



Training & Gaining Institute Of Australia

**RTO 45304**

## **POLICIES**

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## Access and Equity Policy

### 1. Purpose

The purpose of this Policy is to provide a frame of reference in providing and maintaining training services that reflect fair and reasonable opportunity for all clients, regardless of their diversity; allowing everyone to freely participate in the learning environment free from discrimination, harassment, bullying and vilification.

### 2. Policy Statement

TGIA is committed to providing quality training and assessment products and services in compliance with the Standards for Registered Training Organisations (RTOs) 2015.

TGIA promotes, encourages and values equity and diversity with regard to clients. TGIA will ensure services offered are provided in a fair and equitable manner to all clients, free from bias.

TGIA is committed to providing flexible learning and assessment options, allowing clients alternatives which recognize the diversity of their individual needs and circumstances aiding them in their learning goals.

TGIA will ensure:

- a) all training and assessment policies and procedures incorporate access and equity principles;
- b) all learners have equitable access to the benefits of training and assessment irrespective of their gender, age, race, religion, culture, linguistic background, marital status, geographic location, socio-economic background, disability, sexual preference, family responsibility or political conviction;
- c) all nominations and enrolments into training courses and programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with Equal Opportunity legislation; and
- d) all learners/clients have equitable access to training resources, facilities, equipment, support services, information, training and assessment personnel, materials, assessment opportunities, training opportunities.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Access and equity** means policies and approaches aimed at ensuring that VET is responsive to the individual needs of clients whose age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location may present a barrier to access, participation and the achievement of suitable outcomes.

### 3.2 Discrimination

Discrimination occurs when a person is treated less favourably than others due to the person's circumstances, characteristics or beliefs.

#### **a) Direct Discrimination**

Direct discrimination takes place when a person, organisation or group of persons is treated less fairly than others on the basis of stereotyped beliefs or views.

#### **b) Indirect Discrimination**

Indirect discrimination includes rules, practices or policies which appear to be non-discriminatory and equally applicable, but operate in such a way that certain groups of people are excluded without just cause.

### **3.3 Workplace Harassment**

Harassment is any behaviour which is unwelcome, offends, humiliates or intimidates a person and causes the work environment to become unpleasant. If a person is being harassed, then their ability to do their work is affected as they often become stressed and suffer health problems.

Harassment may result from behaviour which is not intended to offend or harm, such as jokes or unwanted attention however, this does not mean that it is lawful.

### **3.4 Sexual Harassment**

The most common form of harassment is sexual harassment. Examples of sexual harassment include, but are not limited to:

- a) Unwanted touching
- b) Sexual innuendo propositions
- c) Nude pin-ups and posters
- d) Obscene telephone calls
- e) Wolf whistles

Sexual harassment can occur among peers or co-workers, and in subordinate-supervisor, supervisor-subordinate or staff-student, student-staff, student-student situations.

### **3.5 Verbal Harassment**

Examples of verbal harassment include, but are not limited to:

- a) Sexual comments, advances or propositions
- b) Lewd jokes or innuendos
- c) Racist comments or jokes
- d) Spreading rumours
- e) Comments or jokes about a person's disability, pregnancy, sexuality, age or religion
- f) Repeated questions about one's personal life
- g) Belittling someone's work or contribution in a meeting
- h) Threats, insults or abuse
- i) Offensive obscene language
- j) Obscene telephone calls, unsolicited letters, faxes and emails

### **3.6 Non-Verbal Harassment**

Examples of non-verbal harassment include, but are not limited to:

- a) Leering (e.g. staring at a woman's breasts)

- b) Putting offensive material on notice boards, computer screen savers and emails
- c) Wolf whistling
- d) Nude or pornographic posters
- e) Displaying sexist or racist cartoons or literature
- f) Demoting, failing to promote, or transferring someone because they refuse requests for sexual favours
- g) Following someone home from work
- h) Standing very close to someone or unnecessarily leaning over them
- i) Mimicking someone with a disability
- j) Practical jokes that are unwelcome
- k) Ignoring someone, or being cold and distant to them
- l) Crude hand or body gestures

### **3.7 Physical Harassment**

Examples of physical harassment include, but are not limited to:

- a) Unwelcome physical contact such as kissing, hugging, pinching, patting, touching, or brushing up against a person
- b) Indecent or sexual assault or attempted assault
- c) Hitting, pushing, shoving, spitting, or throwing objects at a person
- d) Unfastening a person's attire

## **4. Policy Principles**

TGIA will not accept any form of discrimination and we will apply the following principles in support of access and equity:

### **4.1 Access and Equity Principles**

- a) TGIA abides by access and equity principles.
- b) TGIA will respect a client's right to privacy, confidentiality and be sensitive to client needs.
- c) TGIA provides equal opportunity for all learners and is responsive to the individual needs of clients whose gender, pregnancy, race, marital status, sexuality, age, family/carer responsibilities, disability, transgender, political conviction, cultural or ethnic background, linguistic background, religious belief, geographic location, socio-economic background, employment/unemployment, imprisonment may present a barrier to access, participation and achievement of suitable outcomes.
- d) At enrolment, clients will be asked to identify personal needs or circumstances that may exist and for which they may require additional support (See Enrolment Policy).
- e) Real Property Learning (RPL) will ensure that all staff, employees, and contractors have access to the information and support needed to prevent discrimination, sexual harassment, bullying and violence, victimization, and vilification or to deal with it appropriately if it occurs.
- f) TGIA seeks to create a learning environment where all students are respected and can develop their full potential.
- g) All clients are given fair and reasonable opportunity to attend and complete training.

- h) All staff are given fair and reasonable opportunity to participate in relevant decision-making processes and the allocation of resources and services as required to fulfil their duties and responsibilities.
- i) Deficiencies will be investigated to determine whether a breach or policy deficiency exists. Should a discrepancy be proven, the impact of that breach or deficiency will be identified along with how the policy should be amended to eliminate the breach or deficiency in the future.
- j) All perceived deficiencies in the Access and Equity Policy are to be documented, assessed and reviewed by the Director TGIA.
- k) TGIA will demonstrate its commitment by:
  - i. Selecting students according to a fair and non-discriminatory process
  - ii. Making its training relevant for a diverse student population
  - iii. Providing suitable access to facilities and resources
  - iv. Providing appropriate support services
  - v. Providing appropriate complaints procedures
  - vi. Consulting with relevant industry groups
  - vii. Raising staff, contractor and student awareness of equity issues.

## 4.2 Equal Opportunity

TGIA is an equal opportunity company and does not discriminate against or favour target groups in either recruiting or training, unless prescribed by funding contracts.

Target Groups are defined as:

- Aboriginal and Torres Strait Islanders;
- People with a disability;
- People from non-English speaking backgrounds;
- People in transition and other special groups (i.e. people re-entering the workforce, long term unemployed, sole parents, people with literacy problems, and those who have been institutionalised);
- Women;
- People from regionally isolated communities.

## 4.3 Special Needs/Considerations

- a) Clients intending to enrol for training with TGIA are requested prior to enrolment to advise TGIA if they have any disability, physical or other impairment which may adversely affect their ability to successfully undertake training and assessment.
- b) Clients are encouraged to discuss with TGIA any 'special needs' and/or 'reasonable adjustments' to the study environment which they consider are necessary or would assist them in the performance of their studies.
- c) TGIA, in collaboration with the Client, will assess the potential for the Client to successfully complete the training which may include flexible delivery options to optimise the ease and

benefit of the Clients' learning. However, no compromise to the integrity of the assessment against competency will be allowed.

- d) Clients with a disability are required to have the ability to fulfil the core requirements of the units of Competence to attain the relevant award. However, it is recognised that flexibility in arrangements may need to be implemented.

#### **4.4 Language, Literacy and Numeracy**

- a) Each Training Package sets a minimum requirement in language, literacy and numeracy skills of learners, with which TGIA must abide.
- b) TGIA makes appropriate concessions for language, literacy and numeracy issues of clients where these concessions do not compromise the requirements of the relevant Training Package and the integrity, equity and fairness of assessment.
- c) Where a Client is deemed, either prior to enrolment or throughout the training program, to possess a lower level of language, literacy or numeracy than is the minimum requirement for the requirements of the Training Package, TGIA will provide appropriate advice and support to the Client regarding further learning options. At times, further language or literacy development or remedial assistance may be required to be completed prior to the continuation or completion of the Client's course of study.

#### **4.5 Harassment**

- a) Harassment will not be tolerated at TGIA. If harassment occurs, the person responsible will be subject to disciplinary procedures. Disciplinary action will be taken against any staff or client involved in such behaviour. This may include termination of employment and removal of the client from the training course.
- b) Serious cases of harassment may constitute a criminal offence.
- c) .
- d) TGIA will not tolerate behaviour which is considered to be sexual harassment and expects all staff, contractors and clients to treat each other with dignity and respect.

#### **4.6 Bullying and Violence**

- a) TGIA will not tolerate bullying or violent behaviour and expects all staff, contractors and clients to treat each other with dignity and respect.
- b) TGIA recognises bullying and violence demeans and infringes the rights of individuals and groups, damaging the work and learning environment.

#### **4.7 Vilification**

- a) TGIA will not tolerate behaviour which vilifies another person and expects all staff, contractors and clients to treat each other with dignity and respect.

#### **4.8 Complaints**

- a) TGIA encourages informal resolutions of discrimination, sexual harassment, bullying and violence, victimization, and vilification grievances in the first instance, as close to the source as possible, with the option of conciliation or investigation of the complaint if necessary.

- b) Complaints will be investigated in a confidential manner and action will be taken to ensure that the discrimination/harassment stops. Appropriate warning or disciplinary action will be taken where harassment is found to have occurred.
- c) Those responsible for advising, conciliating or investigating a complaint must act fairly and impartially, they must act without bias and avoid any conflict of interest the respondent must be given a fair opportunity to know the case against him or her and to be given the opportunity to make a considered response.
- d) All staff, clients and contractors involved with the TGIA complaint procedures will be treated with respect and courtesy. Enquiries and complaints will be dealt with in a sensitive, equitable, fair, and confidential manner. All attempts will be made to deal with matters expeditiously while ensuring all parties are provided with sufficient time to prepare and or respond.
- e) TGIA acknowledges that it is of paramount importance and in the best interests of all parties that confidentiality is maintained during these procedures.
- f) TGIA encourages the reporting of behaviour that breaches equal opportunity policy but will not tolerate vexatious or frivolous complaints.

#### **4.9 Victimisation**

- a) In order for complaints to be brought forward, complainants must feel secure in the knowledge that the TGIA procedures will be followed without fear of reprisal.
- b) TGIA will not victimise or treat any person unfairly for making a harassment complaint.
- c) TGIA will not tolerate behaviour of victimisation of another person and expects all staff, contractors and clients to treat each other with dignity and respect.
- d) Any complaint of victimisation will be treated in the same manner as a complaint of discrimination, sexual harassment or vilification.

### **5. TGIA Responsibilities**

TGIA has a legal and moral obligation to provide equal opportunity in an environment free from discrimination for staff, contractors and clients to ensure that discrimination/harassment does not occur in the workplace.

TGIA will:

- Maintain policies and procedures for equal opportunities for all staff, contractors and clients;
- Disseminate policies and procedures to staff, contractors and clients;
- Examine all policies and practices, as they affect staff, contractors and clients to ensure the elimination of discrimination and harassment;
- Ensure that there is no discrimination against any individual client or group of clients or staff, in access to facilities, products and services;
- Educate staff and contractors on the general goals and philosophy of equal opportunity together with the rationale for policies and practices which are adopted;
- Eliminate sexist and other discriminator language from all publications and discourage the use of such language in all printed material and in the speech of its staff, contractors and clients;
- Establish and maintain mechanisms to deal with complaints.



## 5.1 Director Responsibilities

TGIA Director and Managers are responsible for client equity.

The Director will not condone nor engage in discriminatory/harassing behaviour.

The Director is responsible for ensuring that all staff are aware of this policy and that complaints will be dealt with in accordance with the terms of the Complaints and Appeals Policy.

The Director(s) and Manager(s) are to ensure staff act according to this policy and all clients are made aware of their rights and responsibilities pursuant to this policy.

The Director will maintain the confidentiality of all complaints. If the Director feels that they are not the appropriate person to deal with the complaint, they will refer the matter to either a member of the management team or an external independent party for review and/or action.

## 5.2 Staff, Contractors and Clients Responsibilities

TGIA staff, contractors and clients have the responsibility to:

- Act to prevent harassment, discrimination and victimization against others;
- Respect differences among other staff, clients and contractors, such as cultural and social diversity;
- Treat people fairly, without discrimination, harassment or victimization;
- Respect the rights of others;
- Respect people's rights to privacy and confidentiality;
- Refuse to join in with these behaviours;
- Supporting the person in saying no to these behaviours;
- Acting as a witness if the person being harassed decides to lodge a complaint;
- Observe site rules or behaviour guidelines set by TGIA Trainers/Assessors;
- Behave in a manner that does not interfere with the learning of others; and
- Conduct themselves in a responsible manner while in training;
- Ensure the rights of all clients to have their say, balanced with the responsibility to listen to others and allow others to have their say.

If a TGIA staff, contractor or client feels harassed, bullied or otherwise a victim of unwelcome behaviour, the staff, contractor or client is encouraged to inform the person where the behaviour is unwanted, unacceptable and/or offensive. If the staff, contractor or client feels unable to approach the person, or if the behaviour continues following their request that the behaviour cease, the Director TGIA should be contacted.

## 6. Legislation

This policy reflects our commitment to the following legislation:

- a) National Vocational Education and Training Regulator Act 2011 (NVR Act) – Commonwealth
- b) Vocational Education and Training Accreditation Act 1990 (New South Wales)
- c) Education and the Education and Training Reform Act 2006 (Victoria)

- d) Vocational Education and Training Act 1996 (Western Australia)
- e) Vocational Education, Training and Employment Act 2000 (Queensland)
- f) Training and Skills Development Act 2008 (South Australia)
- g) Training and Workforce Development Act 2013 (Tasmania)
- h) Age Discrimination Act 2004 (Commonwealth)
- i) Disability Discrimination Act 2009 (Commonwealth)
- j) Racial Discrimination Act 1975 (Commonwealth)
- k) Sex Discrimination Act 1984 (Commonwealth)
- l) Discrimination Act 1991 (Australian Capital Territory)
- m) Disability Services Act 1991 (Australian Capital Territory)
- n) Anti-Discrimination Act 1977 (New South Wales)
- o) Anti-Discrimination Act (Northern Territory)
- p) Anti-Discrimination Act 1991 (Queensland)
- q) Equal Opportunity Act 1994 (South Australia)
- r) Sex Discrimination Act 1994 (Tasmania)
- s) Anti-Discrimination Act 1998 (Tasmania)
- t) Equal Opportunity Act 2010 (Victoria)
- u) Disability Act 2006 (Victoria)
- v) Equal Opportunity Act 1984 (Western Australia)

## **7. Records Management**

All documentation from regarding complaints concerning Access and Equity matters are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **8. Monitoring and Improvement**

All Access and Equity practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Appeals Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs) 2015. As such, TGIA is required to have a policy and processes in place to manage requests for a review of assessment decisions

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where issues or inadequacies regarding assessment can be raised and resolved. The Appeals policy provides opportunity for appeals to be recorded, acknowledged and dealt with in a timely manner.

The object of this policy is to ensure that TGIA staff act in a professional manner at all times. This policy provides clients with a clear process to register an appeal. It ensures all parties involved are kept informed of the resulting actions and outcomes.

### 2. Policy Statement

TGIA acknowledges that clients have the right to appeal an assessment decision, based on valid grounds for appeal.

TGIA has provision for clients to appeal against assessment decisions.

TGIA ensures that clients have access to a fair and equitable process for lodging an appeal against an assessment decision.

In doing so, TGIA:

- has written processes in place for collecting and dealing with appeals in a constructive and timely manner;
- ensures that these procedures are communicated to all staff and clients;
- ensures that each appeal and its outcome are recorded in writing;
- ensures that each appeal is heard by an independent person or panel;
- ensures that each appellant has the opportunity to formally present his or her case;
- ensures that each appellant is given a written statement of the appeal outcomes, including reasons for the decision;
- takes appropriate action upon the subject of any appeal that is found to be substantiated; and
- utilizes outcomes of appeals to review current practices which may potentially lead to continuous improvement.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

## 4 Policy Principles

### 4.1 Underpinning Principles

- a) Clients have the right to lodge an appeal against an assessment decision if they feel they were unfairly treated during an assessment, and/or where they feel the assessment decision is incorrect and they have grounds for an appeal.
- b) The principles of natural justice and procedural fairness are adopted at every stage of the appeal process.
- c) The appeals policy is publicly available, via TGIA reception.
- d) The appellant can provide detail of their appeal either verbally and/or in writing.
- e) All appeals must be lodged within 7 calendar days of the date of the assessment result notification to the client.
- f) If the appeals process fails to resolve the appeal or the appellant is not satisfied with the outcome of the appeal, the matter will be referred to an independent third party for review, at the request of the appellant. All costs incurred for the third party review will be advised to the appellant.
- g) Every appeal is heard by a suitably qualified independent assessor or panel, who will be asked to make an independent assessment of the application.
- h) All appeals are acknowledged in writing and finalised as soon as practicable.
- i) TGIA may charge a fee for the appeals process where an external assessor is engaged. Should this be the case, all costs incurred will be advised to the appellant.
- j) If the appeal will take in excess of 60 calendar days to finalise TGIA will inform the appellant in writing providing the reasons why more than 60 calendar days are required. The appellant will also be provided with regular updates on the progress of the appeal.
- k) TGIA strives to deal with appeal issues as soon as they emerge, in order to avoid further disruption or the need for a formal complaint process.
- l) All appeals will be handled 'In-Confidence' and will not affect or bias the progress of the participant in any current or future training

### 4.2 Grounds for Appeal

Valid grounds for an appeal against an assessment decision (where the client feels the assessment decision is incorrect) could include the following:

- a) The judgement as to whether competency has been achieved and demonstrated was made incorrectly;
- b) The judgement was not made in accordance with the Assessment Plan;
- c) Alleged bias of the assessor;

- d) Alleged lack of competence of the assessor;
- e) Alleged wrong information from the assessor regarding the assessment process;
- f) Alleged inappropriate assessment process for the particular competency;
- g) Faulty or inappropriate equipment; and/or
- h) Inappropriate conditions.

### **4.3 Appeal Outcomes**

An investigation into an Appeal may result in one of the following outcomes:

- a) Appeal is upheld; in this event the following options will be available:
  - i. The original assessment will be re-assessed, potentially by another assessor.
  - ii. Appropriate recognition will be granted.
  - iii. A new assessment shall be conducted/arranged.
- b) Appeal is rejected/ not upheld; in accordance with TGIA assessment policy the client will be required to:
  - i. undertake further training or experience prior to further assessment; or
  - ii. re-submit further evidence; or
  - iii. submit/undertake a new assessment.

## **5 TGIA Responsibilities**

The Director of TGIA is the Appeals Resolution Officer. The Director may delegate responsibility for the resolution of the appeal if necessary.

Details concerning the scope of the Appeals Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Client Handbook and TGIA reception/director.

## **6 Appeals**

### **6.1 Appeals Process**

All appeals shall follow the below process:

- a) Appeal to be made in writing within 7 calendar days of notification of the assessment decision using the Appeals form.
- b) A submitted Appeals form will constitute a formal appeal from the appellant. Further detail may be provided by the appellant verbally.
- c) The Director TGIA shall be informed of receipt of any appeal.
- d) The Director TGIA may delegate responsibility for the resolution of the appeal, as appropriate.
- e) Appeals will be processed in accordance with the Appeals flowchart – Annex A.
- f) Appeals, where possible, are to be resolved within 28 days of the initial application.
- g) In all cases the final conclusion will be endorsed by the Director TGIA.
- h) The appellant will be advised in writing of the outcome of their appeal, within seven (7) days of the resolution.

- i) If the outcome is not to the satisfactory of the appellant, they may seek an appointment with the Director TGIA.
- j) If the appellant is not satisfied with the decision, they have the option to seek outside assistance to pursue the appeal.

## **7 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **8 Records Management**

Records of all appeals and their outcomes are maintained securely.

Records of appeals will include:

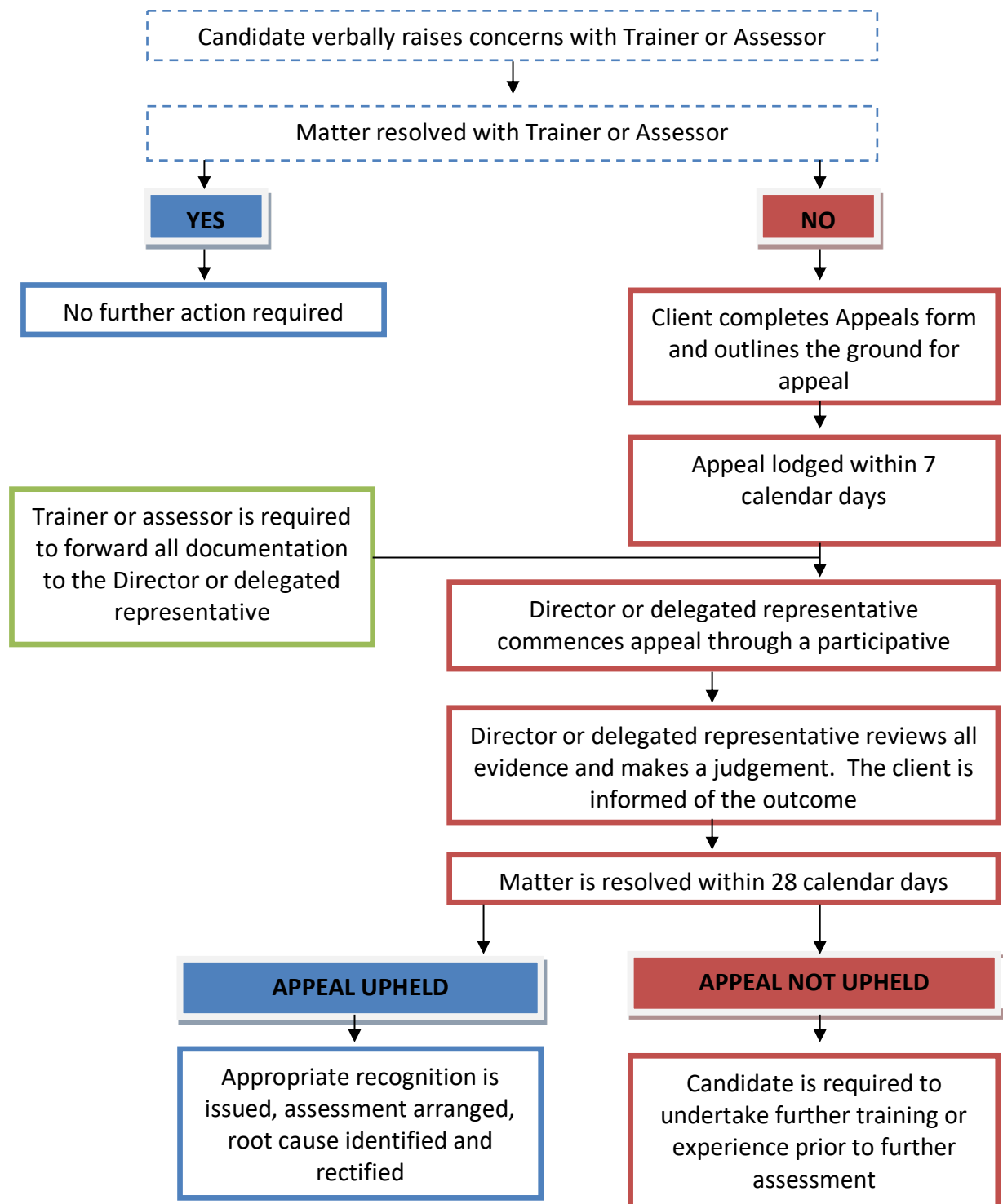
- a) How the appeal was dealt with;
- b) The outcome of the appeal;
- c) The timeframes for resolution of the appeal;
- d) The potential causes of the appeal; and
- e) The steps taken to resolve the appeal.

