



RTO Policies and Procedures

Contents

Duty Statements.....	4
Executive Management Team Meetings	14
Legislative Requirements.....	16
Financial Management.....	24
Insurance.....	27
Training Safety	28
Discrimination and Harassment.....	33
Privacy Protection	34
Fees and Refunds.....	40
Version Control.....	44
Issuing Certificates and Outcomes	46
Advertising and Marketing	54
Credit Transfer	57
Records Retention and Management.....	61
Reporting Obligations.....	70
Training Package Transition	72
Interaction with the National VET Regulator	78
Continuous Improvement.....	84
Industry Engagement.....	90
Student Enrolment and Completion.....	92
Student Support Services	103
ATSI Cultural Awareness.....	107
Core Skills Support	109
Complaints Handling.....	113
Appeals Handling	120

Student Access to Records.....	127
Training and Assessment Strategy Development	129
Assessment.....	138
Assessment Validation.....	154
Assessment Partnerships	159
Staff Induction Policy.....	162
Trainer Competency Requirements.....	165
Trainer Currency and Professional Development	168
Trainer Records Management	174

Duty Statements

Duty Statement – Chief Executive Officer

Role:

The role of the Chief Executive Officer (CEO) is to provide business and educational leadership to all learners within Metro Institute. The Chief Executive Officer is ultimately responsible for organisational governance and compliance. The Chief Executive has established a position of Administration Manager and the appointee, Nancy Wang, has carriage of the day to day administrative management of the RTO, including student support.

Main duties

The Chief Executive Officer has the following duties and responsibilities:

- Maintain a systematic approach to the management of operations.
- Personally, undertake all formal communication with ASQA.
- Manage arrangements to cooperate with ASQA in the conduct of regulatory audits, access to information, retention of records and in keeping registering authorities informed of changes to Metro Institute status.
- Perform duties in an ethical and professional manner that supports an inclusive environment that is free from discrimination and harassment.
- Build cooperative partnerships with community organisations and liaise with ASQA on relevant issues.
- Implement and monitor arrangements to engage with industry to ensure training and assessment services is aligned with industry requirements.
- Oversee Metro Institute’s financial affairs including annual certification of accounts, the receipt, protection, distribution and the budgeting of operational activities.
- Provide arrangements to ensure a safe working environment for all learners. This is to include a deliberate process of hazard identification, assessment, and control. Workplace safety is the highest priority and takes precedence over all other considerations.
- Establish arrangements to maintain an equitable working environment for all staff. The Metro Institute environment should be free from discrimination and harassment and respect the rights and choices of individuals.
- Collect, analyse and act on relevant data for the continuous improvement of Metro Institute operations.

- Identify and analyse legislative and regulatory requirements.
- Respect the needs of each student and make adjustment to administrative processes to accommodate the needs of individuals.
- Prepare and submit reports to ASQA. These reports will include AVETMISS reports, Quality Indicator Reports, training activity reports and others as directed.
- Maintain appropriate insurances to protect Metro Institute from loss and to protect learners and staff in case of injury caused during Metro Institute activities.
- Monitor training and assessment services to remain aware of the quality of services being delivered and the satisfaction of learners and employers.
- Establish and monitor information management arrangement to ensure Metro Institute has a records and data management system that guarantees access, integrity and accuracy.
- Implement and monitor compliance with Metro Institute version control system to ensure documents being used in the delivery of services are the most current and approved version.
- Implement and monitor arrangements to store and archive records in accordance with Metro Institute records retention policy. This is to include arrangements to back-up electronic data into a secure off-site location.
- Keep informed of changes in the VET industry including changing regulatory requirements and changes to endorsed training packages.
- Conduct staff inductions and training to ensure staff are aware of obligations and responsibilities with regards to legislation and compliance with the Standards for Registered Training Organisations.
- Approve all marketing materials to be used for promotional and advertising purposes. This is to include the approval of the use of the NRT Logo.
- Provide arrangements to ensure staff maintain their professional competence and the currency of the skills and knowledge. This is to include annual training session for all staff to update them about regulatory and legislative requirements.
- Provide arrangements to ensure a safe working environment for all learners. This is to include a deliberate process of hazard identification, assessment, and control. Workplace safety is the highest priority and takes precedence over all other considerations.
- Establish arrangements to maintain an equitable working environment for all staff. The Metro Institute environment should be free from discrimination and harassment and respect the rights and choices of individuals.

- Establish arrangements to protect the personal information of staff and learners and comply with the requirements of the Australian Privacy Principles.
- Provide guidance and assistance to staff on educational and administrative issues and career development and maintain staff relations conducive to a productive work environment.
- Undertake own professional development activities to continue to develop competence and currency of skills and knowledge. Update Metro Institute professional development register to provide a true record of professional development activity.
- Contribute to Metro Institute systematic approach to continuous improvement. This includes participating in Quality Assurance Committee meetings, identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Liaise with the Academic Manager to coordinate the flow of documentation to ensure student records and operational data is kept accurate and up to date.
- Perform duties in an ethical and professional manner that supports an inclusive environment that is free from discrimination and harassment.
- Respect the needs of each student and make adjustment to training and assessment to accommodate these needs of individuals without compromising the integrity of the desired outcome.

Duty Statement – Academic Manager

Role:

The role of the Academic Manager is to direct and manage the academic, compliance and student support operations of the RTO.

Main duties

The following duties apply:

- Manage the work priorities of the trainers, compliance arrangements and trainer support staff.
- Manage the student support function and maintain a proactive approach to student welfare
- Plan training and assessment sessions to ensure the required resources are available to support the delivery.
- Deliver and coordinate training in accordance with the requirements of the training and assessment strategy (TAS) using training methods that progressively instil knowledge and skills into learners.
- Conduct assessment in accordance with the principles of assessment and the designated TAS.
- Manage the student enrolment process and student administration during the enrolment process.
- Arrange for periodic audits on student records to ensure their accuracy and integrity.
- Apply policy and relevant legislation with regard to confidentiality and privacy.
- Monitor student welfare support arrangements.
- Maintain the student enrolment register within RTO Data and all associated student enrolment information.
- Produce and submit AVETMISS reports on the required reporting cycle and in accordance with reporting format standard as directed by ASQA.
- Assist staff with administrative enquiries and with completing Metro Institute forms and applications.
- Distribute correspondence to staff about future training programs.
- Follow-up staff that have fallen behind their mandatory training requirement and schedule these personnel into the next available program.

- Input student satisfaction survey data and maintain the survey database to ensure its accuracy and integrity.
- Liaise with Metro Institute staff to coordinate the flow of documentation to ensure student records and operational data is kept accurate and up to date.
- Update Metro Institute professional development register (RTO Data) to provide a true record of professional development and currency.
- Contribute to Metro Institute systematic approach to continuous improvement. This includes identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Oversee the ESOS and CRICOS compliance procedures, operation and implementation
- Monitor workplace safety at all times. Always put workplace safety before any other priority or activity.
- Perform duties in an ethical and professional manner that supports an environment that is free from discrimination and harassment.
- Facilitate learner/staff access to their records on request.
- Model ethical and professional behaviour to set the benchmark of these qualities for staff and others.

Duty Statement - Administration Manager

Role

It is the role of the Administration Manager to oversee the day to day financial operations and human resources of the Institute.

Main Duties

- Responsible for the financial management of the Institute
- Ensure relevant records are kept for invoicing and payment of enrolment fees including processing of invoices, receipts and follow up of overdue fees
- Assist in the development of marketing and business strategies
- Ensure Metro Institute RTO marketing material is accurate and ready for approval
- Prepare human resources documentation as required and in consultation with the Academic Manager and Chief Executive Officer
- Maintain database systems for reporting and storage of student records
- Collect and store student and staff records, and associated information for audit
- Responsible for payments are taken; receipts are issued for all payments
- Liaise with the Academic Manager in relation to schedules, student files, student progress, assessments, provision of results and entering of results
- Reports to Chief Executive Officer

Duty Statement – Student Support Officer

Role:

Provide appropriate support services to assist students while studying at the Institute. The responsibility for student support services is currently undertaken by the Academic Manager.

Main Duties

- Assistance with student orientation and induction at the Institute;
 - Assist students to resolve problems which could impede successful completion of their study programs;
 - Referral for personal counselling* to assist with personal issues;
- Referral for proper advice regarding problems/issues that may arise such as legal issues or the management of finances;
- Student Administration
 - Monitor student attendances and academic progress
 - Monitor trainer assessment processes
 - Preparation of student results spread sheet at the end of each term and enter onto the data base
 - Monitor student issues
 - Development and implementing student study groups and time tables in negotiation with the Academic Manager
 - Assessment of student leave applications

Reception

- Deals with enquiries (by telephone or in person) efficiently and in a pleasant and courteous manner, and forwarded to the appropriate person where appropriate
- Messages are passed to the right person in a timely manner
- Visitors and callers to the Institute receive a positive first impression, as do students when they arrive
- Visitors with appointments with other staff are dealt with courteously and announced to the staff member they are visiting
- Courtesy and appropriate respect are shown to students, visitors and callers
- Reception desk is attended wherever possible
- Reception area is kept clean, tidy and attractive, and visitors receive a positive first impression

Providing information to students

- Prospective students are given information about the Institute and its courses
- Questions from prospective and current students are answered where the answer is known, and otherwise referred to the appropriate person
- Students are provided with the forms and other documents they need

Administrative support

- A systematic and continuous improvement approach to administrative services is
- Filing systems are maintained
- Time is managed effectively and work is prioritised appropriately
- Outgoing correspondence presents a positive impression of the organisation, with good formatting and minimal spelling, grammar or typographic errors.
- Other administrative tasks are carried out as requested by management
- All administrative tasks are carried out accurately and efficiently

Duty Statement – Trainer and Assessor

Role:

The Trainers and Assessors prepare and deliver safe and effective training and assessment to students enrolled with Metro Institute and provide suitable training support services to compliment student's individual needs.

Main duties

The following duties apply:

- Plan training and assessment sessions to ensure the required resources are available to support the delivery.
- Deliver and coordinate training in accordance with the requirements of the training and assessment strategy (TAS) using training methods that progressively instil knowledge and skills into learners.
- Conduct assessment in accordance with the principles of assessment and the designated TAS.
- Undertake own professional development activities to continue to develop competence and currency of skills and knowledge. Update Metro Institute professional development register to provide a true record of professional development and currency.
- Contribute to Metro Institute's systematic approach to continuous improvement. This includes identifying opportunities for improvement and acting responsively to implement agreed improvements.
- Participate in Metro Institute's validation of assessment tools and moderation of performance judgements to maintain the alignment of assessment activities and materials with industry expectations and training package requirements.
- Contribute to the development of training and assessment materials when required.
- Liaise with Metro Institute administration staff to coordinate the flow of documentation to ensure student records and operational data is kept accurate and up to date.
- Maintain equipment and training aids to ensure they are serviceable and safe for operation.
- Monitor the safety of staff at all times. Always put the safety of staff before any other priority or activity.
- Deliver services that focus on the individual student in relation to identifying and meeting learner's individual needs.

