POLICIES AND PROCEDURES MANUAL
For staff and students

Document Ref:
Transitional
Standards for Registered Training Organisations (RTOs) 2015

Note: This manual is in transition from the SNR standards of 2012 to the new Standards for Registered Training Organisations (RTOs) 2015.

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ABOUT THIS DOCUMENT

This policies and procedures manual has been develop to inform you of the applicable policies and procedures for all learners and staff of Building Futures Education Services. It is imperative to keep our learners and staff informed of our policies, procedures and practices of BFES to ensure best practice and outcomes for all parties.

Please ensure you read, understand and comply with the contents of this manual.

- Building Futures Education Services.
PROCEDURE 1. CONTINUOUS IMPROVEMENT

1. AIM
1.1 To ensure Building Futures Education Services demonstrates an ongoing commitment to a systematic approach to continuous improvement across all training and assessment services by collecting, analysing and acting on relevant data attending to three key areas, training & assessment strategies, student services and management systems.

2. PROCESS

2.1 REVIEW

2.1.1 The main purpose of the review is to ensure a full internal audit, as per Internal Audit policy (Policy: 01), has been conducted across all Standards for RTO’s 2015 at least once per year. Management must ensure internal audits are carried out as per the procedure for internal audits.

2.1.2 Review outcomes are noted, including references to any documents that form part of the review process.

2.1.4 The CEO enters details of any action arising from the review onto Improvement Request. The focus of such actions should be improvement in relation to services to customers, satisfaction of external requirements, the quality management system and processes.

2.1.5 Where applicable, the review includes a review of data:

- Learner Questionnaires
- Complaints
- Refund Requests
- Employer surveys
- Risk Management
- Strategic business plans

2.1.7 The Review will allow the CEO and Director of Studies of Building Futures Education Services to identify and plan appropriate learning and assessment strategies to meet the needs of its clients including each of the following:

- Building Futures Education Services must develop and implement strategies for training delivery and assessment for each Training Package qualification and accredited course within scope of registration.
- The assessment strategies must be developed in consultation with enterprises / industry.
- The delivery and assessment strategies should identify proposed target groups, delivery and assessment modes and strategies, assessment validation processes and pathways.

Building Futures Education Services will validate its assessment strategies by:
reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments made by a range of assessors against the same competency standards, at least annually; and

documenting any action taken to improve the quality and consistency of assessment.

Building Futures Education Services must ensure that in developing, adapting or delivering training and/or assessment products and services:

i methods used to identify learning needs, and methods for designing training and assessment, are documented;

ii the requirements of the Training Package or accredited course are met;

iii core and elective units, as appropriate, are identified;

iv customisation meets the requirements specified in the relevant Training Package or, for accredited courses, meets the NSSC customisation policy;

v it adheres to principles of access and equity and to maximise outcomes for our clients. Before clients enrol with Building Futures Education Services information will be provided to them about the training, assessment and support services to be provided, and about their rights and obligations;

vi language, literacy and numeracy (LLN) requirements develop the learning capacity of the individual and are consistent with the essential requirements for workplace performance specified in the relevant units of competency or outcomes of accredited courses;

vii delivery modes and training and assessment materials which meet the needs of a diverse range of clients are identified;

viii where assessment or training is conducted in the workplace, Building Futures Education Services negotiates the delivery and assessment strategy with the employer and learners; works with the employer to integrate any on-the-job training and assessment; and schedules workplace visits to monitor/review the training and assessment;

ix where an Apprenticeship/Traineeship Training Contract is in place or being negotiated, individual Training Plans are developed, documented, implemented and monitored for each apprentice or trainee, encompassing all relevant off-the-job training and structured workplace training; and

x where assessment or training is conducted on-line or by distance, Building Futures Education Services has effective strategies for learner support, monitoring and assessment.

2.1.8 The Director of Studies maintains a file of the review outcomes, as necessary.
3. FOLLOW UP & IMPROVEMENTS

3.1.1 Any problems are promptly detected, identified, documented and fixed in a controlled manner.

3.1.2 Action is taken to prevent the occurrence and/or recurrence of problems.

4. PROBLEMS

4.1.1 If a problem, identified by any Building Futures Education Services personnel, has the potential to cause injury, or to affect the quality output, the item must be segregated and marked to ensure it is not used by any other person until the problem has been rectified. Problems of this type should be entered onto the Improvement Log and brought to the attention of the Director of Studies immediately. Building Futures Education Services personnel are also encouraged to make entries onto the Improvement Log where improvements can be made to any part of the business.

4.1.2 The CEO determines what action is required to rectify the problem and makes arrangements for the actions to be undertaken.

4.2 REVIEW OF IMPROVEMENT LOGS

4.2.1 The Director of Studies reviews the Improvement Logs every month to determine the need for further action for each incident as well as groups of similar entries.

4.2.2 Where the Director of Studies perceives that errors etc. require immediate action to resolve the issue, particularly those identified by clients, then they will direct staff to immediately implement the improvement.

4.3 IMPROVEMENT REQUESTS

4.3.1 Improvement Requests are raised by the Director of Studies where causes of problems can be eliminated or issues fully addressed or improvements implemented.

4.3.2 The Director of Studies processes Improvement Requests by ensuring that the form is fully completed and that action is taken.

4.3.3 Where the action associated with an Improvement Request results in revision to a Manual or Procedures, the Improvement Request references the documents to be revised.

4.3.4 The Director of Studies collates information from the Improvement Logs and Improvement Requests and prepares a monthly summary for review with the CEO.

4.4 COMMUNICATIONS

4.4.1 Communication of general day-to-day business information shall be carried out to ensure all relevant personnel are kept up to date with any changes, updates or requirements etc. that may impact on the daily functions carried out for Building Futures Education Services. The CEO or nominee shall communicate any relevant information and the communication will be written and/or verbal. If written it will generally be communicated electronically.
4. REFERENCES

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PROCEDURE 2. QUALITY PLANNING

1. AIM

1.1 To establish and maintain a system to plan for quality where services and processes offered are being added, deleted or modified.

2. PROCESS

2.1 QUALITY PLANNING - IDENTIFYING A NEED

2.1.1 For those services offered by Building Futures Education Services at the time of implementation of the management system, the Procedures Manual and reference documents fully describe the process undertaken in order to complement the Standards for Registered Training Organisations (RTOs) 2015.

2.1.2 Where the current scope of services offered by Building Futures Education Services increases, decreases, or changes then the management system to be similarly modified.

2.1.3 Where a change is required the Director of Studies implements the Document and Data Control procedure. Refer to Procedure 4.

3.1 QUALITY PLANS

3.1.1 Where the change is not minor the Director of Studies prepares a Quality Plan. The Quality Plan addresses what will be required.

4.1 USE OF QUALITY PLAN

4.1.1 The Quality Plan is updated by the Director of Studies to reflect progress of the work.

The Quality Plan is subject to reviews by the Director of Studies and decisions made are added to the Plan.

After satisfactory completion and implementation of all the tasks identified in the Quality Plan, the Director of Studies signs off the Plan as evidence of such completion.
PROCEDURE 3. CONTROL OF DOCUMENT & DATA

1. AIM

1.1 To control information (documents and data) that affect quality within Building Futures Education Services.

2. PROCESS

2.1 CONTROL OF DOCUMENTS

2.1.1 The following documents require some level of control:

- Policy Manual
- Procedure Manuals
- Documents/Forms
- Standards, Codes and regulations

2.1.2 The Policy Manual, Procedures Manuals, Documents and Forms and their revisions are reviewed and approved by the CEO.

2.2 DOCUMENT DISTRIBUTION AND REVISION

2.2.1 There is one controlled copy of this manual and it is normally kept in the Director of Studies office. A master (electronic) copy of this manual is kept on the Director of Studies computer.

All Quality System documents and forms will contain details of the following:
Version details and date of issue (e.g. Version: 1 March, 2014).

2.2.2 Revisions to the hard copy Manual are put into a folder.

2.3 CONTROL OF TRAINING PACKAGES, REGULATIONS & STANDARDS

2.3.1 Responsible officer
A listing of Registered Training Organisation regulatory requirements and other standards is entered onto the Document Register. Building Futures Education Services accesses the latest updates to legislation, regulations, standards and requirements upon issue.

2.3.2 Details of re-issued regulations or their amendments are entered as per 2.3.1 above.

2.3.3 The Director of Studies arranges for a review of the changes to the requirements and standards to determine the nature and extent of any changes required in the management system, Policy and Procedures and Manuals. Where necessary, the Director of Studies arranges for the changes to documents to be implemented.

2.3.4 No Training Packages and or units of competence will be purchased. All training packages or units of competency will be accessed using www.training.gov.au. The Director of Studies, Building Futures Education Services is subscribed to www.training.gov.au to receive the latest
updates that reflect the current version of a training package qualification or unit of competence.

2.3.5 Any accredited course purchased under licence or acquired will be recorded in the documents register.

2.4 CONTROL OF FORMS

2.4.1 Responsible officer
The details regarding the issue status of all the quality management system related forms is recorded on the Forms Register.

2.4.2 Approval of the form and their revisions is indicated by the signature of the CEO or Director of Studies and a date appearing on the reverse of the master version of the form. The Director of Studies retains master versions of Forms.

2.4.3 Revision status of forms is indicated by version control, with a revision date indicated.

2.4.4 New forms will be issued by the Director of Studies. They will advise all holders to withdraw superseded versions of forms from use.

2.5 DOCUMENT CHANGES

2.5.1 No changes will be made to any Quality Management System document or form without raising an Improvement Request as required in the improvements procedure. Any staff member can request changes to the QMS by using an Improvement Request.

2.5.2 All superseded issues are marked "SUPERSEDED" by the Director of Studies or nominee; however, one superseded copy should be retained as a reference.

2.5.3 Any staff member can request changes to the QMS by using an Improvement Request.

3. REFERENCES

Form: 03 Improvement Request
PROCEDURE 4. RISK MANAGEMENT

1. AIM

1.1 To identify and control the risk associated with the Standards for Registered Training Organisations 2015.

2. PROCESS

2.1.1 A risk identification and assessment of compliance with each of the Standards will be completed once per year, as per internal audit policy.

2.1.2 Each of the standards shall be assessed to identify:

- the associated risk,
- the procedure in place to manage the associated risk, and
- to estimate the likelihood of an incident occurring due to non-conformance with procedures within Building Futures Education Services

2.1.3 Follow steps 1 – 8

1. Using the Standards identify the associated risk and list any compliance threats (Cause of risk eg. poor assessment records).
2. Identify the main risk for the threat that you have listed (possible consequences of the threat if not controlled, e.g. a student will receive an incorrect qualification).
3. Use the Risk Priority Chart to score the likelihood of this happening.
4. Use the Risk Priority Chart to score the consequences.
5. Use the Risk Priority Chart to determine the total score.
6. Identify (tick) which risk should be dealt with first. (First Priority)
7. Identify the most appropriate control method.
8. Transfer the implementation of risk onto an Improvement Request (Form: 03) for tracking and close out.

2.1.4 Improvement requests will be dealt with in accordance with the following Improvement Procedure

3. REFERENCES
PROCEDURE 5. CONTROL OF RECORDS

1. AIM

1.1 To describe how the records system works. To maintain a management system that is responsive to the needs of clients, staff and stakeholders. To continuously improves client services by collecting, analysing and acting on relevant data in a systematic way.

2. PROCESS

2.1 QUALITY RECORDS

2.1.1 Throughout Building Futures Education Services management system (Manuals and Procedures), there are records relating to the services provided and management system that are described in terms of Form names etc. In order to maintain control of such records, the Director of Studies raises a Records List.

2.1.2 Records include:

- Internal audit records,
- Review records,
- Improvement records,
- Employee Training records.
- Employee Induction records
- Validation / moderation records
- Industry consultation records

2.1.3 Records that show conformance of the service include:

- Client/Student Files,
- Client enrolment,
- Training program design and development,
- Training program delivery,
- Assessment results
- Venue Checklists

2.1.4 Client/student records

Client/Student information is stored for thirty years after completion of the agreement or for a longer period at the discretion of the Director of Studies.

All Student information (name, address and any identifier, such as date of birth) and records of assessment, including records of Qualifications and or Statements of Attainment issued, are
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retained for 30 years. Sufficient information to enable reproduction of the Qualification/Statement of Attainment, including the date of issue, and a list of units of competency achieved by the individual is retained. All records are kept securely and confidentiality is safeguarded.

Records relating to training and assessment results, including confidential client information, are held in locked files in the records area of Building Futures Education Services. Electronic records are stored on the computer. No information about any client/student is to be disclosed to any third party without the written consent of the client/student.

2.1.5 Access to records
Participant results will only be released for legal, educational or individual participant, or their authorised client, requirements as necessary.

Clients/Students may access their own personal records by submitting a written request to Building Futures Education Services. Within 14 days of receipt, and after verification that the records are for the individual submitting the written request, records will be made available to the student by the Director of Studies.

Only authorised personnel within Building Futures Education Services may access student records. Trainers and Assessors only have access to records for students for whom they are responsible for either training or conducting assessments. They cannot access any other student records.

The Director of Studies will access student records to ensure records are maintained and are up to date as required (e.g. when entering computer data, and preparing or entering information into files for a student, to issue qualifications or in response to a written request by the student for information).

The Director of Studies and Auditors have access to student records in relation to conducting audits and ensuring records are maintained and stored as required by Building Futures Education Services policies and procedures.

