing personal records, staff must ensure they dispose of the information in an appropriate manner (e.g., shredding machine).

Student code of conduct

A student must not behave or communicate in an inappropriate manner that is derogatory, insulting or offensive towards an employee or another student.

Examples of unacceptable behaviour include:

- Being disruptive during class
- Distracting other students
- Non-compliance with safety rules
- Verbally abusing RTO staff and other students
- Displaying aggressive behaviour towards RTO staff or another student
- Threatening the well-being of RTO staff or another student
- Making false allegations against RTO staff or other students without evidence



Any RTO staff who is dissatisfied with the behaviour or performance of a student (before, during or after training) has the authority to:

- Warn the student that their behaviour is unsuitable, or
- Ask a student to leave the class, or
- Terminate the student's training.

Quality assurance policy

The RTO will apply a systematic approach to assuring quality across all training and assessment services including staff and systems. For example:

- Have an student database that stores and records student details, course allocations and assessment outcomes
- Have an online learning management system which allows student to download and complete the training and assessment activities
- Seek feedback from students and internal staff on a monthly basis. Analyse feedback to identify areas for improvement
- Conduct internal audits of the company's policies and procedures to ensure compliance against the standards for registered training organisations



2.0 Legal requirements

Harassment and anti-discrimination policy

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all staff and students are treated fairly and have the opportunity to feel safe, valued and respected. All students have the right to discuss matters of harassment with the relevant members of staff without making a formal complaint; all discussions are dealt with in confidentiality. All staff are adequately trained in dealing with harassment and discrimination.

Work Health and Safety Policy

Management is responsible for providing the following standards as part of its commitment to employees and students:

- A safe workplace, with a safe system of work
- Adequate workplace health and safety professional development for employees and management
- Properly maintained facilities and equipment
- A clean, tidy, suitably designed workplace with the safe storage of goods

Work Health and Safety requirements for conducting assessment

Management is responsible for assessing the potential risks prior to the commencement of an assessment. Once a risk has been identified, management must record:

- The nature of the risk,
- An assessment of the risk (use the below risk matrix)
- Control procedures

Work Health and Safety implications for workplace learning

Management is responsible for assessing the potential risks prior to the commencement of the workplace learning. Once a risk has been identified, management must record:

- The nature of the risk,
- An assessment of the risk (use the below risk matrix)
- Control procedures



Risk matrix:

LIKELIHOOD	CONSEQUENCES				
	Severe: Death	Very serious: Near-death/ critical injuries	Serious: Major injuries	Mild: Injuries, fractures	Very mild: Small fractures, bruising
Extremely likely	1	1	2	2	3
Very likely	1	2	2	3	3
Likely	2	2	3	3	4
Not very likely	2	3	3	4	4
Unlikely	3	3	4	4	5

Contractual requirements for workplace learning

The student will be removed from their work for no more than 30 minutes. As the work-based learning is entirely in-house, this should not have a large impact on lost work. It is the responsibility of the trainer to ensure the learner complies with their workplace obligations.

Requirements for assessment

Assessors must satisfy the criteria stipulated in Clause 1.13 and Clause 1.14 of the Standards for RTOs 2015. Evidence of the following records for each assessor will be maintained on the TRAINING RTO server:

- TAE40110 Certificate IV in Training and Assessment
- Evidence of vocational competency (i.e., competency matrix)
- Professional development log



3.0 Ethical requirements

Access and equity policy

Access and equity policies are in place to ensure that training opportunities are offered to all people on an equal and fair basis in all circumstances, irrespective of their gender, culture, linguistic background, race, socio-economic background, disability, age, marital status, pregnancy, sexual orientation or carer's responsibilities.

Privacy policy

Management considers student privacy to be of utmost importance and will practice a high standard of care and concern in regard to maintaining student privacy in all aspects of business operations. The company complies with all legislative requirements including the Privacy Act 1988 (Commonwealth) and Australian Privacy Principles (APP) (2014). No student information is disclosed without the student's consent.

Confidentiality policy

TRAINING RTO ensures no student information is disclosed without the student's consent, except as required by law. Student consent must be obtained in writing from the student, unless the student is under the age of 18 years, in which case written consent from their parent or guardian must be obtained.