- Protect the privacy of students in accordance with the Australian Privacy Principles.
- Perform duties in an ethical and professional manner that supports an inclusive learning environment that is free from discrimination and harassment.
- Respect the needs of each student and make adjustment to training and assessment to accommodate these needs of individuals without compromising the integrity of the desired outcome.
- Create an environment that supports and encourages equitable treatment and behaviour from all learners and those contributing to learning and assessment.
- Ensure that appropriate housekeeping measures are observed, and, that training facilities are maintained in a clean and tidy state.
- Report non-compliance with legislation or Metro Institute policies and procedure immediately to the General Manager.
- Always strive to minimise waste in the planning and usage of Metro Institute resources.
- Model ethical and professional behaviour to set the benchmark of these qualities for learners and others.

Executive Management Team Meetings

Metro Institute will conduct management team meetings at least once month. The purpose of the management meeting is to coordinate the service delivery and governance arrangements of Metro Institute.

Attendance

The meeting is led by the CEO. The following personnel are to attend all management meetings:

- Academic Manager
- Head Trainer
- Administration Manager
- Student Support Officer

Management Meeting Agenda

The following agenda is normally to be used as a guide for the conduct of management meetings:

1. Open the meeting
2. Welcome and apologies
3. Review minutes from previous meeting
4. Notices or communications received
5. Review training / assessment delivery issues
6. Review administration issues
7. Student numbers – CoEs issued, cancellations, deferrals,
8. Review compliance issues
9. Review continuous improvement actions
 - Review items due for validation
 - Review items currently being implemented

- Review new continuous improvement items

10. Review business development actions

11. Review safety issues

12. Review any complaints or appeals

13. Attend to any other business

14. Nominate the next meeting

15. Close the meeting

Minutes of management meetings will be recorded within RTO Data. Management action items will also be recorded within RTO Data and communicated as a task using Microsoft Outlook. Persons with responsibility for those tasks will be required to provide an update about their progress on completing the tasks at each management meeting.

Legislative Requirements

Metro Institute are subject to legislation related to training and assessment as well as general business practice. This legislation governs our obligations as a Registered Training Organisation, our obligations to learners, and relates to the industry in which we conduct training. This legislation is continually being updated and all Metro Institute representatives are made aware of these changes as they occur. Copies of State and Federal legislation can be found on the Internet at <http://www.australia.gov.au/information-and-services/public-safety-and-law/legislation/states-and-territories> (State) and www.comlaw.gov.au (Federal).

The legislation that particularly affects the delivery of our services includes:

Commonwealth legislation:

- *National Vocational Education and Training Regulator Act 2011*
- *Student Identifiers Act 2014*
- *Work Health and Safety Act. 2011*
- *Trade Practices Amendment (Australian Consumer Law) Act (No. 1 and 2) 2010*
- *Competition and Consumer Act 2010*
- *Age Discrimination Act 2004 (Cwth)*
- *Disability Discrimination Act 1992*
- *Disability Standards for Education 2005*
- *Racial Discrimination Act 1975*
- *Sex Discrimination Act 1984*
- *Privacy Act 1988 and Australian Privacy Principles (2014)*
- *Fair Work Act 2009*
- *Copyright Act 1968*

NSW legislation:

- *Work Health and Safety Act 2011*
- *Anti-Discrimination Act 1977*
- *Workplace Injury Management and Workers Compensation Act 1998*
- *Children and Young Persons (Care and Protection) Act 1998*
- *Disability Services Act 1993 & Disability Services Regulation 2003*
- *Privacy and Personal Information Protection Act 1998*
- *Fair Trading Act 1987*

Western Australia legislation:

- *Vocational Education and Training Act 1996*
- *Education Service Providers (Full Fee Overseas Learners) Registration Act 1991*
- *Equal Opportunity Act 1984*

- *Fair Trading Act 1987*
- *Occupational Safety and Health Act 1984*
- *Working With Children (Criminal Record Checking) Act 2004*

South Australia legislation:

- *Training and Skills Development Act 2008*
- *Work Health and Safety Act 2012*
- *Workers Rehabilitation and Compensation Act 1986*
- *Fair Trading Act 1987*

Victoria legislation:

- *Education and Training Reform Act 2006*
- *Occupational Health and Safety Act 2004*
- *Accident Compensation (WorkCover Insurance) Act 1993*
- *Disability Act 2006*
- *Fair Trading Act 1999*
- *Working With Children Act 2005*

Queensland

- *Vocational Education, Training and Employment Act 2000*
- *Vocational Education, Training and Employment Regulation 2000*
- *Work Health and Safety Act 2011*
- *Workers' Compensation and Rehabilitation Act 2003*
- *Child Employment Act 2006*
- *Child Protection Act 1999*
- *Fair Trading Act 1989*

Australian Capital Territory

- *Training and Tertiary Education Act 2003*
- *Work Health and Safety Act 2012*
- *Workers Compensation Act 1951*
- *Discrimination Act 1991*
- *Fair Trading Act 1992*

Tasmania

- *Work Health and Safety Act 2012*
- *Industrial Relations Act 1984 (certain functions)*
- *Industrial Relations (Commonwealth Powers) Act 2009*
- *Workers Rehabilitation and Compensation Act 1988*

- *Fair Trading Act 1990*

Northern Territory

- *Work Health and Safety (National Uniform Legislation) Act 2011*
- *Child Protection (Offender Reporting and Registration) Act 2013*
- *Consumer Affairs and Fair Trading Act 2013*

Identifying legislative requirements

Metro Institute will apply a risk management approach to meeting legislative requirements and record the assessed risks and treatment measures within the Compliance Risk Register within RTO Data. This analysis of risks and treatment strategies is to be detailed to allow all staff to understand Metro Institute strategy to meeting specific legislative responsibilities.

To support our compliance with identified legislation, Metro Institute has established the following arrangements:

Legislation	Our arrangements
National Vocational Education and Training Regulator Act 2011	<ul style="list-style-type: none"> - Organisation Structure Diagram and Duty Statements - Management Policy - Legislative Requirements Policy - Financial Management Policy - Insurance Policy - Fees and Refund Policy - Issuing Certificates and Outcomes Policy - Advertising and Marketing Policy - Credit transfer Policy - Interaction with the National VET Regulator Policy - Continuous Improvement Policy - Records Retention and Management Policy

Legislation	Our arrangements
	<ul style="list-style-type: none"> - National Reporting Policy - Training Package Transition Policy - Industry Engagement Policy - Assessment Validation and Moderation Policy - Student Enrolment Policy - Complaints Policy - Appeals Policy - Student Access to Records Policy - Trainer Competency Requirements Policy - Assessment Policy
Student Identifiers Act 2014	<ul style="list-style-type: none"> - Issuing Certificates and Outcomes Policy - details the requirements relating to the restrictions in the use of the USI on qualification certificates and statements of attainment issued by Metro Institute. - Records Retention and Management Policy - details the requirements to verify the USI including identifying the common errors that learners can make in providing their details required for verification. - Student Enrolment Policy - details the requirement to create or verified USI and provides links to additional resources in relation to the learner's options for establishing proof of ID.
<p>Work Health and Safety Act. 2011 (NSW, QLD, NT)</p> <p>Work Health and Safety Act 2012 (ACT, SA, TAS)</p> <p>Occupational Safety and Health Act 1984 (WA)</p>	<p>Training Safety Policy - Provides the basis for hazard identification and control.</p> <p>Staff Induction Policy – Ensures that all staff are informed of all legislative and policy arrangements on the commencement of their duties</p> <p>Student Enrolment Policy - applies delivery arrangements to inform learners of their rights and obligations with</p>

Legislation	Our arrangements
Occupational Health and Safety Act 2004 (VIC)	<p>regards to maintaining a safe work and training environment.</p> <p>Management Policy - the management meeting agenda includes a standing item relating to maintaining a safe work environment.</p> <p>Duty Statements - all duty statements include specific responsibilities relating to the maintenance of a safe working environment.</p> <p>Insurance Policy - Public liability insurance provides protection for the public who may be injured whilst participating in training</p> <p>RTO Data - includes a safety management register where workplace incidences and identified hazards can be recorded.</p>
Competition and Consumer Act 2010	<p>Student Enrolment Policy – This policy specifies that the RTO will provide accurate and ethical marketing and pre-enrolment information to enable a person to make an informed decision about a training program. Further, an enrolment interview is conducted to individually assess the person’s needs and circumstances and provide them information about their rights and obligations.</p> <p>Fees and Refund Policy – This policy specifies that where a cooling off period applies, a full refund will be provided to the client in the event that a training agreement is cancelled within the cooling off period.</p>
<p>Age Discrimination Act 2004 (Cwth)</p> <p>Anti-Discrimination Act 1977 (NSW)</p> <p>Disability Discrimination Act 1992</p> <p>Disability Standards for Education 2005</p> <p>Racial Discrimination Act 1975</p>	<p>Discrimination and Harassment Policy - This policy provides the basis for ensuring that the workplace is free from discrimination and harassment.</p> <p>Duty Statements – All duty statements include specific responsibilities for staff to treat others equitably and with respect.</p> <p>Advertising and Marketing Policy – This policy includes the requirements to ensure any advertising undertaken is accurate and ethical.</p>

Legislation	Our arrangements
<p>Sex Discrimination Act 1984</p> <p>Disability Services Act 1993 & Disability Services Regulation 2003</p>	<p>Student Enrolment Policy – This policy includes specific provisions to ensure enrolment procedures are non-discriminatory.</p> <p>Staff Induction Policy – This policy specifies the arrangements to inform staff of their legislative obligations on the commencement into employment. This includes obligations relating to discrimination and harassment policy.</p> <p>Complaints Policy and Appeals Policy – These policies provide learners the mechanism to make a complaint about their treatment.</p>
<p>Privacy Act 1988 and Australian Privacy Principles (2014)</p>	<p>Duty Statements - Duty statements include specific responsibilities for staff to protect the privacy of learners and to not disclose personal information without authorisation.</p> <p>Privacy Policy – The policies have been updated to align with the Australian Privacy Principles which came into effect on 12th March 2014.</p> <p>Staff Induction Policy – This policy outlines the arrangements to inform staff of their legislative responsibilities during their employment induction.</p> <p>Student Enrolment Policy – This policy outlines the arrangements to supply information to prospective learners prior to their enrolment that informs them of their rights and obligations. This includes specific information about privacy protection based on the requirements of the Australian Privacy Principles.</p> <p>Records Retention and Management Policy – This policy specifies the arrangements to collect and store information with accuracy and integrity. This includes hard copy records and electronic data and specifies the access and security arrangements relating to these.</p>
<p>Fair Work Act 2009</p>	<p>All employees engaged by Metro Institute have a written Employment Agreement in accordance with the advised condition from Fair Work Australia</p>

Legislation	Our arrangements
	<p>All contract staff have a written service agreement that outlines the conditions of their engagement and specifies their relationship as a contractor.</p>
<p>Fair Trading Act 1987 (NSW)</p>	<p>Management Policy – This policy specifies the management arrangements that ensure a coordinated approach to the delivery of services specified in the learner’s agreement.</p> <p>Fees and Refund Policy – This policy specifies the arrangements for disclosure of the information in accordance with Standards for Registered Training Organisations. It also specifies the circumstances for a refund of student fees.</p> <p>Schedule of Fees and Charges - this document specifies the fees for courses. It also outlines the fees for other services.</p> <p>Advertising and Marketing Policy – This policy provides the basis for accurate and ethical marketing to ensure learners are provided accurate information about the services to be provided.</p> <p>Course Brochures - Course brochures provide specific information about the services to be provided to learners. This includes an outline of the delivery model, units of competency, assessment methods, entry requirements, et cetera. Course brochures are a key tool in ensuring that learners as consumers are informed about the services to be provided.</p> <p>Student Enrolment Policy – This policy specifies the process for student enrolment and includes specific steps to ensure learners are provided sufficient information about their rights and obligations, fees and payments obligations and services to be provided prior to their enrolment.</p> <p>Complaints and Appeals Policy – This policy outlines the arrangements for learners to make a complaint about services being provided or appeal a decision made by Metro Institute.</p>

Legislation	Our arrangements
	<p>Student Access to Records Policy – This policy specifies the arrangements to provide learners access to their records in order to monitor their participation and progress. This policy also supports their rights as a consumer.</p>
Copyright Act 1968	<p>Duty Statements - duty statements specify staff responsibilities to respect the rights of copyright owners and to not copy any material without authorisation.</p> <p>Version Control Policy – This policy provides the framework for consistent version control of documents used by Metro Institute.</p> <p>RTO Data – Document Register – This capability enables the storage of key documents and their periodic review.</p>

Informing staff of their responsibilities

Metro Institute acknowledges that it has a responsibility to inform and educate staff about the legislative requirements that apply to its day to day operations. This will be achieved primarily through careful and diligent staff induction and through annual refresher training.