All personnel are required to ensure information is kept confidential and is only accessed in the course of their duties. No information is to be released to any other person without the express written permission of the student.

2.1.6 Student assessment records
The Australian Skills Quality Authority (ASQA) has confirmed the framework that provides registered training organisations with the NSSC’s requirements for retention of student results and assessment records to demonstrate compliance at audit.

In keeping with this framework student records are retained by Building Futures Education Services for 30 years. Individual assessment records are always retained until the period for appeal against assessment has lapsed, and under normal circumstances for a minimum of six (6) months after the completion of the relevant course/program/unit of competency.

After the end of the appeal period, only the assessor’s completed marking guide/criteria/observation checklist including a summary of feedback given to the student, the name of the assessor and the date of assessment for each student is retained for a period of up to six (6) months after the final result for each unit of competency.
Where a contract is held, the student records will be retained for the period specified by within the contract. If no specific period applies then the completed assessment item is to be retained for a period of six (6) months from the completion of the individual units of competency.

Building Futures Education Services is not required to retain samples of completed student assessments nor is it required to retain a master copy of all assessment instruments and the assessor’s marking guide/criteria/observation checklist for any period other than six (6) months unless otherwise specified in any contract.

2.1.7 In the event Building Futures Education Services ceases to operate, the CEO must, within 10 days return its Certificate of Registration to ASQA. In 14 days of ceasing its operations it must access the ASQAnet web site and initiate the withdrawal of registration. The on line registration list 4 key sections:-

1. Applicant details which requires a response to:
   a. Preferred date of effect and rationale
   b. Reasons seeking withdrawal

2. Management of students and records which requires a response to
   a. Summary of current student numbers including students currently enrolled.
   b. A general review of the arrangements made to finalise currently enrolled students
   c. Arrangements with other RTO to help students complete their training
   d. Specific details for current students completing or transferring.

3. Within 30 days of the RTO ceasing to operate it must provide a copy of all VET student records or provide the student records

2.1.8 The CEO and Director of Studies are the only persons authorised to use the ASQAnet online registration / withdrawal capability unless they specifically delegate that task to a responsible person.

2.2 COMPUTER BACKUP

2.2.1 The Building Futures Education Services uses JobReady for the student database. All relevant files are backed up overnight and data is stored off site.

2.2.2 Only authorised personnel can access data stored as part of the backup system. This data is password protected.

3. REFERENCES
PROCEDURE 6.  INTERNAL AUDITING

1.  AIM

1.1  To describe the system for auditing the management system to ensure the ongoing monitoring, compliance and improvement of RTO operations.

2.  PROCESS

2.1  AUDIT PLANNING

2.1.1  Internal audits are performed as shown on the Audit Schedule (Form: 01) unless varied as part of the Review process or when additional audits are called by the CEO / Director of Studies due to the status and importance of the activity. Auditors must ensure all functions are audited at least once per year.

2.1.2  Internal audits are conducted using an uncontrolled copy of the relevant documents as a checklist, or a specific checklist is produced. The CEO will endeavour to ensure audits are conducted by third party and that an individual does not conduct an audit of their own work area.

2.2  PERFORMANCE OF AUDIT

2.2.1  The Auditor conducts the audit using the checklist, and examining the objective evidence ascertains whether the system is operating in accordance with those requirements.

2.2.2  The Auditor records the audit results against the relevant element of the checklist using the following scale and makes an assessment of the potential for non–compliance using high, medium and low risk rating criteria.

2.2.3  Where the Auditor judges that the requirements are medium to high risk, the appropriate reasons are recorded on the checklist. The checklist also indicates what evidence was observed which lead to a low risk finding.

2.2.4  Where an element is not assessed then it is marked as NA and the reason is recorded on the checklist.

2.3  AUDIT REPORTING & FOLLOW UP

2.3.1  All medium to high risk assessment resulting from an audit are documented by the Auditor on an Improvement Request and presented to the CEO for follow up. A copy of the Audit Report (Form: 01A) is considered during the annual Review. It and filed in the audit report file.

2.3.2  The Improvement Request(s) is processed (and followed up) in accordance with the requirements of the Improvement Reporting procedure.
3. REFERENCES

Form: 01   Audit Schedule
Form: 01A  Internal Audit Report
Form: 02   Improvement Log
Form: 03   Improvement Request
Standards for Registered Training Organisations 2015
Risk Assessment tools
PROCEDURE 7. HUMAN RESOURCES – TRAINING AND ASSESSMENT STAFF

1. AIM

1.1.1 To ensure that Building Futures Education Services staff are competent to perform their duties.

2. PROCESS

2.1 To identify the steps which are to be taken for staff selection and recruitment, to ensure all applicants are treated fairly, and that all legislative and award requirements are complied with. This procedure shall apply to all staff selection and recruitment activities conducted by Building Futures Education Services.

Before a new staff member is employed, a review of staffing must be undertaken to ensure the role needs filling, and that the position description is correct. If it is a newly created position, the position description must be created prior to the position being advertised.

AUTHORITY TO EMPLOY
For the appointment of permanent full-time or permanent part-time employees, the CEO shall be consulted for authorisation prior to proceeding with recruitment.

2.2 Prior to a new staff member being appointed the following will take place:

- an interview
- referee check
- verification of qualifications

2.3 TRAINERS AND ASSESSORS MUST MEET THE FOLLOWING REQUIREMENTS:

- hold the TAE40110 Certificate IV in Training and Assessment from the TAE10 Training and Education Training Package or a diploma or higher level qualification in adult education (or demonstrated equivalence1) and have
- vocational competencies at least to the level being delivered and assessed; and
- current industry skills relevant to the training and assessment being provided
- current knowledge and skills in vocational training and learning that informs their training and assessment
- undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment

1 This only applies up to 31/12/2015.
Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

2.4 **PERSONS DELIVERING TRAINING UNDER THE SUPERVISION MUST:**
   
   - Work under the supervision of a trainer with the *TAE40110 Certificate IV in Training and Assessment* or of a person who has demonstrated equivalence of competencies; and
   
   - Hold either (or prior to 1 January 2016 its equivalent):
     - TAESS00007 Enterprise Trainer – Presenting Skill Set or its successor; or
     - TAESS00008 Enterprise Trainer – Mentoring Skill Set or its successor; or
     - TAESS00003 - Enterprise Trainer and Assessor Skill Set or its successor.

   - Has the vocational competencies at least to the level being delivered and assessed; and
   
   - Has the current industry skills directly relevant to the training and assessment being provided: and

   - Does not determine assessment outcomes.

**Note:**

1. Evidence used to demonstrate equivalence of competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development.

2. Supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the *TAE40110 Certificate IV in Training and Assessment* or from a person who has demonstrated equivalence of competencies. The supervising person monitors and is accountable for the training delivery.

2.5 **ASSESSORS WORKING UNDER ASSESSMENT ONLY PATHWAY MUST:**

   - Prior to 1/12/2016, hold as a minimum the *TAESS00001 Assessor Skill Set* or its successor or be able to demonstrate equivalence of competencies; and

   - Be able to demonstrate vocational competencies at least to the level being assessed; and

   - Be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence

Demonstrate current knowledge and skill in assessing against the nominated Training Package in a range of contexts. This may be demonstrated through at least one of the following:

- Familiarity with the competency standards in the Training Package to be used by the learner as a basis of assessment
- Recent planning, conduct and review of assessment and/or workplace training activities
- Participation in moderation/validation processes
- Attendance in professional development activities focused on assessment and/or workplace training
Understanding of the requisite assessor qualifications within the Training Package

Demonstrate the necessary interpersonal and communication skills required in the assessment process. This may be demonstrated through evidence of one or more of the following:

- Attendance in professional development and/or training activities focused on effective communication in assessment and/or workplace training contexts
- Knowledge of language, literacy and numeracy issues in the context of assessment and workplace training
- Recent assessment and/or workplace training activities.

Hold any other qualification as required by the training package against which they will conduct assessment.

A qualification is not sufficient to ensure competence in any particular unit of competency each unit must be assessed in its own right.

Examples:

- An assessor is not necessarily competent because they have higher-level qualifications. Unless they also had relevant industry experience, they would not be considered competent to assess.
- Industry experience becomes more important as the qualification level increases. For example, an assessor assessing against a Certificate II training package could have quite adequate experience after a period in the relevant industries where the requirement for a Cert IV would be to have significant experience at a senior level. To conduct assessment for Front Line management units, the assessor will need significant experience in supervisory or management role whether or not they have qualifications.
- Currency will be a bigger issue in some packages than others. In an industry where change is rapid, such as IT, evidence of currency should be examined regularly.

3. VOCATIONAL COMPETENCY

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification.

A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to any guidance provided in the relevant Training Package or Accredited Course.

Training Packages or Accredited Courses include advice specific to the industry related to the vocational competencies of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing against the Training Package or Accredited Course. The Training Package or Accredited Course may also provide specific industry advice outlining what it sees as acceptable forms of evidence to demonstrate the maintenance of currency of vocational competency.
4. **EQUIVALENCE**

Evidence used to demonstrate equivalence of competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development. Equivalency is most commonly demonstrated by an individual through mapping his/her past training, experience and ongoing professional development against the unit of competency.

Recognition is at the discretion of the employing RTO and is subject to a SNR Standards audit.

5. **INDUCTION**

All new staff members are required to complete an Induction. This process will acquaint new staff members with the rules of Building Futures Education Services.

6. **PROFESSIONAL DEVELOPMENT**

All staff are encouraged to make entries on an Improvement Request Form should a professional development training session be required.

It is the responsibility of individual Trainers and Assessors to maintain their competencies, and or professional development and identify any training needs that may be encountered.

When an individual identifies a training need they should complete an Improvement Request Form, discuss the matter with the CEO, or bring the matter to the attention of Management during a performance appraisal or at a Trainer/Assessor meeting.

The CEO, together with the person concerned, will develop an individual training plan appropriate to satisfying those training needs.

Trainers and Assessors will attend trainer/assessor meetings on a regular basis to discuss training methods, evaluation of training, moderation of assessment, and professional development requirements to assist Building Futures Education Services to maintain the quality standards for our assessors.

(SRTO 2015: Standard 1.17, 1.20, 1.21, 1.23, 1.24)

7. **REFERENCES**

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PROCEDURE 8. MEETINGS & SURVEYS

1. AIM

1.1 To describe how meetings are managed and to establish procedures for continuously improving client services by collecting, analysing and acting on relevant data.

2. PROCESS

2.1 MEETINGS

2.1.1 Meetings are held with between CEOs and other personnel to discuss organisational issues. Minutes of meeting are taken and distributed by the nominated person.

Frequency of meetings
2.1.2 Meetings usually occur on the first Monday of each month. The CEO and other relevant personnel discuss any current issues, standards for RTOs updates, progress on previously raised issues etc. Minutes of the meeting are taken and distributed to all attendees.

2.2 SURVEYS / EVALUATION

2.2.1 Information relating to the level of satisfaction of customers with the services provided by Building Futures Education Services is gathered by routine reporting from the customers. Additionally, RTO personnel make entries into the Improvement Logs where any feedback is worthy of further consideration.

Student feedback/evaluations
2.2.2 All course participants are provided with an evaluation form as per the Quality Indicator requirements (Form: 04 Learner Questionnaire) to complete and submit at the end of training and assessment.

2.2.3 The CEO may nominate to distribute a Post course survey (Form: 05) to students who complete qualifications. The survey can be sent to graduates after training has been completed and sufficient time has elapsed (not less than 6 months) after completion of training.

Employer feedback
2.2.4 When an organisation has paid for training for their employee(s), and as per the Quality Indicator requirements, an Employer Questionnaire (Form: 11) is sent to the Employer, on completion of all training, to gather customer feedback and comments.
3. REPORTING TO ASQA

3.1 DATA

3.1.1 Data to support the quality indicators will be submitted to the ASQA by the due date as required. Building Futures Education Services will collect student feedback using the Learner Questionnaire, employer feedback using the Employer Questionnaire and will provide details of student enrolments/completions as required.

3.1.2 Data will be submitted in the format prescribed by the Quality Indicator Resource Package using the approved SMART Resources and Competency Completion On-line System if available. (Subject to review by the Regulator).

Responsible officer

3.1.3 The CEO (or delegate) collates information from the responses and prepares reports for submission to the Department and for Management Review meeting. The CEO reviews the responses and raises an Improvement Request where further action is required.

All data collected is analysed and acted upon to ensure training and assessment, and customer service to clients, is continuously improved.

The CEO will provide an annual declaration regarding compliance with the 2015 Standards and states it has met the requirements of the Standards for all AQF certification documentation it has issued in the past 12 months.

4. REFERENCES

Form: 05 Post course Survey
Form: 04 Learner Questionnaire
Form: 11 Employer Questionnaire
PROCEDURE 9.  COURSE ADMISSION & ENROLMENT

5.  AIM

1.1 To establish and maintain a system to provide effective client enrolment services. Building Futures Education Services adheres to principles of access and equity and to maximise outcomes for our clients. Before clients enrol with Building Futures Education Services, information will be provided to them about the training, assessment and support services to be provided, and about their rights and obligations.

Note: UNIQUE STUDENT IDENTIFIER.

All students studying nationally recognised training in Australia from 1 January 2015, will be required to have a Unique Student Identifier (USI). A USI is an account (or reference number) made up of numbers and letters. The USI will allow students online access to their training records and results (transcript) through their online USI account.

The introduction of the USI will link with the new VET data collection and reporting requirements. The USI is now a mandatory data field for reporting nationally recognised training.