All documentation from Refund processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9 Monitoring and Improvement**

All appeals practices are monitored by the Director TGIA and will be discussed at Management Review Meetings with areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## ANNEX A: Appeals Process



## Assessment Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to implement an assessment system that ensures assessments (including recognition of prior learning) comply with the assessment requirements of national Training Packages and VET Accredited courses within its scope of registration.

This policy ensures TGIA assessment practices comply with SRTOs, provides TGIA assessors with clear information on assessment processes and evidence requirements, and ensures that assessments are conducted in accordance with the principles of assessment and rules of evidence.

### 2. Policy Statement

TGIA offers assessment opportunities to all enrolled clients. TGIA is committed to ensuring that all assessment is conducted in a fair and equitable manner, meeting the requirements of the relevant Training Package, industry expectations and standards.

TGIA applies flexible assessment options, which recognize the diversity of individual client needs and circumstances, facilitating wherever possible the realization of their learning and vocational goals.

TGIA ensures that:

- all assessment options and processes implemented are in compliance with competency-based assessment and Training Package requirements;
- all assessments ensure the integrity of the VET system;
- assessment complies with the Principles of Assessment (POA) as prescribed in the Standard for RTOS;
- evidence submitted for assessment is assessed in accordance with the Rules of Evidence (ROE) as prescribed in the Standard for RTOS; and
- all assessments are conducted by individuals who meet the necessary requirements as noted in the Standards for RTOs.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

**Assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.



**Competency** means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

**Recognition of Prior Learning (RPL)** means an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.

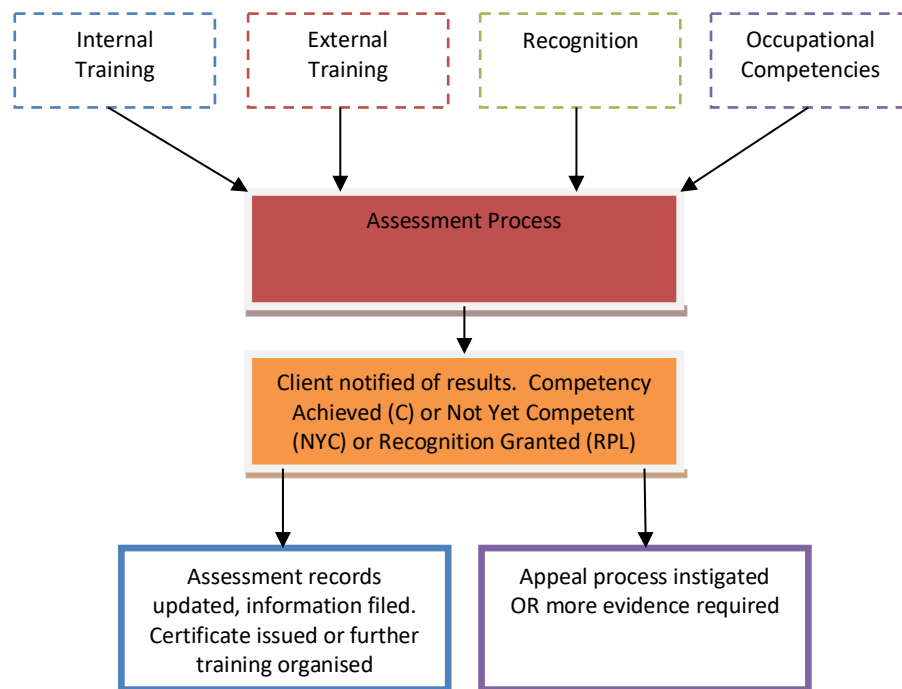
- a) formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);
- b) non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and
- c) informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

## **4. Policy Principles**

### **4.1 Underpinning Principles**

- a) Competency based assessment is a system of collecting evidence, about a person's performance to a pre-set competency standard with emphasis placed on what a person can do (the outcome) rather than comparing a person's achievement to others. There is no concept of pass or fail, only competent (C) or not yet competent (NYC). The training is focused and allows for greater participation of the client in the assessment process.

### The Assessment Model



#### b) Three levels of assessment:

Various levels of assessment may be used, including:

- i. **Diagnostic** also known as pre-assessment provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement.
- ii. **Formative** assessment assists and supports training by monitoring and advising clients of their performance and rate of progress against the training outcomes. This provides feedback to the client, supervisor and trainer on what development activities are needed to achieve the required competencies. Assessment accumulates.
- iii. **Summative** assessment evaluates of achievement of the Training outcome. Often conducted in the workplace, summative assessment confirms achievement of the competency requirements. Assessment culminates.

#### c) Assessment modes may include:

- i. On-the-job
- ii. As part of training
- iii. Off-the-job (Simulation)
- iv. Completion and submission of assignments / work projects
- v. Recognition of Prior learning (RPL)

#### d) Evidence gathering methods commonly used by TGIA may include, but are not limited to:

- i. Projects
- ii. Written Assignments

- iii. Workplace assignments
  - iv. Workplace performance
  - v. Documentation
  - vi. Demonstration
  - vii. Questioning
  - viii. Role play
  - ix. Simulation
  - x. Oral presentations
  - xi. Written tests
  - xii. Portfolio
- e) Assessment is carried out in accordance with the requirements of the relevant Training Package, on a consistent and timely basis to ensure that learning has taken place and that clients have acquired the knowledge and skills required to demonstrate competency.
  - f) All assessments will be recorded in accordance with TGIA Records Management Policy and procedures using appropriate documentation and Student Management System (SMS).
  - g) Assessment outcomes will be recorded and securely maintained in both electronic and manual systems.
  - h) feedback is provided to clients and includes the assessment outcome and guidance for further learning and assessment (as appropriate);

## 4.2 Special Considerations

- a) Clients who experience unforeseen circumstances or have special needs that affect their performance in an assessment may be eligible to apply for a special consideration and reasonable adjustment to assessment.
- b) Special consideration may apply to clients who during training or assessment experience one of the following circumstances:
  - i. Serious illness or psychological conditions for example, hospital admission, serious injury, severe anxiety or depression (requires doctor's certificate).
  - ii. Bereavement.
  - iii. Hardship/Trauma for example, victim of crime, sudden unemployment.
  - iv. Other exceptional circumstances (to be assessed on application).
- c) Clients wishing to apply for Special consideration in the above circumstances may do so by discussing their circumstances with Director TGIA.
- d) Approved applications for Special consideration may be subject to one of the following outcomes:
  - i. Extension of submission date (not beyond 6 months);
  - ii. Deferred Assessment;
  - iii. Additional assessment;
  - iv. No action;
  - v. Withdrawal from course without penalty;
  - vi. Resubmit/reassessment; or
  - vii. Opportunity to recommence course, dependent on availability on another date.

## 4.3 Reasonable Adjustments to assessment

- a) Clients have the right to apply for and receive adjustment to assessment activities to accommodate individual/special needs.
- b) Adjustments to assessment cannot compromise the integrity of assessment, elements and performance criteria of the unit of competency.
- c) Adjustments to assessment will not provide an unfair advantage / disadvantage to clients.

#### 4.4 Assessment Submission

- a) All assessments submitted must include a completed assessment cover sheet, for client identification and disclaimer purposes.
- b) Assessments must be submitted by clients within four (4) months of commencement of any unit/course.
- c) Clients who wish to submit assessment after four (4) months of commencement of a unit/course may need to re-enroll in the training course paying the scheduled course fee at the time.
- d) Clients are allowed one “re-submit” for an assessment which has previously been deemed “Not Yet Competent”. Fees may apply for a second “Re-submit”, at the discretion of Director TGIA.
- e) Third and subsequent re-submissions are not allowed. Clients must undertake further learning and possibly re-enroll, therefore paying a further course fee.

#### 4.5 Principles of Assessment

- a) Assessments are conducted in accordance with the Principles of Assessment as prescribed in the Standards for RTOs. Below is an excerpt from the Standards for RTOs 2015 (Table 1.8-1):

<b>Fairness</b>	<p>The individual learner’s needs are considered in the assessment process.</p> <p>Where appropriate reasonable adjustments are applied by the RTO to take into account the individual learner’s needs.</p> <p>The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary</p>
<b>Flexibility</b>	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• Reflecting the learner’s needs;</li> <li>• Assessing competencies held by the Learner no matter how or where they have been acquired; and</li> <li>• Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
<b>Validity</b>	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li>• Assessment against the unit/s of competency and the</li> </ul>

	<p>associated assessment requirement covers the broad range of skills and knowledge that are essential to competent performance;</p> <ul style="list-style-type: none"> <li>• Assessment of knowledge and skills is integrated with their practical application;</li> <li>• Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>• Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessments requirements.</li> </ul>
<b>Reliability</b>	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

#### 4.6 Rules of Evidence

- a) Assessments are conducted ensuring compliance with the Rules of Evidence (ROE) as prescribed in the Standards for RTOs. Below is an excerpt from the Standards for RTOs 2015 (Table 1.8-2):

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

#### 4.7 Assessor Requirements

- a) All assessments are undertaken by suitable qualified Assessors who have both assessor competencies and vocational competencies at least to the level being assessed, and as prescribed in Standard 1 and Schedule 1 of the Standards for RTOs 2015.

#### 4.8 Assessment Resources

- Assessment resources are developed in consultation with industry. (See Training Strategies and Resources Policy)
- Assessment tools are the resources used by assessors to identify and record the skills and knowledge clients must demonstrate to be deemed competent in a unit/module.
- Assessment tools are crucial for the accurate and consistent assessment of clients against competency standards.

- d) Assessment tools are required as evidence of assessment and must be retained on record as proof that a person was assessed as competent, for a minimum period of six (6) months.
- e) Assessment tools consists of:
  - i. Instructions for clients;
  - ii. Instructions for assessors;
  - iii. Assessment instruments;
  - iv. Pre assessment briefing;
  - v. Assessment checklists; and
  - vi. Assessment outcome Summary.

#### 4.9 Assessment Validation

- a) TGIA assessment policies, processes, resources and outcomes are validated regularly. (See Validation Policy)

#### 4.10 Assessment Marking

- a) Assessments are not graded.
- b) Assessments are assessed/marked in order of submission date.
- c) When marking assessments, Assessors will make comments and provide genuine feedback for the entire assessment.
- d) Clients are notified of assessment outcomes within two (2) weeks of submission.

#### 4.11 Assessment Decisions and Outcomes

- a) Assessment outcomes are recorded as one of the following:
  - i. **Competent (C)** - Clients are deemed 'competent' when they have consistently demonstrated their skills and knowledge to the standard required in the workplace, for a full unit/module.
  - ii. **Not Yet Competent (NYC)** – Clients are deemed 'Not Yet Competent' when they are unable/have not demonstrated appropriate levels of competence in accordance with the minimum performance standards for a full unit/module.
- b) Clients assessed as 'Not Yet competent' shall receive feedback and guidance from the Assessor, and may be required to undergo further training before re-assessment.

#### 4.12 Assessor Code of Conduct

- a) All TGIA Assessors abide by the following code of conduct.

Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME)). The Code of Practice below is based on the international standards.

  - i. The differing needs of clients will be identified and handled with sensitivity
  - ii. Conflict of interest in the assessment process will be identified with appropriate referrals made to the operations manager when identified
  - iii. All forms of harassment will be managed throughout the planning, conduct, reviewing and reporting of the assessment outcomes as per the Access and Equity Policy

- iv. The rights of the client are protected during and after the assessment
- v. Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes as per the Complaints and Appeals Policy
- vi. The client is made aware of rights and processes of appeal
- vii. Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- viii. Assessment decisions are based on available evidence that can be accessed and verified by another assessor
- ix. Assessments are conducted within the boundaries of the assessment system policies and procedures
- x. Formal agreement is obtained from both the client and the assessor that the assessment was carried out in accordance with the procedures briefed before the commencement of the assessment
- xi. Assessment tools, systems, and procedures are consistent with equal opportunity legislation
- xii. Prior to the assessment the client is informed of all assessment reporting processes and all known potential consequences of decisions arising from the assessment
- xiii. Confidentiality is maintained regarding assessment results and are only released with the written permission of the client
- xiv. The assessment results are used consistently with the purpose explained to the client
- xv. Self-assessments are periodically conducted to ensure current competencies against the Training and Assessment Competency Standards
- xvi. Professional development opportunities are identified and sought by assessors
- xvii. Opportunities for networking amongst assessors are created and maintained with technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

#### **4.13 Recognition of Prior Learning**

- a) All clients are offered access to Recognition of Prior Learning (RPL), Recognition of Current Competency upon enrolment. (See Recognition Policy)

#### **4.14 Plagiarism, Cheating and Collusion in Assessment**

- a) Plagiarism, cheating and collusion in assessment are expressly prohibited.
- b) Clients cannot submit any piece of work for assessment that is not entirely their own work.
- c) Clients cannot assist other TGIA clients with assessed work.
- d) Clients cannot accept assistance from other TGIA clients with assessed work.
- e) Clients cannot submit the same piece of work for assessment, as another learner/client of TGIA.
- f) All cases of plagiarism, cheating and collusion are treated as a serious matter and will be reviewed and treated on a case by case basis.
- g) Depending on severity and circumstances, penalties of plagiarism, cheating and collusion may include one or more of the following (i.e. sanctions may not be discrete):
  - i. Completion and resubmission of a new assessment task; and/or

- ii. All parties receiving a “Not Yet Satisfactory” result for the assessment task; and/or
- iii. Verbal or written warning; and/or
- iv. Suspension or expulsion from the course.
- h) Client records will be noted with all investigated and proven incidents.
- i) All incidents will be reviewed by the Director TGIA.

## **5. TGIA Responsibilities**

### **5.1 Director**

Director TGIA is responsible for ensuring assessments comply with the requirements of National Training packages, the current AQF Handbook and the Standards for Registered Training Organisations and that they are within the current scope of registration.

The Director TGIA must ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options.

The Director TGIA is responsible for ensuring the assessment strategies are designed with the flexibility to meet the needs and circumstances of a wide range of clients, including those who may be socially, linguistically, educationally, or otherwise disadvantaged.

The Director will ensure:

- a) All appointed and authorised Assessors possess and maintain relevant qualifications and vocational competency in accordance with those required in Standards of RTOs.
- b) Clients are provided information on the assessment process prior to assessments being conducted.
- c) Assessors incorporate the principles of assessment including validity, reliability, flexibility and fairness when conducting assessments.
- d) Assessors apply the rules of evidence including validity, sufficiency, currency and authenticity when conducting assessments.
- e) Assessment processes provide for Recognition of Prior Learning (RPL).
- f) An effective feedback mechanism is established and implemented to inform clients and clients on their assessment progress and results.
- g) An effective recording and reporting process of the unit of competency/module including access to information by clients to their records.
- h) Clients have access to an open, equitable and transparent appeals process.
- i) Awards of qualifications are in accordance with RTO Scope of Registration as listed by TGA ([www.training.gov.au](http://www.training.gov.au)).
- j) Ongoing internal monitoring and validation of the assessment system for quality control checks.
- k) Management and staff participation in an independent (external auditing) quality control process conducted by the VET regulator.

### **5.2 Assessors**



Assessors conducting assessment on behalf of TGIA will:

- a) Ensure they assess and judge a client's skills and knowledge of competence against set standards, principles of assessment and rules of evidence.
- b) Ensure that safety of the personnel involved in the assessment is maintained at all times.
- c) Ensure that assessment focuses on the application of knowledge and skills to the standard of performance required in the workplace and covers all aspects of workplace performance.
- d) Ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options.
- e) Interpret and understand the performance criteria and evidence requirements.
- f) Select appropriate assessment methods and materials.
- g) Make fair and objective judgements.
- h) Abide by the Assessor Code of Conduct.
- i) Provide all relevant paperwork to administration for processing in a timely manner.

## **6. Appeals**

Clients have the right to appeal an assessment decision. (See Appeals Policy)

## **7. Access and Equity**

Clients have fair and equal rights to assessment. (See Access and Equity Policy)

## **10 Records Management**

All completed assessment items for all clients will be kept by TGIA for a minimum of six (6) months.

All assessment outcomes will be recorded and kept for a period of 30 years.

All documentation from Assessment processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **11 Monitoring and Improvement**

All Assessment practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Audit Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the requirements of the Standards for Registered Training Organisations (SRTOs) 2015. As such, TGIA is required to systematically and regularly monitor and review training and assessment strategies and practices, to ensure compliance with SRTOs, and utilise the outcomes of such reviews to inform continuous improvement actions. TGIA is also required to undergo external auditing by the VET Regulator.

### 2. Policy Statement

TGIA is committed to ensuring the compliance of its training and assessment system, policies and procedures with the requirements of the SRTOs.

In doing so, TGIA will:

- Implement and maintain processes for the annual audit of its training and assessment systems, policies and procedures across all of its operations and scope of registration, for compliance against SRTOs;
- Implement and maintain processes for the regular audit of training and assessment systems, practices for compliance against SRTOs;
- Document all audit processes, results and outcomes in an annual Audit Report;
- Ensure the Audit Report is reviewed by the Director TGIA, addressing compliance issues and audit results each year;
- Provide a TGIA Annual declaration of compliance with SRTOs to the appropriate VET Regulator, as required;
- Accept and cooperate fully with 'external audits' conducted by Auditors from the relevant VET Regulator or Funding body, providing accurate and truthful responses to information requests;
- In the conduct of audits, facilitate evidence collection, maintain and make available all pertinent records and provide access to relevant documents, facilities and personnel on request; and
- Ensure that outcomes from audit activities feed into continuous improvement of training and assessment strategies and practices.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**External Audit** means an audit or compliance audit undertaken by the VET Regulator.

**Operations** of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**VET Regulator** means:

- a) the National VET Regulator; and
- b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

## **4. Policy Principles**

### **INTERNAL AUDITS –**

#### **4.1 Audit Principles**

- l) A complete audit against the Standards for Registered Training Organisations is to be conducted internally at least every 12 months. This audit will be conducted in accordance with an audit schedule.
- m) This internal audit will examine all standards, policies, procedures, products across the scope of registration and scale of operations
- n) Audits will involve the examination of records and evidence provided by the system.

#### **4.2 Audit Objectives**

- a) To determine TGIA compliance with the SRTOs for registered training organisations;
- b) To determine the effectiveness of the training and assessment strategies and practices;
- c) To provide an avenue for the identification of continuous improvement opportunities.

#### **4.3 Audit Schedule**

- d) Unless determined otherwise, audits shall be undertaken at least annually, giving due consideration to the timing of audits by other parties. e.g. VET Regulator, Funding Body etc;
- e) New projects shall be audited within six months of commencement.

#### **4.4 Outcomes of Audits**

- a) Results of audits will:
  - i. be documented on the Self-Assessment Tool and Audit Report; and
  - ii. include observations of compliances, non-compliances and opportunities for improvements (OFIs), as relevant.
- b) If corrective actions or further investigation is required, these will be identified and implemented.
- c) Outcome of audits will undergo management review, to determine and endorse changes required to business operations and practices.

- d) Non-compliances will be corrected within 3 months of the identification (from the date of the audit).
- e) Outcomes of all audits feed into Continuous Improvement practices. (See Continuous Improvement Policy)

## **EXTERNAL AUDITS –**

### **4.5 Auditing by VET Regulator**

- a) TGIA cooperates with the by VET Regulator in the conduct of audits and the monitoring of its operations. (See Management of RTO Policy)

### **4.6 Auditing by other external / Funding bodies**

- a) TGIA cooperates with other regulator/ funding body's auditors demonstrating compliance with contractual obligations.

## **5. TGIA Responsibilities**

### Director TGIA / Lead Auditor

- Compliance with this audit policy
- Responsible for all phases of the audit
- Planning and conducting internal audit processes
- Documenting processes and observations
- Reporting audit results, developing the audit report.

### Auditor/s (used as necessary)

- Collect and analyse evidence
- Compliance with this audit policy

### Staff TGIA

- Compliance with this audit policy
- Provide accurate and truthful information and responses to requests from auditors

## **12 Records Management**

All documentation from Audit processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **13 Monitoring and Improvement**

All Audit practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Client Information Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to make available accurate and accessible information about the RTO, its services and performance to prospective and current clients.

### 2. Policy Statement

TGIA is committed to ensuring that current and prospective clients are provided with all relevant training and assessment information regarding the RTO, training and assessment products and its services, so that they may make informed decision about undertaking training and assessment.

TGIA provides clear information regarding:

- Courses offered; including services, course content and vocational outcomes, as per TGIA scope of registration;
- Fees and charges, including payment terms, refund policy and exemptions (where applicable);
- Provision for language, literacy and numeracy assistance;
- Client support;
- Flexible learning and assessment options;
- Appeals and complaints processes;
- Recognition of prior learning and credit transfer arrangements;
- Arrangements with third parties;
- Funding and subsidy arrangements (as applicable);
- Industry licences or regulated outcomes (relevant to course offerings);
- Certification; and
- Course resource requirements (additional or supplied).

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Educational and support services** may include, but are not limited to:

- o) pre-enrolment materials;
- p) study support and study skills programs;
- q) language, literacy and numeracy (LLN) programs or referrals to these programs;
- r) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- s) learning resource centers;
- t) mediation services or referrals to these services;
- u) flexible scheduling and delivery of training and assessment;
- v) counseling services or referrals to these services;

- w) information and communications technology (ICT) support;
- x) learning materials in alternative formats, for example, in large print;
- y) learning and assessment programs contextualised to the workplace; and
- z) any other services that the RTO considers necessary to support learners to achieve competency.

**Mode of delivery** means the method adopted to deliver training and assessment, including online, distance, or blended methods.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

## 4. Policy Principles

### 4.1 Underpinning Principles

- a) TGIA provides accurate, relevant and up-to-date information to clients and prospective clients, prior to enrolment or commencement of training and assessment, regarding their training and assessment options so that they may make informed choices regarding their learning needs.
- b) TGIA maintains an up-to-date document with full client information.
- c) Course brochures have been developed for each training program and are available to all current and prospective clients.
- d) All information provided to current and prospective clients:
  - i. Accurately represent the services being provided and training products on TGIA scope of registration;
  - ii. Makes reference to another person or organisation only if that person or organisation has given consent;
  - iii. Includes the NRT logo only in accordance with the conditions of use specified in Schedule 4 of the Standards for RTOs 2015;
  - iv. Distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification from any other training or assessment delivered by the RTO;
  - v. Only advertises non-current training products while they remain on the TGIA scope of registration;
  - vi. Only markets or advertises licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
  - vii. Does NOT guarantee that:
    - a. A client will successfully complete a training product;

- b. A training product can be completed in a manner which does not meet the requirements of the learning and assessment strategy and training package;
  - c. A client will obtain a particular employment outcome where this is outside the control of TGIA.
- e) Information may be provided to current and prospective clients students in (but not limited to) (See Marketing Policy):
  - i. Policies and Procedures
  - ii. Course Brochures
  - iii. Student handbook
  - iv. Course confirmation letters
  - v. Participant manuals
  - vi. Assessment resources
  - vii. Training Journals
- f) Where there are any changes to agreed services, TGIA will advise clients as soon as practicable

#### **4.2 Client information includes:**

- a) Information provided to clients and prospective clients will include, but is not limited to:
  - i. RTO code;
  - ii. Course outcomes and pathways;
  - iii. Full code, title and currency of training product, as published in the national register;
  - iv. Estimated duration of the course;
  - v. Expected course location;
  - vi. Training and assessment arrangement, including modes of delivery available;
  - vii. Enrolment and selection processes;
  - viii. Work placement arrangements (as relevant);
  - ix. TGIA obligations to the client, including quality assurance;
  - x. Certification;
  - xi. Fees and charges, including deposits, payment options and obligations (specifically under VET FEE-Help or other government subsidy and financial support arrangements [as applicable]);
  - xii. Refund policy and processes;
  - xiii. Provision for language, literacy and numeracy assistance and support;
  - xiv. Educational and support services;
  - xv. Legislative and occupational licensing requirements (as relevant);
  - xvi. Flexible learning and assessment options;
  - xvii. Appeals and complaints procedures;
  - xviii. Recognition of prior learning and Credit transfer;
  - xix. Participant responsibilities and expected standards of behaviour;
  - xx. Materials and resources to be provided by the client.