By taking a coordinated approach to inform staff of these requirements, we will build a culture of acceptance and positive compliance. It is the responsibility of the Chief Executive Officer to ensure Metro Institute staff is fully informed of applicable legislative requirements.

Financial Management

In accordance with the Standards for Registered Training Organisations, Metro Institute has systems and procedures in place to ensure an acceptable level of financial risk at all times. We also ensure the protection of fees paid in advance to Metro Institute by learners and apply a fair and reasonable refund policy (see Fees and Refund Policy).

Management of finances

Metro Institute finances shall be managed by the CEO in accordance with standards laid down by the Australian Accounting Standards Board (Australian Accounting Standards).

Accounts to be kept

Financial accounts of all aspects of Metro Institute operations are to be kept in a way that maintains their accuracy and integrity. These accounts must detail all money received and expended by Metro Institute. These accounts shall be open to the inspection of appropriate registering bodies. These accounts are to be retained in archive for no less than seven years.

Chief Executive Officer responsibility

The Chief Executive Officer shall be responsible for ensuring that all general records, accounting books, documents, securities and records of receipts and expenditure connected with our operations are kept in such a manner as to satisfy an audit against the Australian Accounting Standards.

Audit of accounts

Metro Institute will have its accounts certified by a qualified accountant, to Australian Accounting Standards, at least once each financial year and will provide certificates of account to ASQA on request.

Reporting of accounts

On request from ASQA, Metro Institute will provide a statement of its financial accounts, an annual report, and / or a business plan. The Chief Executive Officer is responsible to ensure that all accounts are accurate and well prepared and provided to ASQA in a timely manner.

Financial Viability Risk Assessment

ASQA requires Metro Institute to demonstrate its financial viability at any point in time, upon request. The assessment of Metro Institute's financial viability and risk is directed at evaluating the likelihood of its business continuity, and its capacity to achieve quality outcomes. In particular, the assessment informs a judgement about whether Metro Institute has the financial resources necessary to:

- acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration;

- employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments;
- provide appropriate levels of student services to learners;
- remain in business to ensure that each student can achieve completion; and
- meet the above requirements, even in an unsure environment.

In accordance with this requirement, Metro Institute will submit to an assessment of financial viability risk by a qualified independent financial auditor nominated by ASQA at any time during its registration period. This will include providing financial data and information to the qualified independent financial auditor in a format that is in accordance with Australian Accounting Standards.

Common Indicators of Financial Performance

The assessment of financial viability risk will be undertaken by assessing common indicators of financial performance and position. These may include the following indicators:

- Liquidity– including current ratio and cash flow assessments
- Solvency – including debt to assets assessment, debt to equity assessment
- Economic Dependency – reliance upon government funded training
- Revenue, profit and cash flow
- Commercial risk
- Audit opinion
- Contingencies
- Compliance with all of its statutory obligations (for example: GST, taxation, superannuation, Companies Code)
- Compliance with accounting standards
- Accounting policies – impact of the organisations’ accounting policies on its financial risk.

Information that could be used to assess the common indicators to make a determination about Metro Institute’s financial viability risk may include:

- Independent reviews of financial projections including underlying assumptions;
- Business planning including forecast income streams and forecast expenditure;
- Assets and liabilities;

- Financial statements audited by an independent qualified auditor;
- Financial records for the previous 12 months, including profit and loss, balance sheets;
- Cash flow and bank accounts;
- Short term budgets and forecasts, including assumptions;
- Information on current and projected student enrolments, including assumptions;
- Tax records;
- Information about current debts and debtors, credits and creditors, loans and repayment;
- Plans, and information on any legal disputes;
- Inter-company dealings, transfers, ownerships and loans;
- Contingent liabilities;
- Ultimate ownership details; or
- Post reporting activities (includes activities that relate to the period after accounts have been audited that would have a material impact on the organisations' operations, viability or ownership).

The NVR Financial Viability Risk Assessment Requirements 2011 can be downloaded from the ASQA website by clicking [here](#). This document is a Legislative Instrument as it applies under the *Legislative Instruments Act 2003*.

Compliance responsibility

The CEO is responsible to maintain the financial viability of Metro Institute and is to maintain suitable information to demonstrate Metro Institute's financial viability according to the listed common indicators of financial performance.

Insurance

In accordance with legislative requirements and the Standards for Registered Training Organisations, Metro Institute is required to hold various insurances to protect it against loss and to protect others we interact with. We will therefore obtain, and maintain the currency of, the following insurances:

- Worker’s Compensation Insurance to meet our obligations by law to cover injuries to employees and provide protection against worker’s compensation claims.
- Public Liability Insurance to cover injury to other people or damage to other people's property whilst doing business with us.
- Building and Contents Insurance to cover loss or damage to Metro Institute premises or contents caused by things such as fire, flood, storm damage or theft.
- Professional Indemnity Insurance for Metro Institute representatives who provide advice, to cover them for claims arising out of that advice.
- Motor Vehicle Insurance to cover damage and theft to motor vehicles owned and operated by Metro Institute.
- Volunteer insurance to cover learners who may be undertaking voluntary work placement as part of their training program if this is applicable.

Training Safety

Metro Institute is committed to the proper management of work health and safety. We will provide a safe and healthy workplace for our staff, learners, contractors and visitors by having a planned and systematic approach to the management of work health and safety. We will provide the necessary resources for the successful implementation of this policy and its supportive procedures. Work health and safety will be managed through Metro Institute management committee and in close consultation with staff, learners, contractors and visitors.

This training safety policy has been developed using the Australian/New Zealand Standard 4801:2001 Occupational Health and Safety Management Systems as a guide. The policy is not intended to cover the entire scope of situations which may arise in a workplace that relate to safety or hazards. Metro Institute recognises this, and we are committed to applying a continuous improvement approach to robust policy development.

The objectives of this policy are to ensure that:

- Hazards and risks to health and safety are systematically identified, assessed and, where they cannot be eliminated, are effectively controlled;
- Measures to control hazards and risks to health and safety are monitored and evaluated regularly;
- Staff are engaged and sought to contribute to work health and safety matters affecting their health and safety at work;
- Staff, learners, contractors and visitors receive appropriate information, training and supervision to understand and carry out their responsibilities safely.

Responsibilities

The CEO is responsible for:

- Providing a healthy and safe workplace for staff, learners, contractors and visitors;
- Ensuring that adequate resources are provided to meet the health and safety objectives and procedures of Metro Institute;
- Ensuring that Metro Institute complies with all relevant occupational health, safety legislation and standards;
- Providing appropriate health and safety policies and procedures to enable the effective management of health and safety and control of risks to health and safety;
- Providing mechanisms which enable staff to be consulted on work practices, policies or procedures which may affect the work health and safety of staff;

- Providing mechanisms to monitor and report regularly on the organisation's health and safety performance.
- The RTO executive management committee is responsible for:
 - Assisting in the development, implementation and monitoring of health and safety policies and procedures;
 - Considering proposals for, or changes to, the workplace, policies, work practices or procedures which may affect the health and safety of staff;
 - Promoting awareness of health and safety across Metro Institute;
 - Ensuring that hazards in work or study areas are identified, risk assessed and controlled and that these risk control measures are monitored regularly and maintained;
 - Ensuring that staff and learners under supervision are provided with the required information and training to carry out their work or study safely and effectively;
 - Providing leadership and setting a good example for staff and learners in work health and safety matters.

Staff and learners are responsible for:

- Complying with relevant Metro Institute health and safety policies and procedures;
- Obeying any reasonable instruction aimed at protecting their health and safety in the workplace;
- Using any equipment provided to protect their health and safety in the workplace;
- Assisting in the identification and assessment of hazards and implementation of hazard control measures;
- Reporting any incident or hazard in the workplace to their manager;
- Considering and providing feedback on any matters which may affect their health and safety;
- Not being affected by alcohol or non-prescribed (illicit) drugs whilst at work or study.

Contractors are responsible for:

- Following all Metro Institute policies and procedures;
- Complying with all relevant work health and safety legislation, standards and codes of practice;

- Ensuring that they do not, through their acts or omissions, do anything that could put at risk their own health or safety or that of Metro Institute staff, learners, other contractors or visitors.

Safety guidelines

The following guidelines are provided as a basis for safe practice in the training and assessment environment. The guidelines are particularly relevant to learners, trainers and assessors.

- Know and observe details of emergency response and evacuation plans;
- Do not undertake activities which may cause injury to self or others;
- Be responsible for your own actions;
- No smoking at the training and assessment facilities or offices;
- Report all potential hazards, accidents and near misses to the RTO staff;
- No consumption of alcohol within training and assessment facilities or during the conduct of training and assessment;
- Keep training and assessment areas neat and tidy at all times;
- Seek assistance if you volunteer to lift items e.g. move furniture in a training area; and
- Observe hygiene standards particularly in eating and bathroom areas.

Electrical equipment:

- Electrical equipment that is not working should be reported to RTO staff.
- Electrical work should only be performed by appropriately licensed or trained personnel. Learners, trainers and assessors should not undertake any task related to fixing electrical equipment such as lighting or electrical training aids.

Fire safety:

- Metro Institute will undertake to communicate the procedures involved in evacuation and the location of fire equipment to learners at each facility for each training and assessment event; and to users of the office at least twice each year.
- All users of a training and assessment facility need to be familiar with the location of all EXITS and fire extinguishers. Users will consult available maps to determine location.
- It is the user's responsibility to understand fire drill procedures displayed around the premises.

- Users are asked to attend any sessions on fire safety procedures and the use of fire safety devices.

First aid:

- Provision for first aid facilities are available where training is delivered.
- All accidents must be reported to staff.
- The accident and any aid administered must be recorded by staff involved.