The RTO must have a valid (verified) USI for the students before it can issue a student with a qualification or statement of attainment.

This applies to:

- New students’
- Pre-enrolled students
- Continuing students
- School students completing nationally recognised training

RTO’s will not be required to apply for USIs on behalf of its students, however this service is available through the USI Registry and the RTO should inform students that at the time they apply for the USI they can grant permission to allow the RTO to create the USI on their behalf.

Steps to Collect and Verify

Step 1 - Collect the USI

Building Futures Education Services will collect the student’s name and date of birth as part of the new Total VET Activity Reporting requirements during enrolment collecting

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

Important: The details the student gives you MUST match the details shown on the form of ID used to create a USI.
Step 2 - Verify the USI

To verify that this information is correct the RTO will either
1. Enter this information into the USI website
or
2. Enter this information into your USI integrated software.

Note: both methods of verifying USI’s indicated above can achieve the same result.

Step 3 - Report the USI

When the USI is verified, use the USI when reporting to the National Data Collection.


Note: If the student’s USI could not be verified, you will receive a ‘USI invalid’ and the first name, last name and date of birth will be a ‘no match’. If the USI is valid the system checks the first name, last name and date of birth and presents with ‘match’ or ‘no match. You will then need to check with the student that the information they provided is correct and an exact match to the details they used from their form of ID when creating their USI.

6. PROCESS

2.1 All applicants for enrolment are required to satisfy Building Futures Education Services that they meet all prerequisite requirements, such as qualification and/or experience, as outlined in the relevant syllabus or Training Package / Qualification requirements prior to acceptance for admission to courses. This includes the collection of the students USI.

For the procedures for handling course inquiries and enrolments refer to Section 3 below or Procedure 17

FEE FOR SERVICE

2.1 A Course Enquiry Letter (Form: 12) shall be sent to all potential students seeking information about the training provided by Building Futures Education Services on a fee for service basis.

Student information - handbook

2.1 On receipt of a course enquiry, the staff member handling the enquiry shall provide, the information as described in clause 3 below.

2.4 All potential course participants are encouraged to review the structure of the course to ensure they understand the performance requirements prior to enrolment.

2.5 An enrolment form must be completed and returned to Building Futures Education Services with any required fees.

2.6 On receipt of the completed enrolment form, student details are validated and entered into the student database. This registration in the student database shall also provide the catalyst for the generation of a receipt.

2.7 Prior to commencement of the course, the Director of Studies shall be responsible for ensuring any support, equipment, or materials, for students with a special need or a Language, Literacy or
Policies and Procedures Manual

Numeracy problems are available to enable the student to commence and complete their selected course of study, with Building Futures Education Services.

2.8 The student will be asked to sign the student handbook “agreement to comply” as proof of having received a Student Handbook. This form will be placed in the student’s file.

2.9 During the application / enrolment process personal details of students are recorded (i.e. name and address) on an internal database. All personal details are kept confidential.

2.10 No details provided to Building Futures Education Services are sold or otherwise released to a mailing list or other organisations without the express permission of the individual concerned, in writing.

2.11 All Student Files (Hard copies) are filed and a Student File Check List is placed in the front of the file. This form is progressively completed as the training and assessment is completed and records are generated. When the form is completed all records marked on the form should be contained within the file and the file can then be closed. Only authorised personnel at Building Futures Education Services can access client records.

3 Inquiries and enrolments

Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
- course overview including entry requirements, delivery and assessment options
- the training and assessment, and related educational and support services the RTO will provide to the learner including the:
  - estimated duration;
  - expected locations at which it will be provided;
  - expected modes of delivery;
  - name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO’s behalf; and
  - any work placement arrangements
- access to complaints & appeals
- any debt that may be incurred as a result of VET FEE Help
- any requirements to enter and successfully complete a course as specified by Building Futures Education Services
- information about the implications arising from Government training entitlements and subsidies
- course fees and payment terms (including deposits and refunds

For fee for service students, where appropriate a **Student Handbook will be provided at the time of enrolment**.

The Student Handbook will include all relevant information including:

- Access, Equity and Diversity Policy
- Refund Policy
- Recognition of Prior Learning Policy
- National Recognition
- Complaint & Appeal Procedure
- Anti-Discrimination and Sexual Harassment Policy
- Health and Safety procedures
- Student Support Services Policy
- Student Rules / Discipline
- Course overview including entry requirements, delivery and assessment options,
- Course fees
- Cooling off period
- Training guarantee

The Student Handbook will also contain information on:

- Units of Competency
- Assessment Criteria, and
- Vocational Outcomes

The Student Handbook **must be provided in written format and the content explained to the student.** Once the explanation has been provided and the student understands the content they are to sign the student handbook “agreement to comply” form at the back of the student handbook. This form is placed in the Student File by the CEO or nominee.

(SRTO 2015 standards 4 and 5)

### 4 REFERENCES

| Form: 13 | Induction Form |
| Form: 14 | Enrolment Form |
| Form: 12 | Course Enquiry - Letter |
PROCEDURE 10. TRAINING / COURSE DELIVERY

1. AIM

1.1 To ensure that Training/Course delivery standards are maintained and quality training services are provided to all clients on behalf of Building Futures Education Services.

2. PROCESS

Management responsibilities

2.1 The CEO will notify ASQA of its intention to deliver courses interstate using the Notification of Change of Building Futures Education Services Details.

2.2 Should Building Futures Education Services establish a permanent office in any other state, the CEO will notify the ASQA using the form Notification of Material Change or Event.

Trainer responsibilities

2.3 All trainers providing training on behalf of Building Futures Education Services are to be familiar with, and committed to, the policies and procedures outlined in this manual.

2.4 The requirements of Building Futures Education Services Code of Practice and quality policy and procedures are not to be varied without prior appropriate authorisation by the organisation. This procedure applies to all training/course delivery conducted by or on behalf of Building Futures Education Services.

Trainer professional development

2.5 It is the responsibility of the individual trainer to maintain their competencies, and or professional development and identify any training needs that may be encountered.

– When an individual identifies a training need they should discuss the matter with the CEO or bring the matter to the attention of management at a training/assessment meeting.

– All trainers are encouraged to make entries in the Improvement Log (From: 02) should a professional development training session be required.

– On completion of a professional development activity, details of the activity or the resulting certificate of attendance must be provided to the CEO for recording.

2.6 All employees are expected to perform their work tasks in a safe manner and to observe the rules, procedures and established work practices made known to them. This includes rules and procedures of our clients and suppliers when working at their premises or in areas defined as being under their jurisdiction. Health and safety at the workplace is an essential part of everyone’s job.

2.7 Trainers must ensure they:

Organise the classroom / training room to ensure WH&S legislative requirements are fulfilled, including
 Policies and Procedures Manual

- implementing and monitoring WH&S policies and procedures in the classroom/workshops;
- identifying hazards and assessing the WH&S risks in the classroom/workshops;
- eliminating hazards and controlling WH&S risks in the classroom/workshops;
- ensuring that they possess the skills and knowledge sufficient to teach/assess the WH&S component of the Training Package concerned;
- ensuring that trainees are instructed and assessed in accordance with the WH&S requirements of the relevant Training Package and WH&S legislation.

2.8 It is the responsibility of the trainer, in collaboration with workplace trainers/supervisors, to ensure that the students study and work in environments that fulfil WH&S legislation, and have suitable opportunities to learn all that they need to know and do to work and study safely.

3 INDUCTION

3.1 All trainers/assessors are required to participate in an induction session. Upon completion of the induction the trainer signs and dates the Staff Induction Record (Form: 15) as evidence of understanding the policies and procedures contained within Building Futures Education Services management system. They are provided with an Staff Handbook, which contains copies of all relevant policies and procedures. Trainers must abide by these policies and procedures at all times.

4 TRAINING & ASSESSMENT MODERATION MEETINGS

4.1 Trainers will attend training/assessment moderation meetings at Building Futures Education Services on a regular basis to discuss training/assessment methods, evaluation of training/assessment, and professional development to assist Building Futures Education Services to maintain the quality standards of our trainers.

4.2 All data collected from Building Futures Education Services clients is analysing and acted upon to ensure the service to clients is continuously improved. (SRTO 2015: Standard 6)

5. APPOINTMENT OF TRAINERS / ASSESSORS

5.1 Building Futures Education Services, on acceptance of a contract tender or job for in-house training/assessment or prior to running any course/workshop or short course, shall assign a suitably qualified Trainer/Assessor to the course.

5.2 If no suitably qualified Trainer/Assessor is on staff or in the employ of Building Futures Education Services a sub-contractor or supplier shall be contracted for the specified course.

5.3 An assessment of the requirements of the trainer/assessor to be appointed shall include an examination of the Syllabus Document, Training Package, Industry Requirements, quality and contractual requirements to be satisfied by the trainer/assessor.

5.4 Building Futures Education Services will identify trainers/assessors employed by them, or potential sub-contractor/suppliers that are capable of fulfilling the requirements.
5.5 The CEO will complete the Staff Profile and create a trainer qualifications matrix if no information compiled as yet for the particular trainer/assessor / sub-contractor or supplier.

5.6 The Trainer/Assessor shall be supplied a copy of the relevant Training Package, Competency Standards and/or Syllabus Document (if applicable), and any other training and/or assessment material for use during the training and/or assessment for a course.

5.7 The trainer/assessor shall also be supplied a copy of their Position Description contract, and a signed copy shall be filed in the trainer/assessor File.

5.8 The trainer shall also be supplied with relevant number of Learner Questionnaire Forms (Form: 04) for the number of participants of the course and shall ensure these are completed by the participants after the training is completed and prior to the closing of the training session.

5.9 The performance of the trainer will be monitored by the CEO and Director of Studies, and feedback from clients will be used in the performance review process.

- Attendance at moderation meetings and a demonstrated commitment to the continued improvement of services provided by Building Futures Education Services will also be considered.
- Where trainers are contracted to undertake a specific task, a performance review will be conducted on completion of the contract.
- Where trainers are employed on a full-time basis, a performance review will be conducted after the three month ‘trial period’, and then on an annual basis.

6. DELIVERY OF TRAINING

6.1 All trainers will ensure they train to the relevant standard as advised by Building Futures Education Services.

6.2 All training conducted will be carried out in a professional manner and in compliance with all Building Futures Education Services quality procedures, and regulatory requirements.

6.3 A Class Attendance Roll (Form: 16) will be completed for any classroom training. This roll will be marked for all students in attendance and will be returned to Building Futures Education Services with completed Learner Questionnaire Forms.

6.4 On completion of a training session the trainer will provide all participants with a Learner Questionnaire Form: 04. These forms should be completed by the participants and collected by the trainer then returned to Building Futures Education Services within seven (7) days of completion of training.

6.5 Should a student exit the course prior to completion, a Post course survey Form: 05 shall be sent to the student for completion and return to Building Futures Education Services.

7. STUDENTS WITH SPECIAL NEEDS

7.1 Competency Based Training and Assessment details shall be provided to the students prior to commencing any training.
7.2 Person(s) participating in training may have **special needs**. Where these needs are identified through the enrolment process the trainer will explore the options available to them to support the learner through the training program. Candidates with special needs may include those with language, literacy and or numeracy problems, disabilities, and anxious or inexperienced candidates.

7.3 All trainers will refer to **Procedure 17 Student Information** for information on the availability of support services for learners with special needs. Where practicable support services will be provided to accommodate the needs of the learner.

8. **EVIDENCE**

A completed Induction Training Record, Staff Profile, Copy of the signed Position Description contract in the Trainer/Assessor file, completed trainer qualifications matrix with copies of supporting documentation in the Trainer/Assessor file.

9. **TEACH OUT AND TRANSITION**

9.1 If a training package qualification or accredited course on the scope has been superseded then a transition application for the new training package will be submitted to ASQA.

9.2 Where suitable, learners will be transitioned to the new qualification, course or unit of competency according to the scope. In the case where a student is disadvantaged by the supersession, Building Futures Education Services will follow ASQAs ‘teach-out’ policy. Teach-out will allow for 12 months to complete the qualification.

9.3 In the case of a new learner, the learner will be enrolled directly into the new qualification or course.

10. **REFERENCES – Forms**

Form: 15  Induction Training Record
Form: 16  Class attendance roll
Form: 08  Position Description contract
Form: 04  Learner Questionnaire
Form: 05  Post course survey
Procedure 17  Student Information
PROCEDURE 11. ASSESSMENT

1. AIM

1.1 To establish and maintain a system which details the principles of competency based assessment to be applied within assessment systems used by Building Futures Education Services. The application of these principles will result in the valid, reliable and fair assessment of persons enrolled in training programs and will ensure that all assessments are carried out in a manner that is fair to both Building Futures Education Services and the student while satisfying all VET requirements.

2. PROCESS

2.1 This procedure applies to all assessment activities (including RPL) carried out with respect to all training programs delivered, whether directly by, or on our behalf.

2.2 All assessments shall be carried out by a qualified assessor as determined by the Standards for Registered Training Organisations 2015 and as described in the relevant Training Package.

3. ASSESSMENT DIRECTIVES

3.1 Assessment conducted by Building Futures Education Services will observe the following national assessment principles:

Validity - Assessment methods will be valid, that is, they will assess what they claim to assess;

Reliability - Assessment procedures must be reliable, that is, they must result in consistent interpretation of evidence from the learner and from context to context;

Fairness - Assessment procedures will be fair, this is they will not disadvantage particular learners.