### **5. TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

## **6. Legislation**

Legislation applicable to this policy includes (See Legislation compliance Policy) :

- Competition and Consumer Act 2010
- Fair Trading Legislation and Regulations
- Trade Practices Legislation and Regulations

## **7. Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **8. Records Management**

All documentation regarding the provision of client information are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9. Monitoring and Improvement**

All provision of client information practices is monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)



## Complaints Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to have a policy and processes in place to manage and respond to allegations involving the conduct of staff, learners.

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where issues or inadequacies can be raised and resolved. This process provides opportunity for complaints to be recorded, acknowledged and dealt with in a fair, efficient and effective manner.

The object of this policy is to ensure that TGIA staff act in a professional manner at all times. This policy provides clients with a clear process to register a complaint. It ensures all parties involved are kept informed of the resulting actions and outcomes.

### 2. Policy Statement

TGIA acknowledges the clients' right to lodge a complaint when they are dissatisfied with the training and /or assessment services and experiences that they have been provided by TGIA.

TGIA will ensure that clients have access to a fair and equitable process for expressing complaints, and that TGIA will manage the complaint with fairness and equity.

In doing so, TGIA:

- m) has written procedures in place for collecting and managing complaints in a constructive and timely manner;
- n) ensures that these procedures are communicated to all staff, and clients;
- o) ensures that all necessary documentation and resources are in place to enable clients to submit a complaint;
- p) ensures that each complaint and its outcome is recorded in writing; and
- q) ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

### 4 Policy Principles

#### 4.1 Principles

In managing complaints, TGIA will ensure that:

- a) The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
- b) The complaints policy is publicly available.
- c) There is a procedure for making a complaint.
- d) Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- e) Complaints will be resolved on an individual case basis, as they arise.
- f) All clients have the right to express a concern or problem and/or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided or the behavioural conduct of another learner.
- g) All complaints are acknowledged in writing and finalised as soon as practicable.
- h) The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant and respondent, using a process of discussion, cooperation and conciliation.
- i) The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
- j) In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- k) Final decisions will be made by the Director TGIA or an independent party to the complaint.
- l) The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- m) If the complaints process fails to resolve the complaint or the complainant is not satisfied with the outcome of the complaint the matter will be referred to an independent third party for review, at the request of the complainant. All costs incurred for the third-party review will be advised to the complainant.
- n) If the complaint will take in excess of 60 calendar days to finalise TGIA will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.
- o) Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.
- p) All complaints will be handled as Staff-In-Confidence and will not affect or bias the progress of the client in any current or future training.

## 4.2 Types of Complaints

A complaint may include allegations involving the conduct of:

- k) TGIA, its trainers, assessors or other staff; or
- l) A learner of TGIA.

## 5 TGIA Responsibilities

The Director of TGIA is the Complaints Resolution Officer. The Director may delegate responsibility for the resolution of the complaint if necessary.

Details concerning the scope of the Complaints Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Client Handbook and TGIA director/reception.

## 6 Process

### 6.1 Complaints

If a client has a complaint, they are encouraged to speak immediately with the trainer/assessor to resolve the issue. If the complainant is not satisfied that the issue has been resolved they will be asked to complete a Complaints Form, to lodge a formal complaint. TGIA will then investigate the complaint and advise the complainant of the outcome.

If the complainant is not satisfied with the outcome they may write to the Director, setting out in detail the issue of concern. This may lead to occasions where an industry-training representative may be invited to act as an objective party in order to negotiate a satisfactory resolution.

### 6.2 General Complaints

Where possible all non-formal attempts shall be made to resolve the issue. This may include advice, discussions, and general mediation in relation to the issue and the complainant's issue. Any staff member can be involved in this informal process to resolve issues but once a complainant has placed a formal complaint / appeal the following procedures must be followed:

- Any student, potential student, may submit a formal complaint to TGIA with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for accessing the internal complaints and appeals process.
- Complainants have the right to access advice and support from independent external agencies / persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the CEO.
- Any person wishing to submit a formal complaint or appeal can do so by completing the 'Complaints and Appeals Form' and state their case providing as many details as possible. This form can be gained by contacting Student Administration at the RTO.
- All formally submitted complaints or appeals are submitted to the Student Administration. Complaints are to include the following information:
  - Submission date of complaint
  - Name of complainant
  - Nature of complaint
  - Date of the event which lead to the complaint
  - Attachments (if applicable)

- Once a formal complaint is received it is to be entered into the 'Complaints and Appeals Register' which is monitored by the CEO regularly. The information to be contained and updated within the register is as follows:
  - Submission date of complaint
  - Name of complainant
  - Description of complaint / appeal
  - Determined Resolution
  - Date of Resolution
- A complainant may be assisted or accompanied by a support person regardless of the nature of the issue or complaint throughout the process at all times.
- Training Manager will acknowledge the receipt of complaint and will notify the complainant in writing within 10 working days from receiving the complaint.
- The Training Manager shall then refer the matter to the appropriate staff to resolve or make a decision on the complaint within 10 working days and keep the complainant informed of any decisions or outcomes concluded, or processes in place to deal with the complaint. In the unlikely event that the complaint is not finalised within 60 calendar days, the RTO shall ensure that the complainant shall be provided reasons for the delay and will be regularly kept informed and updated of the progress of the matter.
- Once a decision has been reached the Training Manager shall be required to inform all parties involved of any decisions or outcomes that are concluded in writing. Within the notification of the outcome of the formal complaint the complainant shall also be notified that they have the right of appeal. To appeal a decision, the RTO must receive, in writing, grounds of the appeal. Complainants are referred to the appeals procedure.
- The Training Manager shall ensure that the RTO will act immediately on any substantiated complaint. If the internal or any external complaint handling or appeal process results in a decision that supports the complainant, the registered provider must immediately implement any decision and/or corrective and preventative action that is required and advise the complainant of the outcome.
- Copies of all documentation, outcomes and further action required will be placed into the 'Complaints and Appeals Register' by Student Administration and on the student's file / complainants file.

### 6.3 Complaints Process

All complaints shall follow the below process:

- i) Complaints are to be made in writing within 7 calendar days of the incident using the Complaints Form.
- j) A submitted complaint form will constitute a formal complaint from the client. Further detail of the complaint can be provided by the client verbally.
- k) The Director TGIA must be informed of receipt of all complaints immediately.
- l) The Director TGIA may delegate responsibility for the resolution of the complaint.

- m) In the case of a complaint, the Director TGIA will initiate a transparent, participative investigation to identify the issues.
- n) Complaints will be processed in accordance with the Complaints flowchart - Annex A.
- o) Complaints, where possible, are to be resolved within 14 calendar days of the initial application.
- p) In all cases the final conclusion will be assessed by the Director TGIA.
- q) The Client will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.
- r) If the outcome is not to the satisfaction of the Client, they may seek an appointment with the Director TGIA.
- s) If the client is not satisfied with the decision, they have the option to seek outside assistance to pursue the complaint.

## **7 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **8 Records Management**

Records of all complaints and their outcomes are maintained securely.

Records of complaints include:

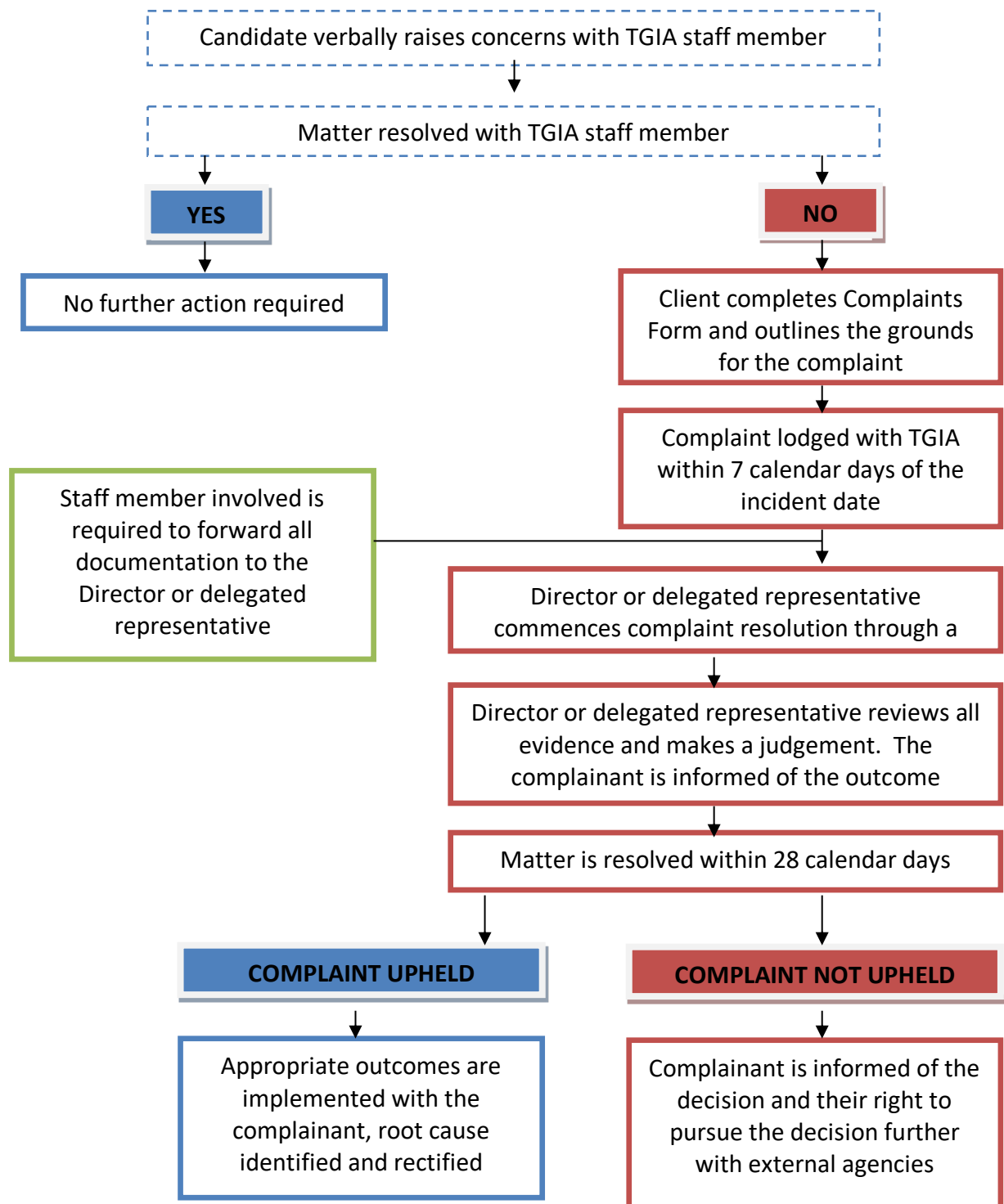
- a) How the complaint was dealt with;
- b) The outcome of the complaint;
- c) The timeframes for resolution of the complaint;
- d) The potential causes of the complaint; and
- e) The steps taken to resolve the complaint.

All documentation from Refund processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9 Monitoring and Improvement**

All complaints practices are monitored by the Director TGIA and will be discussed at Management Review Meetings with areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## ANNEX A: Complaints Process



## Continuous Improvement Policy

### 1. Purpose

Continuous improvement is an essential component of operating a training and assessment system that meets or exceeds defined quality standards.

TGIA is committed to providing high quality training and assessment that is relevant to clients, employers and industry and meets the requirements of the Standards for Registered Training Organisations (SRTOs 2015). TGIA is required to systematically monitor, evaluate and improve its training and assessment practices through continuous improvement practices.

The object of this policy is to provide a mechanism for TGIA to systematically and continually review and improve its systems and practices (including policies and practices), as well as training and assessments products and services to meet compliance with the Standards Registered Training Organisations.

### 2. Policy Statement

TGIA is committed to the continuous improvement of its training and assessment system, strategies and practices, products and resources to ensure ongoing quality delivery and compliance with the Standards for RTOs.

TGIA will:

- implement and maintain strategies and practices to systematically monitor its compliance with the Standards for RTOs;
- review and evaluate its training and assessment strategies and practices (using various processes)
- utilise the outcomes of all monitoring and evaluative processes to inform and continually improve training and assessment strategies and practices.

### 3. Policy Principles

#### 3.1 Underpinning Principles

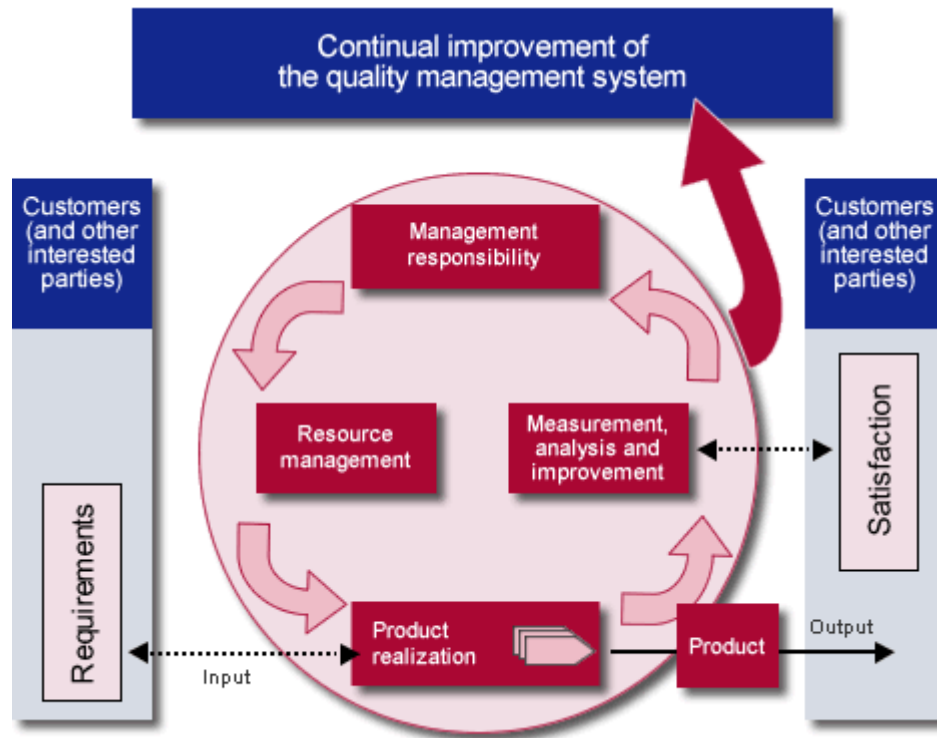
- a) TGIA continuous improvement approach is systematic, involves staff, clients and other stakeholders, and uses qualitative and quantitative data to determine the need for improvement to the RTO's services, operations, practices and systems.
- b) TGIA continuous improvement focuses areas include, but is not limited to:
  - i. Training and assessment products and services;
  - ii. Training and assessment resources, tools and instruments;
  - iii. Facilities and equipment;
  - iv. Policies, procedures and practices;
  - v. Management / operational systems;
  - vi. Strategic / business plans;
  - vii. Staff performance, competencies and professional development;

- c) Continuous improvement is ongoing and may be planned or unplanned, occurring as often as identified and required.
- d) All staff are encouraged to report any opportunities for improvement to the Director in writing as they identify them. Staff are to provide any information and data they have collected to support their recommendations so it can be analysed and acted on accordingly.
- e) Staff recommendations are reviewed by Director TGIA at the regular staff meetings.
- f) Improvements may be implemented immediately or at an appropriate time, depending on the urgency and circumstances, action and subsequent affect to other operational systems and practices.
- g) Continuous improvement actions are recorded and maintained on the “Continuous Improvement Register”.
- h) TGIA identifies areas of continuous improvement for all areas of its operations through (but not limited to):
  - i. Training and assessment outcomes
  - ii. Client feedback on training (See Evaluation Policy)
  - iii. Client feedback on assessment (See Evaluation Policy)
  - iv. Workplace / Client Management feedback (See Evaluation Policy)
  - v. RTO Management review
  - vi. Candidate feedback (regarding Assessment); (See Evaluation Policy)
  - vii. Client satisfaction surveys; (See Management of RTO Policy)
  - viii. Trainer feedback (See Evaluation Policy)
  - ix. Assessor feedback (See Evaluation Policy)
  - x. Staff feedback
  - xi. RTO Auditing (internal and external) (See Audit Policy)
  - xii. Complaints (See Complaints Policy)
  - xiii. Appeals (See Appeals Policy)
  - xiv. Induction of staff and contractors
  - xv. Course reports (See Course Delivery Policy)
  - xvi. Legislative or regulatory changes (See Legislation Compliance Policy)
  - xvii. Feedback or liaison from stakeholders
  - xviii. Administrative processes / efficiencies (See Records Management Policy)
  - xix. Performance Management/ Trainer Observations (See HR Policy)
  - xx. Validation and Moderation (See Validation Policy)
  - xxi. Changes to Training Packages (See Transition of Training Packages Policy)
  - xxii. Industry consultation and feedback
  - xxiii. Networking activities
  - xxiv. Staff Professional Development
  - xxv. Quality indicators data, under “Data Provision Requirements”
  - xxvi. Development of Learning and Assessment Strategies and Resources (See Policy)
  - xxvii. VET Regulator / Industry updates
  - xxviii. Review of marketing practices
  - xxix. Industry licensing / regulatory bodies
  - xxx. Industry Skills Councils (ISCs)
  - xxxi. Annual Business planning
  - xxxii. Business/Finance reviews
  - xxxiii. AWITMISS Data
- i) TGIA seeks feedback from clients regarding their satisfaction with services they have received. This feedback is collated and reviewed by TGIA to identify areas of continuous improvement. (See Evaluation Policy)



- j) TGIA conducts internal auditing against quality standards (e.g. the Standards for RTOs 2015), all policies and procedures, and training and assessment products and services (See Audit Policy).
- k) TGIA provides information and feedback regarding continuous improvement actions to all staff via:
  - i. Staff meetings
  - ii. Staff memos
  - iii. Training / coaching sessions
  - iv. Intranet
  - v. Email
  - vi. Noticeboards
- l) All continuous improvement actions need to account for, and maintain, consistency with other policies, procedures, practices, management systems and staff responsibilities. To ensure consistent implementation, all impending continuous improvement actions will be verified and implemented as follows:
  - i. Checked against the affect the amendment may have on other policies, procedures, or systems;
  - ii. Check against the affect the amendment may have on the working or process of other written documents;
  - iii. Communicating the details of the amendments throughout the organisation,
  - iv. Actively engaging staff in continuous improvement and implementation processes;
  - v. Potentially undertaking a trial of the amendment to test its effectiveness and cause of results.
- m) TGIA implements where possible the continuous improvement cycle from ISO9001:2008 indicated in the diagram below.

## Cycle of Improvement



**Diagram 1 – Continuous Improvement**

#### **4 TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.  
<Position 1> of TGIA will process refund requests within 1 week from the day of receipt.

#### **5 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

#### **6 Records Management**

All continuous improvement related documentation is recorded and maintained in accordance with records management processes (See Records Management Policy).

#### **7 Monitoring and Improvement**

All enrolment practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Enrolments Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to comply with relevant Commonwealth, State and Territory laws regarding and including anti-discrimination and equal opportunity. TGIA is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes.

The purpose of this policy is to provide fair and equitable process for client enrolment and ensure clients are provided with accurate and sufficient information to make an informed choice about their enrolment and chosen course.

### 2. Policy Statement

TGIA is committed to ensuring all clients enrolling on courses are treated fairly and equitable, and are clearly informed of the enrolment process, conditions, details regarding their chosen course, rights and obligations.

TGIA will provide prospective and current clients with advice regarding relevant training products to meet their needs, taking into account the individual existing skills and competencies.

### 3. Definitions

#### 3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

**Educational and support services** may include, but are not limited to:

- q) pre-enrolment materials;
- r) study support and study skills programs;
- s) language, literacy and numeracy (LLN) programs or referrals to these programs;
- t) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- u) learning resource centres;
- v) mediation services or referrals to these services;
- w) flexible scheduling and delivery of training and assessment;
- x) counselling services or referrals to these services;
- y) information and communications technology (ICT) support;
- z) learning materials in alternative formats, for example, in large print;
- aa) learning and assessment programs contextualised to the workplace; and
- bb) any other services that the RTO considers necessary to support learners to achieve competency.

**Student Identifier** has the meaning given in the *Student Identifiers Act 2014*.

## **4 Policy Principles**

### **4.1 Information to Clients**

- a) Prior to enrolment each client is provided with access to a Student Handbook, Course Information, and client policies. (See Client Information Policy)

### **4.2 Enrolment of Individual Clients**

- a) Enrolment into training programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with the TGIA Access & Equity Policy.
- b) Enrolments are subject to availability of places on the training program, based on the maximum number of clients who can be accommodated under the particular circumstances (e.g. safety, capacity of training venue, type of course, learning structures etc. within program).
- c) All prospective clients will be provided with information regarding the RTO and its course, in accordance with TGIA Client Information Policy.
- d) TGIA will review the individual needs of each prospective client, taking into account their existing skills and competencies, advising them of the most appropriate training product to meet their needs.
- e) If a training program is fully booked at the time a client enquires about enrolment into that particular training program, they will either be placed on a 'Wait List' or offered a place on another date that the program has been scheduled, which is not fully booked.
- f) Clients on the 'Wait List' are given priority should a place become available. This is strictly on a first-in, first-served basis.
- g) Enrolments will be considered tentative until payment and the Student Identifier has been received. Should enrolment numbers reach maximum, and another person wishes to enrol on a course where there is a tentative enrolment. The tentative booking will be contacted to confirm payment. If payment is not made the place will be given to the new client.
- h) All Clients enrolled on courses are advised in writing, upon receipt of their enrolment form and payment, that their place on the course is confirmed.
- i) Course fees are payable in advance (subject to Financial Management Policy – Course Fees).

### **4.3 Special Needs of Clients**

- a) Clients intending to enrol for training are requested, to advise of any physical or other impairments/ needs (e.g. English language difficulties, dyslexia) which may adversely affect their ability to successfully undertake the training. (See Access & Equity Policy)

### **4.4 Language, Literacy and Numeracy Abilities of Clients**

- a) Clients intending to enrol for training are assessed on their language, literacy and numeracy abilities to determine their capability to successfully undertake the training and determine whether any additional support is needed. (See Access & Equity Policy)

### **4.5 Student Identifier**

- m) All clients are required to provide their unique Student Identifier, in accordance with requirements of Student Identifier Act.
- n) Students will be advised on the process of obtaining a Student Identifier if they do not already have one, via <http://www.usi.gov.au/Pages/default.aspx>
- o) TGIA will verify and maintain all Student Identifier numbers in its Student Management System (SMS).