Computer facilities:

- Extended periods of work with computers can result in general fatigue and eye strain. Repetitive tasks and incorrect posture will result in consistent aches and pains.
- Current work health and safety guidelines indicate that people working for long periods at computers should organise their work so as to allow a five to ten minute rest every hour. This rest should include a change of position and stretching exercises as appropriate.
- Posture can be improved by adjusting chair height so that the operator's feet are comfortably placed on the floor (or footrest) and your arms are at an approximately 90-degree angle.
- The screen should be positioned to avoid reflection from lights and windows and at a suitable distance so that it can be easily read.

Lifting:

- Learners, trainers and assessors are encouraged not to lift anything related to the training and assessment provided by Metro Institute unless they do so voluntarily and taking all responsibility for any injury caused.
- Never attempt to lift anything that is beyond your capacity.
- Always bend the knees and keep the back straight when picking up items.
- If you have experienced back problems in the past do not attempt to lift heavy objects at all. Ask someone else to do it for you.

Work and study areas:

- Always ensure that all work areas are clean and clear of clutter so as to avoid the danger of accident by tripping or falling over.
- Place all rubbish in the bins provided.

- Ensure that kitchen bench spaces are left clean and tidy and that all dishes are washed.
- Do not leave tea towels or any cleaning cloths in a bundle on the bench tops or draped near any bin.
- Do not sit or climb on any desks or tables.

Discrimination and Harassment

At Metro Institute, we are committed to ensuring that the training and assessment environment and our workplace are free from discrimination and harassment. All employees, contractors and clients are made aware that discrimination and harassment will not be tolerated under any circumstances. In the event that discrimination and harassment is found to have occurred, disciplinary action will be taken against any employee or contractor who breaches this policy.¹ Suspected criminal behaviour will be reported to police authorities immediately.

By implementing this policy, we strive to achieve the following objectives:²

- Create a working environment which is free from discrimination and harassment and where all employees, contractors and clients are treated with dignity, courtesy and respect;
- Implement training and awareness raising strategies to ensure that all parties know their rights and responsibilities;
- Provide an effective procedure for complaints based on the principles of natural justice;
- Treat all complaints in a sensitive, fair, timely and confidential manner;
- Guarantee protection from any victimisation or reprisals;
- Promote a productive and cohesive workplace;
- Encourage the reporting of behaviour which breaches this Discrimination and Harassment Policy; and
- Promote appropriate standards of conduct at all times.

¹ Good practice, good business: Eliminating discrimination and harassment from your workplace: Writing an effective anti-discrimination and harassment policy, page 1, © Human Rights and Equal Opportunity Commission.

² Good practice, good business: Eliminating discrimination and harassment from your workplace: Writing an effective anti-discrimination and harassment policy, page 2, © Human Rights and Equal Opportunity Commission.

Privacy Protection

Metro Institute is a Registered Training Organisation with responsibility for delivering vocational education and training. Metro Institute collects and stores personal information on our learners and industry clients. Metro Institute complies with the Privacy Act 1988 (Commonwealth). This policy describes how Metro Institute collects, manages, uses, discloses, protects, and disposes of personal information in accordance with the thirteen Australian Privacy Principles (APPs) outlined in Schedule 1 of the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

Definitions

Under the Privacy Act 1988 and Privacy Amendment (Enhancing Privacy Protection) Act 2012 (s6(1)), personal and sensitive information is defined as follows:

- Personal information: “information or an opinion about an identified individual, or an individual who is reasonably identifiable: (a) whether the information or opinion is true or not; and (b) whether the information or opinion is recorded in a material form or not.”
- Sensitive information: “(a) information or an opinion about an individual’s: (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 preferences or practices, or (ix) criminal record, that is also personal information; or (b) health information about an individual; or (c) genetic information about an individual that is not otherwise health information; or (d) biometric information that is to be used for the purposes of automated biometric verification or biometric identification; or (e) biometric templates”.

Authority to collect and store information

Metro Institute is an approved Registered Training Organisation by the Australian Skills Quality Authority. This registration is issued under the authority of the National Vocational Education and Training Regulator Act 2011. This legislation requires Metro Institute to collect personal and sensitive information from its learners. This requirement is specified in the Data Provision Requirements 2012 which is one of five legislative instruments that Metro Institute must comply with as a condition of its registration.

The data provision requirements require Metro Institute to collect data from learners in accordance with the Australian Vocational Education and Metro Institute Information Statistical Standard (AVETMISS). This is a complex information standard that defines information about who the student is, where the training is delivered and what they are studying. The Standards for Registered Training Organisations require Metro Institute to retain and store this information for up to 30 years and to report training activity to government agencies in accordance with mandatory reporting requirements.

Together these requirements form a statutory obligation to collect, store and report information of any student participating in nationally accredited training. The publications referred to in this section can be accessed from the ASQA website.

Collection and use

Metro Institute collects personal information, either directly or indirectly, that is reasonably necessary for, or directly related to its delivery of the services it offers. Some of the information collected may be regarded as 'sensitive' as defined by the Privacy Act.

Solicited information

Contact information such as name, organisation, position, address, telephone, and email are collected for marketing, support services, mandatory reporting and for communicating with stakeholders as part of our day to day operation.

In addition to information collected training activity, Metro Institute will also collect, store and report information relating to satisfaction surveys, complaint handling and on our client employers.

Names, addresses, phone numbers, emergency contact details, bank account details and other employment related information is collected from employees for the purpose of managing human resources. The management of staff personal information complies with this policy.

Collection methods

Student personal and sensitive information as well as training activity information is prescribed by the AVETMIS Standard. This information is collected directly from our learners using enrolment forms which may be paper based or electronic and other administrative forms including but not limited to complaint forms, recognition application, request for refund, transfer application, etc. Much of this information is entered into our student management software called "RTO Data". Hard copy records are retained within our student files.

Survey responses are collected using our Employer and Student Satisfaction Surveys which are issued both in hard copy and electronic format. These survey results are returned to the main office and entered into our survey analysis software "Satisfaction Data". Survey forms once entered into Satisfaction Data are either destroyed if hard copy or permanently deleted if in electronic form.

Enquiry information from prospective learners including personal contact information is collected directly from individuals who make data requests either by telephone or email in person or via our website.

Metro Institute personal information is collected from individuals on employment commencement.

Sensitive information

Personal information collected by Metro Institute that may be regarded as 'sensitive' under the Privacy Act includes:

- 'Disability' and 'long-term impairment status' (health); and 'indigenous status', 'language spoken at home', 'proficiency in spoken English', 'country of birth' (implies ethnic/racial origin). This information is specified in the AVETMISS data elements and is collected for the national VET data collections, national VET surveys, and may be collected for VET-related research.
- 'Dietary requirements' (health-related) are collected for event catering purposes only.
- Biographical information, which may contain information on 'affiliations' and 'membership of a professional or trade association' are obtained from key note speakers for event marketing purposes.
- 'Memberships of professional associations' and 'health and work injury information' is collected from Metro Institute employees for HR management purposes.

Direct marketing

Metro Institute respects an individual's right not to receive marketing material, and provides an option within communications and on its website for individuals to unsubscribe from receiving marketing material. Metro Institute conducts its marketing communications and dissemination of service information in accordance with Australian Privacy Principle 7 (Direct marketing), the Spam Act 2003 (in respect of electronic communications), and the Do Not Call Register Act 2006. It is not, however, Metro Institute practice to 'cold call' for the purpose of marketing its products and services.

Google Analytics and cookies

Google Analytics is a web service provided by Google Inc. Cookies are used to generate data on website activity and usage. The cookies, which include IP addresses, are transmitted to and stored in Google servers in the United States where they are used to compile web-use reports. Google may transfer this information to third parties, where required by law, or for information processing on its behalf. Google will not associate IP addresses with any other data held by Google. More information on Google's privacy policy can be found at: <https://www.google.com.au/intl/en/policies/privacy/>. It is possible to disable cookies by adjusting web-browser setting and to opt-out of Google Analytics (<https://tools.google.com/dlpage/gaoptout>). Doing so, however, may affect web-site functionality.

The Metro Institute web servers automatically log information such as server address, date and time of visit and web pages accessed. No personal information is recorded. These logs are used for website management and improvement.

Unsolicited personal information

If Metro Institute should receive unsolicited personal information, it will be treated and managed according to the Australian Privacy Principles.

Notification of collection

Metro Institute aims to notify individuals of the collection of their personal information before, or at the time of collection, or as quickly as possible thereafter. Notifications are usually in writing, but may be verbal for telephone help-desk services, or research conducted by telephone interview.

- Marketing – notification is provided on our website course application page. Individuals are also notified at the time of collecting personal information for events. A privacy notice is provided in all Metro Institute marketing communications.
- Quality Indicator surveys – notification is provided in the letter of invitation to participate in the surveys and also at the time of collecting the information (online or by telephone).
- Metro Institute staff – Notification is provided on employment commencement.

Disclosure of personal information

Metro Institute does not disclose personal information other than for the purpose for which it was collected, or an individual has consented to a secondary purpose, or an individual would reasonably expect this (such as receiving communications about upcoming events), or if required by law.

Metro Institute may share personal information with the Commonwealth government in accordance with Commonwealth contractual obligations. In these circumstances, Metro Institute will take reasonable steps to inform and seek consent from the individuals concerned and take all reasonable steps to ensure that the recipient handles the personal information according to the APPs.

Metro Institute does not sell its mailing lists to third-parties for marketing purposes.

Metro Institute does not disclose personal information to overseas recipients. While people around the world can access material published on our website, no statistical or research publications contain identifiable personal information.

Management of personal information

Metro Institute endeavours to ensure the personal information it collects and uses or discloses is accurate, up to date, complete and relevant. Metro Institute routinely updates the information held in its customer relationship management system. This includes confirming with learners who are returning for a new enrolment if their personal contact details have changed.

Access to and correction of personal information

Individuals may, subject to the exceptions prescribed by the Australian Privacy Principles, request access to and correction of their personal information where this is collected directly from individuals by Metro Institute.

Metro Institute does not charge for giving access to or for correcting personal information. Requests for access to or correction of personal information should be made in accordance with the student access to records policy.

Information retention and disposal

Personal information is held in electronic and paper format:

- Information collected from student enrolment applications and survey responses is held in databases.
- Names and contact details of stakeholders are held in RTO Data and email contact lists.
- Names and contact details collected during the delivery of services may be held either in electronic form in Metro Institute document management system or in paper documents which are locked in cupboards and filing cabinets.
- Personal staff information is held in RTO Data and HR management, pay roll database.
- Backup copies of all electronic files held in Metro Institute systems are kept in the event of system failure/loss. All backup copies of system files are secured.

Metro Institute retains personal information for 30 years. When personal information is no longer necessary for Metro Institute business functions, and it is lawful to do so, Metro Institute destroy the information.

Information security

Metro Institute takes active steps to protect personal information from misuse, interference and loss, and from unauthorised access, modification or disclosure.