Assessment procedures will:
- be equitable and culturally appropriate;
- involve procedures in which criteria for judging performance are made clear to students;
- employ a participatory approach; and
- provide for students to undertake assessments at appropriate times;

Flexibility - Assessment procedures will be flexible, that is, they should involve a variety of methods that depend on the circumstances surrounding the assessment;

3.2 Recognition of Prior Learning - Individuals seeking RPL will be able to access an RPL process as described in Building Futures Education Services supporting Recognition of Prior Learning Procedures.
3.3 **Cost Effectiveness** - Assessment conducted by or on behalf of Building Futures Education Services will be completed in a cost effective manner. Our assessors/trainers are responsible for determining issues with respect to cost effectiveness such as the timing and frequency of assessment. Decision made in this regard are to be made clear to students before they commence their training programs; and

3.4 **Comparability** - The review of assessment systems and procedures and the outcomes of assessment must be undertaken at regular periods in order to ensure that they are functioning appropriately. The review process is essential in maintaining comparability of assessment. The comparability of assessment will be addressed within the quality review procedures. Building Futures Education Services will utilise a network of trainers to ensure comparability of assessment at the delivery level, occurs.

3.5 **Design of Assessment Tools**

New assessment tools will normally be required for the following reasons:

- To support an addition to scope
- Result of an Assessment moderation meeting decision to change/update an existing assessment tool
- Changes to a National Training Package necessitating changes to an assessment tool.

The following will be taken into consideration when designing assessment tools to be used by Building Futures Education Services.

- The Performance Criteria and Evidence Guide in the Competency standard - The critical aspects of evidence in the evidence guide of the unit of competency and the required knowledge and skills, consistency of performance and context of assessment requirements.
- The requirement for workplace application - Implicit in Competency Standards is the notion that a person is competent once the requisite skills, knowledge and application can be demonstrated. Some units of competency specify workplace application. Attainment of these units cannot be achieved unless the requisite workplace application can be demonstrated and verified by and assessor. In these instances the assessment tools will incorporate the workplace application.
- Integrated assessment.-To ensure the assessment is not narrowly based on tasks but embraces all aspects of workplace performance an integrated, holistic approach is recommended. The assessment procedure should be designed to assess an entire unit of competency, or a combination of units, to ensure that all dimensions of competency are covered. Integrated approach seeks to combine knowledge, understanding, problem solving, technical skills, and applications into the assessment process.
- The Foundation skills include language, literacy, numeracy and employment skills incorporated into the performance criteria that are required for competent performance.
- The purpose of the assessment.
- The appropriateness of the assessment tool to the context, the assessor, and the person being assessed.
3.6 Review of Assessment

Assessment tools will be reviewed at Assessor meetings, these meetings will be held at least once per year.

Assessment review and moderation will involve reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments made be a range of assessors against the same competency standards at least once per year.

All data collected from Building Futures Education Services clients is analysed and acted upon to ensure the service to clients is continuously improved.

3.7 Procedure for Reviewing, Comparing, and Evaluating Assessment Tools and Evidence.

Building Futures Education Services will use Moderation/validation meetings as the process for ensuring consistency in assessment.

At these meetings the following will be identified:

- Specific criteria that are identified as difficult to evidence
- Concerns that assessors may have about appropriateness of evidence for any criteria.
- Any uncertainties that assessors may have about currency and sufficiency
- Any omissions from the Building Futures Education Services Assessment Tool Bank

Assessors will examine the assessments carried out by other assessors for comparison against their own assessments using that assessment tool.

When assessment tools are revised, or new assessment tools are created, the draft assessment tool will also be circulated to all Building Futures Education Services assessors in that discipline for review and comment before issue.

(SRTO 2015: Standard 6)
3.8 Checklist for Validation of Assessment Tools

3.8.1 Quality Assurance

The tool shall address:
- Addressing the entire unit of competency
- Relevant and realistic (face validity)
- Satisfying content validity (mapping)
- Technically accurate
- Appropriately provide for
  - Language & terminology
  - Literacy & numeracy requirements
  - The evidence criteria used to judge performance
  - The range and conditions for the assessment
  - The need for reasonable adjustment
  - The sufficient collection of evidence across time and context.
- Referencing industry consultation including:
  - Benchmarks for competent and not yet competent levels
  - Examples of assessment task/activities
- Conforming to the principles of validity, reliability, fairness and flexibility?

3.8.2 Quality Control

Is there a process to:-
- Identify benchmark samples of ‘borderline cases’.
- Undertake Independent moderation and review

3.8.3 Quality Review

Is there a process
- To ensure the independent validation of content and face validity of the assessment tool.
- That encourages staff/student reviews/feedback
- That determines whether the validation process is systematic.

Once a draft assessment tool has been approved it will be added to the Assessment Tool Bank Register, and version controlled in accordance with the control of documents and data procedure.

3.9 Participation in a Validation Network

The roles and responsibilities of Building Futures Education Services within a network will depend on a number of circumstances including the:

- Purpose of the validation network;
- Responsibility for the coordination of the network (e.g., government, industry, professional association or a group of local RTOs);
- Level of authority of the network to implement actions arising from the process; and
- Funding arrangements.
If Building Futures Education Services is involved in a validation network, in which membership was voluntary and the main aim was to improve practice and promote collegiality among its members, then Building Futures Education Services may be responsible for:

- Attending and participating in regular validation meetings;
- Providing samples of assessment tools for purposes of validation;
- Ensuring confidentiality and intellectual property ownership of tools and candidate evidence submitted;
- Disseminating the recommendations arising from the validation meeting to the relevant tool developers within one’s own RTO;
- Monitoring whether the actions arising from the validation meeting have been acted upon within their own RTO, where appropriate;
- Adhering to the Principles underpinning the Code of Professional Conduct for Validation and Moderation.

Under such circumstances, it would be the responsibility of Building Futures Education Services to determine whether or not to implement any changes recommended from the network. However, if the network had an authoritative power to monitor the recommendations arising from the meeting, then there would be an additional level of responsibility for the individual RTOs to not only implement the recommended changes, but also to document and report such changes back to the network within the given timeframes.

3.10 Independent / systematic validation

Systematic validation of Building Futures Education Services’ assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- Current knowledge and skills in vocational teaching and learning; and
- The training and assessment qualification or assessor skill set at least to the level being validated.

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

Every six months Building Futures Education Services conducts a validation workshop and will target 50% completion of all units of competency on its scope by 01/01/2018 and 100% completion by 01/01/2020.

At the validation workshops:

- A random sample of assessments completed over the past six months is reviewed.
- The assessments are reviewed by one or more assessors who were not involved in the training or assessment for those courses.
- Validators use a validation checklist and note their decision as either ‘confirmed’ or ‘not confirmed’.
- The validation will include system, tools, processes and outcomes
- Where judgements are not confirmed by the validator, reasons are recorded in the checklist.
- Any assessment judgements ‘not confirmed’ are reviewed within 30 days to ensure any required improvements are made to assessment processes or materials.

These workshops also include sessions to examine the assessment system itself, to ensure it has produced graduates with the required skills and knowledge. These sessions may involve feedback from industry stakeholders as to whether the assessment system has produced suitable graduates.

3.11 Validation of student assessments

A statistically reliable sample of all student assessments will be moderated by an independent qualified person to ensure the assessment outcomes are valid.

In the event that an assessment is found to be invalid, it will be referred to the assessor in the first instance for review and moderation. If there is no mutual agreement the RTO Manager is to intervene and provide appropriate direction.

4 STUDENT INFORMATION ON ASSESSMENT

4.1 Competency Based Training and Assessment details shall be provided to the students prior to commencing any training.

4.2 Person(s) being assessed may have special needs; reasonable adjustments may need to be made in the assessment process. Candidates with special needs may include those with language, literacy and or numeracy problems, disabilities, and anxious or inexperienced candidates.

4.3 All trainers will refer any of the above students to the Director of Studies for information on the availability of support services for learners with special needs. Where practicable support services will be provided to accommodate the needs of the learner.

4.4 All assessments shall be conducted in accordance with the Competency Standards for Assessment whether conducted on-line or face-to-face.

4.5 The assessor must oversee all assessments to:
- provide students with the assessment;
- explain the assessment;
- supervise the assessment (unless a Trainee on a Traineeship in which case this may be carried out by a Work Supervisor).
- sign any competencies achieved and report to administration.

4.6 Any assessments carried out for RPL must also be carried out by a Workplace Assessor, reviewed / reported on by the assessor who shall in turn advise administration.
4.7 Any student that does not achieve competency on his/her first attempt at an assessment will be thoroughly debriefed by the assessor – this may be in writing. Where required the debriefing will identify opportunities for further training to address the area(s) on non-competence. The assessor will also clearly identify the part(s) of the assessment that need to be attempted again. **All students have the opportunity to be re-assessed**, without incurring any additional fees.

5 **ASSESSEOR INFORMATION**

5.1 All assessors conducting assessment on behalf of Building Futures Education Services are to be familiar with, and committed to, the policies and procedures outlined in this manual.

5.2 The requirements of Building Futures Education Services policies and procedures are not to be varied without prior appropriate authorisation by the organisation. This procedure applies to all assessments conducted by, or on behalf of, Building Futures Education Services.

5.3 **Assessor professional development**

   It is the **responsibility of the individual assessor to maintain their competencies, and or professional development** and identify any training needs that may have.
   - When an individual identifies a training need they should discuss the matter with the CEO or bring the matter to the attention of management at a training/assessment meeting.
   - All trainers are encouraged to make entries in the Improvement Log (From: 02) should a professional development training session be required.
   - On completion of a professional development activity, details of the activity or the resulting certificate of attendance must be provided to the CEO for recording.

5.4 All employees are expected to perform their work tasks in a safe manner and to observe the rules, procedures and established work practices made known to them. This includes rules and procedures of our clients and suppliers when working at their premises or in areas defined as being under their jurisdiction. Health and safety at the workplace is an essential part of everyone’s job.

5.5 Assessors must ensure they:

   Organise the assessment to ensure WH&S legislative requirements are fulfilled, including:
   - implementing and monitoring WH&S policies and procedures in the classroom;
   - identifying hazards and assessing the WH&S risks in the classroom;
   - eliminating hazards and controlling WH&S risks in the classroom;
   - ensuring that they possess the skills and knowledge sufficient to assess the WH&S component of the Training Package concerned;
   - ensure that trainees are assessed in accordance with the WH&S requirements of the relevant Training Package and WH&S legislation.

5.6 It is the responsibility of the assessor, in collaboration with workplace trainers/supervisors, to ensure that the students are assessed in environments that fulfil WH&S legislation, and have suitable opportunities to work and study safely.
6 INDUCTION

6.1 Upon completion of ‘induction training’ the assessor signs and dates the Induction Record (Form: 15) as evidence of understanding the policies and procedures contained within the management system. They are provided with a Staff Handbook, which contains copies of all relevant policies and procedures. Assessors must abide by these policies and procedures at all times.

7. ASSESSMENT MODERATION MEETINGS

7.1 Assessors will attend assessor meetings at Building Futures Education Services on a regular basis to discuss assessment methods, evaluation of assessment, and professional development to assist Building Futures Education Services to maintain the quality standards for our assessors.

7.2 All data collected from Building Futures Education Services clients is analysed and acted upon to ensure the service to clients is continuously improved. (SRTO 2015: Standard 6)

8. APPOINTMENT OF ASSESSORS

8.1 Building Futures Education Services on acceptance of a Contract, Tender or job for ‘in-house’ assessment, shall assign a suitably qualified Assessor to the job.

8.2 If no suitably qualified Assessor is on staff or in the employ of Building Futures Education Services, a Sub-Contractor or Supplier shall be contracted for the specified assessment.

8.3 An assessment of the requirements of the Assessor to be appointed shall include an examination of the Syllabus Document or Training Package, industry requirements, Quality assurance and contractual requirements to be satisfied by the Assessor.

8.4 Building Futures Education Services will identify Assessors employed by them, or potential sub-contractor/suppliers, who are capable of fulfilling the requirements.

8.5 The CEO will complete the Staff Profile and trainer/assessor qualifications matrix if no information compiled has previously been compiled for the particular assessor / sub-contractor or supplier.

8.6 On selection of a suitably qualified Assessor for a specific in-house or external assessment to be conducted by Building Futures Education Services, an induction process will be completed.

8.7 The Assessor shall be supplied a “Controlled” copy of the relevant Syllabus Document (if applicable)/ Training Package, Competency Standards, and any other assessment tools or material to be supplied by Building Futures Education Services for use during the assessment. These materials and documents shall be noted on the Allocation Form (Form: 024A).

8.8 The Assessor shall also be supplied a copy of their Position Description contract, and a signed copy shall be filed.
8.9 The performance of the assessor will be monitored by the CEO and feedback from clients will be used in the performance review process.

- Attendance at moderation meetings and a demonstrated commitment to the continued improvement of services provided by Building Futures Education Services will also be considered.

- Where an assessor is contracted to undertake a specific task, a performance review will be conducted on completion of the contract.

- Where assessors are employed on a full-time basis, a performance review will be conducted after the three month ‘trial period’, and then on an annual basis.

9. **CONDUCTING ASSESSMENT**

9.1 All assessments shall be conducted in accordance with the Competency Standards for Assessment.

9.2 The assessor must oversee all assessments to:

- Provide students with the assessment;
- explain the assessment;
- supervise the assessment;
- Sign any Competencies achieved and report to administration.