#### **4.6 Group Enrolments (Corporate Client / Employer)**

- a) Director TGIA negotiates course requirements with relevant company client representative.
- b) Written confirmation is required to confirm course booking with names of individual clients included.
- c) Individual enrolment forms are required for all individual clients to secure a place.

#### **4.7 Recognition**

- a) Mutual Recognition, Credit Transfer and Recognition of Prior Learning are acknowledged and accepted as a standard practice of TGIA. (See Recognition policy)

#### **4.8 Confirmation of Enrolment**

- a) Upon acceptance of enrolment the client is provided with written confirmation of their enrolment, including a schedule for training and assessment dates, times and location of training (as relevant to mode of learning).

#### **4.9 Changes to Training and Assessment**

- a) Any changes to a training program, services will be advised to clients, as soon as possible prior to the date the change is to occur.

#### **4.10 Cancellation of Courses**

- a) It is NOT TGIA normal policy to cancel scheduled training programs.
- b) However, if for some unforeseen reason a course is cancelled or postponed, all clients will be offered the opportunity to attend the training program on another date, at another location (if available) or in another delivery mode.
- c) If, in the event that the client does not accept the offer, or for some reason the offer cannot be made, the course fees will be refunded in full within one week of the date of the cancellation of the course. (See Refund Policy)

#### **4.11 Refund for Cancellation of Enrolment by Client**

- a) Refunds can be provided, in accordance with TGIA Refund Policy. (See Refund policy)

#### **4.12 Transfer of Enrolment**

- a) **Transfer to another “Course date”** – Clients are able to transfer to another course date, providing they make a request in writing a minimum of one week in advance.  
The transfer is subject to course availability.
- b) **Transfer to another “Course”** – Should a client wish to transfer to another course, they need to make the request in writing a minimum of one week in advance.  
The transfer is subject to course availability.
- c) **Transfer to another “Delivery mode”** – Should a client, enrolled in a course, wish to transfer to another “delivery mode” for the same course they are able to do so providing they make a request in writing a minimum of one week in advance. An administration fee is applicable for all transfers to another course delivery mode.  
The transfer is subject to course availability.  
Should a student wish to transfer to another delivery mode and does not provide written notice at least one week in advance, the student forfeits the full course fee.
- d) **Transfer to another “Client”** – Prior arrangement no later than one week prior to the course. An administration free is applicable for all transfers to another client.

#### 4.13 Client Records of Enrolment

- a) TGIA is obligated to report all enrolments, in compliance with national reporting requirements. (See Management of RTO Policy)
- b) Individual client records are created for each enrolment and maintained for a period of 30 years. (See Records Policy)
- c) All individual clients have access to their own records, and the progress of their learning. This is enabled through the student management system. (See Records Policy)

#### 4.14 Fees

- a) Fees are collected in accordance with the Fees processes. (See Financial Management Policy)

#### 4.15 Student Induction

- a) TGIA provides clients with induction/orientation to ensure they have appropriate information to facilitate their interactions with TGIA and their learning.
- b) Each client receives a copy of the TGIA Student Handbook which outlines key information including their rights and responsibilities as a learner.
- c) All clients sign an acknowledgment that they have received, read and understood TGIA policies and details within the Student Handbook.

### 5 TGIA Responsibilities

The Director TGIA is responsible for ensuring compliance with enrolments processes.

Administration staff are responsible for correct and accurate enrolments in accordance with this policy and procedures.

## **6 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **7 Records Management**

All documentation from Enrolment processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **8 Monitoring and Improvement**

All enrolment practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)



## Evaluation Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations. As such, TGIA is required to systematically evaluate training and assessment products and services it provides, using the evaluation outcomes for continuous improvements.

The purpose of this policy is to ensure that TGIA training and assessment products and services meet client needs and are continuously improved based on the collection, analysis and action taken based on relevant data and feedback.

### 2. Policy Statement

TGIA is committed to ensuring that stakeholder feedback is collected, analysed and utilized to ensure the provision of quality training and assessment services.

TGIA ensures that:

- r) Systematically monitors and evaluates training and assessment strategies and practices and use the outcomes of evaluations for continuous improvement;
- s) It collects and analyses feedback and satisfaction data from all stakeholders regarding all training and assessment services provided;
- t) Information to be evaluated includes data collected from quality/performance indicators, validation outcomes, feedback from clients, trainers, assessors and industry, complaints and appeals; and
- u) Systematically monitors any training and assessment services delivered

### 3. Policy Principles

#### 3.1 Underpinning Principles

- cc) Evaluation of training and assessment services will be conducted:
  - i. During the delivery of training and assessment, including feedback from:
    - 1. Clients
    - 2. Trainers
    - 3. Assessors
    - 4. Subject matter experts
    - 5. Outcomes of assessment
  - ii. Post-delivery of training and assessment, including feedback from:
    - 1. clients
    - 2. Trainers
    - 3. Assessors
    - 4. Workplace clients / supervisors
    - 5. Complaints

6. Appeals
7. Validation
8. Quality data indicators
9. Outcomes from audits

- dd) TGIA understands the value of client feedback for continuous improvement and ensuring that current and changing needs are met.
- ee) Feedback is requested and encouraged from all clients, however, is not compulsory.
- ff) All feedback collected is collated and submitted to Director TGIA in the monthly report.
- gg) Director TGIA will review the collated reports and make determination for continuous improvement.
- hh) TGIA's approach to evaluation and feedback includes staff, clients and other stakeholders.

### 3.2 Types of Feedback

- a) Feedback will be gathered and evaluated regarding:
- i. Clarity and accuracy of information provided to clients before enrolment;
  - ii. Processes for learner selection, enrolment and induction;
  - iii. Effectiveness and assistance provided regarding language, literacy and numeracy;
  - iv. Level of satisfaction of training and assessment services received;
  - v. Effectiveness and assistance provided regarding support services;
  - vi. Recognition process;
  - vii. Complaints and appeals;
  - viii. Training and assessment resources provided;
  - ix. Legislative and licensing requirements (as relevant).

### 3.3 Resources to gather feedback

- p) Feedback is gathered using a number of processes, tools and instruments. These include but may not be limited to:
- i. Email communications
  - ii. Training Evaluation form
  - iii. Assessment Evaluation form
  - iv. Client Feedback Form
  - v. Course reports (completed by trainers)
  - vi. Satisfaction surveys (online)
  - vii. Workplace Feedback Form
  - viii. Learner Questionnaire (Quality indicator)
  - ix. Client Questionnaire (Quality indicator)
  - x. Complaints forms
  - xi. Appeals Forms
  - xii. Validation forms
  - xiii. Interviews
  - xiv. Focus groups

#### **4 TGIA Responsibilities**

The Director TGIA is responsible for all evaluation processes and ensuring the outcomes of evaluation feed into continuous improvement practices.

Trainers and assessors are responsible for implementing client feedback procedures.

Administration staff are responsible for collecting and collating client feedback and reporting to the Director TGIA.

#### **5 Records Management**

All documentation from feedback processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

#### **6 Monitoring and Improvement**

This policy and subsequent practices are monitored by Director TGIA and areas of change are implemented through continuous improvement. (See Continuous Improvement Policy)

## Financial Management Policy

### 1. Purpose

TGIA is committed to establishing a long-term presence in the vocational education and training sector, as a provider of quality training and assessment services. A key factor in attaining this aim is the ongoing financial stability and wellbeing of TGIA, resulting from careful, responsible and hands-on financial management, aligned to the business goals, the nature of its operations and the nuances of the market in which it competes

This policy ensures that TGIA uses efficient financial management practices and systems complying with the Standards for Registered Training Organisations (SRTOs 2015).

### 2. Policy Statement

TGIA will ensure that it maintains sound financial practices, ensuring the financial security of the RTO and enabling its ongoing viability, profitability and growth. Conservatism will prevail as the key influence over financial decisions. Equally, an uncompromising commitment to integrity and professionalism will remain the keystone to all finance, banking, investment and general business transactions.

TGIA will:

- a) Ensure it complies with the “Financial Viability Risk Assessment Requirements”;
- b) Implement and maintain effective business planning and financial management processes;
- c) Ensure that accounts are certified by a qualified accountant (Certified to Australian Accountant Standards) at least annually and are made available to the VET Registration body upon request;
- d) Ensure that a full financial audit of the RTOs financial accounts from an independent qualified accountant (Certified to Australian Accountant Standards) is obtained and made available to the VET Registration body upon request;
- e) Implement and maintain procedures to protect fees paid in advance, to comply with the ‘Schedule 6 - Requirements for Fee Protection’ of the Standards for RTOs 2015.
- f) Provide clients with complete and accurate fee information.
- g) Provide Refunds, as per Refund Policy.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Financial Viability Risk Assessment Requirements** means the requirements made under section 158 of the *National Vocational Education and Training Regulator Act 2011* or equivalent requirements made or adopted by the VET Regulator of a non-referring State as the case requires.

**Registration** means registration as an RTO by the VET Regulator, where that registration is then entered on the National Register.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**VET Regulator** means:

- a) the National VET Regulator; and
- b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

#### **4. TGIA Obligations to - Financial Viability Risk Assessment Requirements 2011**

##### **4.1 Intent**

- a) The VET Regulator can request TGIA to demonstrate its financial viability at any point in time.
- b) The assessment of the 'Financial Viability' by the VET Regulator is directed evaluating the likelihood of TGIA business continuity, and its capacity to achieve quality outcomes. The assessment informs a judgement about whether TGIA has the financial resources necessary to:
  - i. Acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration;
  - ii. Employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments;
  - iii. Provide appropriate levels of student services to students;
  - iv. Remain in business to ensure that each student can achieve completion;
  - v. Meet the above requirements even in an unsure environment.

##### **4.2 Obligation to submit assessment**

- a) TGIA must submit an assessment of financial viability risk by a qualified independent financial auditor nominated by the VET Regulator at any time during the registration period.
- b) The obligation to submit also applies to parent organisations, affiliated companies or organisations that have a vested interest in the organisation.

##### **4.3 Indicators for Assessment**

- a) The assessment will be undertaken by assessing common indicators of financial performance and position. These may include, but are not limited to:
  - i. Liquidity – including current ratio and cash flow assessments;
  - ii. Solvency – including debt to assets assessment, debt to equity assessment;
  - iii. Economic Dependency (e.g. reliance upon government funding or a particular cohort of clients);
  - iv. Revenue, profit and cash flow;
  - v. Commercial risk;
  - vi. Audit opinion;
  - vii. Contingencies;
  - viii. Compliance with all statutory obligations (e.g. GST, taxation, superannuation)
  - ix. Compliance with accounting standards;

- x. Accounting policies – impact of organisation accounting policies on its financial risk.

#### 4.4 Information to be assessed

- a) Information that could be used to assess the common indicators may include, but are not limited to:
  - i. Independent review of financial projections, including underlying assumptions;
  - ii. Business planning, including forecast income streams and forecast expenditure;
  - iii. Assets and liabilities;
  - iv. Financial statements audited by an independent qualified auditor;
  - v. Financial records for the previous 12 months, including profit and loss, balance sheets;
  - vi. Cash flow and bank accounts;
  - vii. Short term budgets and forecasts, including assumptions;
  - viii. Information on current and projected student enrolments, including assumptions;
  - ix. Tax records;
  - x. Information about current debts and debtors, credit and creditors, loans and repayments;
  - xi. Plans, and information on any legal disputes;
  - xii. Inter-company dealings, transfers, ownerships and loans;
  - xiii. Contingent liabilities;
  - xiv. Ultimate ownership details;
  - xv. Post reporting activities.

## 5. Policy Principles

The following principles underpin this policy.

### 5.1 Financial Management

- a) **TGIA aims to maintain a sound financial position, which facilitates its stability, planned business growth and profit projections through**
  - i. business planning, including forecast income and expenditure;
  - ii. monitoring Cash flow;
  - iii. Formulation of and adherence to annual budgets;
  - iv. Ongoing reinvestment in the business to ensure it remains well-resourced to meet client needs;
  - v. Maintenance of adequate cash reserves to meet planned commitments, as well as unforeseen events;
  - vi. Striving to remain debt free as part of its overall strategy of optimising return on investment and consequently maintaining price competitiveness;
  - vii. Careful safeguarding of assets, via comprehensive insurance and security measures.

### 5.2 Course Fees

- a) TGIA will strive to maintain highly competitive fair and reasonable fee structures, outlining these in a “Schedule of Fees”.

- b) TGIA adjusts its fees and charges from time to time. Changes to fees will be fairly and equitably applied, advertised and clearly indicate the date from which the change will take effect.
- c) TGIA provides details of course fees in all course information. (See Client Information Policy)
- d) Course fees may be negotiated with individual clients, as approved by Director TGIA.
- e) The Director TGIA may discount or waive course fees (for example in cases of severe financial hardship) at their discretion, and where such waiver falls into compliance with any "Funding body" policy (as relevant).
- f) Confidentiality regarding fee arrangements is expected from clients.
- g) Where course fees are subsidised by a "Funding Body" (for example an Australian Apprenticeship or other State / Federal /Territory funded program) these may include a non-negotiable "Student Course Fee". TGIA will ensure these fees are applied and communicated to clients at the time of enrolment, in accordance with the relevant Funding body" fees policy.

## 5.2 Fee Payment Arrangements

- a) All fees are payable in advance. As such, TGIA will affect financial practices to ensures the protection of fees paid in advance.
  - i. TGIA cannot accept prepaid fees from individual clients in excess of a total of \$1500 (being the threshold total prepaid fees amount).
  - ii. TGIA will hold the clients prepaid fees in trust until the client 'commences' their learning or assessment – at a unit/module level.
  - iii. Regarding payment plans - Monies in trust for an individual client will not exceed \$1500 at any given time.
  - iv. In accordance with Schedule 6 – Standards for RTOs; TGIA adopts the following to protect fees paid in advance.
- b) Flexible payment arrangements/ options will accommodate individual circumstances.
- c) Fees must be paid in full before certification will be issued
- d) If payment instalment / arrangements are in place, and a payment becomes overdue and remains unpaid for a period in excess of 14 days, TGIA reserves the right to suspend the clients learning or assessment (or both) until all fee payments are up-to-date.
- e) Flexible payment arrangements, such as instalments, credit card, direct debit, cheques and EFT remittance are acceptable to accommodate the diverse financial situations of clients.

## 5.3 Refunds

- a) TGIA applies refunds in accordance with the Refund Policy.

## 5.4 Asset Management

- a) Acquisitions of assets are in accordance with strategic planning, training and assessment strategies and budgetary considerations.
- b) Projected budget for asset acquisition will be included in annual strategic planning and the overall viability review for individual projects.

## **6. TGIA Responsibilities**

The Director TGIA is responsible for:

- a) Ensuring compliance with financial management policies, procedures and systems.
- b) Ensuring compliance with Financial Viability Risk Assessment Requirements 2011.
- c) Monitoring and reporting on compliance with these financial management policies and procedures.
- d) Undertaking reviews of the effectiveness of the policies, procedures and systems annually and to use the results of such reviews to drive further improvements.
- e) When requested, provide VET Registration body with a formal assurance that TGIA has sound financial management standards for matters relating to the Scope of Registration and scale of operations.

## **7. Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **8. Records Management**

All documentation from Financial management processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9. Monitoring and Improvement**

All Financial Management practices are monitored by the Director TGIA and subject to ongoing review during monthly Financial Review meetings. Areas for improvement identified and acted upon. (See Continuous Improvement Policy)



## Industry Engagement Policy

### 1. Policy

This policy and procedure ensures that TGIA is providing training and assessment services that meet industry needs and maximise learners' opportunities for employment, advancement or further education.

Engaging with industry stakeholders (such as employers) is critical to ensuring training and assessment is aligned to current methods, technology, products and performance expectations for the workplace tasks specified in the training package or VET accredited course.

TGIA will engage with relevant industry stakeholders for each industry area (& Qualifications) in order to:

- Design strategies for training and assessment
- Identify and/or develop suitable learning materials
- Identify appropriate methods of assessment
- Develop suitable assessment tools
- Identify the skills and knowledge required by its trainers and assessors
- Monitor the delivery and assessment of its programs

### 2. Procedure

#### 2.1. Identifying appropriate Industry Representatives

TGIA will identify relevant industry personnel or organisations that can provide the feedback on the training and assessment practices for each Industry area. A minimum of two (2) Industry Representatives must be consulted and engaged for each delivery and assessment program.

Industry Engagement may take place with the following people or organisations:

- Business owners/ employers in that particular industry that the qualification that the Strategy for Training and Assessment is being developed for
- Business owners/ employers whose staff undertake accredited workplace training in the qualification that the Training and Assessment Strategy is being developed for
- Industry Councils
- Industry Consultants
- Industry Trainers and Assessors
- Other relevant stakeholders to TGIA 's training and business opportunities

TGIA will also ensure the collection of details about the Industry Representatives, such as:

- Name and company
- Description of how the representative is involved in the industry

#### 2.2. Undertaking & Documenting Industry Engagement

TGIA will undertake Industry Engagement by providing a range of information in relation to the training and assessment program to the industry representatives and seek feedback as to the most

appropriate method of providing the training and assessment program, achieve suitable industry outcomes, and trainer and assessor requirements to ensure industry relevance.

This information is to include (but not limited to) the following:

- The qualifications' national code and title
- The units that make up the qualification (national code and title)
- Delivery arrangements of the course
- Duration and schedule
- Assessment methods
- Industry needs
- Requirements of trainers and assessors

Engagement with industry may occur via face-to-face meetings, email, or other relevant medium to ensure industry engagement can be achieved.

To document this Industry engagement & consultation, the CEO will ensure industry representative's feedback is documented. This may take the form of an 'Industry Engagement Questionnaire' or other relevant method that ensures the feedback can be maintained by the RTO.

In developing Training and Assessment Strategies and practices, TGIA will seek input from the industry representatives in relation to:

- Elective unit selection
- The mode of study
- Training methodology
- Assessment methods
- The skills and knowledge required by trainers and assessors

All feedback received will be reviewed and where appropriate will be:

- Incorporated into TGIA 's Training and Assessment Strategies
- Reflected in the delivery and assessment methodology and assessment tools
- Where relevant, included in the knowledge and skills required of trainers and assessors

### **2.3. Ongoing Industry Engagement**

To ensure the ongoing appropriateness of the training and assessment services being provided by TGIA, Industry Engagement will be undertaken on an annual basis.

This annual review and engagement will identify:

- Any changes to industry practices
- Continued relevance of the training and assessment methodology and materials
- Any update in knowledge and skills required for trainers and assessors

## Issuing Certification Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to issue and maintain AQF certification documentation and provide access to those documents to clients.

### 2. Policy Statement

TGIA is committed to ensuring AQF qualifications and Statements of Attainment are issued in accordance with the requirements of the Standards for Registered Training Organisations (SRTOs 2015), and the endorsed Training packages and VET Accredited courses within its scope of registration.

TGIA will ensure that:

- AQF qualifications and statements of Attainment issued by the RTO are within its scope of registration and that they certify the achievement of qualifications or industry competency standards from nationally endorsed Training Packages or VET Accredited courses.
- A clear distinction can be made between AQF certification documents and non-AQF certification issued.

### 3. Definitions

The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

**Accredited short course** means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

**AQF certification documentation** is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

**AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

**Authenticated VET transcript** has the meaning given in the *Student Identifiers Act 2014*.

**Nationally Recognised Training (NRT) Logo** means the logo used nationally to signify training packages and VET accredited courses.

**Registrar** has the meaning given in the *Student Identifiers Act 2014*.

**Statement of attainment** means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

**Student Identifier** has the meaning given in the *Student Identifiers Act 2014*.

**Testamur** an official certification document that confirms that a qualification has been awarded to an individual. In Australia this may be called an ‘award’, ‘parchment’, laureate’ or ‘certificate’. *(Extract from Australian Qualifications Framework)*

## 4. Policy Principles

### 4.1 Underpinning principles

The following principles underpin this policy.

- a) TGIA is obliged to issue certification in accordance with Schedule 5 of Standards for Registered Training Organisations (SRTOs 2015).
- b) TGIA offers training and assessment against both nationally recognised training and non-nationally recognised training programs. Nationally recognised training is aligned to national competency standards from Training Packages and VET Accredited Courses.
- c) TGIA only issues qualifications and Statements of Attainment to those clients who meet the required outcomes of a qualification, accredited course, unit of competency or module, as specified in the relevant Training Package or VET accredited Course.
- d) Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.
- e) TGIA will, using the Student Management System:
  - i. Maintain a register of all AQF qualifications issued;
  - ii. Retain records of all AQF certification documentation for a period of 30 years; and
  - iii. Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.
- f) AQF certification documentation will be issued to a client within 30 calendar days of the client being assessed as meeting the requirements of the Training Package or VET (Provided the learner has paid all agreed fees in full)
- g) Accredited course:
  - i. if the training program in which the client is enrolled in is complete; and
  - ii. providing all agreed fees, the client owes to the RTO have been paid.
- h) AQF certification documentation will not be issued to an individual without TGIA being in receipt of the verified unique Student Identifier for that individual, unless an exemption applies, as per the requirements of the Student Identifier Act 2014.
  - i. If an exception applies, in accordance with SRTOs, TGIA will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever comes first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

### 4.2 Qualifications

- a) All clients who have completed a training program which leads to the award of a full AQF qualification will receive:
  - i. A testamur, and
  - ii. A record of results.
- b) Each AQF qualification issued will comply with the ‘AQF Qualifications Issuance Policy’ and the ‘Standards for RTOs 2015’ - Schedule 5, and will include:
  - i. TGIA name and logo

- ii. TGIA national provider number (RTO Code: <RTO Number>)
  - iii. The full name of the individual receiving the award
  - iv. The full title and national code of the unit/s of competencies or AQF qualification awarded
  - v. A certificate numbers
  - vi. The date of issue
  - vii. The signature of an authorized person
  - viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
  - ix. Authentication mark (TGIA seal, Corporate identifier, unique watermark)
  - x. The industry descriptor, e.g. Engineering
  - xi. The occupational or functional stream, in brackets e.g. (Fabrication)
  - xii. Where relevant, the words, ‘achieved through Australian Apprenticeship arrangements’
  - xiii. Where relevant, the words, ‘these units/modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules.
- c) All testamurs will identify the qualification as an AQF qualification either:
- i. by the inclusion of the words, ‘The qualification is recognised within the Australian Qualifications Framework; or
  - ii. the use of the AQF logo authorised by the AQF Council.

#### 4.3 Statement of Attainment

- a) Each Statement of Attainment issued will comply with the ‘AQF Qualifications Issuance Policy’ and the ‘Standards for RTOs 2015’ - Schedule 5, and will include:
- i. TGIA name and logo
  - ii. TGIA national provider number (RTO Code: <RTO Number>)
  - iii. The full name of the individual receiving the award
  - iv. The full title and national code of the unit/s of competency / modules awarded
  - v. A certificate numbers
  - vi. The date of issue
  - vii. The signature of an authorized person
  - viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
  - ix. Authentication mark (TGIA seal, Corporate identifier, unique watermark)
  - x. The words, ‘A statement of attainment is issued when an individual has completed one or more accredited units’
  - xi. Where relevant, the words, ‘achieved through Australian Apprenticeship arrangements’
  - xii. Where relevant, the words, ‘these units/modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules.
  - xiii. Where relevant, the words, ‘These competencies form part of [code and title of qualification]’
  - xiv. Where relevant, the words ‘These competencies were attained completion of [code] course in [full title]’ – for an Accredited course

#### 4.4 Use of Logos (AQF, NRT, State Regulator, Funding body)

- a) TGIA abides by ‘Conditions of Use of NRT Logo’ as prescribed in Schedule 4 of STROs 2015.
- b) AQF logo will be used on all AQF documentation issued by TGIA.