- Metro Institute systems and internal network are protected from unauthorised access using appropriate technologies. Most system data transferred over the internet is protected by Secure Socket Level protocol (SSL). The inherent risks associated with data transmission over the internet are, however, commonly acknowledged. Individuals, who do not wish to provide their personal information via the online website forms have the option of mailing this information to Metro Institute.
- Access to RTO Data is protected through user log-on and password, and assignment of user access rights.

- Third-party providers used by Metro Institute for the delivery of services are all located within Australia and are required to be compliant with the Australian Privacy Principles and offer appropriate safeguards to protect personal information.
- Metro Institute premises and data storage systems are fully secured. Metro Institute practices clean-desk policy and locking workstations when working with personal information. Paper documents containing names and addresses are required to be locked away and shredded when destroyed. All hardware is properly ‘sanitised’ before disposal.

Complaints and concerns

Complaints or concerns about Metro Institute management of personal information should be directed in writing to Metro Institute’s Chief Executive Officer. Metro Institute will respond in writing within 10 business days. Complaints received by Metro Institute will be managed in accordance with the Complaints and Appeals and Appeals Policy.

Fees and Refunds

Metro Institute is entitled to charge fees for services provided to learners undertaking training and assessment that leads to a nationally recognised outcome. These charges are generally for items such as course materials, text books, student services and training and assessment services.

Learners enrolled in higher education courses may elect to undertake RTO courses as an adjunct to gain specific vocational skills. In such cases, designated fees for the RTO courses may or may not be levied. If fees are applied, these may be specified in the higher education course fee schedule.

Fees payable

Fees are payable when a student has received a confirmation of enrolment. The initial fee payment must be made prior to commencing training or within 5 days of receiving an invoice from Metro Institute. Metro Institute may discontinue training if fees are not paid in accordance with the agreed fee schedule. The current fees and charges for Metro Institute are published within the current schedule of fees and charges.

Schedule of Fees and Charges

The Chief Executive officer is responsible for approving Metro Institute's Schedule of Fees and Charges. The schedule of fees and charges is to include the following information:

- the total amount of all fees including course fees, administration fees, material fees and any other charges for enrolling in a training program;
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- the nature of the guarantee given by Metro Institute to honour its commitment to deliver services and complete the training and/or assessment once the student has commenced study;
- any discounts, fee reductions or exemptions available for multiple enrolments, concession card holders, continuing learners, group bookings etc;
- the fees and charges for additional services, including such items as issuance of a replacement qualification parchment or statement of results and the options available to learners who are deemed not yet competent on completion of training and assessment; and
- Metro Institute refund policy.

Replacement of text and training workbooks

Learners who require replacement of issued text or training workbooks will be liable for additional charges to cover the cost of replacement. Where a student has purchased a text or training workbooks and subsequently cancels his or her enrolment, Metro Institute will not

refund monies for the text unless a written request for a refund is received and we are satisfied that the text is in as-new condition. For a full list of replacement charges please refer to Metro Institute schedule of fees and charges.

Giving notice of enrolment cancelation

A student who wishes to cancel their enrolment must give notice in writing. This may be via email or letter. Metro Institute staff who are approached with initial notice of cancelation are to ensure the student understands their rights with regards to the refunding of tuition fees. The student is also to be advised of other options such as suspending the enrolment and re-commencing in another scheduled training program.

Learners who give written notice to cancel their enrolment and who are eligible for a refund are to be provided with a Refund Request Form. Learners' who may not be eligible but are requesting a refund should also be provided with the Refund Request Form, so the request can be properly considered by the Chief Executive Officer.

Refunds policy

The following refund policy will apply:

- Learners, who give notice to cancel their enrolment **28 days** or more prior to the commencement of a program, will be entitled to an 80% refund of fees paid.
- Learners who give notice to cancel their enrolment **within 28 days** or less prior to the commencement of a program will be entitled to a 50% refund of fees paid. The amount retained (50%) by Metro Institute is required to cover the costs of staff and resources which will have already been committed based on the learner's initial intention to undertake the training.
- Learners who cancel their enrolment after a training program has commenced will not be entitled to a refund of fees of any fees paid in advance. An exception to this policy is where Metro Institute fails to fulfil its service agreement and fees are refunded under our guarantee to clients.

Discretion may be exercised by the Chief Executive Officer in all situations, if the student can demonstrate that extenuating or significant personal circumstance led to their withdrawal. Chief Executive Officer may also authorise a refund of tuition fees if the circumstances require it.

Where refunds are approved, the refund payment must be paid to the student within 28 days from the time the student gave written notice to cancel their enrolment. Tuition refunds are to be paid via electronic funds transfer using the authorised bank account nominated by the student on the Refund Request Form.

Statutory cooling off period

The Standards for Registered Training Organisations require a person to be informed of their right to a statutory cooling off period. A statutory cooling off period is defined within the Australian Consumer Law which was introduced in 2011. A statutory cooling off period (which is 10 days) is a period of time provided to a consumer to allow them to withdraw from a consumer agreement, where that agreement was established through unsolicited marketing or sales tactics. These include tactics such as door-to-door sales and telemarketing. A statutory cooling off period allows a consumer to withdraw from a sales agreement within 10 days of having received a sale contract without penalty. All staff are recommended to refer to the [Australian Consumer Law, Sales Practices Guide](#) for further details about a statutory cooling off period and our general obligations for consumer protection during the enrolment process.

Metro Institute do inform prospective learners within the student handbook. It must be noted by all staff that Metro Institute do not engage in unsolicited marketing or sales tactics and therefore a statutory cooling off period is not likely to be applicable to our learners who have enrolled into a program. For refund options in other circumstances, learners and staff must refer to the refund policy.

Our Guarantee to Learners

If for any reason Metro Institute is unable to fulfil its service agreement with a learner, Metro Institute must issue a full refund for any services not provided. The basis for determining “services not provided” is to be based on the units of competency completed by the student and which can be issued in a statement of attainment at the time the service is terminated.

Limiting fees being paid in advance

Metro Institute acknowledges that it has a responsibility under the Standards for Registered Training Organisations to limit the fees paid by learners in advance of their training and assessment services being delivered. To meet our responsibilities Metro Institute may accept payment of no more than \$1,500 from each student prior to the commencement of the course. This requirement only applies when the payment for the fees are being made directly by an individual that falls under the protection of Australian Consumer Law. By this we generally mean the student or the learner’s family member. This requirement is not applicable where the fees are being paid by the learner’s employer or a funding authority. This is an entity to entity transaction and does not require the limiting of fees paid in advance.

Following the course commencement, Metro Institute may require payments of additional fees in scheduled payments in advance from the student but only such that at any given time, the amount required to be paid in advance is consistent with the portion of training being delivered.

Payment of GST

GST is exempt under section 38-85 GSTR 2003/1 Goods and Services Tax, tax ruling. The ruling explains the supply of a course for ‘professional or trade course’ is a GST-free education course.

ATO reference:

<http://law.ato.gov.au/atolaw/view.htm?docid=GST/GSTR20031/NAT/ATO/00001>

Where a student is enrolled in a course which is offering units of competency or a whole qualification, the course fees attached to this enrolment will be exempt from the payment of GST. GST does apply on the payment of some miscellaneous charges where these charges are in addition to and outside the normal services offered in a course. Please refer to Metro Institute schedule of fees and charges for details of what GST is and is not applied to.

Miscellaneous Charges

Metro Institute will levy some miscellaneous charges for services. These may include:

- Re-issuing a certificate after it has been initially issued to a learner.
- Replacing issued learning materials which the student has lost or damaged
- Re-assessment services
- Photocopy fee

These miscellaneous charges are to be clearly specified in Metro Institute Schedule of Fees and Charges. It is to be made clear if these services will include GST. All miscellaneous charges are to be based on a cost recovery basis and are not intended to be a source of profit.

Student complaints about fees or refunds

Learners who are unhappy with Metro Institute arrangements for the collection and refunding of tuition fees are entitled to lodge a complaint. This should occur in accordance with Metro Institute complaints policy and procedure.

Version Control

Metro Institute manages a wide range of documentation throughout our operations which are geographically dispersed across Australia. To ensure that our representatives are using the correct version of documentation, this version control policy is provided.

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). Metro Institute is to apply version control to all documentation and tightly control the release and availability of documentation that is approved for use.

The authority to approve amendments and revisions of Metro Institute documentation rests with the Chief Executive Officer. Generally, amendments and revisions will be considered by the Continuous Improvement Committee in consultation with relevant parties or process owners.

Version Control Procedure

The following procedure is to be applied when allocating and tracking the version of Metro Institute documents:

- All draft documents will initially be numbered Version 0.1
- After each revision, the number to the right of the dot point increases by 0.1 (Version 0.2, 0.3 etc)
- When the document is authorised, the number converts to Version 1.0 and the document is published
- Once published the number to the right will increase with each minor amendment approved (Version 1.1, 1.2 etc)
- A full review of a document will result in the number to the left of the point increasing by 1 and the number to the right of the dot point returning to zero i.e. Version 2.0;
- There may be circumstances when a document may require immediate and significant change. For example, to comply with new legislation or other external factors. In these cases, a change from, Version 1.3 to Version 2.0 will need to be made in order to show that the new version is a major revision from the previous version.

In all internal documents, the version control number and date of amendment are to be indicated in the left-hand margin of the footer section. The version number and date approved are to be updated after each amendment. The date the policy came into effect must remain the date the original version was approved, until the next full review.

Document location and protection

All Metro Institute documentation is to be tightly controlled in one central file location. This file location should be accessible to all Metro Institute representatives who are authorised to access and use these documents.

Generally, where documents are used for print purposes, these should be available in PDF format only. Where documents are required to be populated with data electronically, these should be available in an amendable document form but must be protected as 'read only'.

Document distribution

Where documentation must be distributed away from a central location, this is to be conducted systematically and formally with the recipient required to acknowledge the receipt of a new document version and that old versions have been discarded.

Issuing Certificates and Outcomes

It is a requirement of the Standards for Registered Training Organisations for Metro Institute to meet the following:

- Clause 3.1. The RTO issues AQF certification documentation only to a student whom it has assessed as meeting the requirements of the training product as specified in the relevant training package. This means that the student has been assessed in accordance with the standards and if being issued a qualification has achieved the required units of competency as specified in the training package.
- Clause 3.2. All AQF certification documentation issued by an RTO meets the requirements of Schedule 5. This means that any certificate issued by Metro Institute is produced in the required format as specified in Schedule 5 and includes integrity mechanisms to prevent its fraudulent production.
- Clause 3.3. AQF certification documentation is issued to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product if the training program in which the student is enrolled is complete, and providing all agreed fees the student owes to the RTO have been paid.
- Clause 3.4. Records of student AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners. This means that Metro Institute must maintain an accurate register of all AQF outcomes it has issued and that current and past learners can access their records including obtaining a record of results or a re-issued certificate if this is requested by a learner.