9.3 Any assessments carried out for RPL must also be carried out by a Workplace Assessor, reviewed / reported on by the assessor who shall in turn advise administration.

9.4 All assessors conducting assessment on behalf of Building Futures Education Services are to be familiar with, and committed to, the policies and procedures outlined in the quality manual.

9.5 All Assessors will ensure they assess to the relevant standard as advised by Building Futures Education Services.

9.6 All assessments conducted will be carried out in a professional manner and in compliance with all Building Futures Education Services, and regulatory requirements.

9.7 A competency summary record sheet will be completed for each assessment. This form is to be signed by the person being assessed and the assessor on the day the assessment is conducted or as soon as results are known and advised to the student.

9.8 Any student that does not achieve competency on his/her first attempt at an assessment will be thoroughly debriefed by the assessor – this may be in writing. Where required the debriefing will identify opportunities for further training to address the area(s) on non-competence. The assessor will also clearly identify the part(s) of the assessment that need to be attempted again. All students have the opportunity to be re-assessed, without incurring any additional fees.

10. **ASSESSMENT RECORDS**
10.1 Assessment records are a permanent account of achievement of performance and all records relating to courses conducted by Building Futures Education Services are maintained in accordance with this procedure.

10.2 Building Futures Education Services uses a simple and user-friendly system for recording evidence. Assessors complete all required course assessment documents for the conduct of student assessments, as completed throughout their study program. The student’s records are updated as soon as practical after completion of assessment to ensure up to date information is available on participants and authorised clients on request.

Access to assessment records

10.3 The Training and Employment Recognition Council has approved a framework that provides registered training organisations with the Council’s requirements for retention of student results and assessment records to demonstrate compliance at audit. In keeping with this framework assessment results are retained by Building Futures Education Services for 30 years. Individual assessment records are always retained until the period for appeal against assessment has lapsed, and under normal circumstances for a minimum of twelve months after the completion of the relevant course. Student results will only be released for legal or educational requirements. Results may be released to the individual student, or their authorised client, after a written request has been received from the student, the authenticity of the request verified, and approved by the CEO.

Student access to records

10.4 Clients/Students may access their own personal records by submitting a written request to Building Futures Education Services within 14 days of receipt, and after verification that the records are for the individual submitting the written request, records will be made available to the student by the CEO.

10.5 Only authorised personnel at Building Futures Education Services can access client records.

11. RESULTS OF ASSESSMENT

11.1 Results of competencies achieved and completed assessment activities shall be filed in the student file marked with their name for identification and traceability.

11.2 All Statements of Attainment / Qualifications shall be prepared by the CEO and issued by the CEO.

12. MODIFICATION TO ASSESSMENT

12.1 All assessors will refer to Procedure 17 Student Information for information on the availability of support services for learners with special needs. Where practicable, support services will be provided to accommodate the needs of the learner during assessment.

13. EVIDENCE

13.1 Completed assessment activities shall be filed in the student file.
13.2 A completed Induction Training Record, Educational Staff Profile, Copy of the signed Position Description contract in the Assessor File, Completed Qualifications Matrix with copies of supporting documentation in the Assessor file.

13.4 A completed copy of the Statement of Results shall be retained in the student file.

(SRTO 2015: Standard 1)

14. REFERENCES

Form: 15 Induction Training Record
Form: 08 Position Description contract
Procedure 17 Student Information
Assessor Guide Validation & Moderation
Foundation skills in VET Products for 21st Century
PROCEDURE 12. EVALUATION OF RTO SERVICES

1. AIM

The aim of this procedure is to ensure that all services provided by Building Futures Education Services are evaluated for suitability, effectiveness and compliance and to enable us to continuously improve the services we offer. All data collected is analysed and acted upon to ensure the service to clients is continuously improved.

2. PROCESS

2.1 Evaluations are conducted for services as listed in each of the relevant procedures.

2.2 Each group of evaluations is to be collated every three months by Administration, unless otherwise stated, and a summary report of the information gathered is to be prepared for review. These evaluations include:

- Learner Questionnaire
- Employer Questionnaire
- Assessment feedback
- Post course Survey
- Improvement Logs
- Improvement Requests

2.3 The Summary Report from Assessment Evaluations is to also be reported to the Director of Studies.

2.4 The Summary Report from Learner Questionnaires (Learner Questionnaire and Data Report), including feedback on client services via the Employer Questionnaire, is to be presented to the Trainer/Assessor Moderation Meetings at least twice per year.

2.5 All evaluation summary results will be used by Management in the annual review process.

3. REFERENCE

<table>
<thead>
<tr>
<th>Form</th>
<th>Description</th>
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<tr>
<td>05</td>
<td>Post course Survey</td>
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<td>11</td>
<td>Employer Questionnaire</td>
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<td>04</td>
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<td>16</td>
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<td>03</td>
<td>Improvement Request</td>
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<td>02</td>
<td>Improvement Log</td>
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PROCEDURE 13. FACILITIES

1. **AIM**

1.1 To review the suitability of facilities for use by Building Futures Education Services.

2. **PROCESS**

2.1 All venues, training areas, resource areas etc. must be adequate in terms of safety and comfort to maximise learning opportunities. Building Futures Education Services will inspect all premises prior to training to ensure the physical environment is conducive to learning and students’ well-being, reflects workplace practice, satisfies WH&S regulations and requirements, compliance standards and advisory standards, that they satisfy Local Council requirements and address access and equity issues.

3. **CUSTOMER SUPPLIED VENUE**

3.1 This procedure shall be applied when a client supplies any venue for in-house training. It applies to all venues, received from a customer for incorporation into services or training to in turn be supplied to that customer.

Prior to accepting a venue supplied by a client for training the following activities shall be carried out:

- Whenever possible inspect the premises to ensure the physical environment is conducive to learning and students’ well-being, reflects workplace practice, satisfies WH&S regulations and requirements, compliance standards and advisory standards, that they satisfy Local Council requirements and address access and equity issues.

- All venues, training areas, resource areas etc. must be adequate in terms of safety and comfort to maximise learning opportunities.

- Physical Resources must be in accordance with the requirements of the Training Package / course document, consistent with industry standards and in adequate supply for the number of trainees.

- Resources must cover the range and level of skills development required to achieve the qualification, consider issues of quality and quantity to allow for repetitive practice, be comparable to resources encountered in industry, be up-to-date to allow for transference of principles to currently used equipment, allow for technical competence and provide relevant library resources.

3.2 Evidence (for client premises) that this procedure has been correctly followed shall be the authorising signature on the completed venue checklist, which shall be filed in the appropriate Venue File.

3.3 When a Venue is being purchased (hired) for use for a training course a Venue Checklist shall be completed and filed in the Venue File.
3.5 All venues, training areas, resource areas etc. must be adequate in terms of safety and comfort to maximise learning opportunities.

4. REFERENCE
PROCEDURE 14. COMPLAINTS & APPEALS

1. AIM

1.1 To ensure any complaint or appeal is dealt with in a fair and timely manner. In the process Building Futures Education Services will:-

- ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- are publicly available;
- set out the procedure for making a complaint or requesting an appeal;
- ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
- provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal

2. PROCEDURE

2.1 A participant enrolled in a course, who is seeking to appeal against an academic decision or other procedural matter, will be given the opportunity to present their case. The appellant should undertake the following steps:

a. In the first instance an informal approach is to be made to the course facilitator with any new evidence or clarification of existing evidence.

b. Assessment will be reviewed having due regard to submissions made by the participant.

c. Where the participant is still dissatisfied with the decision a request is to be made to Building Futures Education Services, in writing, for a facilitator who has not been involved in the original decision, to review the decision.

d. If the participant is dissatisfied with the decision of the independent facilitator, a written notice of appeal may be lodged to Building Futures Education Services requesting an independent review by an external appeal consultant.

2.2 Appeals will be accepted up to fourteen (14) days from the date an assessment result was received.

2.3 All appeals received will be written into the Improvement Log and recorded for a management review follow up at the next meeting.

2.4 A written response, advising of the outcome of the appeal, will be provided to the participant, within 21 days of finalising the process.

2.5 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:
- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- regularly updates the complainant or appellant on the progress of the matter
3. **COMPLAINT PROCEDURE**

3.1 A participant enrolled in a course who has a complaint, on any matter, **other than academic decisions**, will be given the opportunity to present their case. The participant should undertake the following steps.

1. In the first instance, an informal approach is to be made to the person with whom the participant has the complaint, in order to see if the matter can be resolved in a mutually satisfactory way.

2. If the matter is not resolved to the satisfaction of both parties, a request must be made to Building Futures Education Services in writing, for a facilitator who has not been involved in the complaint, to review the complaint and have the matter resolved.

3. If the participant is still dissatisfied, a written notice of appeal may be lodged with Building Futures Education Services requesting an independent review by an external grievance consultant, or appropriate body.

3.2 A complaint, if not resolved informally, must be lodged in writing no later than (14) days from the date of the incident considered to have caused the complaint.

3.3 Any complaint received by the Building Futures Education Services office, will be written into the Improvement Log.

3.4 Where possible the complaint will be dealt with immediately. In all other cases the complaint will be referred to Building Futures Education Services CEO.

3.5 All complaints will be dealt with within 21 days of receipt of the written details. A written response, advising of the outcome of the complaint, will be provided.

3.6 Any substantiated complaint will be acted upon. All complaints will be recorded on an Improvement Log for the annual Review follow up at the next meeting. Improvement Logs will be dealt with as detailed in the improvement procedure.

3.7 The situation/circumstances leading to the complaint will be investigated to reduce/eliminate the possibility of the problem reoccurring. Where this results in revision to information and/or processes/services provided to clients, an improvement request will be completed.


4. **EXTERNAL CONSULTANT APPEALS**

4.1 Mutual agreement is to be reached between Building Futures Education Services and the relevant participant regarding the external consultant to be engaged for use in the external appeal process. Consultants engaged to conduct the appeal process are to hold recognised qualifications that meet the human resource requirements for the relevant course.
4.2 Where participants wish to use an external consultant who is not approved by Building Futures Education Services they are responsible for the payment of all costs associated with the use of the external consultant in the appeal process.

5. APPEAL DECISIONS

5.1 All assessment action will be suspended pending determination of the appeal process. All decisions will be immediately communicated to participants and, subject to the provisions of the Judicial Review Act 1991, the decision of an external consultant conducting an appeal will be final.

(SRTO 2015: Standard 6)

6. REFERENCES

Form: 03 Improvement Request
Form: 02 Improvement Log
PROCEDURE 15. WORKPLACE HEALTH & SAFETY

1. 1. AIM

1.1 To provide a workplace and training environment that is safe and healthy.

2. 2. PROCESS

2.1 All employees are expected to perform their work tasks in a safe manner and to observe the rules, procedures and established work practices made known to them. This includes rules and procedures of our clients and suppliers when working at their premises or in areas defined as being under their jurisdiction.

In Queensland employees have an obligation to:

- take reasonable care for his or her own health and safety; and
- take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons; and
- comply, so far as the worker is reasonably able, with any reasonable instruction that is given by the person conducting the business or undertaking to allow the person to comply with the WHS Act 2011; and
- co-operate with any reasonable policy or procedure of the person conducting the business or undertaking relating to health or safety at the workplace that has been notified to workers.

2.1.1 Health and safety at the workplace is an essential part of everyone’s job.

2.2 You must stop any activity which may result in the health and safety of any person at the workplace being at risk.

2.4 Trainers and Assessors must ensure they:

Organise the classroom / training workshops to ensure WH&S legislative requirements are fulfilled, including

- implementing and monitoring WH&S policies and procedures in the classroom / workshops;
- identifying hazards and assessing the WH&S risks in the classroom/workshops;
- eliminating hazards and controlling WH&S risks in the classroom / workshops;

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- ensuring that they possess the skills and knowledge sufficient to teach/assess the WH&S component of the Training Package concerned;

- Ensure that all students are instructed and assessed in accordance with the WH&S requirements of the relevant Training Package and WH&S legislation.

- It is the responsibility of the trainer/assessor, in collaboration with workplace trainers/supervisors, to ensure that the students study and work in environments that fulfil WH&S legislation, and have suitable opportunities to learn all that they need to know and do to work and study safely.

2.5 Trainers and assessors are to ensure all equipment used in the delivery and assessment training is safe.

2.6 Where equipment, owned by Building Futures Education Services, is found to be unsafe the equipment will be immediately removed from use. The trainer/assessor will complete Form: 03 Improvement Request and lodge it with the CEO for their immediate attention.

2.7 Where equipment owned by a contractors or external supplier, is found to be unsafe the equipment will be immediately removed from use. The trainer/assessor will complete Form: 002 Improvement Request and lodge it with the CEO for their immediate attention.

3. **Workplace Health & Safety - Risk Management**

3.1 All employees are required to continuously inspect their workplace to identify any Hazard.

3.2 When a hazard is identified the person identifying the hazard must then assess the risk.

3.3 If possible eliminate the risk. If this is not possible, then identify the nature of the risks associated with the hazard, the severity of the risk, the duration and frequency of exposure to the risk and the probability of an event occurring.

3.4 If the risk cannot be eliminated then control measures must be put in place.

3.5 You must take steps to ensure no person can be injured, by identifying the hazard and preventing, or stopping anyone from being able to injure himself or herself before the hazard has been rectified.

- **A hazard** is a source of danger, which can be defined as “a condition or situation that exists in the work environment that could result in physical harm, injury and/or damage”

- **Risk** relates to exposure to the danger and is defined as “the probability of any injury or loss occurring from the hazard”.