- c) AQF logo must NOT be used on non-National recognised training certification issued by TGIA.
- d) TGIA will comply with the use of “State” regulator logo, in accordance with relevant Logo Specifications
- e) TGIA will comply with the use of State/Territory funding body logo requirements, in accordance with contract obligations.

#### **4.5 Replacement of Certification Documentation**

- a) AQF certification documents can be re-issued to a client, upon written request. Replacement certification documentation will incur a fee, as noted in TGIA ‘Schedule of Fees’.

### **5 TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

The Director TGIA will process approval for issuance of certification documentation, review and sign all printed certification documents.

<Position 1> of TGIA will process creation/ issuance of certification documentation in preparation for authorised signatory.

### **6 Legislation**

Legislation applicable to this policy include:

- Student Identifier Act 2014 and Regulations.

### **7 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

### **8 Records Management**

All documentation from Issuing certification documentation processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

### **9 Monitoring and Improvement**

All practices for issuing certification documentation are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Legislation Compliance Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs). As such, TGIA is required to ensure it complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations, integrate these into policies and procedures, maintain compliance and inform staff and clients of changes to legislation that affect the services delivered.

### 2. Policy Statement

TGIA is committed to ensuring it complies with all relevant Commonwealth, State and Territory legislation and regulatory requirements in its operations as a Registered Training Organisation (RTO).

TGIA will ensure that:

- compliance with legislation and regulatory requirements is monitored and maintained;
- it maintains copies of or access to all legislation that affects its business and /or its services delivered;
- legislation and regulatory requirements relevant to its operations are integrated into its policies and procedures;
- all staff and clients are provided with information regarding changes in legislation and regulatory requirements that affects their duties or participation in vocational education and training services provided.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- aa) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- bb) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

### 4. Policy Principles

#### 4.1 Underpinning Principles

- cc) There are numerous Acts that impact upon the training and assessment for courses offered by TGIA. A list is kept on a legislation register.
- dd) TGIA advises its staff and clients of legislation that affects their duties or learning.

- ee) TGIA will purchase a copy of, or have electronic access to, all Commonwealth, State and Territory legislation that affects its operations or services delivered.
- ff) TGIA has and maintains memberships to the following legislation publishers so as to receive updates and notifications of changes in legislation and regulatory requirements.
  - i. Australian Government, COMLaw; at <http://www.comlaw.gov.au/>
  - ii. Australasian Legal Information Institute, website: <http://www.austlii.edu.au>
  - iii. New South Wales – <http://www.legislation.nsw.gov.au/>
  - iv. Victoria – <http://www.legislation.vic.gov.au/>
  - v. Queensland – <https://www.legislation.qld.gov.au/OQPChome.htm>
  - vi. Western Australia - State Law Publisher, at [www.slp.wa.gov.au](http://www.slp.wa.gov.au).
  - vii. South Australia – <http://www.legislation.sa.gov.au/index.aspx>
  - viii. Northern Territory – [http://dcm.nt.gov.au/strong\\_service\\_delivery/supporting\\_government/current\\_northern\\_territory\\_legislation\\_database](http://dcm.nt.gov.au/strong_service_delivery/supporting_government/current_northern_territory_legislation_database)
  - ix. ACT – <http://www.legislation.act.gov.au/>
  - x. Tasmania - <http://www.thelaw.tas.gov.au/index.w3p>
- gg) TGIA has access to solicitors who provide advice on legislation.

#### 4.2 Vocational Education and Training (VET) Legislation

- a) Legislation relevant to TGIA includes:
  - i. Commonwealth - National Vocational Education and Training Regulator Act 2011
  - ii. New South Wales - Vocational Education and Training (Commonwealth Powers) Act 2010
  - iii. Victoria – Vocational Education and Training Act 1990
  - iv. Queensland – Vocational Education and Training (Commonwealth Powers) Act 2012
  - v. Western Australia – Vocational Education and Training Act 1996
  - vi. South Australia – Vocational Education and Training (Commonwealth Powers) Act 2012
  - vii. Northern Territory –
  - viii. ACT – Training and Tertiary Education Act 2003
  - ix. Tasmania - Vocational Education and Training (Commonwealth Powers) Act 2011  
<http://www.thelaw.tas.gov.au/index.w3p>

#### 4.3 Anti-Discrimination Legislation

- a) There is a range of legislation and policies which promote access and equity within the national Vocational Education and Training system. (See Access and Equity Policy)

#### 4.4 Workplace Health and Safety (WHS) Legislation



- a) There is a range of legislation and policies which promote workplace health and safety within the national Vocational Education and Training system. (See Workplace Health and Safety Policy)

#### **4.5 Privacy Legislation**

- a) Federal legislation impacts on the national Vocational Education and Training system. (See Privacy Policy)

#### **4.6 Other Legislation**

- a) There is a range of legislation and policies, including consumer protection, which impact on the operational business of TGIA. These include:
  - i. Corporation law – Corporations Act 2001 and Regulations
  - ii. Competition and Consumer Act 2010 and Regulations
  - iii. Fair Work Act 2009 and Regulations
  - iv. A New Tax System Act 1999 and Regulations
  - v. Copyright Act 1968 and Regulations
  - vi. Fair Trading Legislation and Regulations
  - vii. Trade Practices Legislation and Regulations
  - viii. Spam Act 2003 and Regulations
- b) The following represents legislation that impacts on vocational outcomes of training and assessment services delivered.
  - i. Standards for Registered Training Organisations (RTOs) 2015
  - ii. Education Services for Overseas Students Act 20010 – ELICOS Standards
  - iii. Data Provisions Requirements 2012
  - iv. Financial Viability Risk Assessment Requirements 2011
  - v. Student Identifiers Act 2014
- c) Legislation that impacts on training and assessment provided within TGIA scope of registration includes:
  - i. Xxx
  - ii. Xxx
  - iii. Xxx.

## **10 TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

## **11 Records Management**

All documentation from compliance with legislation processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **12 Monitoring and Improvement**

All practices relating to compliance with legislation are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Management of RTO Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to have effective governance and administration arrangements in place.

TGIA is committed to providing best practice, professional products and services to its clients and acknowledges it can only success in this with effective and efficient business planning and management.

### 2. Policy Statement

TGIA will ensure that it maintains sound and ethical operations enabling its ongoing profitability and growth. TGIA is committed to ensuring successful strategic planning and management of the business, including the management of training and assessment activities and business developments.

The Director TGIA is the designated responsible person for the RTO, having sufficient authority to ensure the RTO complies with the Standards for RTOs across all of its operations and scope of registration at all times.

To this end, TGIA has in place effective:

- Business management systems and practices;
- Financial management systems and practices;
- Compliance management systems and practices; and
- Risk management systems and practices.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Audit** means an audit or compliance audit undertaken by the VET Regulator.

**Data Provision Requirements** are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.

**Educational and support services** may include, but are not limited to:

- a) pre-enrolment materials;
- b) study support and study skills programs;
- c) language, literacy and numeracy (LLN) programs or referrals to these programs;
- d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- e) learning resource centres;
- f) mediation services or referrals to these services;
- g) flexible scheduling and delivery of training and assessment;

- h) counselling services or referrals to these services;
- i) information and communications technology (ICT) support;
- j) learning materials in alternative formats, for example, in large print;
- k) learning and assessment programs contextualised to the workplace; and
- l) any other services that the RTO considers necessary to support learners to achieve competency.

**Operations** of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- m) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- n) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**VET Quality Framework** comprises:

- a) the Standards for Registered Training Organisations
- b) the Australian Qualifications Framework
- c) the Fit and Proper Person Requirements
- d) the Financial Viability Risk Assessment Requirements
- e) the Data Provision Requirements

**VET Regulator** means:

- a) the National VET Regulator; and
- b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

## 4. Policy Principles

### 4.1 Business Management

- a) The strategic and operational business plan will be developed/reviewed, monitored and maintained against all areas of operations at least every year.
- b) Business plans will incorporate TGIA full scope of registration and scale of operations.
- c) Business planning is undertaken to determine the major goals, objectives and key performance indicators (KPIs) regarding TGIA training and assessment services, and to identify risks, relevant strategies and resources needed to achieve identified goals and objectives.
- d) TGIA consults with relevant stakeholders and clients for input into strategic and business planning.
- e) Business planning meetings occur annually, in alignment with annual financial planning.
- f) An annual SWOT (strengths, opportunities, weaknesses and threats) analysis is undertaken in preparation for business planning process. Key areas of analysis include, but are not limited to:
  - i. Industry and environmental changes;
  - ii. VET sector changes and reform;
  - iii. RTO Compliance;
  - iv. Changing needs and future demands from industry and clients;

- v. Business growth and development;
- vi. Marketing and advertising;
- vii. Staff and human resources (including contract trainers and assessors);
- viii. Training and assessment resources and materials;
- ix. Type of training services provided, including delivery modes and methods;
- x. Type of client support services provided;
- xi. Premises and facilities;
- xii. Equipment and resources;
- xiii. Training packages – including changes and transitions;
- xiv. Industry Skills gaps or shortages;
- xv. Funding opportunities and changes.
- g) Identified goals and objects will be supported by a marketing strategy to promote the RTOs operations, products and services.
- h) Academy ensures that marketing and advertising is in accordance with SRTOs 2015 and TGIA's Marketing policy. (See Marketing Policy)

#### 4.2 Financial Management

- a) TGIA conducts financial management planning on an annual basis, in accordance with the Australian Financial year time period.
- b) Financial Management is implemented through TGIA Financial Management Policy. (See Financial Management Policy)

#### 4.3 Compliance Management

- a) TGIA ensures it complies with all RTO compliance requirements across all operations and scope of registration,
- b) TGIA ensures it complies with the VET quality Framework, including the following:
  - i. Standards for Registered Training Organisations (SRTOs 2015)  
<http://www.comlaw.gov.au/Details/F2014L01377>
  - ii. Australian Qualifications Framework (AQF)  
<http://www.aqf.edu.au/>
  - iii. Financial Viability Risk Assessment Requirements 2011  
<http://www.comlaw.gov.au/Details/F2011L01405>
  - iv. Data Provision Requirements 2012  
<http://www.comlaw.gov.au/Details/F2013C00497>
  - v. Training Packages  
<https://training.gov.au/Home/Tga>
  - vi. National Reporting for RTOs :
    - Total VET Activity  
<http://www.industry.gov.au/skills/NationalReportingforRTOs/Pages/default.aspx>
    - Quality Indicator reporting (including Learning Questionnaires, Employer Questionnaires and Competency Completion (CCOS))

<http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html>

- vii. Unique Student Identifier (USI)
  - <http://www.usi.gov.au/Pages/default.aspx>
  - <http://www.comlaw.gov.au/Details/C2014A00036>
- c) TGIA ensures that (in accordance with Standard 7.1 of SRTOs 2015) its executive officers or high managerial agent:
  - i. Are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
  - ii. Meet each of the relevant criteria specified in the Fit and Proper Person requirements of Schedule 3 of SRTOs 2015.
- d) TGIA ensures operations of the RTO are quality assured, and in accordance with Standard 2.2 of SRTOs:
  - i. Systematically monitors training and assessment strategies and practices to ensure ongoing compliance; and
  - ii. Systematically evaluates and uses the outcomes of the evaluations to continually improve the RTOs training and assessment strategies and practices.
- e) Quality assurance practices include, but are not limited to, the implementation of TGIA's:
  - i. Evaluation and Feedback Policy; and
  - ii. Audit Policy; and
  - iii. Continuous Improvement Policy; and
  - iv. Validation Policy; and
  - v. Partnership Policy.
- f) TGIA ensures it maintains insurance cover to protect it from possible litigation, including:
  - i. Public Liability;
  - ii. Professional Indemnity;
  - iii. Workers Compensation;
  - iv. Building and Contents;
  - v. Directors.
- g) TGIA ensures it cooperates with VET Regulator at all times, including:
  - i. By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
  - ii. During the conduct of audits and the monitoring of the RTO's operations;
  - iii. By providing quality/performance indicator data;
  - iv. By providing information about substantial changes to its operation or any event that would significantly affect the RTO's ability to comply with SRTOs within 90 days of the change occurring; and
  - v. By providing information about significant changes to its ownership within 90 calendar days of the change occurring; and
  - vi. In the retention, archiving, retrieval and transfer of records.
  - vii. By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
  - viii. In the conduct of audits and the monitoring of its operations.
- h) TGIA will notify the VET regulator:
  - i. Within 30 calendar days of the agreement coming to an end.
- i) TGIA provides an annual declaration on compliance with the SRTOs to the VET regulator and in particular whether it:

- i. Currently meets the requirements of the SRTOs for all AQF certification documentation it has issued in the previous 12 months; and
  - ii. 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 SRTOs.
- j) TGIA will comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. (See Legislation Policy)
- k) TGIA informs staff and clients of any changes to legislative and regulatory requirements that affect the services delivered.
- l) TGIA ensures it has, for all of its scope and consistent with its training and assessment strategies, sufficient:
  - i. Trainers and assessors to deliver the training and assessment;
  - ii. Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
  - iii. Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and
  - iv. Facilities, whether physical or virtual and equipment to accommodate and support the number of learners undertaking the training and assessment.

#### 4.4 Risk Management

- a) TGIA takes a risk management approach when managing the RTO business and compliance.
- b) Risk management is the process of identifying risks, analysing, prioritising and either eliminating, reducing, protecting or insuring against risk.
- c) Risk management processes include, but are not limited to:
  - i. Internal audits;
  - ii. Validation;
  - iii. Complaints;
  - iv. Appeals;
  - v. Feedback and evaluation;
  - vi. SWOT analysis;
  - vii. Financial reviews
  - viii. Business planning;
  - ix. Industry consultation.
- d) Risk management outcomes feed into continuous improvement processes. (See Continuous Improvement Policy)

### 5. TGIA Responsibilities

The Director TGIA is responsible for:

- ensuring compliance with this policy;
- the development and implementation of the strategic planning process;
- ensuring that business operations comply with SRTOs and other national regulation, guidelines, policies and compliance instruments for RTOs;
- monitoring systems in place to identify risks and the impact of identified risks; adopt appropriate controls to manage those risks and delegate responsibility for them.

## **6. Legislation**

Legislation and legislated instruments relevant to this policy include:

- Standards for Registered Training Organisations (SRTOs 2015)
- Financial Viability Risk Assessment Requirements 2011
- Data Provision Requirements 2012
- Student Identifier Act 2014
- Corporations Act

## **7. Records Management**

All processes relative to management of the RTO are documented and maintained in accordance with Records Management Policy. (See Records Management Policy)

## **8. Monitoring and Improvement**

All processes relative to management of the RTO are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)



## Marketing Policy

### 1. Purpose:

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisation (SRTOs 2015). As such, TGIA is required to provide transparent and accurate information regarding RTO services and performance.

TGIA advertises its training and assessment products and services to the general public and relevant industry stakeholders. This is undertaken using a variety of media, as is deemed appropriate for the audience and industry climate at the time.

The purpose of this policy is to ensure that high, consistent and ethical standards are used for all marketing activities, including those pertaining to the delivery of training and assessment services.

### 2. Policy Statement

TGIA is committed to ensuring ethical marketing and advertising of training and assessment products and services are implemented. TGIA ensures that marketing processes properly inform and protect clients by providing accurate and factual information regarding training and assessment services provided.

TGIA:

- accurately represents, to current and prospective clients, training and assessment products and services that lead to AQF qualifications or Statements of Attainment, and ensure that advertised outcomes are consistent with these qualifications;
- advertises AQF courses only if they are included in the scope of registration and will not state or imply that services are within the scope if they are not;
- ensures that all marketing and advertising materials identify training and assessment services leading to AQF qualification and/or Statement of Attainment separately from any other non-nationally recognised training / assessment services;
- ensures the appropriate use of the Nationally Recognised Training (NRT) and State Training Logo (STA) logos on advertisements in accordance with the Standards for RTOs, and specifically Schedule 4 of SRTOs;
- obtains prior written permission from any person or organization for use of any marketing or advertising material, which refers to that person or organization, and will abide by any conditions of that permission;
- ensures that full details of special conditions applying to our services will be communicated to our clients and participants;
- ensures it distinguishes where it is delivering training and assessment on behalf of another RTO; and

### 3. Definitions

**12.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Mode of delivery** means the method adopted to deliver training and assessment, including online, distance, or blended methods.

**Nationally Recognised Training (NRT) Logo** means the logo used nationally to signify training packages and VET accredited courses.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**Training Product** means AQF qualification, skill set, unit of competency, accredited short course and module.

## 4. Policy Principles

### 4.1 Underpinning Principles

TGIA:

- a) Provides up-to-date and accurate information to the general public, clients and industry stakeholders at all times.
- b) Markets all products and services in an ethical manner ensuring integrity and accuracy; avoiding misleading or ambiguous statement, enabling client to make informed decisions about undertaking training.
- c) Accurately represents the services it provides and the training products on its scope of registration;
- d) Only promotes licensing or regulated outcomes, for training products it delivers, where these have been confirmed by the relevant industry regulator in the jurisdiction in which it is being advertised;
- e) Includes details regarding VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the provision of relevant training products;
- f) Does not guarantee:
  - 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 the relevant training package or VET accredited course; or
  - iii. A learner will obtain a particular employment outcome where this is outside TGIA's control.

### 4.2 Marketing strategies

- a) Marketing strategies include, but are not limited to:
  - i. Public Website;
  - ii. Course brochures;
  - iii. Press advertising;
  - iv. Client information booklets / documentation; and
  - v. Email campaigns.

### **4.3 Marketing Information**

- a) Marketing information to include, but are not limited to:
  - vi. TGIA RTO Code
  - vii. NRT Logo
  - viii. Full Code and title of training product
  - ix. Venue
  - x. Length of training
  - xi. Mode/s of delivery
  - xii. Entry requirements
  - xiii. Support services provided
  - xiv. Fee information
  - xv. Funding entitlements / information
  - xvi. Consumer rights (e.g. cooling-off periods)

### **4.4 Use of Logos**

- a) TGIA acknowledges its obligations in ensuring the correct use of National and State training logos.
- b) TGIA ensures it complies with the Conditions for usage of National and State training logos, as specified in:
  - i. SRTOS 2015 – Schedule 4
  - ii. State Training Authority Logo Guidelines (e.g. TAC Logo Guidelines)

## **5. TGIA Responsibilities**

Director TGIA is responsible for the approval of all marketing materials in accordance with this policy and Standards for RTOs 2015.

Prior to the commencement of any marketing campaign the Director TGIA must review and approve all associated materials.

Position 1 is responsible for the development of all marketing materials in accordance with this policy and Standards for RTOs 2015, in preparation for approval.

## **6. Legislation**

Legislation relevant to this policy includes:

- Trade Practices legislation and regulations

## **7. Client Information**

All client information is in accordance with TGIA Client Information Policy. (See Client Information Policy)

## **8. Records Management**

All documentation from marketing processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9. Monitoring and Continuous Improvement**

This policy and subsequent practices are monitored by Director TGIA and areas of change are implemented through continuous improvement. (See Continuous Improvement Policy)

## Privacy Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to comply with Federal law regarding Privacy and confidentiality of employees, clients and contractors.

The purpose of this policy is to outline how TGIA complies with Privacy Act 1988 and Australian Privacy Principles (APPs).

### 2. Policy Statement

TGIA is committed to complying with obligation under Privacy Act 1988, and the associated Australian Privacy Principles (APPs), specifically in the way it collects, uses, secures and discloses personal information. TGIA is committed to safeguarding any confidential information obtained by the RTO.

TGIA will ensure :

- It maintains and provides a current Privacy Policy;
- Information gathered for the express purpose of training and assessment matters will not be disclosed unless prior written consent is provided by the individual concerned, except that required by law;
- The secure storage of all records;
- The confidentiality of all information maintained on records.

### 3. Policy Principles

#### 3.1 Legislation

- a) TGIA, although not required to, chooses to abide by the Privacy Act 1988 and associated 13 x Australian Privacy Principles (APPs).
- b) The APPs came into force on 12 March 2014 and set out standards, rights and obligations for the handling, holding, accessing and correction of personal information (including sensitive information).

#### 3.2 Underpinning Principles

- a) *Personal Information* is defined in the Privacy Act 1988 to mean “information or an opinion about an identified individual, or an individual who is reasonably identifiable:
  - i. whether the information or opinion is true or not; and
  - ii. whether the information or opinion is recorded in a material form or not.
- b) *Sensitive Personal Information* is defined in the Privacy Act 1988 to mean “information or an opinion about an individual’s” that is also personal information, such as:
  - i. racial or ethnic origin; or

- ii. political opinions; or
- iii. membership of a political association; or
- iv. religious beliefs or affiliations; or
- v. philosophical beliefs; or
- vi. membership of a professional or trade association; or
- vii. membership of a trade union; or
- viii. sexual orientation or practices; or
- ix. criminal record.

### 3.3 PART 1 – Consideration of Personal Information Privacy

#### a) Open and Transparent Management of Personal Information.

TGIA will :

- i. Ensure that personal information is managed in an open and transparent way.
- ii. Take reasonable steps to implement practices and procedures that will facilitate dealing with enquiries or complaints from individuals regarding compliance with the Australian Privacy Principles (APPs).
- iii. Ensure that it maintains an up-to-date policy about the management of personal information.
- iv. Ensure that TGIA Privacy Policy contains the following information:
  - The kind of information that is collected and held;
  - How the information is collected and held;
  - The purposes for which information is collected, held, used and disclosed;
  - How an individual may access their personal information that is held by TGIA and seek correction of such information as necessary;
  - How the individual may make a complaint about a breach of the APPs and how TGIA will deal with such a complaint;
  - Whether TGIA is likely to disclose personal information to overseas recipients, and if so the countries in which such are likely to be located.
- v. Provide the Privacy Policy free of charge and in such form as appropriate, and as is reasonable.

#### b) Anonymity and pseudonymity

TGIA will:

- i. Respect that individuals may not wish to identify themselves when making enquiries on TGIA products and services;
- ii. However, require full personal details as required by law and for identification purposes from clients.

### 3.4 PART 2 – Collection of Personal Information

- a) TGIA will not collect personal information from you unless that information is necessary for one or more of its functions or activities or is required by law.
- b) TGIA advises that it is required by law to collect, hold, use and supply personal information, in accordance with the National VET Provider Collection Data Provision Requirements.
- c) TGIA will take reasonable steps at or before the time of collection to ensure that you are aware of:
  - i. Who we are and how to contact us;

- ii. How to gain access to your own information;
  - iii. The purpose for which the information is being collected;
  - iv. Any organisation to which we would normally disclose information of that kind;
  - v. Any law that requires the particular information to be collected;
  - vi. The main consequences for the individual if all or part of the information is not provided.
- d) TGIA collects information from you in the following ways:
- i. When you register your interest on line, apply for enrolment, request certain services or products, or otherwise contact or do business with us.
  - ii. Information may be collected from enrolment forms, certified documents, telephone calls, faxes, emails, letters sent by you.
  - iii. Information may be collected from third parties, such as other training providers, regarding confirmation of training and ongoing professional development that you have attended, as permitted by you.
- e) Should TGIA collect information about you from a third party we will take reasonable steps to ensure that the individual is or has been made aware of the matters listed above except to the extent that making the individual aware of the matters would pose a serious threat to the life or health of any individual.