To provide clarity throughout this policy and procedure, there are three types of AQF certificates that Metro Institute can issue. These are described below:

- **Statement of Attainment.** A statement of attainment recognises that one or more accredited units has been achieved. A statement of attainment is generally issued when the student has achieved one or more units of competency as a result of completing a course which included units of competency only or where the student achieved one or more units of competency as part of an enrolment in a qualification based course but the student did not achieve all of the units of competency to receive the full qualification.
- **Qualification.** An AQF qualification is the result of a student achieving the units of competency for a qualification outcome as specified in an endorsed training package or an accredited course. A qualification is a formal certification that a student has achieved learning outcomes as described in the AQF. Technically within the AQF a qualification is comprised of a testamur and a record of results. A testamur is the actual official certification document that confirms that a qualification has been awarded to an individual. In Australia, a testamur may also be referred to as an 'award', 'parchment', 'laureate' or 'certificate'. Within this policy, it is referred to as a qualification or an AQF qualification.

- **Record of Results.** A record of results is a record of all achieved units of competency leading to an AQF qualification. In Australia, this may also be referred to as a 'transcript of results', 'academic transcript', 'record of achievement' or 'statement of results'. A record of results can be issued at any time during a learner's enrolment and is often used to provide a student with a formal notification of their current progress in a course in which they are enrolled. A record of results is also issued with a testamur or AQF qualification to specify the units of competency that were issued to the student as part of the achievement of the qualification.

When we refer to AQF certificates, we are referring to all of the above documents generally. These requirements are outlined in detail in the Australian Qualifications Framework (AQF), Second Edition, 2013 and also within the Standards for Registered Training Organisations, Schedule 5.

In terms of issuing AQF certificates, Metro Institute is required to issue qualifications or statements of attainment to learners who have achieved the required outcomes **within 30 days** of the final assessment being completed. In addition to achieving the required outcomes, learners must have paid all fees owed to Metro Institute to be eligible to receive their certificate. The student must also hold and have provided to Metro Institute a valid Unique Student Identifier unless an exemption applies under the Student Identifiers Act 2014.

At Metro Institute, we recognise our responsibility to comply with this requirement in accordance with the Standards for Registered Training Organisations. Specifically, Metro Institute will issue a qualification or statement of attainment (as appropriate) to a person it has assessed as competent in accordance with the requirements of the Training Package or accredited course.

Staff with responsibility for preparing certificates for issue must be familiar with the policy outlined on the ASQA website at the following address: [ASQA - Issuing qualifications and statements of attainment](#).

Specific reference should be made to the [Standards for Registered Training Organisations, Schedule 5](#).

Record Retention and Reporting

Metro Institute is required to maintain a register of AQF qualifications and statements of attainment it has issued. This is maintained within RTO Data and can be produced as a report in the Student Management Reporting section. Metro Institute is also required to retain records of AQF certification documentation issued for a period **of 30 years** and must provide reports of qualifications and statements of attainment it has issued to ASQA on request. Further details on reporting obligations can be found within the reporting obligations policy.

Format for a Qualification

All qualifications issued by Metro Institute will include the following elements:

- Legal name, RTO Code and ABN

- Logo of Metro Institute
- Name of person receiving the qualification
- Code and title of the awarded AQF (e.g. BSB50215 Diploma of Business)
- Date issued
- Name, title and authorising signatory (of the Chief Executive Officer)
- Contact details for enquiries relating to issued certificates
- Occupational or functional stream, in brackets (e.g. Training and Education)
- The words, 'The qualification is recognised within the Australian Qualifications Framework' or the AQF logo
- The Nationally Recognised Training logo.
- Where applicable, include the words, 'achieved through Australian Apprenticeship arrangements'
- Where applicable, include the State / Territory Training Authority logo
- Where applicable, include the industry descriptor (e.g. Engineering)
- Where applicable, include the occupational or functional stream, in brackets, (e.g. Fabrication)
- Where applicable, include the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
- All qualification certificates will be issued accompanied by a Record of Results (or otherwise known as a Transcript). This document identifies the units of competency issued within the qualification.

Format for a Statement of Attainment

A Statements of Attainment issued by Metro Institute will include the following elements:

- The words "Statement of Attainment"
- Name and code of Metro Institute
- Logo of Metro Institute
- Name of the person who achieved the competencies
- Date issued
- A list of including the national code for each unit of competency or modules where no units of competency exist) showing their full title and the national code for each unit of competency

- Name, title and authorising signatory (of the Chief Executive Officer)
- Contact details for enquiries relating to the Statement of Attainment
- The Nationally Recognised Training logo
- The words ‘A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units’
- Where applicable, the words ‘These competencies form part of (code and title of qualification / course)’
- Where applicable, include the State / Territory Training Authority logo
- Where applicable, include the words, ‘these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
- Where applicable, include the words, ‘These competencies were attained in completion of (code and title of qualification / course)’

Skills Sets

When a skill set has been achieved by a student a Statements of Attainments is issued to recognise achievement of a skill set. The statement of attainment is to contain the name of the skill set and a statement using the wording given in the Training Package to indicate whether the skill set meets a licensing or regulatory requirement or an identified industry need.

Unique Student Identifier

In July 2014, the *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. All learners studying nationally recognised training in Australia from 1st January 2015, will be required to have a Unique Student Identifier (USI). A USI is a reference number made up of numbers and letters. The USI will allow learners online access to their training records and results (transcript) through their online USI account. In respect of certificates relating to nationally recognised training being issued by Metro Institute, the following rules apply:

- Metro Institute must **not** include the Learner’s USI on either the qualification or statement of attainment. This requirement is specified within the *Student Identifiers Act 2014*.
- All Learners who are **not** in receipt of a verified USI must not be issued certificates relating to nationally recognised training, unless an exemption applies under the Student Identifiers Act 2014.
- Where an exemption applies to the above requirement, Metro Institute must inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs 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.

Learners are advised within the Student Handbook that there are several unique circumstances where a person may be exempt from requiring a USI. These do not apply to the vast majority of learners in Australia. The USI Exemption Table is available from the USI website which explains these circumstances [Click Here](#). Learners who exercise an exemption from submitting a USI should be aware 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 USI Registrar. Further details about the implications of being exempt can be obtained from the USI website: [Click Here](#).

Issuing AQF Certificates

When the student has completed all required units of competency, administrative staff will update the learner's enrolment record within RTO Data to record the completion of the learner's training and enrolment. This then presents the opportunity to create the appropriate Qualification or Statement of Attainment and present this for authorisation by the Chief Executive Officer. Certificates are published direct from RTO Data and include a unique certificate number and the learner's RTO Data number (not the learner's USI). In addition to these items that uniquely identify the certificate it is also personally signed by the Chief Executive Officer and is embossed with the Metro Institute embossed seal. The embossed seal places a physical attribute to the certificate and together with the signature of the Chief Executive Officer make the certificate uniquely identifiable as an authentic document issued by the Metro Institute RTO.

Once the certificate is authorised, the administrative staff will then make a note in the learner's enrolment register (Student notes) that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the student (registered post) or alternatively handed to the student directly if this opportunity is available.

Issuing AQF Certificates Procedure

The following section identifies the specific steps to be followed by administrative staff to publish, gain authorisation and issue AQF certificates:

1. Receive completed student assessment records and check for their completeness accuracy. **Note.** In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the student being assessed as meeting the requirements of the training product, all completed assessments must be returned to the Metro Institute for processing **within 10 working days** from the date the assessment was completed. Assessors must comply with this requirement in order to allow sufficient time for the result to be recorded into RTO Data and the certificate to be produced and dispatched to the learner.
2. Enter assessment outcomes in RTO Data, ensuring that the correct Outcome Identifier National is selected and the date assessed corresponds with the date the student was assessed by the assessor. **Note.** The date field linked with the Outcome Identifier National within the student training plan (within RTO Data) will automatically default to

the date the outcome identifier is selected. This means that administrative staff must ensure they select the correct date before exiting the learner's training plan.

3. In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the student being assessed as meeting the requirements of the training product, all assessment results must be entered into RTO Data **within 15 working days** from the date the assessment was completed.
4. Recognise when all units of competency have been completed by the student (or the learner's enrolment has otherwise ended) and commence the process to produce the certificate. **Note.** Before a certificate can be issued, administrative staff are to confirm that the student has paid all outstanding fees owed to Metro Institute and that we have a verified Unique Student Identifier for the student recorded within RTO Data. If either of these items are identified as being outstanding, administrative staff are to contact the student via phone immediately (and send an email to confirm the discussion or message) and seek their assistance to resolve the issue as a matter of urgency. Detailed notes are to be recorded within the Student notes section of RTO Data of attempts to contact the student and to resolve these issues. The delay caused by these outstanding items does not impact on our obligation under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the student being assessed as meeting the requirements of the training product. The day count (for the 30 day requirement) is suspended until these items are resolved. It should be noted however that active collection of the learner's fees in accordance with the agreed fee schedule and early verification of the learner's USI (at their enrolment) must occur in order to prevent these issues hindering the timely completion of the certification process.
5. Once all fee payment is confirmed and the learner's USI is verified, enter a date into the "Qualification Issued Date" field or the "Statement of Attainment Issued Date" field, whichever is applicable. If a qualification is being issued the "Qualification Issued" Flag should also be changed to "Y" for yes.
6. Select the "Certificate" button and then select the type of certificate that is desired. Then choose to publish the certificate using the internal RTO Date certificate format. At this point the certificate will appear which should be checked to ensure all details are correct. **Note.** Refer to the following video on You Tube for the procedure to produce a certificate in RTO Data using the mail merge function: [Click Here](#).
7. Load the parchment paper into the printer (or select the correct paper draw if pre-loaded) and select print. Check the quality of the certificate printing. Also produce a letter of completion from RTO Data relevant to the learner's enrolment.
8. Together with the letter of completion, hand the prepared certificate to the Chief Executive Officer ensuring that at no time certificates are left unattended or have any opportunity to be overlooked by the Chief Executive Officer. It is critical that record integrity of the certificate is maintained. **Note.** To comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates

within 30 days of the student being assessed as meeting the requirements of the training product, all certificate requiring authorisation must be handed to the Chief Executive Officer **within 15 working days** from the date the assessment was completed.

9. The Chief Executive Officer may want to review the learner's records to confirm the validity of the certificate being issued. Once the Chief Executive Officer is satisfied the certificate is valid, the Chief Executive Officer is to sign the certificate as the authorised person. A good quality blue pen is preferred as this presents better on the certificate. The Chief Executive Officer is also to sign the letter of completion.
10. The Chief Executive Officer is to then retrieve the Metro Institute embossing seal and emboss the certificate. **Note.** The Metro Institute embossing seal is to remain in a secure place such as a locked desk draw or locked office cabinet. This should only be accessible by the Chief Executive Officer and other authorised representatives. The embossed seal along with the physical signing of the certificate are key attributes which seek to prevent the fraudulent production of the certificates issued by Metro Institute. The security of the embossing seal and the restricting the authorisation to sign certificates are important components to maintain the integrity of the Metro Institute certification and compliance with the Standards for Registered Training Organisations.
11. With the certificate now properly authorised, together with the letter of completion; it is passed back to administration. **Note.** In order to comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the student being assessed as meeting the requirements of the training product, all authorised certificates must be handed back to administration **within 20 working days** from the date the assessment was completed.
12. With the certificate now authorised, it along with the letter of completion is then to be issued to the learner. The administrative staff are to make a note in the student notes that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the student (Registered Post) or alternatively handed to the student directly if this opportunity is available. **Note.** At no time is the certificate to be handed to any third party unless the student has provided written and signed instructions for this to occur and these instructions are confirmed with the student via a telephone conversation. In such instances, these details are to be recorded within the Student notes section of RTO Data and any written instructions received from the student are to be retained on their student file. At no time are certificates to be issued electronically. There are no exceptions to this requirement.
13. To comply with the requirement under the Standards for Registered Training Organisations to issue learner's their certificates within 30 days of the student being assessed as meeting the requirements of the training product, all assessment results must be dispatched (or handed) to the student **within 25 working days** from the date the assessment was completed.