You need to think about the following when identifying hazards:

- Can the person be struck by or contacted by anything while doing the step?

- Can they strike against or make contact with anything?

- Can anyone be caught in, on or between anything?
- Can the person strain or overexert?
- Can the person slip, trip or fall?
- Can anyone be exposed to gas, heat, dust, fumes, chemicals, pressure, asbestos etc?
- Can the person performing the job injure a fellow employee?
- Can damage to equipment occur:

There are three types of hazards - visible, hidden and developing. **Visible hazards** are the obvious defects that can be readily seen and identified by inspection.

Examples of obvious hazards are:
- untidy housekeeping;
- broken or damaged equipment;
- blown or missing lights; and
- missing or damaged fixtures.

**Hidden hazards** are not readily seen without your attention being prompted. For example, inspecting electrical equipment requires specialist knowledge to detect these hazards.

**Developing hazards** are the type of hazard which, if not fixed, could become worse. They may also represent a hidden hazard.

Some examples of developing hazards are:
- building and structural damage due to vibration or moisture;
- corrosion and weathering of metal components;
- exposure to constant noise which is above the recommended levels;
- abnormal wear and tear on critical parts of machinery, plant and equipment; and
- deterioration from ultra-violet radiation or chemical reaction.

You may think your inspection effective because you have made a list of obvious or visible hazards you can fix, but you could be missing the hidden or developing hazard.

To help you identify hazards, they are grouped into six (6) general categories.

1. physical (noise, vibration, temperature);
2. substance (exposure to cyanide, acids, caustic soda, lead);
3. ergonomic (work area layout, equipment design, instrument layout);
4. radiation (ultraviolet exposure from the sun or, infra-red from drying or heating processes);
5. biological (viruses, bacteria, parasites); and
6. psychological (work load, shift arrangement, workplace violence).
Within these general categories there will be visible, hidden and developing hazards. Inspections should try to identify and correct all hazard types and categories. You should:
- clean up after the job;
- store and stack items correctly;
- post hazard warning signs;
- barricade the work area if a short term hazard exists (such as, wet floors);
- operate equipment correctly;
- follow the specified safe work procedures; and
- not walk away from a hazard - fix it or report it.

3.6 Process of risk management

The process covers:
- hazard identification
- risk assessment which separates low, moderate and high risks
- eliminating or controlling risks, which is referred to as risk treatment, and
- monitoring and reviewing the whole process and recommendations to ensure remedial actions are completed.

Risk management is part of everybody’s responsibility to ensure a safe workplace. It is an aid to every day decision-making and must be applied at all stages during a project or activity within all areas of Building Futures Education Services. The levels of risk i.e. low, medium or high; will determine what scale of management is required.

For everyday low-level risks, an ‘on the job’ risk management process is used. It is simply a quick way of determining if a task is safe by asking three questions prior to commencing any task.

They are:
- What am I about to do?
- What can go wrong?
- What can I do to stop it going wrong?

3.7 Risk Management Procedure

This consists of:
- Establishing the context within which the work and the risks lie.
- Identifying the risks which involves asking and answering the 2 questions, “What can happen?” and “How/Why might it happen?” It is important that all steps within a task or project are defined and examined to determine associated risks.
- Analysing the risks, which culminates in producing a “level of risk”. This is achieved by determining the likelihood of incidents occurring and the consequences if the incidents do occur.
- **Evaluating the risks** includes prioritising risks and determining whether particular risks are acceptable or unacceptable. As it is impossible to eliminate risks completely without eliminating tasks, we need to “live” with those that are acceptable, as long as some controls are in place.

- **Treating the risks.** There are a number of strategies that can be employed to treat risks, eg. Risk avoidance, risk reduction, risk transference and risk acceptance and retention.

4. **REFERENCE:**
PROCEDURE 16. FEES & REFUNDS

1. **AIM**

1.1 To establish and maintain a fair and equitable system to receive course fees and issue refunds to students.

2. **PROCESS**

2.1 For all individual fee for service students, unless otherwise agreed upon, a maximum fee of $200 is payable upon acceptance of enrolment. Upon payment by the student or client, Building Futures Education Services will: Issue a receipt for the amount paid. Keep the monies in a trust account with a recognised banking institution until such time as they are due to Building Futures Education Services.

2.2 Enrolment fees, where the client is a company, will be invoiced no later than the start date of the course date unless alternate arrangements are made. Enrolments within thirty (30) days from the date of course commencement will be invoiced with a due date of course commencement.

2.3 Statements shall be issued monthly to each student with outstanding accounts. Invoices shall also be rendered to students for textbooks and reference books supplied where the costs of such books are not included in the course fees (where applicable). Statements will be issued monthly for any outstanding accounts.

2.4 Receipts will be issued only upon request unless payment is from a student. All requests for refunds will be acted upon within 14 days in accordance with the Refund Policy.

3. **Cancellation / Refunds**

3.1 An application for refund of course fees under any other circumstance must be made in writing to Building Futures Education Services. A Request for Refund Form is made available to students seeking a refund.

3.2 Where Provider has made a decision to refund a student tuition fees, Provider will pay the amount of refund within 4 weeks after the decision and advise the person in writing.

3.3 Decisions relating to the request for refund will be made upon reasonable grounds by Provider, reasonable grounds does not include: Non-attendance (when no written notice has been given to Provider), non-participations, student not meeting task assessment deadlines, commitments, etc.
3.4 The Provider reserves the right to decide on a case by case basis the merits of a refund once a student has commenced study.

3.5 The application of this policy is at the discretion of the Provider at all times. Building Futures Education Services’ dispute resolution process will apply if there are any issues.

3.6 All requests for refunds will be acted upon within 14 days.

4. REFERENCE

Procedure 24 Financial Management
Form: 16 Refund request
Terms & conditions

PROCEDURE 17. STUDENT INFORMATION

5. AIM

Building Futures Education Services will ensure that all student information is accurate, accessible and provided in an equitable and timely manner. Before a client enrols or enters into a contract with Building Futures Education Services, we will inform them about the training, assessment and support services to be provided, and about their rights and obligations.

In the process it will ensure that Learners, employers and industry must have confidence in the integrity, currency and value of certification documents issued by Building Futures Education Services through high quality training and assessment practices that:
- meets the requirements of training packages and VET accredited courses;
- is responsive to industry and learner needs; and
- is delivered by appropriately qualified trainers and assessors with the right support services, facilities and equipment.

2 PROCESS

Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

a) accurately represents the services it provides and the training products on its scope of registration including any pre-enrolment / enrolment requirements or conditions of entry;

b) includes its RTO Code;

c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;

d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;

f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;

g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;

h) includes the code and title of any training product, as published on the National Register, referred to in that information;

i) only advertises or markets a non-current training product while it remains on the RTO’s scope of registration;

j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO’s provision of training and assessment; and

l) does not guarantee that:
   i) a learner will successfully complete a training product on its scope of registration; or
   ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; for the Standards for RTO’s 2015 or
   iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

3 INQUIRIES

At the time of inquiry Building Futures Education Services will advise prospective clients of the information outlined below.

Prior to enrolment or the commencement of training and assessment, Building Futures Education Services will provide the candidate either in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
- course overview including entry requirements, delivery and assessment options
- the training and assessment, and related educational and support services the RTO will provide to the learner including the:
  - estimated duration;
  - expected locations at which it will be provided;
  - expected modes of delivery;
Policies and Procedures Manual

- name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO’s behalf; and
- any work placement arrangements
- access to complaints & appeals
- training guarantee
- any debt that maybe incurred as a result of VET FEE Help
- any requirements to enter and successfully complete a course as specified by Building Futures Education Services
- information about the implications arising from Government training entitlements and subsidies
- course fees and payment terms (including deposits and refunds
- Learner’s rights as a consumer (including ‘cooling off’ periods).

4 STUDENT HANDBOOK

For fee for service students, where appropriate a Student Handbook will be provided at the time of enrolment.

4.1 The Student Handbook will include all relevant information including:

- Access, Equity and Diversity Policy
- Course Admission Policy
- Refund / Credit Policy
- Recognition of Prior Learning Policy
- National Recognition
- Complaint & Appeal Procedure
- Anti Discrimination and Sexual Harassment Policy
- Health and Safety Policy
- Student Support Services Policy
- Student Rules / Discipline
- Course overview including entry requirements, delivery and assessment options,
- course fees and payment terms (including deposits and refunds
- Cooling off period

4.2 The Student Handbook will also contain information on:

- Units of Competency
- Assessment Criteria, and
- Vocational Outcomes
4.3 The Student Handbook must be provided in written format and the content explained to the student. Once the explanation has been provided and the student understands the content they are to sign the “agreement to comply” at the rear. This form is placed in the Student File by the CEO or nominee.

4.4 The student handbook can also be accessed as a .pdf document on the College website.

4.5 Student support services are available and information is included in the Student Handbook.

5 LLN

The language, literacy and numeracy (LL&N) needs of students are very important to Building Futures Education Services staff. Collection of information about clients entering a course is important and identification of any LL&N issues should occur as early in the training process as possible. All learners will be provided with a LL&N assessment in the first week of their course.

The following strategies are employed by Building Futures Education Services in the delivery of face-to-face sessions:

Process - The course enrolment form identifies current position and previous education/training experience.
Action – Trainer/assessor to analyse to determine if background indicates appropriate LL&N levels.

Process – Informal discussions (usually over the phone) with client’s pre-enrolment / course commencement.
Action – Trainer/assessor to analyse to determine if background and conversation indicate appropriate LL&N levels.

Process – Initial sessions of face-to-face courses include ‘icebreaker’ activities (introduce self and talk about reasons for doing the course), discussions, reviews of course information, questions and answers (conducted both verbally and using written documents).
Action: Trainer to analyse to determine if participation, indicated comprehension, completion of activities etc indicate appropriate LL&N levels.

Process: Initial assessment/meetings/interviews.
Action: Assessor to analyse to determine if participation and indicated comprehension indicate appropriate LL&N levels.

Process: On-line enrolment in courses.
Action: Assessor to analyse the information provided by students to determine if completion of the electronic registration form indicates comprehension and appropriate LL&N levels.

Building Futures Education Services is committed to the ongoing screening/review of learners LL&N requirements through their course of study. Trainers and assessors continually monitor learner’s progress to determine if LL&N levels are appropriate and to identify any LL&N issues should they arise.

6 SUPPORT STRATEGIES
If the trainer/assessor identifies possible issues, these are discussed with the learner and allowable adjustments to either the training or assessment process is negotiated and agreed upon.

Learners who would benefit from a full LL&N assessment and on-going LL&N support are referred to the local LL&N services. It is the learner’s right and responsibility to pursue these avenues.

Following any LL&N assessment, suitable support mechanisms and strategies are negotiated and agreed on between the learner, the LL&N specialist and Building Futures Education Services. Support provided needs to be integrated, that is, specific to the vocational needs with the aim of developing LL&N skills to achieve vocational competence. Progress of the learner is monitored and the support required is reviewed and adjusted as required.

7 STUDENT GUIDANCE AND SUPPORT:
Students requiring counselling or support should discuss the matter with their trainer. The trainer will assist where possible, and in the event that further action is required, refer the student to the Director of Studies, or alternatively, the student may wish to contact the relevant organisation themselves.

8 REVIEW OF SUPPORT SERVICES
Monitoring and reviewing the support services provided to, and accessed by students, forms part of Building Futures Education Services commitment to continuous improvement. Where support services are used, Building Futures Education Services will collect and analyse stakeholders’ feedback about the Building Futures Education Services’ overall performance and the effectiveness of the support service. Feedback is collected informally via discussions with the student and where issues are identified and Improvement Request Form can be completed.

8.1 Feedback on support services provided to, and accessed by students, forms part of the Learner Questionnaire Form. These forms are collated and analysed to identify opportunities for improvement in the provision of all training and assessment services delivered by Building Futures Education Services.

9 REFERENCES
Form: 03 Improvement Request
Form: 04 Learner Questionnaire
PROCEDURE 18. RECOGNITION OF PRIOR LEARNING

1. AIM

1.1 To ensure that all student requests for Recognition of Prior Learning (RPL) are acted upon promptly and treated fairly.

2. PROCESS

2.1 The following checklist will be used by all RPL assessors when implementing RPL in Building Futures Education Services

2.2 All Building Futures Education Services students who are undertaking recognised training will be provided with information about RPL processes and offered the opportunity to apply for RPL.

2.3 All participants in recognised training programs are provided with the units of competency of the training they will be undertaking so they can determine if they have any prior learning.

2.4 All participants who apply for RPL are supported and facilitated through the process by trained personnel only, who counsel and facilitate them through the necessary steps. There is the opportunity for the applicant to negotiate the form of assessment.

2.5 Staff are trained in RPL principles and processes appropriate to Building Futures Education Services

2.6 All participants have their applications for RPL treated equally and fairly.

2.7 Assessors must have either Certificate IV in Training and Assessment or RPL Assessor qualifications and be considered a content specialist in the subject matter for which the applicant is applying for RPL.

2.9 All RPL decisions are based solely on the participants’ performance in relation to the Unit of Competency and Performance Criteria as laid down in the unit descriptor.

2.10 Decisions are based on sufficient, authentic and appropriate evidence, for example:
- direct or first-hand evidence (e.g. a practical test, or something the applicant has made or written)
- indirect or second-hand evidence (e.g. references, lists of associations joined or positions held, articles about work the applicant has done.
- formal documentation of skills or knowledge (qualifications, certificates, or transcripts from courses of study).