### 3.5 PART 3 – Dealing with Personal Information

- a) TGIA will not use or disclose personal or sensitive information for any purpose other than what it was collected for, unless the relevant person has provided written consent to use or disclose that information in circumstances that are different to those for which it was collected.
- The circumstances where an exception may occur are:
- i. Where the use or disclosure of this information is required or authorised by or under an Australian law or a court/tribunal order;
  - ii. The individual would reasonably expect TGIA to use or disclose the information for the secondary purpose;
  - iii. A permitted health situation exists in relation to the use or disclosure of the information by TGIA;
  - iv. A permitted general situation exists in relation to the use or disclosure of the information by TGIA;
  - v. TGIA reasonably believes that the use or disclosure of the information is reasonably necessary for one or more enforcement related activities conducted by, or on behalf of, an enforcement body.
- b) TGIA collects your personal information so as to:
- i. Process applications;
  - ii. Manage your enrolment;
  - iii. Record and maintain your details;
  - iv. Administering training programs;
  - v. Record and maintain details of your ongoing training and assessment;
  - vi. Provide you with details regarding client services, benefits, and training opportunities;
  - vii. Notify you about upcoming events and opportunities;
  - viii. Gain feedback from you;
  - ix. Communicate with you;
  - x. Report to relevant authorities as required by law.

- c) Direct Marketing  
TGIA:

- i. May use personal information (specifically your name and relevant address details) and information about your preferences for direct marketing (i.e. the communication channels which you prefer for receiving direct marketing from us and the types of products and services in which you are interested in) so as to let you know about our services and benefits, where we have your consent.
  - ii. Provides an opt-out and/or unsubscribe method that is easily accessible for individuals to request not to receive direct marketing communications.
- d) Cross Border Disclosure
 

TGIA:

  - iii. Does not disclose personal information to overseas recipients unless prior written approval is received by the individual who the personal information relates.
- e) Adoption, use or disclosure of Government Related identifiers
 

TGIA:

  - i. Is required by law (*Student Identifier Act*) to collect, maintain and report to relevant Government agencies the individual's Unique Student Identifier (USI) number in accordance with the National VET Provider Collection Data Provision Requirements.
  - ii. Will not disclose the Unique Student Identifier (USI) number for any other purpose, including on any Certification documents you receive.
  - iii. Must not adopt the Unique Student Identifier (USI) number as its own identifier of the individual.

### 3.6 PART 4 – Integrity of Personal Information

- a) Quality of personal information
 

TGIA will take steps, as are reasonable, to ensure that the personal information it:

  - i. Collects is accurate, up to date and complete;
  - ii. Uses or discloses, is, having regard to the purpose of the use or disclosure, accurate, up to date, complete and relevant.
- b) Security of personal information
 

TGIA will take steps, as are reasonable in the circumstances to:

  - i. Protect the information from misuse, interference and loss as well as unauthorised access, modification or disclosure.
  - ii. Destroy the information or to ensure that the information is de-identified.

### 3.7 PART 5 – Access to, and correction of, Personal Information

- a) TGIA provides all clients with electronic access to their own personal records, where the individual can update and maintain their own personal information.
- b) In some circumstances, TGIA may not permit access to individuals for their personal information. If this is ever the case, TGIA will provide full details for the legal reasons for this decision. These may include that TGIA believes:
  - i. That giving access to the information would pose a serious threat to the life, health or safety of the individual, or to public health or public safety; or
  - ii. Giving access would have an unreasonable impact on the privacy of other individuals; or
  - iii. The request for access is frivolous or vexatious; or
  - iv. The information relates to existing or anticipated legal proceedings between TGIA and the individual, and would not be accessible by the process of discovery in those proceedings; or
  - v. Giving access would reveal the intentions of TGIA in relation to negotiations with the individual in such a way as to prejudice those negotiations; or



- vi. Giving access would be unlawful; or
- vii. Denying access is required or authorised by or under an Australian law or a court/tribunal order; or
- viii. Both of the following apply:
  - TGIA has reason to suspect that unlawful activity, or misconduct of a serious nature, that relates to TGIA functions or activities has been, is being or may be engaged in;
  - Giving access would be likely to prejudice the taking of appropriate action in relation to the matters; or
- ix. Giving access would be likely to prejudice one or more enforcement related activities conducted by, or on behalf of, an enforcement body; or
- x. Giving access would reveal evaluative information generated within TGIA in connection with a commercially sensitive decision-making process.
- c) When dealing with requests for access to personal information, TGIA will:
  - i. Respond to request for access within 30 days of the request, if from an individual, and within a reasonable time, if the request is from an organisation; and
  - ii. Provide access to the information in the manner requested, if it is reasonable and practicable to do so.
- d) TGIA does not charge a fee for access to personal information. The exception is re-prints of certification documentation previously supplied.
- e) With regard to the correction of personal information held:
  - i. should TGIA be satisfied that information is inaccurate, out of date, incomplete, irrelevant or misleading, TGIA will take such steps as reasonable to correct the information to ensure that, having regard to the purpose for which it is held, the information is accurate, up-to-date, complete, relevant and not misleading.
  - ii. Should TGIA refuse to correct information, TGIA will give written notice to the individual that sets out:
    - The reason for refusal
    - The mechanisms available to complain about the refusal; and
    - Any other matter prescribed by the regulations.

#### **4. TGIA Responsibilities**

Director TGIA ensures that all employees are made aware of this policy and its underpinning legislative requirements and comply with this policy at all times.

Director TGIA ensures that all clients have access to and awareness of this policy.

#### **10. Records Management**

All personal information and records are maintained in accordance with Records Management Policy. (See Records Management Policy)

#### **11. Monitoring and Improvement**

All practices for Privacy are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Recognition Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to offer Recognition to all clients, and to implement an assessment system that ensures that assessment (including recognition of prior learning) complies with assessment requirements of Training Packages and VET Accredited course, the Principles of Assessment (POA) and Rules of Evidence (ROE).

### 2. Policy Statement

TGIA is committed to providing effective processes for Recognition options to all current and prospective clients.

TGIA will ensure that:

- It implements an assessment system that ensures RPL assessments comply with assessment requirements of relevant Training Packages, VET Accredited Courses;
- RPL assessment is conducted in accordance with the Principles of Assessment (POA);
- RPL assessment is conducted in accordance with the Rules of Evidence (ROE);
- Recognition is offered to all clients on enrolment;
- Adequate information and support are provided to clients in understanding the process and gathering reliable evidence to support their recognition claim;
- all Recognition applications are processed in accordance with the TGIA Assessment Policy; and
- Appropriate recognition will be given to AQF Certification documentation issued by other RTOs.

### 3. Definitions

#### 3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

**AQF certification documentation** is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

**AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

**Assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

**Authenticated VET transcript** has the meaning given in the *Student Identifiers Act 2014*.

**Competency** means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

**Module** means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

**Recognition of Prior Learning (RPL)** means an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.

- i) formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree);
- j) non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and
- k) informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

**Registrar** has the meaning given in the *Student Identifiers Act 2014*.

**Statement of attainment** means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

**Unit of competency** means the specification of the standards of performance required in the workplace as defined in a training package.

## **4. Policy Principles**

### **4.1 Underpinning Principles**

- a) Recognition is made available to any person commencing a course with TGIA.
- b) Recognition of Prior Learning (RPL) is the determination, on an individual basis, of the skills and knowledge currently held by the learner acquired through formal, non-formal and informal learning.
- c) Recognition is used to determine the advanced standing or 'credit', for a training program, that the learner may be awarded as a result of their prior knowledge, skills and experience.
- d) Recognition is an alternative pathway to an AQF qualification or Statement of Attainment.
- e) Recognition is an Assessment process, and as such is subject to all provisions of the TGIA "Assessment Policy".

- f) Recognition assessment decisions must comply with Principles of Assessment and Rules of Evidence as outlined in the Standards for RTOs and in TGIA Assessment Policy. (See Assessment Policy)
- g) All clients may apply for formal recognition of existing competencies against a AQF qualification / Accredited course / unit of competency /module that TGIA is registered to deliver.
- h) The onus is upon the candidate to demonstrate competence to the satisfaction of the assessors, including the provision of certification documentation.
- i) Competency may be derived from many sources:
  - i. Work experiences
  - ii. Work product
  - iii. Life experience
  - iv. Training programs offered by industry, private or community-based providers which may or may not have been formally recognised
  - v. Training programs undertaken overseas (which may or may not be accredited in that country)
  - vi. Informal learning programs
  - vii. Certification from another RTO
- j) Only accredited and approved assessors will conduct Recognition assessments on behalf of TGIA. (See Assessment Policy)
- k) Recognition assessments must comply with the assessment requirements detailed in the relevant Training Package and VET Accredited course.
- l) Recognition application and assessments are subject to fees as outlined in TGIA 'Schedule of Fees'.
- m) The minimum acceptable claim for Recognition is a Unit of competency/module.
- n) Certification documentation will not be issued until all relevant fees are paid in full. (See Certification Policy)
- o) Information of Recognition processes and arrangements are provided to all clients and prospective clients.
- p) An applicant, who has undertaken a course that is not competency based, can gain credit transfer into a competency-based course if the mapping of competency can be justified.

## 4.2 Mutual Recognition / Credit Transfer

- a) TGIA will accept and mutually recognise the decisions and outcomes of any RTO or body in partnership with an RTO, thereby ensuring mutual acceptance throughout Australia of the qualifications and Statements of Attainment awarded by other RTO's or AQF authorised issuing organisations.
- b) TGIA recognises AQF certification documentation from other RTOs, and authenticated VET transcripts issued by the Registrar and after review and verification of validity will apply a credit to all relevant units of competency/modules.
- c) Mutual Recognition applies when the certification documentation provided by the client contains the same national competency code as those that form part of the training and assessment program offered by TGIA.
- d) Certification documentation must be presented as either originals or certified copies of an original. Certified copies must be signed by an authorised signatory or Director TGIA to verify authenticity. Original Certification documentation will be returned to the applicant.
- e) TGIA are not obliged to issue a AQF qualification or Statement of Attainment that is achieved wholly through recognition of units and /or modules completed at another RTO or

- RTOs. (i.e. client cannot complete all of their learning and assessment with another RTO and request TGIA to issue the qualification under Recognition)
- f) The amount of recognition contributing to the issuance of certification documentation from TGIA (i.e. using units/modules completed at other RTOs) is at the discretion of the Director TGIA.
  - g) In the event a client wishes to undertake refresher training in a unit/module for which they have been previously awarded recognition, then client will be advised that the completion of the assessment is not necessary, however, may be offered as an option.
  - h) Where the recognised AQF qualification and attributed units/modules forms part of another AQF qualification, the client will only be enrolled in the additional units required to complete the new qualification.
    - i. Fees will reflect reduced learning load.

## **5. Appeals**

Clients have the right to appeal a Recognition Assessment decision. (See Appeals Policy)

## **6. Access and Equity**

Clients have fair and equal rights to assessment, including recognition. (See Access and Equity Policy)

## **7 Records Management**

All documentation from Recognition processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **8 Monitoring and Improvement**

All Recognition practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Records Management Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment products and services in accordance with the Standards for Registered Training Organisations (SRTOs 2015). This Policy ensures that TGIA maintains a systematic, compliant approach to the effective management of all records.

### 2. Policy Statement

TGIA is committed to implementing effective and efficient records management processes for business, compliance and all training and assessment records and documentation, in accordance with legislative and regulatory requirements.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Record** means a written, printed, or electronic document providing evidence that activities have been performed.

**Student Identifier** has the meaning given in the *Student Identifiers Act 2014*

### 4. Policy Principles

#### 4.1 Records

Records on operations include:

##### 4.1.1 Training and Assessment Records

- a) Client Enrolments and personal details;
- b) Client progress, training and assessment activities and outcomes;
- c) Corporate/client relations;
- d) Complaints and appeals;
- e) Issuing of certification documentation;
- f) Total VET Activity;
- g) Training Delivery;
- h) Recognition;
- i) Client fees;
- j) Refunds.

##### 4.1.2 Compliance Records

- a) Continuous improvement activities and systems;
- b) Training and assessment strategies;
- c) Validation plan, activities and outcomes;
- d) Industry consultation;

- e) Training and assessment resources;
- f) Quality Indicators;
- g) Evaluation;
- h) Audit.

#### **4.1.3 Business Records**

- a) Business planning processes;
- b) Financial management records;
- c) RTO compliance and auditing;
- d) Staff records; including selection, induction; professional development, performance review;
- e) Marketing and advertising approvals;
- f) Legislative and regulatory requirements;
- g) Workplace health and safety.

#### **4.2 Electronic Records**

- a) TGIA Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry.
- b) All TGIA documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally.
- c) Electronic Records will be uploaded to relevant reporting databases in accordance with the reporting requirements.
- d) Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines.

#### **4.3 Paper-based Records**

- a) Paper Records are stored in secure/lockable cabinets for a period of not less than 12 months.
- b) Paper records are archived annually, for an additional four (4) years at a secure off-site storage facility.
- c) Paper Records can be destroyed after five (5) years.

### **5. TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

Data entry and records management is carried out by <Position 3>, in accordance with the Duty Statement.

All staff are responsible for ensuring compliance with privacy and confidentiality of records, including non-disclosure of computer logins and passwords.

Enrolments are entered into the RTO Database and then held on the Student Training File.

Assessments results are entered in the RTO Database and the paper copy will be held on the Student Training File.

Qualifications and Statements of Attainment will be issued in accordance with the Issuing of Qualifications Policy. Copies of all Qualifications and Statements of Attainment issued will be stored inside the RTO Database.

Client Induction Checklist and receipt for course payment will be held in the Students file.

## **6. Access and Equity**

TGIA access and equity policy apply to student access to their own personal records. (See Access and Equity Policy)

## **7. Monitoring and Improvement**

All records management practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)



## Refund Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to have and provide detail of a fair and reasonable refund process.

The purpose of this policy is to provide for the appropriate handling of client refunds.

### 2. Policy Statement

TGIA is committed to ensuring fair and reasonable refund practices.

TGIA will:

- Implement and maintain a process for fair and reasonable refund of fees paid; and
- Provide refunds for fees and charges paid by individuals / clients, where training and assessment activities have not been delivered.

### 3. Policy Principles

The following principles underpin this policy.

- a) Details of TGIA Refund Policy are to be publicly available.
- b) Payment of all refunds is made within one week (seven days) of application for refund.
- c) With regard to all withdrawals, TGIA will firstly encourage a client to enrol on another course date, prior to processing refund applications.
- d) Written notification of withdrawal from a training program must be provided by a client to apply for a refund for a course. This may be via letter, email or the completion of the refund form.
- e) There is no refund applicable where a client has commenced their course/unit.
- f) There is no refund to participants who do not obtain their qualification after assessment.
- g) There is no refund for recognition of prior learning assessments after enrolment, where Recognition resources and services have been supplied to the client.
- h) TGIA does not accept liability for loss or damage suffered in the event of withdrawal from a course by a client.
- i) TGIA provides a full refund to all clients, should there be a need for TGIA to cancel a course. In the first instance TGIA will (where possible) provide an opportunity for the client to attend another scheduled course.
- j) If TGIA cancels a course, clients do not have to apply for a refund, TGIA will process the refunds automatically.
- k) Refunds for cancellation of enrolments are granted on a sliding scale (See Below 3.1 & 3.2).

#### 3.1 Short Courses & Skill Sets

*Refunds for enrolments in individual classroom based courses will be calculated in accordance with the following sliding scale.*

Reason for Refund	Notification requirements	Refund
Client withdraws	In writing, eight (8) calendar days or more prior to the course commencement	100% of the course fee (paid by the client)
Client withdraws	In writing, within seven (7) calendar days prior to the course commencement.	75% of the full course fee (regardless of how much the Client has already paid)
Client withdraws	In writing, less than 24 hours prior to course commencement.	Nil Refund
Client withdrawn from the course by TGIA	After course commencement, due to inappropriate behaviour	Nil Refund
Course cancelled by TGIA		100% of the course fee (paid by the client)

- o) A fee equal to 25 % of the full fee is charged where cancellations occur within seven (7) days before commencement of an enrolled course or assessment.
- p) Fees are refunded in full where the client submits in writing reason for withdrawal, eight (8) days or more prior to commencement of an enrolled course or assessment.

### 3.2 Qualifications / Accredited Courses

*Refunds for enrolments on nationally recognised qualifications (workplace based/traineeships) and accredited courses are subject to the following refund formula.*

Fee Type	Description	Fee \$\$
Enrolment cancellation fee	RTO administrative processes for processing of enrolment, reporting and other administrative actions related to cancellation	\$150.00 per qualification
Unit Fee – Commenced	For all individual units commenced/attended/completed from within the qualification /Accredited course	Full Unit fee payable by the client Nil Refund
Unit Fee – Not Commenced	For all individual units NOT commenced/attended/completed from within the qualification /Accredited course	Full Unit fee paid by the client is Refunded

#### **4. TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

<Position 1> of TGIA will process refund requests within 1 week from the day of receipt.

#### **5. Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

#### **6. Records Management**

All documentation from Refund processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

#### **7. Monitoring and Improvement**

All Refund practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Staff Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to have appropriately qualified and experienced personnel along with processes for managing the competence of RTO personnel.

TGIA recognises the invaluable contribution of personnel to maintaining efficient and effective business operations. As such, it is vitally important that appropriate selection procedures are applied to ensure that those personnel engaged possess the required qualifications, experience and personal attributes.

This policy will define the requirements for the selection, induction, engagement and professional development of trainers and assessors.

### 2. Policy Statement

TGIA acknowledges that all personnel (staff or contractors) are a crucial element to the success of the business, in meeting customer needs and achieving strategic objectives. TGIA will ensure that all trainers and assessors are competent for the functions they perform.

TGIA will select only high calibre personnel meeting the specific selection criteria and will invest in their training and professional development for the provision of effective and efficient training products and services. TGIA is committed to ensuring all personnel performing training and assessment functions on behalf of the RTO, possess the relevant competencies and experience to provide quality training and assessment services.

TGIA will:

- have effective practices in place for the selection, induction and ongoing professional development of all trainers and assessors;
- ensure that all persons have the relevant vocational and VET competencies and experiences to undertake relevant training and assessment activities;
- ensure it manages the performance of all trainers and assessors through performance review processes;
- provide access to relevant opportunities for professional development of its trainers and assessors.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Current industry skills** are the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

Current industry skills may be informed by consultations with industry and may include, but is not limited to:

- q) having knowledge of and/or experience using the latest techniques and processes;
- r) possessing a high level of product knowledge;
- s) understanding and knowledge of legislation relevant to the industry and to employment and workplaces;
- t) being customer/client-oriented;
- u) possessing formal industry and training qualifications; and
- v) training content that reflects current industry practice.

**Professional development** means activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and assessment, including competency-based training and assessment. Examples of professional development activities include:

- a) participation in courses, workshops, seminars, conferences, or formal learning programs;
- b) participation in mentoring, professional associations or other learning networks;
- c) personal development through individual research or reading of publications or other relevant information;
- d) participation in moderation or validation activities; and
- e) participation in industry release schemes.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

## 4. Policy Principles

### 4.1 Staff Recruitment and Selection

- a) TGIA ensures it has sufficient qualified trainers and assessors to deliver training and assessment for all of its scope of registration at all times, in accordance with training and assessment strategies.
- b) Recruitment of TGIA staff will at all times be ethical and consistent with Training and Assessment services being provided.
- c) Selection decisions will comply with Equal Opportunity Legislation and this policy.
- d) TGIA ensures that, through the recruitment and selection process, all trainers and assessors are competent and suitably qualified to undertake their specified role.
- e) TGIA will site and take copy of original certification documents from successful applicants of their VET and vocational competencies. These will be maintained on an individual staff file.
  - i. Where certification documentation cannot be supplied by trainers and assessor's verification of current competencies will be undertaken via a mapping process.
- f) TGIA requires all trainers and assessors to obtain and provide a copy of their current National Police Clearance and Working with Children check (as appropriate).

### 4.2 Trainers Competency

- a) TGIA will ensure that all trainers will be selected based on the requirements of the Standards for RTOs 2015.
- b) Training will only be delivered by persons who have:
  - i. Vocational competencies at least to the level being delivered and assessed; and
  - ii. Current industry skills directly relevant to the training and assessment being provided; and
  - iii. Current knowledge and skills in vocational training and learning that informs their training and assessment; and
  - iv. Prior to 1 January 2016, the:
    - TAE40110 Certificate IV in Training and Assessment or its successor; or
    - A Diploma of higher-level qualification in adult education; or
    - Demonstrated equivalence of competencies; and
  - v. From 1 January 2016, the:
    - TAE40110 Certificate IV in Training and Assessment or its successor; or
    - A Diploma of higher-level qualification in adult education.

#### 4.3 Assessor Competency

- a) TGIA will ensure that all assessors will be selected based on the requirements of the Standards for RTOs 2015.
- b) Assessment will only be delivered by persons who have:
  - i. Vocational competencies at least to the level being delivered and assessed; and
  - ii. Current industry skills directly relevant to the training and assessment being provided; and
  - iii. Current knowledge and skills in vocational training and learning that informs their training and assessment; and
  - iv. Where a person conducts assessment only:
    - Prior to 1 January 2016, the:
      - TAE40110 Certificate IV in Training and Assessment or its successor; or
      - A Diploma of higher-level qualification in adult education; or
      - TAEASS00001 Assessor Skill set or its successor; or
      - Demonstrated equivalence of competencies; and
    - From 1 January 2016, the:
      - TAE40110 Certificate IV in Training and Assessment or its successor; or
      - A Diploma of higher-level qualification in adult education; or
      - TAEASS00001 Assessor Skill set or its successor.
- c) In the case where industry experts are involved in assessment judgements, they must work alongside a qualified assessor to conduct the assessment.

#### 4.4 Trainer / Assessors – Delivering Training and Assessment Qualifications

- a) TGIA will ensure that all trainers will be selected based on the requirements of the Standards for RTOs 2015.
- b) Training and assessment for AQF Qualification or Skill Set from the Training and Education Training package (or its successor) will only be delivered by persons who:
  - i. Prior to 1 January 2016:
    - Hold the training and assessment qualification at least to the level being delivered; or
    - Have demonstrated equivalence of competencies.

- ii. From 1 January 2016, hold the training and assessment qualification at least to the level being delivered.
- iii. From 1 January 2017, if delivering the TAE40110 Certificate IV in Training and Assessment or its successor, or any skill set from the Training and Education Training package (or its successor):
  - holds the:
    - TAE50111 Diploma of Vocational Education and Training or its successor; or
    - TAE50211 Diploma of Training Design and Development or its successor; or
    - A higher-level qualification in Adult Education; or
  - Work under the supervision of a trainer who holds:
    - TAE50111 Diploma of Vocational Education and Training or its successor; or
    - TAE50211 Diploma of Training Design and Development or its successor; or
    - A higher-level qualification in Adult Education.
- iv. From 1 January 2017, if delivering any AQF qualification or any skill set from the Training and Education Training package (or its successor) other than the TAE40110 Certificate IV in Training and Assessment or its successor, the trainer /assessor must hold the qualification at least to the level being delivered.

#### 4.5 Trainers under “Direct Supervision”

- a. Whilst it is the policy position of TGIA to only engage trainers / assessors with relevant trainer/assessor qualifications above, from time to time TGIA may engage an individual who does not hold these competencies. These persons /s will be under “Direct Supervision”.
- b. Where TGIA, engages an individual who does not hold the relevant trainer/assessor qualifications above, TGIA will ensure the individual works under the supervision of a qualified trainer and that the “Supervised trainer” does not determine assessment outcomes.
- c. Trainers working under “Direct Supervision” must:
  - i. Hold one of the following skill sets:
    - 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; or
    - Prior to 1 January 2016, is able to demonstrate equivalence of competencies; and
  - ii. Has vocational competencies at least to the level being delivered and assessed; and
  - iii. Has current industry skills directly relevant to the training ad assessment being provided.
- d. TGIA ensures that any training conducted under Direct Supervision complies with Standard 1 of SRTOs 2015.
- e. TGIA will ensure:
  - i. It determines and puts in place:
    - The relevant level of supervision required to ensure a quality outcome; and

- Any requirements, conditions or restrictions necessary on the individual's involvement in the provision of training and collection of assessment evidence; and
- ii. Trainers providing supervision monitor, and are accountable for, all training provision and collection of assessment evidence by the individual under their supervision.

#### **4.6 Trainer / Assessor Induction**

- a. Upon employment with TGIA trainers and assessors will undertake a Staff Induction.
- b. TGIA ensures that all trainers/assessors receive a comprehensive induction, which includes the provision of:
  - i. a Trainer / Assessor Induction Manual; and
  - ii. Job Description/ Duty Statement.
- c. Director TGIA meets with all new trainers and assessors to confirm the level of understanding of their role and all information contained in the induction manual.
- d. Trainer / Assessor Induction is recorded on a Trainer / Assessor Induction Checklist, which is signed by the Director TGIA and kept on an Individual personnel file.

#### **4.7 Trainer / Assessor - Performance Review**

- a. Performance of Trainers / Assessors is monitored through the Performance Review and feedback processes, which incorporates:
  - i. Client feedback during and after a training and assessment program, as outlined in Evaluation Feedback Policy;
  - ii. Trainers / Assessors Observations; and
  - iii. Professional development records.
- b. All Trainers and Assessors participate in a formal Performance Review process at least annually.
- c. The Performance Review process reviews past performance positively and making plans for ongoing professional development to assist the individual achieve personal career goals and enhance workplace performance.

#### **4.8 Trainer / Assessor – Professional Development**

- a. TGIA Trainers and Assessors are actively encouraged to continue developing their professional knowledge and skills relating to vocational education and training, Training Packages, learning and assessment practices (including competency-based training and assessment) through attending networks, forums, seminars and other competency based or modularised courses.
- b. All trainers and assessors will be provided with ongoing professional development opportunities in line with their job role to complement their existing skills and develop new ones.
- c. Trainers and Assessors are expected to complete 21 hours of Professional development each year.
- d. Professional development opportunities will be discussed and planned primarily during the Performance Review processes, however, may also be agreed and organised as they arise.



#### **4.9 Trainer / Assessor – Currency of Industry Competence**

- a. TGIA Trainers and Assessors are actively encouraged to maintain currency of their industry vocational skills.
- b. Trainers and Assessors must maintain currency of their skills and knowledge in their industry area, through exposure to industry workplaces and / or participation in workplace tasks.
- c. TGIA requires Trainers and Assessors to justify the currency of their industry skills to units of competency/ modules being delivered.
- d. TGIA requires Trainers and Assessors to justify the currency of their industry skills to units of competency/ modules being delivered.

#### **5. TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

The Director TGIA must approve all new positions, vacancies and successful applicants.

Trainers and assessors take responsibility for their own professional development, maintaining vocational industry currency, and providing evidence of this each year.

#### **6. Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

#### **7. Records Management**

All documentation from Staff processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

#### **8. Monitoring and Improvement**

All staffing practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Training and Assessment Strategies and Resources Policy

### 1. Purpose

TGIA is committed to developing training and assessment strategies and have a complete set of training and assessment resources for each qualification and unit of competency under its scope of registration, meeting compliance with National Training Packages and VET Accredited Courses and the Standards for Registered Training Organisations. In the development of such strategies and resources TGIA is required to ensure that industry consultation occurs to ensure relevance, currency, validity and reliability.

The purpose of this policy is to ensure a process for identifying, negotiating, planning and implementing appropriate training and assessment strategies, practices and resources that are responsive to industry and client needs and comply with National standards.

### 2. Policy Statement

TGIA is committed to developing, implementing and reviewing training and assessment strategies (TAS) and resources, for qualifications within its scope of registration, which accommodate the needs of its clients and satisfy the requirements of the Training Packages and VET Accredited Courses.

TGIA will:

- Identify, negotiate, plan and implement appropriate training and assessment strategies to meet the needs of industry and its clients;
- Implement these strategies for each qualification and accredited course within its scope of registration. These strategies will include the identification of proposed target groups, delivery and assessment modes and strategies, assessment validation processes and pathways, and will be developed in consultation with enterprise/industry;
- document these strategies on application for registration and on extension of scope;
- validate assessment strategies by reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments at least annually, and by documenting any action taken to improve the quality and consistency of assessment;
- offer various training strategies and assessment methods including recognition, simulations, written and verbal assessment, to accommodate the needs of individuals (as applicable);
- ensure that training and/or assessment products and services are developed, adapted and/or delivered in line with the requirements in the Standards for RTOs;
- ensure all training and assessment activities are conducted using an open, supportive process which includes participants being made aware of the precise requirements of their training and assessment;
- ensure that TGIA has access to the relevant staff, facilities and equipment to provide the training and/or assessment services within its scope of registration and scale of operations, to accommodate client numbers, client needs, delivery methods and assessment requirements; and
- ensure that it has, or has access to, training and assessment materials for everything on its scope of registration and delivery profile.

### 3. Definitions

### **3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Accredited short course** means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

**AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

**Educational and support services** may include, but are not limited to:

- a) pre-enrolment materials;
- b) study support and study skills programs;
- c) language, literacy and numeracy (LLN) programs or referrals to these programs;
- d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- e) learning resource centres;
- f) mediation services or referrals to these services;
- g) flexible scheduling and delivery of training and assessment;
- h) counselling services or referrals to these services;
- i) information and communications technology (ICT) support;
- j) learning materials in alternative formats, for example, in large print;
- k) learning and assessment programs contextualised to the workplace; and
- l) any other services that the RTO considers necessary to support learners to achieve competency.

**Industry** means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:

- a) enterprise/industry clients, e.g. employers;
- b) group training organisations;
- c) industry organisations;
- d) industry regulators;
- e) industry skills councils or similar bodies;
- f) industry training advisory bodies; and
- g) unions.

**Industry engagement**, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:

- a) partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
- b) involving employer nominees in industry advisory committees and/or reference groups;
- c) embedding staff within enterprises;
- d) networking in an ongoing way with industry networks, peak bodies and/or employers;
- e) developing networks of relevant employers and industry representatives to participate in assessment validation; and
- f) exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

**Mode of delivery** means the method adopted to deliver training and assessment, including online, distance, or blended methods.

**Module** means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

**Operations** of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**Skill set** means a single unit of competency or a combination of units of competency from a training package which link to a licensing or regulatory requirement, or a defined industry need.

**Training and assessment strategies (TAS) and practices** are the approach of, and method adopted by, an RTO with respect to training and assessment designed to enable learners to meet the requirements of the training package or accredited course.

**Training Package** means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

**Unit of competency** means the specification of the standards of performance required in the workplace as defined in a training package.

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

**Volume of learning** – The AQF provides a guide to the volume of learning (see table below), which describes how long a learner who does not hold any of the competencies identified in the relevant units of competency or modules would take to develop all the required skills and knowledge. The volume of learning includes all teaching and learning activities such as guided learning (classes, lectures, tutorials, online or self-paced study), individual study, research, learning activities in the workplace and assessment activities. The amount of training provided by your RTO is part of the overall volume of learning and relates primarily to formal activities including classes and other activities as well as workplace learning.

Certificate I	Certificate II	Certificate III	Certificate IV	Diploma
0.5 – 1 year	0.5 – 1 year	1 – 2 year	0.5 – 2 years	1.5 – 2 years
600 – 1200 hours	600 – 1200 hours	1200 – 1400 hours	600 – 2400 hours	1200 – 2400

				hours
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\*\* Table is an Excerpt from AQF.

## 4. Policy Principles

### 4.1 Underpinning Principles

- a) TGIA utilises a 10-step process to develop and document its Training and Assessment strategies and resources, in consultation with clients and stakeholders, taking account of factors such as:
  - i. industry/enterprise needs;
  - ii. the commercial environment;
  - iii. cost;
  - iv. the requirement of the Training Packages or VET Accredited courses; and
  - v. educational support services required to accommodate the specific client needs (e.g. their language, literacy and numeracy needs).
- b) The training and assessment strategies are developed and documented by the Director TGIA on application for registration / extension of scope and reviewed and customised for client implementation, for each qualification, skill set, cluster or individual unit/ module for delivery.
- c) Through the development of training and assessment strategies TGIA will ensure appropriate access to the trainers and assessors, facilities, equipment, training and assessment materials required to provide the training and assessment services, to accommodate client numbers, client needs, delivery methods and relevant assessment requirements (including distance learning and on-line).
- d) All training and assessment strategies are clearly articulated to comply with the requirements of Training Packages, VET Accredited courses and AQF (with particular regard to "Volume of Learning") and based on data collected regarding industry/client requirements and learning needs through effective consultation.
- e) Further information will be researched during the development training and assessment strategies including:
  - i. via the internet;
  - ii. Industry and government documentation / information;
  - iii. Training publications.
- f) Information gathered may include:
  - i. Regulations or laws governing the industry;
  - ii. Standard operating procedures;
  - iii. Manufacturer's instructions;
  - iv. Information regarding the work environment (e.g. work schedules, seasonal factors and fluctuations, shift rosters etc.);
  - v. Preferences regarding training delivery; and
  - vi. Characteristics of the target group.
- g) Industry / client involvement may include representatives from the following bodies:
  - i. Industry skills councils;
  - ii. industry training bodies;
  - iii. industry organisations/enterprises;
  - iv. clients;
  - v. Licensing bodies/ regulators;
  - vi. Trade Unions.

- h) Training and assessment strategies must meet the client needs and support the characteristics of the target group. Client needs may include:
  - i. Learning styles;
  - ii. Physical or intellectual abilities;
  - iii. Relevant prior learning or experience;
  - iv. Language, literacy and numeracy abilities;
  - v. Location of training and assessment;
  - vi. Cultural or ethnic background and learning approaches;
  - vii. Socio-economic factors.
- i) Validation - Reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards is to occur at least annually and any action to improve the quality and consistency of assessment is to be documented. (See Validation Policy)

#### **4.2 Training and Assessment Strategies (TAS)**

- a) TGIA has a Training and Assessment Strategy (TAS) template which is to be used for each qualification or VET accredited course under the scope of registration. The full completion of this template ensures that all the requirements of a TAS, are met.
- b) Information contained in the TAS includes (but is not limited to):
  - i. Full code and title of the training product
  - ii. How the units of competency are packaged to meet the requirements of the qualification
  - iii. How pre-requisite and co-requisite units are accommodated
  - iv. Amount of training
  - v. Duration and scheduling
  - vi. Entry level requirements
  - vii. Modes of delivery
  - viii. Assessment resources, methods and timing
  - ix. Human resources
  - x. Physical resources
  - xi. Learning resources.
  - xii. Learning approaches that can be used to accommodate client needs
  - xiii. Recognition of prior learning (RPL) processes
  - xiv. Advice to trainers and assessors on how training is to be delivered and assessment conducted

#### **4.3 Client Tailored Programs**

- a) If a client engages TGIA in the development of specific delivery and assessment, the learning and assessments strategy will identify client requirements and partnering arrangements (as applicable).

#### **4.4 Training and Assessment Resource Register**

- a) TGIA will research the VET landscape for appropriate free or licensed learning and assessment resources suitable for implementation for TGIA services. These resources will be checked and /or mapping for compliance against competencies and client's needs before being used for client services.

#### 4.5 Training and Assessment Resources

- a) All resources needed for the delivery of the training program are identified in the Training and Assessment Strategy (TAS).
- b) Documented Training and Assessment Resources may include:
  - i. Trainer Resources:
    - Trainer information regarding the unit of competency
    - Lesson plans
    - Handouts (as applicable)
    - Relevant training program specific forms
    - Audio/Visual presentations
    - Videos/DVDs
  - ii. Learner Resources:
    - Learner manual
    - Text book (as relevant)
    - Training Journal
  - iii. Assessment Resources:
    - Assessment tools
      - information regarding the unit of competency
      - Assessor instructions
      - Client instructions
      - Assessment instruments
      - Assessment forms/templates
    - Assessment marking guides
    - Recognition Tool
  - iv. Mapping Documentation – identifying how the training and assessment materials map for compliance against the unit of competency
- c) Other Resources may include:
  - i. Premises, equipment and facilities required
  - ii. Industry placement arrangements
  - iii. Simulated environments required
  - iv. Support staff or resources required to meet learner needs
  - v. Language, literacy and numeracy support
  - vi. Agreements for the use of resources, equipment, machinery, facilities

#### 4.6 Copyright of Resources

- a) All printed training and assessment resources produced by or on behalf of TGIA are Copyright to TGIA under the provisions of the Copyright Act 1968. TGIA training and assessment resources may not be reproduced, without the copyright owner's permission. TGIA uses the following copyright information.

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#### **4.7 Development of Training and Assessment Strategies for Training (10-Step process)**

The following 10-Step process will be applied when designing and developing training programs:

- i. Identify client training needs
  - a. Consult with industry (Industry Consultation Form)
  - b. Conduct a task and training needs analysis (If applicable)
- ii. Identify appropriate competency standards and training package requirements
- iii. Develop the training and assessment strategy (using Training and Assessment Strategies Template)
- iv. Validate training and assessment strategy with industry / client
  - a. Review and update training and assessment strategy
- v. Identify / develop appropriate training and assessment resources
- vi. Validate training and assessment resources with industry / client
  - a. Review and update training and assessment resources
- vii. Conduct and evaluate 'Pilot' program
- viii. Review and finalise training and assessment strategy and resources
- ix. Deliver the training and assessment
- x. Ongoing review and evaluation of training and assessment

#### **5. TGIA Responsibilities**

Director TGIA is responsible for the identification/development, trial, ongoing review and modification of all training and assessment resources, which complement the learning and assessment strategies.

#### **6. Legislation**

Legislation applicable to this policy include:

- Copyright

#### **7. Records Management**

All documentation from development of training and assessment strategies and resources processes are maintained in accordance with Records Management Policy. (See Records Management Policy)



## **9 Monitoring and Improvement**

All development of training and assessment strategies and resources practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Training Delivery Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to provide clients with quality, flexible training and assessment that meets the requirements of Training Packages and VET Accredited Courses, is responsive to industry and client needs and provides access to relevant resources and services.

### 2. Policy Statement

TGIA is committed to providing high quality training and assessment products and services, providing clients access to flexible learning options to accommodate diverse and varying learning styles and needs.

TGIA ensures that:

- It has sufficient
  - qualified and experienced trainers and assessors to deliver training and assessment within its scope of registration;
  - educational and support services to meet the needs of different learners undertaking training and assessment;
  - training resources to enable learners to meet the requirements for each unit of competency/module, and which are accessible to the learner regardless of location or mode of delivery; and
  - facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.
- All requirements, as specified in training packages or VET Accredited course on scope of registration are met;
- Training and assessment practices are relevant to industry needs, as identified through industry engagement and consultation;
- Courses are offered with flexible or blended learning approaches, including (where possible) correspondence and online;
- Courses are offered with a choice of assessment options.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Educational and support services** may include, but are not limited to:

- c) pre-enrolment materials;
- d) study support and study skills programs;
- e) language, literacy and numeracy (LLN) programs or referrals to these programs;
- f) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
- g) learning resource centres;

- h) mediation services or referrals to these services;
- i) flexible scheduling and delivery of training and assessment;
- j) counselling services or referrals to these services;
- k) information and communications technology (ICT) support;
- l) learning materials in alternative formats, for example, in large print;
- m) learning and assessment programs contextualised to the workplace; and
- n) any other services that the RTO considers necessary to support learners to achieve competency.

**Industry** means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:

- a) enterprise/industry clients, e.g. employers;
- b) group training organisations;
- c) industry organisations;
- d) industry regulators;
- e) industry skills councils or similar bodies;
- f) industry training advisory bodies; and
- g) unions.

**Industry engagement**, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:

- a) partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
- b) involving employer nominees in industry advisory committees and/or reference groups;
- c) embedding staff within enterprises;
- d) networking in an ongoing way with industry networks, peak bodies and/or employers;
- e) developing networks of relevant employers and industry representatives to participate in assessment validation; and
- f) exchanging knowledge, staff, and/or resources with employers, networks and industry bodies

**Mode of delivery** means the method adopted to deliver training and assessment, including online, distance, or blended methods.

**Module** means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**Training and assessment strategies and practices** are the approach of, and method adopted by, an RTO with respect to training and assessment designed to enable learners to meet the requirements of the training package or accredited course.

**Training Package** means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed

components of a Training Package are units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

**Training Product** means AQF qualification, skill set, unit of competency, accredited short course and module.

## 4. Policy Principles

### 4.1 Underpinning Principles

- c) Training and Assessment Strategies are developed for all training products. (See Training and Assessment Strategies and Resources Policy)
- d) Training Delivery modes and methods are determined and developed in consultation with industry during development phase of training programs. (See Training and Assessment Strategies and Resources Policy)
- e) All training and assessment are conducted in accordance with the documented Training and Assessment Strategy.
- f) TGIA can support flexible delivery modes for all courses being offered, including on and off the job, distance and blended learning approaches.
- g) Various instructional/delivery methods may be deployed for the delivery of training programs, including (but not limited to):
  - i. trainer presentations and teaching,
  - ii. lectures,
  - iii. audio/visual presentations,
  - iv. demonstrations,
  - v. group discussions,
  - vi. individual and/or group activities,
  - vii. hands-on activities, skills practices and role plays,
  - viii. individual training using workplace environment and projects.
- h) A general philosophy is that much of the learning and assessment is to be integrated into the learner's workplace (as much as possible).
- i) Clients will be able to enrol in the full qualification or individual units of competency to meet their specific needs. A specific delivery mode will be determined in each case.

### 4.2 Mode of Delivery

- a) There are typically seven (7) modes of delivery that may be incorporated for courses (depending on client needs):
  - i. **Classroom: Trainer – Led**  
 Clients will be provided with access to industry professionals who are qualified trainers and assessors and a full set of learning & assessment resources. This is a full delivery model whereby the trainer teaches full content to clients as they progress through the learning of the qualification/ unit of competency, in accordance with learning resources provided and the requirements of the Training

Package or VET Accredited Course. The learning environment is interactive with clients engaging in group discussions and activities. Clients are provided with assessments to undertake/complete and submit to demonstrate their competency.

This teacher-led delivery mode has the advantage of providing a focussed, controlled environment for acquiring the skills and knowledge necessary. Clients are given the opportunity to practise the application of knowledge and skills. Group activities allow the application of learning to a variety of situations. Self-paced research and work gives clients opportunities to develop and practice their capacity for self-directed work and make learning very relevant to their particular circumstances and/or workplace.

This mode of delivery suits clients with limited prior exposure/experience/knowledge with course content and skills.

**ii. Classroom: Facilitated learning**

This is a form of blended learning approach whereby clients receive a full set of learning and assessment resources and part time (reduced) access to industry professionals who are qualified trainers and assessors. Trainers facilitate the content with clients as they progress through the learning of the qualification. In this way trainers identify and point out key topics and areas of learning without teaching the full content. Clients are required to complete much of the learning self-paced, however having regular access to a qualified trainer in a classroom / formal learning setting. During facilitation clients will complete group discussions and activities. Clients are provided with assessments to complete and submit to demonstrate their competency.

This facilitation method efficiently communicates high-level knowledge. Discussions, role play, case studies and group activities create significant group learning balancing lecturing with opportunities to reflect on concepts and apply learning. Individual research gives clients opportunities to assimilate learning and practice self-direction and reflection.

This mode of delivery suits clients who already have some exposure/experience/knowledge in the workplace relative to the course content and skills.

**iii. Tutorial & Assessment Coaching**

This is primarily a self-paced learning approach whereby clients receive a full set of learning and assessment resources and progress their way through the learning with part time remote access to industry professionals who are qualified trainers and assessors. In addition, clients will have the opportunity to attend (2) hour tutorial (face-to-face) sessions where the trainer provides advice and feedback on assessment processes for the program. Learners are provided with assessment tasks/assignments to complete and submit for assessment to demonstrate their competency.

**iv. Distance Learning (Correspondence / Online)**

This is a self-paced learning approach whereby clients receive a full set of learning and assessment resources. Clients learn at their own pace and have access to and

support from industry professionals who are qualified trainers and assessors via telephone, email, chat, Skype etc. Once Clients have completed their learning and assessments, they forward their completed assessment back to TGIA for judgment on competency.

v. **Workplace based – Traineeship**

This is a structured self-paced learning approach in the workplace, whereby clients receive a full set of learning and assessment resources, including a workplace training record book, where they record workplace experiences. Clients and workplace supervisors are consulted and an agreed training plan is provided to all parties. Workplace supervisors play a key role in ensuring that successful completion of the workplace learning approach. A qualified Trainer/Assessor visits the workplace once per one-two (1-2) month/s to confirm the learning and assess the client on competencies - as agreed in the training plan. The client and workplace supervisor will also complete the training record book activities in between trainer visits. Communication, support and access to the trainer / assessor is available and facilitated via telephone, email, chat, Skype etc.

This mode of delivery suits clients who are employed and wish to integrate their learning into their workplace immediately. This mode may or may not be supported by Australian Apprenticeship funding.

vi. **Assessment Only – Recognition (RPL)**

RPL is not applicable for any of the FirstAid Courses

vii. **Blended Learning**

A combination of any of the above six (6) modes of delivery can be put in place to suit the needs of clients. These are negotiated and agreed with clients on an individual basis.

### 4.3 Workplace Training

- a) If a client is not currently employed, they will be encouraged to seek work experience throughout their training.
- b) TGIA will negotiate with the client and the workplace management, to ensure appropriate arrangements for the confidential treatment of workplace information, and interactions with the workplace.
- c) TGIA will ensure that where the client uses evidence from their workplace as demonstration of their competence, the client obtains prior approval from the workplace management for the information/documentation to be taken from the workplace and provided as evidence to the TGIA for assessment.
- d) TGIA will sign a workplace approval/agreement advising clients and workplaces that all confidential information (such as names, addresses) can be removed from assignments and/or that fictitious names can be used instead, to protect privacy.
- e) TGIA ensures that should site visits be required for training and assessment that the TGIA representative is aware of the privacy, confidentiality and commercial sensitivity of the business.
- f) TGIA ensures it has permission from the workplace management for the conduct of training and assessment in the workplace environment.

- g) TGIA ensures that client will be informed of any requirement to interview workplace managers, colleagues or clients, and that this is approved by those parties involved.
- h) TGIA ensures the confidentiality of individuals who may be involved in any workplace interviews, such as managers, colleagues and clients.
- i) TGIA ensures that trainers and assessors receive relevant site inductions prior to entering a workplace, in consultation with site management.