2.11 Methods used are time and cost effective and appropriate to the level of risk and the amount of assessment rigour necessary.

2.11.1 Participants are notified in writing of the outcomes of their application.
2.11.2 Participants are provided with the opportunity to request a review of the RPL assessor’s decision.

2.11.3 Any review is undertaken by a different assessor who was not involved in the initial assessment.

3. PROCEDURE

The following procedure will be followed to ensure the appropriate delivery of RPL in Building Futures Education Services.

NOTE: All forms and applications regarding a client’s RPL will be held in confidence and be available to the client at all times.

3.1 The RPL brochure will be made available:

- during the initial sales visit for all courses, short courses or training programs regarding training that will result in a recognised award;
- to any client who is enquiring about recognised courses; and
- to all clients who have been selected for recognised courses.

3.2 All clients who have been selected for a course will as soon as practicable be given the course competencies and performance criteria for that course and informed of the RPL process within Building Futures Education Services. Clients will be given an RPL Application Form, shown how and encouraged to, complete the form.

3.3 Clients who are seeking information on RPL will be given the RPL Brochure.

3.4 After receiving a client’s application for RPL and the evidence that they provide to support the application, the client will be notified either verbally or in writing of the outcome.

3.5 If a review phase is required, the assessor will negotiate with the client, dates and methods of further assessment, documentation required etc.

3.6 If RPL is granted, the details are to be entered into the client’s student file and onto the student data-base as soon as is practicable.

3.7 Where RPL is not granted, the client may appeal the decision. The assessor will then arrange an alternate assessor and another interview time. Where the assessor deems it appropriate, they may negotiate with the client regarding the nature of the appeal to see if the issue can be resolved without a further assessment.

3.8 At all times, the assessor is to assist the applicant in gaining as much RPL as can be granted within RPL guidelines. Clients are to be supported throughout the process.

3.9 Hard copies of client records of RPL need only be maintained for the duration of their course. The client database and student file is to be updated immediately RPL for a unit of competency is granted.
3.10 The Building Futures Education Services, CEO, will usually take responsibility for all RPL Applications. However an RPL Facilitators Kit is available for any trainer/assessor that is involved in determining an RPL outcome. 

(SRTO 2015: Standard 1.8 and 1.12)

4. REFERENCE

Form: 032A       Recognition of Prior Learning Application Form
                RPL Brochure
                RPL Self Assessment
                RPL Letter
PROCEDURE 19. NATIONAL RECOGNITION

1. **AIM**

1.1 To ensure students are given recognition for training previously completed.

Recognition – means credit towards a qualification granted to students on the basis of USI outcomes gained by the student through participation in courses or training packages with another Registered Training Provider.

1.2 Credit is available to any student enrolling with Building Futures Education Services.

2. **PROCESS**

2.1 Students seeking Credit are required to provide an Academic transcript to the Director of Studies.

2.2 All qualifications (Certificates or Statements of Attainment) presented by the applicant, will be verified by the Director of Studies prior to granting credit.

2.3 Currency of the qualification will be taken into consideration.

2.4 All relevant nationally recognised qualifications presented by students for credit must be accepted and credit granted toward the relevant unit/course. No fee is to apply for credit transfer.

3. **REFERENCE**
PROCEDURE 20. ISSUING OF QUALIFICATIONS

1. AIM

To ensure all Certificates or Statements of Attainment are issued in a timely manner.

2. PROCESS

2.1 Building Futures Education Services will issue qualifications or statements of attainment to Student within 30 days of the final assessment results being completed and subject to the payment of all fees as per Standard 3.3

2.2 All qualifications and Statements of Attainment will meet AQF specifications

2.3 The CEO will issue qualifications to students within 30 days of the final assessment results being completed, subject to compliance with the USI requirements.

2.4 A Statement of Attainment will be issued for partial completion of a qualification or individual unit(s) of competency or recognised short course.

2.5 All Testamurs, Certificates & Statement of Attainment will conform to the templates provided by the NSSC Version 1 March 2013 or its successors.

2.6 A copy of student results and notation of the qualification issued will be retained in the student file or on the electronic data base, and will be retained by the organisation for 30 years.

2.7 No Certificate / Statement of Attainment will be issued for any unit of competency/course unless the organisation is registered as an RTO for the issuing of that qualification/ statement of attainment (explicit units only).

2.8 The CEO or nominee is responsible for authorising and issuing all Statements of Attainment or Certificates within Building Futures Education Services scope of registration.

(SRTO 2015: Standard 3)

3. REFERENCE

Copies of student Statement of Results, and
Notation of qualifications within the Student Files.
Nationally Recognized Training (NRT) Logo specifications
NSSC Sample forms of testamurs and statements of attainment for nationally recognised VET qualifications
ASQA: General direction: Retention requirements for completed student assessment items
PROCEDURE 21. ADMINISTERING THE ISSUING OF CERTIFICATES

1. AIM
To establish and maintain a system to ensure all signatures and details are completed on paperwork prior to entering onto the Database; all relevant student information is entered onto the database, and that all Qualifications and Statements of Attainment are issued in compliance with regulatory requirements.

2. PROCESS
The CEO must ensure the following process is followed:

- All paperwork must be checked.
- Complete the “Student File” form at the front of each student’s file.
- Enter the information on the Student Management System, Jobready. This should include: unit details, assessment date, C/NYC etc.
- Check the Student File Folder. This should include a Student File Progress Sheet, enrolment form, and relevant assessment documents.
- All competency-achieved records must be entered on the database.
- Prepare the Certificate / Statement of Attainment and print it. Ensure you save a copy of the Certificate / Statement of Attainment to the appropriate folder on Jobready.
- The printed Certificate / Statement of Attainment must be signed by the CEO.
- Prepare a Student Envelope with a Letter to the Student, Original Qualification, and end of course Student Questionnaire.
- In the Student File place a copy of the Qualification, Copy of Student Letters.
- Place the Certificate/Qualification Number into Jobready and the date that the Qualification has been issued.
- Statements of Attainment are issued to students who achieve competency in an individual unit or multiple units only, but have not completed all units required to obtain a qualification.

3. REFERENCE
PROCEDURE 22. ADVERTISING & MARKETING

1. **AIM**

1.1 To ensure Building Futures Education Services complies with the ‘National Operational Protocol for the Marketing of Recognised Training’ and that all information provided to clients is accurate.

2. **PROCESS**

2.1 Building Futures Education Services will not offer a nationally recognised course if it is not registered to do so.

2.2 Building Futures Education Services will not issue a qualification or statement unless registered to do so.

2.3 All advertisements placed will:
   - Be clear, accurate and not misleading
   - Identify nationally recognised qualifications separate to other courses, including Building Futures Education Services courses, or current community education courses.
   - Advertised accurately the names/titles of qualifications and or accredited courses.
   - Ensure the Nationally Recognised Training Logo is used only with nationally recognised qualifications/courses which Building Futures Education Services is registered to deliver.

2.4 Building Futures Education Services will only use one of the following terminology to acknowledge national/state recognition:
   - Nationally Recognised Training
   - Training and Employment Recognition Council Training
   - Registered by the Training and Employment Recognition Council to issue the following qualifications.

2.5 At no time will Building Futures Education Services use the words “Government Accredited” or “Government Registered” in advertising.

2.6 At no time will Building Futures Education Services use the name or details of any client for marketing purposes without gaining prior written permission of the client.

2.7 All advertising will be approved by the CEO prior to publishing.

2.8 Any personnel appearing in any promotional material will complete a consent form (to use their image) prior to use.

3. **REFERENCE**
PROCEDURE 23. FINANCIAL MANAGEMENT

1. AIM

1.1 To ensure Building Futures Education Services implement sound financial management practices.

1.2 The Finance Manager is responsible for financial management processes at Building Futures Education Services. This responsibility includes all financial functions associated with running the registered training organisation.

2. PROCESS

2.1 The Finance Manager will record all purchases. Receipts will be retained for all purchases as proof for (accounting) audit purposes.

2.2 Any purchase made by Building Futures Education Services (RTO) must be approved by the CEO (or nominee).

2.3 The process for managing Student Fees and Refunds is detailed in Procedure 16. The administration office shall:
   - prepare invoices/statements for payment of student fees
   - prepare a receipt for payment of student fees and send/give the receipt to the student within 7 days of receiving payment
   - update computer based records weekly to reflect all fees receipted and the financial offer shall
   - bank student fees into the appropriate account at least weekly
   - reconcile bank statement and computer based records at least monthly
   - provide details of all accounts to Building Futures Education Services accountant for annual auditing

2.4 When an application for a Request for Refund Form is presented, the Director of Studies will determine the amount of fees to be returned to the student/client (refer to Procedure 18) and with the approval of the CEO arrange an EFT to the bank account in favour of the student/client.

2.5 The refund will be forwarded by EFT to the student/client within seven days of receipt of (an approved) Request for a Refund.

2.6 Computer accounting records will be updated to reflect payment of a refund.

2.7 The RTO does not use petty cash. Any miscellaneous expenses are to be authorised and paid by a debit card held by the Financial Officer.

2.8 A receipt must be obtained for the goods purchased and returned to the Finance Manager so that there is a formal record of the cost.

2.9 The Finance Manager is responsible for monitoring and reporting of financial information to all relevant Government Departments. Where requested by the relevant authority, the CEO will provide a full audit report from a qualified independent accountant (CPA).
2.10 The Financial Manager will prepare job costing/ quotations for customised training programs.

2.13 The Finance Manager will prepare GST figures on a monthly and quarterly basis.

2.14 The Accountancy firm will prepare Business Activity Statements on a quarterly basis.

2.15 The Accountancy firm will prepare financial statement on an annual basis.

3. REFERENCES

Procedure 18 Fees and Refunds
PROCEDURE 24. PARTNERSHIP AGREEMENTS

1. **AIM**

To establish and maintain a system to ensure any Partnership agreements are carried out in accordance with STANDARDS FOR RTO’S 2015 requirements and that systems have been agreed to that will provide for quality training and assessment during the term of the agreement.

**NOTE**

Building Futures Education Services does not intend to engage any 3rd party provider to deliver training and assessment services on its behalf at any stage.

2. **PROCESS**

2.1 Prior to entering into any agreement with another organisation to provide training and/or assessment on behalf of Building Futures Education Services a written agreement must be in place.

2.2 The CEO is responsible for preparing partnership agreements and ensuring any partnership agreement specifies how Building Futures Education Services and the Partner organisation will discharge their responsibilities for compliance with the Standards for NVR Registered Training Organisations 2012 during the term of the agreement.

2.3 A formal agreement must be prepared and the agreement must be entered onto a Partnership Register within Building Futures Education Services prior to commencement of the agreement.

When preparing agreements the following should be considered for inclusion:

- **Description of collaborating organisations**
  - Name and status of lead RTO and partner organisation(s).

- **Objectives and scope**
  - A statement of purpose
  - A description of goals and expectations
  - The justification for the arrangement
  - Identification of other compliance requirements, for example, New Apprenticeships regulations, licensing.

2.4 **THE NATURE OF THE COLLABORATION**

- The ways in which the partners will collaborate
- The services which are to be provided by the lead RTO, including such things as provision of quality assurance processes, moderation and evaluation, record keeping and records maintenance plus the issuance of qualifications and/or Statement(s) of Attainment
- The services that are to be provided by the partner organisations

2.5 Definitions and Interpretations
- Clear explanation of key terms

2.6 The Terms of the Agreement
- Indication of the duration or proposed life of the agreement
- The way in which amendments are to be negotiated and agreed in consultation with collaborating partners
- Processes for renewal or extension of the formal arrangement.

2.7 Organisation and Management of the Agreement

2.7.1 It is wise to allocate the various activities to each organisation in the partnership arrangement, for example, under subheadings for the lead RTO and for each of the partner organisations.

2.7.2 For the lead RTO, this needs to include quite specific information on the roles and responsibilities of the personnel involved in the various components of the partnership. For example, the document should include:

- the name and contact details of the CEO contact person for this particular agreement
- clear guidelines on lines of communication and agreed processes for communicating within and across the collaborating organisations, for example team meetings, assessor meetings
- details of record keeping associated with delivery and assessment, including what, when, how and by whom this will be managed
- an outline of the advice that can be provided on quality assurance of assessment and also how the lead RTO will be involved
- a framework for monitoring and evaluating the achievement of the objectives set by the agreement
- a strategy for ensuring the timely issuance of AQF qualifications and/or Statement(s) of Attainment.

2.7.3 For the partner organisations, this section needs to include quite specific information on the roles and responsibilities of the personnel involved in the various components of the partnership. For example, the document should include:

- the name and contact details of the CEO contact persons and coordinators for this particular agreement
- an outline of the qualifications of staff involved plus relevant facilities and learning resources required for delivery and assessment
Policies and Procedures Manual

- details of maintenance of record keeping associated with delivery and assessment of programs, including how and by whom this will managed and submitted to the lead RTO
- an outline of how personnel will be involved in the quality assurance processes agreed to on the advice of the lead RTO
- an outline of involvement in the processes for monitoring and evaluating the achievement of the objectives set by the agreement.

2.8 RESOURCES AND FACILITIES
A description of the equipment, learning materials and facilities each of the collaborating partners will contribute.

2.9 FINANCIAL ARRANGEMENTS
The details of the fees, charges and disbursements associated with the arrangement.

2.10 QUALITY ASSURANCE

2.10.1 In accordance with the Standards for Registered Training Organisations (RTOs) 2015, Building Futures Education Services will focus on continuous improvement and quality assurance. The Director of Studies will collect and analyse data, feedback and improvement requests and act upon improvements in relation to:

- Policies and Procedures manual, staff handbook, and the student handbook. This will be indicated through version controls within the header of each document.
- Training and assessment, including monitoring superseded packages and competencies including updating the Training and Assessment Strategies to align with changes.
- Improving client and learner services
- The overall management of operations

2.10.2 The indicators for continuous improvement and to determine risks include:

- Employer satisfaction; including data from the Employer Questionnaire
- Student satisfaction; including data from the Learner Questionnaire, and student feedback received through internal systems.
- Competency and course completion; through data by calculating completion of qualifications and modules.
- Internal audit and self-assessment; Building Futures Education Services will conduct internal audits of all items on the scope according to www.training.gov.au and as per Procedures 6. (SRTO 15 standards 1, 2, 4, 5, 6 and 8.1)

2.11 COMMUNICATION AND EXCHANGE OF INFORMATION

- An outline of how information generated by the partnership is to be handled by all parties to the agreement
- An outline of agreed lines of communication and strategies for communicating, for example team meetings, information sharing and consultations
- Details relating to confidentiality.

2.12 INTELLECTUAL PROPERTY
A description of who retains the rights to any intellectual property produced.
2.13 **MARKETING AND PUBLICITY**

An outline of how and what activities will be promoted.

2.14 **SETTLEMENT OF DISPUTES**

A description of the process to resolve disputes that may arise among the partners to the agreement.

2.15 **REVIEW AND EVALUATION**

- Mechanisms for deciding how the overall objectives of the collaboration have been achieved, for example seeking feedback from candidates, partners and other key players
- Strategies for regular review of operational processes and issues, such as collection of relevant data (e.g. success rates and reassessments) and team meetings.

2.16 **FURTHER HEADINGS**

Other items such as disclaimers, transfer and assignment, warranty and indemnity as required.

2.17 **EFFECTIVE DATES AND SIGNATURES**

Appropriate authorities from each partner involved in the collaboration.

2.18 **SCHEDULES**

These may include details of what will be assessed under the agreement, including details of the relevant Training Package(s) and a full listing of the qualifications to be covered.

3. **REFERENCE**

Partnership Register
Formal signed agreements in the File.
PROCEDURE 25. MAINTAINING RTO STATUS AND CURRENT SCOPE OF REGISTRATION

4. AIM

To establish and maintain a system to ensure that Building Futures Education Services apply to renew their RTO registration in sufficient time and prior to Building Futures Education Services registration expiry date, maintain a current scope of registration and deliver the most current and up to date training products at all times.

5. PROCESS

5.1 RENEWAL OF REGISTRATION

The CEO will submit a complete application to renew their registration at least 90 days prior to the expiry date of their registration as listed on the national register, training.gov.au. This is a requirement of the National Vocational Education and Training Regulator Act 2011.

The application to renew the registration will

- Follow the instructions and advice in the Application guide—application to renew RTO registration.
- Submit its application using ASQAnet.
- Ensure that the application is complete and all required fees have been paid in full at least 90 days before the registration is due to expire.

Should Building Futures Education Services decide it does not wish to continue to operate as a registered training Building Futures Education Services then the CEO must apply to ASQA to withdraw its registration.

Building Futures Education Services will use the 'Application to withdraw RTO registration' process in ASQAnet.

It will also ensure it has included all information, including attachments and an explanation of the arrangements made for the completion or transfer of any current students.

Note the RTO will remain registered until ASQA approves the application and its post-registration obligations include:

- Returning its certificate of registration to ASQA within 10 days of the day the withdrawal takes effect.
- Providing copies of the student records to ASQA within 30 days of the day the withdrawal takes effect.
- Paying any outstanding fees within 30 days of the date the invoice is issued.

10 2.2 SCOPE OF REGISTRATION

The CEO is responsible for making sure that Building Futures Education Services has the current endorsed or accredited training products on their scope of registration at all times
and will access information from one or more of the following sources to monitor the status of training packages and accredited courses which Building Futures Education Services is registered to deliver:

- TGA [http://training.gov.au/]
- and/or Training Packages @ Work publication [http://www.innovation.gov.au/Skills/ResourcesAndPublications/Pages/default.aspx]

Monitoring will be done at least every three months in order to maintain a current scope of registration and ensure that Building Futures Education Services delivers the current training product.

A status list will be prepared for reporting to the Management Review meeting.

The CEO is also responsible for ensuring that the scope of registration for Building Futures Education Services remains up to date at all times and in order to extend the scope of registration for Building Futures Education Services the CEO will complete and submit an application using the ASQAnet online registration service.

The CEO will also ensure that any application for extension to scope for Building Futures Education Services is for the current qualification or course.

Building Futures Education Services will apply for a change in scope for each of the following circumstances:

- When a qualification skill set or unit of competency delivered by Building Futures Education Services becomes superseded,
- When Building Futures Education Services recognizes opportunities to add new qualifications, skill sets or units of competency
- When a review of the current scope indicates the retention of an item on the scope of registration cannot or is not adequately supported by existing resources or if it is not financially viable to resource that item.
- When directed by the Regulator

Relevant changes to existing items on scope arising from changes in the National Training Package that are to be retained by Building Futures Education Services must be implemented by Building Futures Education Services within six months and no later than twelve months of the publication of the relevant training package.

The requirement to maintain current scope of registration does not differ for qualifications delivered under traineeship or apprenticeship arrangements should these become applicable to Building Futures Education Services and Building Futures Education Services cannot deliver a qualification through an apprenticeship/traineeship pathway until it is declared as an apprenticeship/traineeship.

All applications to Change the Scope of Registration will be approved by the CEO prior to submission to DET as evidenced by the signing of the Declaration provided by ASQAnet.
11 RESOURCES

The CEO will ensure that for all items on its scope of registration it will have sufficient trainers and assessors, student support services, learning materials and facilities. This includes situations where the RTO may have items on its scope but does not deliver those qualifications or units of competency. In this case the CEO will require the Director of Studies to revisit the scope of registration and make a decision to remove items or appropriately resource the missing items.

12 REFERENCE
PROCEDURE 27. INTERACTIONS WITH THE REGULATOR

1. AIM

Building Futures Education Services recognizes its responsibilities to the Regulator and will engage in open dialogue and reporting as required.

PROCEDURES

Building Futures Education Services will:

a) provide accurate and truthful responses to information requests from the VET Regulator relevant to the RTO’s registration;

b) in the conduct of audits and the monitoring of its operations;

c) by providing quality/performance indicator data;

d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO’s ability to comply with these standards within 90 calendar days of the change occurring;

e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

f) in the retention, archiving, retrieval and transfer of records.

Building Futures Education Services will ensure that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

b) in the conduct of audits and the monitoring of its operations.

Building Futures Education Services will notify the Regulator:

a) of any written agreement entered into under STANDARDS FOR RTO’S 2015 2015 Clause Error! Reference source not found. for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and

b) within 30 calendar days of the agreement coming to an end.

Building Futures Education Services will provide an annual declaration on compliance with the Standards to the VET Regulator and in particular whether it:

a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and

b) has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Building Futures Education Services will comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.
Building Futures Education Services will ensure its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.
PROCEDURE 28. CONSULTATION

Consultation Policy & Procedure’s

Building Futures Education Services recognizes the quality and value of consulting industry partners and clients.

It engages in practices that reflect:

- A commitment to the consultation process
- Engagement with enterprises and personnel operating within the mental health care sector
- The gathering of relevant information to assist in effective decision making for the delivery of training and assessment services.

The intensity and scope of the consultation will be influenced by:

1. The number of potential and existing clients;
2. The level of risk associated with the training and assessment services to be provided;
3. The occupational / regulatory factors shaping the nature of the assessment activities;
4. Whether the trainees are employees, contractors or persons adding to their own skills; and
5. The cost of the consultative process.

Building Futures Education Services will ensure:

- The purpose of the consultation is explained in clear, concise and simple terms
- Enterprises and personnel involved in consultations are treated as significant stakeholders
- Consultations are open, genuine and as broad and deep as is practical
- Skills, resources and perspectives coming from enterprises and key individuals are acknowledged
- People involved are given adequate explanations, information and time to respond
- Enterprises are provided with models and alternatives to consider
- People consulted are speaking on their own behalf or with the endorsement of their enterprises or cultural groups
- The meaning of any unclear responses is clarified
- Views obtained in the consultation process are reported accurately and incorporated in the assessment strategies, when appropriate
- Records of all consultation activities are documented and stored appropriately

Consultation Strategy

Building Futures Education Services will adopt a 3 tiered strategy for consultation, embracing:

Level 1

Building Futures Education Services builds a genuine sense of shared responsibility with its enterprises/industry clients. It creates opportunities for sharing and exchanging diverse views and
Policies and Procedures Manual

incorporates them into the design of assessment strategies. While Building Futures Education Services makes the decisions, it sees the enterprises/industry as active partners in decision making.

Methodology:

– direct communications with enterprises/industry to establish their requirements
– personal contact with follow up by visits to conduct interviews, focus groups and presentations
– making contact through existing forums, conferences, committees and networks
– building relationships with people in industry representative groups
– providing targeted information to meet particular business needs and tailoring programs to the specific context.

Level 2

Building Futures Education Services actively seeks the views of individual contacts within a network of interested people.

Methodology:

– directly communicating with key enterprise / client personnel
– facilitating and participating in enterprise networks
– establishing and conducting focus groups between key enterprises / client personnel and RTO staff
– distributing information through newsletters and websites
– making presentations at conferences and forums and seeking feedback
– appointing and allocating staff with specific enterprises/industry liaison responsibilities

Level 3

Building Futures Education Services collects individual and group views in response to surveys, notices and invitations. It records these responses and uses the information in the development and review of its assessment strategies.

Methodology:

– collecting information on enterprises/industry needs from published industry sources such as journals and websites;
– establishing processes to capture and analyse information from enterprises/industry and candidates including customer satisfaction data, complaints and appeals;
– creating opportunities for enterprises/industry to offer general input and feedback on assessment strategies through inviting comment via websites and other informal means; and
– using targeted questionnaires and surveys.

Industry Consultant: Internal industry representatives (for the purpose of this document called as Industry Consultant) are industry stakeholders that are currently employees of Building Futures Education Services and are engaged in the delivery of training services within the Early Childhood Education and Care industry.
Industry Consultants are responsible for participating in the validation process and also for participating in the development and continuous improvement of Building Futures Education Services’ training & assessment strategies.

External industry Consultant:

The external industry representatives are key stakeholders that Building Futures Education Services seeks to establish strategic alliance with and become part of the Building Futures Education Services Assessment Network.

Chief Executive Officer: The chief executive officer for Building Futures Education Services is responsible for developing consultation agreements between Building Futures Education Services and the external industry representatives.

Approaches for Assessment Validation and Industry Consultation

Table 1

Matrix for Assessment Validation Approaches

<table>
<thead>
<tr>
<th>Approaches for Validation</th>
<th>Components of the assessment strategy to be validated</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Training products</td>
</tr>
<tr>
<td>Assessment Panel</td>
<td>A</td>
</tr>
<tr>
<td>Lead Assessor</td>
<td>X</td>
</tr>
<tr>
<td>Sampling</td>
<td>-</td>
</tr>
<tr>
<td>Independent validator</td>
<td>X</td>
</tr>
</tbody>
</table>

(SRTO 2015: Standard 1)
### Table 2

**Industry consultation member’s board**

<table>
<thead>
<tr>
<th>Name</th>
<th>Company</th>
<th>Position</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allisha Boothby</td>
<td>Building Futures Montessori – Forest Lake</td>
<td>Director</td>
<td>07 37 23 77 77</td>
</tr>
<tr>
<td>Candace Vinson</td>
<td>Building Futures Montessori – Wavell Heights</td>
<td>Director</td>
<td>07 36 30 54 44</td>
</tr>
<tr>
<td>Georgie Martin</td>
<td>Building Futures Montessori – Blackstone</td>
<td>Director</td>
<td>07 32 83 32 00</td>
</tr>
<tr>
<td>Karen Smith</td>
<td>Oakbridge Investments representation Building Futures Montessori, Building Futures Education Services and Little Kookas</td>
<td>Operations Manager</td>
<td>07 37 23 77 77</td>
</tr>
<tr>
<td>Toni Read</td>
<td>Building Futures Montessori</td>
<td>Kindergarten Teacher</td>
<td>07 37 23 77 77</td>
</tr>
</tbody>
</table>

(*SRTO 2015: Standard 1*)
Recommendations for change

As part of our continuous improvement practices, this feedback page has been designed to provide the opportunity to comment on the contents, layout and execution of this handbook. If you’ve noted any errors, ideas, and suggestions for improvement, please comment below and return to the Head Office.

Is the information contained in this manual easy to find?  
Yes/No

Comments:
__________________________________________________________________________________
__________________________________________________________________________________

Is the format of this manual suitable and readable?  
Yes/No
__________________________________________________________________________________
__________________________________________________________________________________

Is there gaps in the content, or further information that you believe should be included  
Yes/No
__________________________________________________________________________________
__________________________________________________________________________________

Do you have any additional comments, ideas or suggestions?  
Yes/No
__________________________________________________________________________________
__________________________________________________________________________________
__________________________________________________________________________________

Thank you.