#### **4.4 Training & Assessment Resources – for Trainers and Assessors**

- a) TGIA provides the following resources to trainers and assessors for the delivery of training:
  - i. Lesson plans
  - ii. Training and assessment strategy
  - iii. Trainer resources
  - iv. Assessment resources
  - v. Course resources
  - vi. Course files
  - vii. Client Nomad files (as applicable)
- b) Resources provided contain all relevant information for the trainer to enable delivery of the training to meet the unit/s of competency.
- c) TGIA provides the relevant facilities and equipment required as prescribed in the Training and assessment strategy and to accommodate the number of learners.

#### **4.5 Conducting Training**

- a) Training sessions will be provided at:
  - i. TGIA Training rooms; or
  - ii. on-site at the clients' premises (away from the normal work routine); or
  - iii. a contracted training room arranged by TGIA.
- b) The degree to which learning occurs depends on how the client interacts with their learning environment. The environment consists of the trainer, the training materials, other learners, as well as the physical and psychological atmosphere.
- c) In all cases, trainers are required to deliver learning in accordance with the Training and assessment strategy and training and assessment resources provided giving particular attention to their functions of teaching and managing clients and the learning environment.
- d) Trainers as leaders are required to guide, inspire and supervise the clients so that they attain their learning outcome.
- e) Trainers are required to encourage clients to be responsible for their own learning. Controlling the learning activity enables the trainer to monitor the progress of the learning experience.
- f) Other Trainer functions include:
  - i. Prior to the commencement of training, trainer / assessor will assess the area to identify hazards which could pose threat to safety of clients.
  - ii. Planning the learning environment, ensuring it is safe and conducive to learning;
  - iii. Consulting with TGIA management and administration staff on administrative and training procedures;
  - iv. Monitoring and reporting training progress and success;
  - v. Monitoring and reporting on client's readiness for assessment.
- g) Trainers are required to ensure all course documentation is fully completed and provided to TGIA administration staff, immediately following training delivery. (See Records Management

Policy)

This includes, but is not limited to:

- i. Attendance records;
- ii. Site Visit forms;
- iii. Training Environment safety evaluation;
- iv. Client – Evaluation forms;
- v. Trainer – Evaluation form;
- vi. Course Report

#### **4.6 Premises, equipment and facilities**

- a) TGIA will ensure that clients have access to sufficient facilities and equipment required to accommodate the number of clients and the effective completion of training and assessment.
- b)
- c) If a hazard or significant disturbance is identified immediately prior to or during training delivery, training will only continue if there is no safety risk. Otherwise training will be re-scheduled.
- d) All equipment is to be checked and tested prior to training delivery, to ensure that it is operational and safe. If equipment failure occurs, training should continue only if it is safe to do so. Alternative arrangements for replacement of equipment should be put in place where practical to do so.

#### **4.7 Language, Literacy and Numeracy**

Language, Literacy and Numeracy (LLN) needs are accommodated during the training and assessment services. LLN requirements will be identified through client consultation.

### **5. Trainer and Assessor Requirements**

TGIA will only engage appropriately qualified trainers and assessors for the delivery of training and assessment services, in accordance with the Standards for RTOs 2015 including Schedule 1. (See Staff Policy)

### **6 Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

### **7 Records Management**

All documentation from Training Delivery processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

### **8 Monitoring and Improvement**

All practices for Training Delivery are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)





## Transition of Training Packages Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to transition scope of delivery and clients to new Training products in a timely manner.

### 2. Policy Statement

TGIA is committed to ensuring clients have access to and attain a qualification that most closely represents the current skill needs of industry.

TGIA ensures that it has effective and efficient practices in place:

- To monitor currency of training products;
- To maintain currency of its scope of registration;
- For the transition of training products
- For the transfer of clients to upgraded Training Package qualifications and VET Accredited courses.

### 3. Definitions

**3.2 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**AQF certification documentation** is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

**AQF qualification** means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

**National Register** means the register maintained by the Commonwealth Department responsible for VET and referred to in section 216 of the *National Vocational Education and Training Regulator Act 2011*.

**Scope of registration** means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- ii) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- jj) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

**Statement of attainment** means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

**Training Package** means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed

components of a Training Package are: units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

**Training Product** means AQF qualification, skill set, unit of competency, accredited short course and module.

**VET Regulator** means:

- a) the National VET Regulator; and
- b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

## 4. Policy Principles

### 4.7 Industry Currency – Qualifications

- a) An AQF Qualification or VET Accredited course being superseded or discontinued is a clear indication that industry needs have changed to the extent that the previous qualification is no longer suitable.

### 4.2 Transitioning Clients

The need of clients is best served by transitioning clients into replacement qualifications as soon as possible:

- a) Where a training product on TGIA scope of registration is superseded, all clients' training and assessment is to be completed and the relevant AQF certification documentation issued, or clients transferred into the replacement qualification, within one (1) year from the date the replacement training product was released on the National Register ([www.tga.gov.au](http://www.tga.gov.au)). (SRTO 1.26a)
  - i. Clients who will complete their learning and be issued a qualification or statement of attainment within the one-year transition period do not need to be transferred to the replacement training product.
- b) Where an AQF qualification is no longer current and has been removed or deleted (ie it has not been superseded), all clients' training and assessment is completed and the relevant AQF certification documentation issued within two (2) years from the date the AQF qualification was removed or deleted from the National Register. (SRTO 1.26b)
- c) Where a skill set, unit of competency, accredited short course or module is no longer current and has been removed or deleted (i.e. it has not been superseded) all clients' training and assessment is to be completed and the relevant AQF certification documentation issued within a period of one (1) year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National register. (SRTO 1.26c)
- d) No new enrolments or commencements will be accepted into any training product that has been removed or deleted from the National Register. (SRTO 1.26d)

#### **4.3 Superseded Units in Secondary Training Packages**

- a) The requirements of 4.1 and 4.2 above do not apply, where a secondary Training Package, still contains and requires the completion of a superseded unit of competency (from a “parent” Training Package). (SRTO 1.27) [for example a BSB unit within a CPP qualification]

#### **4.4 Changes to Scope – Superseded training products**

- b) If an Industry Skills Council (ISC) deems that a replacement training product is equivalent to the superseded training product, TGIA scope of registration will be automatically updated by the VET Regulator to include the replacement Training product.
- c) If replacement training product is considered “not equivalent” to the superseded training product, TGIA will need to (prior to transferring any client enrolments):
  - i. Apply for the replacement product to be added to scope of registration; and
  - ii. Have the application approved.
- d) One (1) year from the date a training product was superseded, the VET Regulator will remove the superseded training product from TGIA’s scope of registration. From this date TGIA will not:
  - i. Enrol or train clients in that training product; and /or
  - ii. Issue a qualification or statement of attainment for that training product (except reprint / replacement documentation for previously issued certification).

#### **4.5 Changes to Scope – Deleted or Removed Qualification**

- a) From time to time, ISCs may determine that a qualification will be removed or deleted without being replaced by another qualification. There is therefore no replacement qualification into which clients can be transferred.
  - i. TGIA will determine, in consultation with the client, an alternative qualification to meet client needs.
- b) TGIA will not allow a client to commence training or assessment into a training product that has been deleted or removed, from the date the training product is removed from the National Register.
- c) Two (2) years after a qualification has been removed or deleted from the national register, the VET Regulator will remove the qualification from TGIA’s scope of registration. From this date TGIA will not:
  - i. Enrol or train clients in that qualification; and/or
  - ii. Issue a qualification for that training product (except reprint / replacement documentation for a previously issued qualification).

#### **4.6 Changes to Scope – Deleted or Removed Skills Set, Unit of competency, Course or Module**

- a) From time to time, ISCs may determine that a skill set, unit, course or module will be removed or deleted without being replaced. There is therefore no replacement into which clients can be transferred.
  - i. TGIA will determine, in consultation with the client, an alternative training product to meet client needs.

- b) TGIA will not allow a client to commence training or assessment into a training product that has been deleted or removed from the date the training product is removed from the National Register.
- c) One (1) years after a skill set, unit or module has been removed or deleted from the national register; the VET Regulator will remove the skill set, unit or module from TGIA's scope of registration. From this date TGIA will not:
  - i. Enrol or train clients in that qualification; and/ or
  - ii. Issue a Statement of Attainment for that training product (except reprint / replacement documentation for a previously issued Statement of Attainment).

## **5. TGIA Responsibilities**

The Director TGIA is responsible for ensuring compliance with this policy.

## **6. Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

## **7. Records Management**

All documentation from Enrolment and transition processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **8. Monitoring and Improvement**

All enrolment and transition practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Validation Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to implement a plan for ongoing systematic validation of assessment practices and judgments for each training project on its scope of registration.

The purpose of this policy is to ensure ongoing systematic validation of assessment practices and judgments.

### 2. Policy Statement

TGIA is committed to conducting ongoing systematic validation of its assessment practices, tools, processes and judgements made by assessors.

TGIA ensures that:

- A plan for ongoing systematic validation of assessment is implemented;
- Each training product is validated at least every five (5) years;
- Key stakeholders are involved in validation processes;
- It documents its validation activities, outcomes and actions taken to improve the quality and consistency of assessment; and
- Validation is undertaken by appropriately qualified and experienced persons.

### 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

**Assessment system** is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

**Independent validation** means, for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who:

- l) are not employed or subcontracted by the RTO to provide training and assessment; and
- m) have no other involvement or interest in the operations of the RTO.

**Industry** means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:

- a) enterprise/industry clients, e.g. employers;
- b) group training organisations;

- c) industry organisations;
- d) industry regulators;
- e) industry skills councils or similar bodies;
- f) industry training advisory bodies; and
- g) unions.

**Statistically valid** means for the purposes of these Standards, a random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.

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

## 4. Policy Principles

### 4.1 Underpinning Principles

- a) Validation is used by TGIA to
  - i. Verify and maintain industry relevance of training and assessment strategies, practices and resources;
  - ii. Verify compliance with requirements of national Training Packages and VET Accredited Courses;
  - iii. Monitor compliance with SRTOs 2015;
  - iv. Evaluate efficiency of training and assessment strategies and practices;
  - v. Engage with industry;
  - vi. As a method for continuous improvement of TGIA training and assessment products and services;
  - vii. ensuring consistency and integrity, meeting the needs of industry.
- b) Assessment documentation to be validated will include:
  - i. Training and assessment strategies;
  - ii. Assessment tools;
  - iii. Assessment policies and procedures; and
  - iv. Assessment evidence and judgments.
- c) Validation will be undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
  - i. Vocational competencies and current industry skills relevant to the assessment being validated;
  - ii. Current knowledge and skills in vocational teaching and learning; and
  - iii. The training and assessment qualification or assessor skill set referred to in Schedule 1 of Standards for RTOs.
- d) Industry experts may be involved in validation to ensure there is the combination of expertise set-out in c) above.
- e) The validation process provides opportunity for dissemination of information and professional development on the processes, practice and procedures to Assessors.

- f) The validation process is to ensure individuals are respected and confidentiality is upheld.
- g) Confidentiality includes:
  - i. No copying or use of materials made available for moderation without prior permission from the Intellectual property owner.
  - ii. Respect ethical practice.
  - iii. Respect privacy of assessors.
- h) TGIA ensures discussions during validation validate:
  - i. The effectiveness of assessment tools and practices;
  - ii. The standard of performance demonstrated and achieved;
  - iii. Evidence collected meets with Rules of Evidence; and
  - iv. The accuracy and consistency of the assessment judgments.

## 4.2 Validation Plan

- i) The validation plan will cover a five (5) year cycle.
- j) The validation plan will be reviewed and updated annually to accommodate changes in the business, industry / environment, scope and identified risk areas.
- k) TGIA validation plan will include:
  - i. Proposed dates for validation meetings;
  - ii. Full code and title of each of the nominated units/modules from the training product;
  - iii. The designated chair of the validation meeting;
  - iv. The suggested/nominated participants;
  - v. How the outcomes of the validation will be documented; and
  - vi. How the outcomes of the validation will be acted upon.
- l) At least 50% of products will be validated within the first three years of each five years cycle taking into account scope of delivery, relative risks, and industry needs.
- m) Risks will be assessed based on:
  - i. Unit of competency/ module
  - ii. Delivery site
  - iii. Delivery mode
  - iv. Equipment used
  - v. Financial concerns
  - vi. Assessment methods implemented
  - vii. Licensing requirements
  - viii. Numbers of Enrolments
  - ix. Assessment outcome rates / statistics
  - x. Recent addition to scope
  - xi. Complaints
  - xii. Appeals
  - xiii. Staff turnover
  - xiv. Risks identified by the VET Regulator

## 4.3 Validation of Training and Assessment qualifications

- a) TGIA abides by the requirements for “Independent Validation of Training and Assessment qualifications” on its scope of registration, as specified in SRTOs 2015 (including Schedule 2).

## 4.4 Industry Engagement - Validation



- a) TGIA engages industry to validate training and assessment strategies, practices, and resources (including assessment tools) during the development phase of all training and assessment products to ensure:
  - i. relevance of materials and tools to the needs of industry;
  - ii. relevance of trainer and assessor industry skills.

## **5. TGIA Responsibilities**

The Director TGIA is responsible for the validation process and ensuring that all Assessors, are applying consistent standards and making consistent judgments when conducting assessments.

Assessors are responsible for:

- a) implementing professional and effective assessment and validation practices. (See Assessment Policy);
- b) implementing the assessment instruments and instructions provided for the process of conducting assessment; and
- c) ensuring that assessment complies with Principles of Assessment and Rules of Evidence.

## **6. Records Management**

All documentation from Validation processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **9. Monitoring and Improvement**

All Validation practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

Outcomes from validation feed into continuous improvement (See Continuous Improvement Policy)

## Verification of Qualifications

### Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs 2015). As such, TGIA is required to have appropriately qualified and experienced personnel along with processes for managing the competence of RTO personnel.

This policy has been developed in support of the compliance, quality and reporting requirements of TGIA in relation to its staff member's qualifications and required professional memberships/certifications/accreditations.

This policy will define the requirements for the selection, induction, engagement and professional development of trainers and assessors.

### Policy Statement

The verification and collection of qualifications and required professional memberships/certification/accreditations of existing and prospective staff members is an important compliance and quality requirement of TGIA. Some of these compliance and quality outcomes for TGIA include; the requirement to confirm the qualifications claimed by a prospective staff member, to ensure compliance under the Trade Practices Act and to facilitate reporting requirements, such as the Department of Education, Employment and Workplace Relations (DEEWRs).

TGIA acknowledges that all personnel (staff or contractors) are a crucial element to the success of the business, in meeting customer needs and achieving strategic objectives. TGIA will ensure that all trainers and assessors are competent for the functions they perform.

TGIA will select only high calibre personnel meeting the specific selection criteria and will invest in their training and professional development for the provision of effective and efficient training products and services.

TGIA will:

- have effective practices and arrangements to ensure the qualifications and required professional memberships/certifications/accreditations claimed by existing and prospective staff members are verified and collected.

### Policy Principles

#### Staff qualification verification

TGIA is required to verify and collect certified copies of the following qualifications and professional memberships/certifications/accreditations of existing and/or prospective staff members:

- Qualifications specified as essential criterion for an advertised and/or vacant position;
- All qualifications claimed as being held by a staff member; and,
- All required professional memberships/certifications/accreditations.

From time to time, TGIA may expand the range of qualifications and professional memberships/certifications/accreditations an existing and/or prospective staff member must

produce to be verified and collected, due to changes in compliance, quality and reporting requirements.

It is also acknowledged that during a staff member's period of employment she/he may obtain further qualifications and professional memberships/certifications/accreditations, which are appropriate, in line with the above requirements, to be verified and collected by TGIA.

To verify a qualification or professional membership/certification/accreditation, an existing and/or prospective staff member will be requested to submit a photocopy of their qualification or professional membership/certification/accreditation with a written notation from her/his designated supervisor or a Justice of the Peace or by a staff member in the Human Resources Directorate stating: "Original sighted by...", with their name, position or other title and date.

The certified copies of qualifications and professional memberships/certifications/ accreditations will then be retained by or submitted to the Human Resources and placed on the staff member's personal file.

The University has established the following processes for ensuring the verification and collection of staff member's qualifications and professional memberships/certifications/ accreditations.

An audit of all the qualifications and required professional memberships/certifications/ accreditations of all **existing staff members** will be undertaken by the Director Operations in line with the requirements outlined above.

Prior to appointment **prospective staff members** will be required to submit certified copies of all qualifications and professional memberships/certifications/accreditations claimed by them.

It is the responsibility of the Selection Committee as part of a recruitment and selection process to ensure that certified copies of all qualifications and professional memberships/certifications/accreditations claimed by the prospective staff member are attached to the Selection Committee Report.

It is the responsibility of the Nominated Supervisor when submitting a request for direct appointment to ensure that certified copies of all qualifications, professional memberships/certifications/accreditations claimed by the prospective employee are attached to the Approval to Fill a Position form.

In line with TGIA's Recruitment and Selection Policy, no selection decision may be finalised until original or certified copies of these qualifications and required professional memberships/certifications/accreditations are sighted and certified copies submitted.

TGIA has the right to verify the qualifications and professional memberships/certifications/ accreditations by contacting the qualifications and professional memberships/certifications/ accreditations issuing authority/RTO/TAFE or University No selection decision may be finalised till the qualifications and professional memberships/certifications/ accreditations have been verified and deemed authentic.

All **existing and prospective staff members** must submit to Director Operations certified copies of any qualifications and professional memberships/certifications/ accreditations subsequently obtained, published or claimed as being held during their employment at the University.

No existing or subsequently obtained qualification or professional membership/ certification/accreditation can be published as being held by a staff member of TGIA without a certified copy first being submitted to the Director Operations

## TGIA Responsibilities

The Director TGIA is responsible for ensuring compliance with this policy.

The Director TGIA must approve all new positions, vacancies and successful applicants.

Trainers and assessors take responsibility for their own professional development, maintaining vocational industry currency, and providing evidence of this each year.

### **Access & Equity**

The TGIA Access & Equity Policy applies. (See Access & Equity Policy)

### **Records Management**

All documentation from Staff processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

### **Monitoring and Improvement**

All staffing practices are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

## Work Health and Safety Policy

### 1. Purpose

TGIA is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, TGIA is required to comply with relevant Federal, State and Territory laws, including that relating to Workplace Health and Safety.

The purpose of this policy is to ensure TGIA complies with .....(relevant Commonwealth Work Health and Safety (WHS)).... Act and regulatory requirements that are relevant to its operation and Scope of Registration.

### 2. Policy Statement

TGIA is committed to providing a learning environment which is free from safety and health hazards and that all staff, clients and visitors are fully informed of these safety and health requirements including Emergency Procedures that affect their duties or participation in vocational education and training.

TGIA will:

- Provide staff, clients and contractors a safe and healthy learning environment;
- Provide a safe and healthy workplace to allow all our employees to perform their tasks to their maximum potential, safely and efficiently; and
- Comply with relevant laws, regulations and standards.

### 3. Policy Principles

#### 3.1 Underpinning Principles

- o) TGIA uses a consultative and participative approach with employees regarding Workplace Health and Safety.
- p) TGIA considers **Risk Management** a top priority in all activities on and off site and WHS is a key element of this risk management. Communication within all levels of the organisation ensures everything from clearly marked exits to spill signage and evacuation plans form the basis of a comprehensive approach.
- q) The Directors of TGIA conduct bi-annual Safety Risk Audits and enter any identified Actions into the **Continuous Improvements Register**. This includes an Action Date and a Date Closed so that the Administrative Officer can follow up any issues with Directors.
- r) TGIA at all times plans for and monitors its employees and clients wherever they are working.
- s) Evaluation of WHS matters are discussed in the regular meetings.
- t) TGIA provides ergonomic equipment at all times.
- u) Safe use of equipment is discussed at regular staff meetings.
- v) Safe plant and equipment are provided and maintained by TGIA.
- w) Environmental protection is a TGIA concern including disposal of various types of materials from the administrative areas to industrial waste where relevant.

#### 3.2 First Aid

- a) TGIA has qualified First Aid competent employees at all times.
- b) TGIA ensures first aid is only administered by qualified First Aid competent employees.

### **3.3 Management of Workplace Hazards / Risks**

- a) TGIA conducts regular safety inspections in the workplace.
- b) Trainers/Assessors must undertake a safety inspection of training and assessment environment prior to commencement each day.
- c) Hazard may be identified at any time and are to be reported to Director TGIA immediately.
- d) Hazard Management will include:
  - i. Hazard identification;
  - ii. Risk Assessment;
  - iii. Risk Control; and
  - iv. Monitor and Evaluation.

### **3.4 Reporting Accidents and Incidents**

- a) All accidents and incidents must be reported immediately to Director TGIA.

### **3.5 Emergency Management Plan**

- a) In the event of an accident or incident, emergency management plans must be followed. These may include:
  - i. Administration of First Aid;
  - ii. Organising Medical assistance (Paramedics, Doctors, Transport to Hospital/Medical facility);
  - iii. Bomb Threats protocols;
  - iv. Evacuation protocols;
  - v. Hazard Corrective actions.

## **10. TGIA Responsibilities**

### **4.1 Primary Duty of Care – TGIA**

- f) TGIA will:
  - i. Provide and maintain: safe work areas and systems of work; adequate facilities and amenities
  - ii. Monitor the work environment to maintain safe working conditions
  - iii. Provide adequate information and training to workers regarding workplace health and safety (including ways of reporting health and safety issues)
  - iv. Keep information and records relating to the health and safety of their employees
  - v. Nominate a person at the appropriate level to be the employer's representative when health and safety issues arise.
  - vi. Ensure that an appropriate person is nominated by the workers to be the employee representative when health and safety issues arise.

### **4.2 Primary Duty of Care – Employees and Clients**

- a) All employees and clients have a primary duty of care to:
  - i. . take reasonable care for your own health and safety and for the health and safety of anyone else who may be affected by your acts or omissions at the workplace; and

- ii. co-operate with your employer or trainer with respect to any action taken by the employer or trainer to comply with any requirements imposed by or under this Act;
- iii. not wilfully or recklessly interfere with or misuse safety equipment that is provided; and
- iv. not wilfully put at risk the health and safety of others.

## **5 Legislation**

- c) TGIA must abide by the Work Health and Safety Act 2011.
- d) The legislation provides a balanced and nationally consistent framework to secure the health and safety of workers and workplaces by:
  - i. protecting workers and other persons against harm to their health, safety and welfare through the elimination or minimisation of risks arising from work; and
  - ii. providing for fair and effective workplace representation, consultation, co-operation and issue resolution in relation to work health and safety; and
  - iii. encouraging unions and employer organisations to take a constructive role in promoting improvements in work health and safety practices, and assisting persons conducting businesses or undertakings and workers to achieve a healthier and safer working environment; and
  - iv. promoting the provision of advice, information, education and training in relation to work health and safety; and
  - v. securing compliance with this Act through effective and appropriate compliance and enforcement measures; and
  - vi. ensuring appropriate scrutiny and review of actions taken by persons exercising powers and performing functions under this Act; and
  - vii. providing a framework for continuous improvement and progressively higher standards of work health and safety; and
  - viii. maintaining and strengthening the national harmonisation of laws relating to work health and safety and to facilitate a consistent national approach to work health and safety in this jurisdiction.

## **6 Records Management**

All documentation from Workplace Health and Safety processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

## **7 Monitoring and Improvement**

All practices for Workplace Health and Safety are monitored by the Director TGIA and areas for improvement identified and acted upon. (See Continuous Improvement Policy)