Re-issue of Certificates

Metro Institute acknowledges the requirement to provide past and present learners with re-issued qualifications and statements of attainment when required. The following principles are to be applied to reissuing Qualifications and Statements of Attainments:

- Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued. The individual must make a written request to Metro Institute for a re-issue and must verify their identity by providing a license, birth certificate, passport or other formal identity document in support of the request.
- All reissues are to be authorised only by the Chief Executive Officer. No other staff member of Metro Institute is authorised to re-issue Qualifications and/or Statements of Attainments under any circumstances.
- Metro Institute charges a fee for reissue of Qualifications or Statements of Attainments. For a full list of current fees and charges please refer to Metro Institute schedule of fees and charges.
- All re-issues issued by Metro Institute will be replicas of the original document, including the 'student name', 'student number' and other distinguishing features such as paper weight and the logo or corporate identifier in the top centre of the certificate. The only detail which is to be changed is the 'issued on' date, which will be the date of re-issue and specified as 're-issued'.
- The re-issue will be published using our student management system RTO Data. Metro Institute will cross check the information for the relevant certificate with the photocopy or scan of the original which has been retained in the student file.
- Re-issues are required to comply with the AQF requirements; identify the RTO by its national provider number from Training.gov.au; include the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. These requirements are consistent with those for the original issue of a Qualification or Statement of Attainment.
- Once authorised, the re-issue is to be issued to the learner. A photocopy or scanned copy is to be retained by Metro Institute on the learner's file and will be clearly labelled as being a re-issue. The written request from the student for re-issue will also be retained alongside the photocopy of the reissue. Certificates being issued via the post are to be sent only by registered mail.

Advertising and Marketing

Metro Institute will ensure that marketing and advertising of AQF qualifications to prospective learners is ethical, accurate and consistent with its scope of registration.

Critical with this requirement, is compliance with the conditions of use for the Nationally Recognised Training (NRT). These conditions are specified within the Standards for Registered Training Organisations at Schedule 4.

All staff with responsibility to prepare advertising and marketing materials are to be fully conversant with the requirements detailed in this document.

Authorisation

All advertisements and marketing material must be approved by the Chief Executive Officer before it is released. No staff member of Metro Institute is authorised to approve the use of any advertisements or marketing material.

Advertisements and promotional information

The following guidelines are to be followed when preparing advertisements and promotional information. Metro Institute must:

- not provide any guarantees to learners about the successful completion of training or any employment outcome that is outside of the control of Metro Institute;
- only advertise those qualifications or units of competency that are listed as current on the Metro Institute scope of registration;
- identify qualifications in advertising by their full code and title as they appear in the training package and not to represent these qualifications or units of competency in any other way;
- maintain a clear distinction between nationally endorsed training being offered and other training being offered by Metro Institute;
- not integrate or confuse in any way training that is nationally endorsed with training that is not accredited;
- use the NRT logo only in accordance with the Standards for Registered Training Organisations, Schedule 4;
- identify Metro Institute in any marketing material by its full RTO code and legal name;
- not refer to another person or organisation in any marketing material without obtaining prior consent and approval;
- clearly distinguish where training and assessment is being delivered on behalf of Metro Institute by any third-party organisation;

- include details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment;
- not provide approval for any third-party organisation to advertise on behalf of Metro Institute unless it is appropriately specified with limitations within a written and signed agreement with the third party organisation; and
- monitor closely the advertising and marketing been provided by any third party organisation on behalf of Metro Institute

Marketing non-accredited training

When Metro Institute is promoting the non-accredited training, it must clearly distinguish between nationally recognised training and that which is not nationally recognised. The NRT logo must not be used in association with non-accredited training. Practices where nationally endorsed and non-accredited training are combined within a brochure or a website are to be avoided. Ideally it is best to separate these course offerings into different areas of our website in order to make a clear distinction.

Stationery, business cards, building signage, training resources

The NRT logo is not to be used on Metro Institute products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, coffee cups, USB sticks and packaging around products. The NRT logo must also not be incorporated into or on the cover of learning and assessment resources supplied by Metro Institute. This includes PowerPoint presentations.

NRT Logo Colours

Where the NRT logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations, the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

Delivery of standalone units of competency

Where Metro Institute has qualifications on its scope of registration, the core units of competency and the listed (named) elective units of competency may be offered and delivered as standalone units of competency. This means that whilst these units of competency are not individually listed on the Metro Institute scope of registration, they are approved by ASQA for delivery as standalone units and Metro Institute does not need to seek approval for the delivery of these units of competency. Metro Institute is entitled to publish advertising that promotes these standalone units of competency as individual courses.

Informing learners of their rights and obligations

It is a mandated requirement within the Standards for Registered Training Organisations for Metro Institute to inform learners prior to their enrolment about their rights and obligations,

about the services to be provided and about the payment of fees, other charges and refund arrangements. Whilst this requirement relates to the marketing and advertising of training, it is addressed in policy arrangements detail within the Enrolment Policy provided within this policy manual.

Credit Transfer

Metro Institute acknowledges the requirement as a Registered Training Organisation to recognise the awards issued by other RTOs. This is limited to outcomes that are drawn from the national skills framework being units of competency awarded and accurately identified in statements of attainment and qualifications.

What is credit transfer?

Credit transfer (also referred to as national recognition or universal recognition) is the recognition of learning achieved through formal education and training. Under the Standards for Registered Training Organisations, qualifications and statements of attainment issued by any RTO are to be accepted and recognised by all other RTOs. Credit transfer allows the unit of competency previously achieved by a student to be recognised when they are enrolling in a related course where those units can assist them in meeting the requirements for a qualification. It is important to note that **credit transfer is not recognition of prior learning (RPL)**. RPL is assessment and is addressed within the Recognition policy.

When unit codes and titles are different

If credit transfer is being sought for a unit of competency which has a different title or code, then it is necessary to establish the equivalence status between the unit held and the unit being sought. In many cases this information can be found in the mapping guide published on the National Training Register www.training.gov.au. Our administrative staff will obtain this information and validate claims of equivalence. Administrative staff should note that the mapping notes within the National Training Register are sometimes very clear and in general will use language such as “Not equivalent” or “Is superseded by and is equivalent to”. In some cases, there will appear to be no direction and this may be because the unit is new and has no previous version of the unit. In some cases, it will say words to the effect: “Is superseded by:” without any clarification about the equivalence status. In these cases, the new unit should be considered as not equivalent. If in doubt, admin staff are to seek the advice of the Chief Executive Officer or the related industry skills council.

If there is no mapping available, the unit is deemed not equivalent then we are not to recognise the unit through credit transfer. In these circumstances, the applicant should be referred for RPL in accordance with our Recognition policies and procedures. Under no circumstances is a comparison between units to be used as the basis for issuing credit transfer. If the skills council has not determined it to be equivalent, then it is not. Subjective comparisons by the RTO are not valid.

Evidence requirements

An applicant will be required to present his or her statement of attainment or qualification for examination by Metro Institute. These documents will provide the detail of what units of competency the applicant has been previously issued. Applicants must provide satisfactory evidence that the statement of attainment or qualification is theirs and that it has been issued by an Australian RTO. Statements of attainment or qualifications should be in the correct format as outlined in the Australian Qualifications Framework, Second Edition, 2013. The

applicant is required to submitted copies only which are certified as a true copy of the original by a Justice of the Peace (or equivalent).

Credit transfer guidelines

The following guidelines are to be followed when an application for credit transfer is received:

- Any student is entitled to apply for credit transfer in a course or qualification in which they are currently enrolled.
- Learners may not apply for credit transfer for units of competency or qualification which are not included in our scope of registration.
- Whilst learners may apply for credit transfer at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the student down a more efficient path to competence.
- The student does not incur any fees for credit transfer and we do not receive any funding when credit transfer is granted.
- Credit transfer may only be awarded for whole units of competency. Where a mapping guide identifies a partial credit, this will not be considered for credit transfer and the applicant will be advised to seek recognition.
- Credit transfer will only be issued when the learner's enrolment includes at least one other unit of competency for which the student is participating in training or is seeking recognition. Student may not enrol only for credit transfer.
- The recognition of a unit of competency under a credit transfer arrangement is not contingent on the applicant demonstrating their currency. If the unit has been previously awarded and equivalence can be demonstrated then the unit can be recognised. The currency of the applicant is not a factor to be considered.

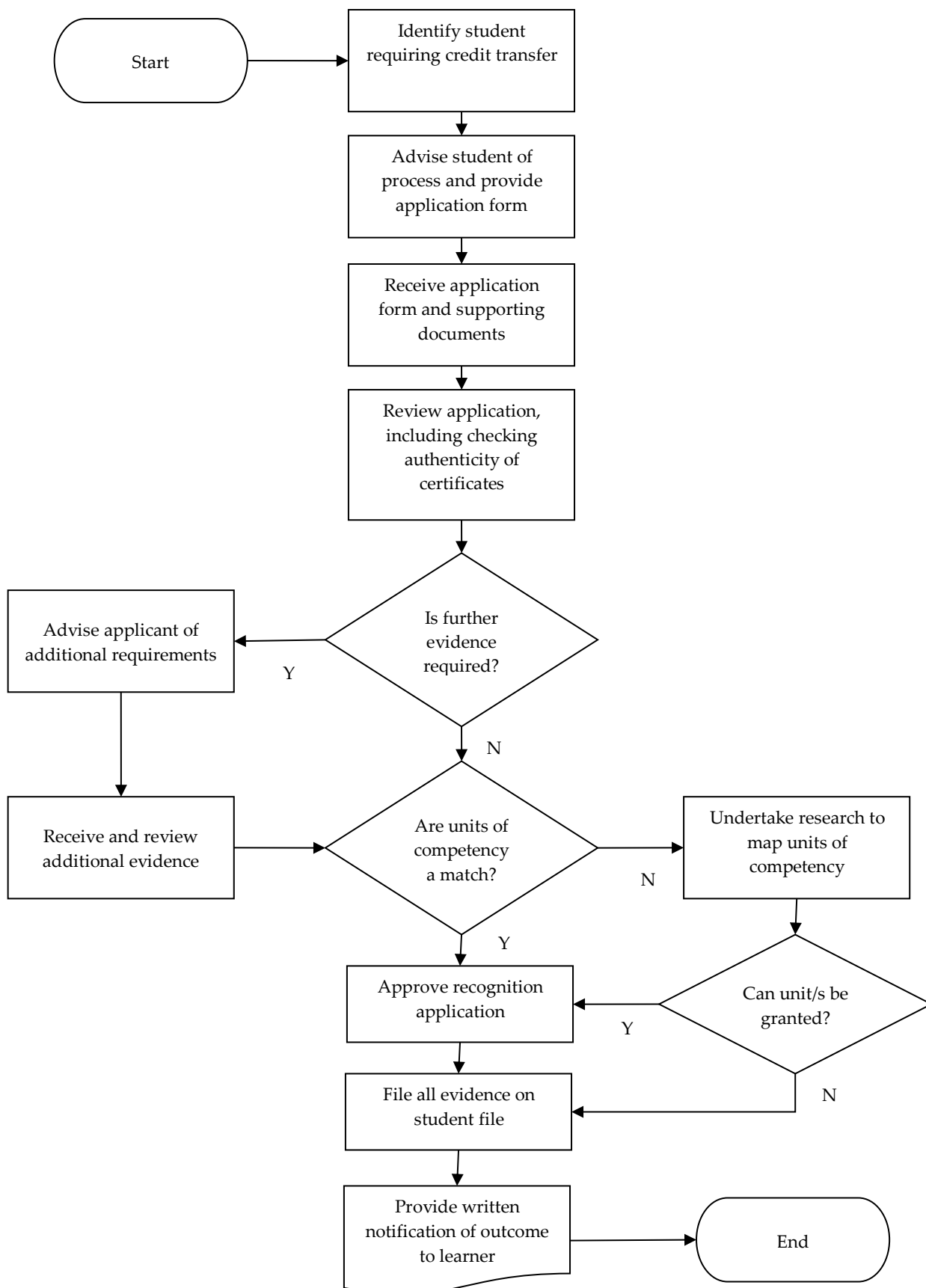
Credit transfer Procedure

The following procedure is to be applied by Metro Institute upon receipt of an application for credit transfer:

- **Step 1** We will provide sufficient information to candidates to inform them of opportunities for alternative pathways via credit transfer and the credit transfer policy. Ideally, this information should be provided to candidates prior to enrolment.
- **Step 2** To apply for credit transfer, the applicant must complete and submit the following documentation to Metro Institute:
 - Credit transfer Application Form;
 - Certified copy of the qualification or statement of attainment; and
 - Enrolment application for the training program applicable to the units of competency for which credit transfer is requested.

- **Step 3** On receipt of the application, we will check the qualification or statement of attainment for authenticity and grant credit transfer for the equivalent units of competency that have been completed at any other Registered Training Organisation.
- **Step 4** Where the units of competency do not align with the units of competency requested, further information is to be sought in the form of the Training Package mapping guide if available.
- **Step 5** Verified copies of qualifications and statements of attainment used as the basis for granting credit transfer must be kept on the student file.
- **Step 6** The completed credit transfer application form must be signed by the student and Metro Institute Chief Executive Officer (or delegate) and retained on the learner's file at Metro Institute.
- **Step 7** Learners will be notified in writing of the outcome of their application. This may include issuing statements of attainment or qualifications awarded through credit transfer in accordance with our Certification policies and procedure.

Credit transfer Process



Records Retention and Management

At Metro Institute, we recognise our obligation to retain certain records from our delivery of training and assessment services to clients. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements. We are committed to retain records to ensure their accuracy and integrity.

For the purposes of this policy, records include:

- **Student results.** Training results include a record of the learner’s details, date of enrolment and results of training and assessment. This should include what units of competency (including codes) and the result the student achieved. This may include if the student withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued credit transfer for current competency held. Student results also include all relevant data elements relating to the Australian Vocational Education and Metro Institute Information Statistical Standard (AVETMISS).
- **Qualifications / Statements of Attainment.** Qualifications and Statements of Attainment are documents issued to recognise the award of nationally endorsed and accredited outcomes. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualification Framework.
- **Completed assessment resources.** Completed assessment resources include documents or other media where assessments evidence has been recorded by learners and assessment decisions are recorded by assessors. It may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from assessors to learners. Assessment resources include all those items which substantiate the assessment decision made by an assessor. ASQA refer to these records as “*Completed student assessment items*”³.
- **Assessment tools.** Assessment tools refer to the various templates, checklists and assessment records that Metro Institute uses over the term of its operations. This specifically refers to the retention of the versions (master copy) of tools used as opposed to retention of completed resources. The aim of retaining a record of versions used over time is to allow an appropriate record for future review by regulatory bodies.
- **Administrative records.** Administrative records are those documents which are used to facilitate the learner’s administration during their enrolment. Examples of administrative records are enrolment forms, privacy forms, requests for refund, etc.

³ ASQA General direction: Retention requirements for completed student assessment items, 22 June 2012

- **Student file.** The student file is simply the file location where all student results, completed assessment resources and administrative records are retained in hard copy. This will usually be a standard office file and will be archived within an archive envelope at the end of the learner's enrolment.
- **RTO management records.** RTO management records are those files which assist management and staff to coordinate RTO services. These may include policies and procedures, data registers, enrolment registers, attendance records, financial records and records of complaints and appeals.

Storage of records

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of learners and Metro Institute staff.
- Records must be kept in a location to avoid damage by fire, flood, termites or any other pests.
- Student results and Qualification / Statements of Attainment must be backed-up in an electronic format and must be available to be retrieved at any time.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site using the cloud based version of RTO Data.

Period of retention

Metro Institute must comply with a range of record retention requirements including:

- ATO requirements relating to financial records
- State Funding Authority requirements relating to training and assessment records, and
- ASQA General Direction: Retention requirements for completed student assessment items [Click Here](#).

In determining our period of retention, Metro Institute has selected retention periods beyond some requirements in order to simplify our approach and to ensure compliance with all requirements under the one approach. The following time periods are to apply to the retention of student electronic records at Metro Institute:

- **Student results / Qualifications / Statements of Attainment.** Student results relating to the training products that have been issued (Qualifications and Statements of

Attainment) are to be retained for a minimum of thirty (30) years. This is essentially the AVETMISS compliant data contained within the organisations student management software RTO Data.

- **Completed assessment resources.** Completed assessment resources (100%) are to be retained for a minimum of 6 months from the date on which the judgement of competence for the student was made, unless a longer period is required by a specific funding agreement.
- **Assessment tools.** Assessment tools (100%) are to be retained for the current version of the qualification. Superseded assessment tools will be retained for 6 months after being replaced by the new tools.
- **RTO management records.** RTO management records are to be retained for a minimum of three (3) years. This requirement relates to the versions of these records.
- **Administrative records.** Administrative records are to be retained for a minimum of three (3) years. This requirement relates to the versions of these records and completed records.

Note. Records may be retained in hard copy or electronically.

Destruction of Records

The Metro Institute CEO is the only person who can authorise (in writing) the destruction of records. Records are only to be authorised for destruction after the retention period has lapsed.

Documents identified for destruction are to be shredded before being recycled. The archive register must be updated in the notes section to identify that a particular record has been destroyed.

Record Handling Responsibilities

To ensure records are maintained in a safe and suitable condition, the following responsibilities apply:

- The **Chief Executive Officer** is to ensure that Metro Institute implements suitable arrangement to comply with the requirements of this policy and the requirements of the Standards for Registered Training Organisations. This is to include the acquisition and installation of records and data storage facilities and the application of records retention procedures.
- The **Academic Manager** is to ensure that procedures for the achieving and storage of records are applied including the backing up of electronic data. Administrative support staff are to monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required. Administrative support staff are also to liaise with Trainers and Assessors to

ensure that approaches to records handling are consistent throughout Metro Institute operation.

- **Trainers / Assessors** are to ensure that student records are appropriately gathered during and at the completion of a training program and are suitably bundled and packaged in accordance with records archiving procedures, including:
 - Liaising with administrative support staff to ensure that their practices are aiding the efficient retention of student records.
 - Ensure student records are fully completed with sufficient information recorded by Assessors to allow an independent review of the assessment decision by a third party.
 - Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision.
 - Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
 - Use authorised Metro Institute records only to record student progress and the outcomes of assessment activities

Archiving and Completion Procedure

The following procedure is to be followed by all staff when archiving student records and completing an enrolment:

Trainers

- Retain all records which record information about the evidence collected during assessment. Note that learners may retain a copy of any work they have produced and submitted as evidence toward the assessment. Work submitted in an electronic version must also be retained and is to be gathered on a suitable electronic storage media such as a CD, disk, or flash-drive for archiving.
- **Important to Note:** Trainers are to ensure that their observations and comments recorded onto completed assessment resources are detailed and complete. It is an ASQA requirement that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's performance against the standard required. If assessment records are received by administration for entry and archiving and they are deficient of detail, administration staff are instructed to return the assessment documentation to Trainers for further detail and completion. Trainers who receive returned assessment documentation and who have issues with this arrangement are to refer their issue directly to the Chief Executive Officer.

- At the completion of each training module, all student records are to be sorted and placed into a Metro Institute archiving envelope. The archiving envelope will have printed on the front Metro Institute Student Archive Record. The Trainer / Assessor is to complete this form with as much detail as possible.
- The archiving envelope is **not** to be sealed and should either be handed personally to Metro Institute administrative support staff or mailed via registered express post to Metro Institute office.

Administration

On receipt of the archiving envelope, the administrative staff are to:

- Conduct an audit of the student record to ensure that all evidence and assessment records (including electronic files) correspond with the units of competency being issued to the learner.
- As records are received into Metro Institute office, they are to be scanned and appended to the relevant electronic file. This includes all submitted student work and evidence of assessment.
- **Important to Note:** Administrative staff are to ensure that retained evidence of assessment must have enough detail to demonstrate the assessor's judgement of the learner's performance against the standard required. If an assessment record is received by administration for entry and archiving and is deficient of detail, administration staff are to return the assessment documentation to Trainers for further detail and completion. Trainers who contact administration and who have issues with this arrangement are to be referred directly to the Chief Executive Officer.
- Enter assessment outcomes into the learner's training plan within RTO Data ensuring that the correct Outcome Identifier - National is selected and the date assessed corresponds with the date the student was assessed by the assessor. **Note.** The date field linked with the Outcome Identifier - National within the student training plan (within RTO Data) will automatically default to the date the outcome identifier is selected. This means that administrative staff must ensure they select the correct date before exiting the learner's training plan. It is an important requirement to ensure that the date entered into RTO Data that the outcome was achieved corresponds with the date recorded by the assessor that the assessment decision was made.
- When the student has completed all required units of competency, administrative staff will update the learner's enrolment record within RTO Data to record the completion of the learner's training and enrolment. This then presents the opportunity to create the appropriate Qualification or Statement of Attainment and present this for authorisation by the Chief Executive Officer. Certificates are published direct from RTO Data and include a unique certificate number and the learner's RTO Data number (not the learner's USI). In addition to these items that uniquely identify the certificate it is also personally signed by the Chief Executive Officer and is embossed with the Metro Institute embossed seal. The

embossed seal places a physical attribute to the certificate and together with the signature of the Chief Executive Officer make the certificate uniquely identifiable as an authentic document issued by the Metro Institute RTO.

- Once the certificate is authorised, the administrative staff will then make a note in the learner's enrolment register (Student notes) that the certificate was dispatched and together with a letter of completion, the certificate is mailed to the student (registered post) or alternatively handed to the student directly if this opportunity is available. **Note.** Please refer to the Issuing Certificates and Outcomes Policy for a detailed outlined of the procedure to produce, authorise and issue AQF certificates.
- Create a new entry in the RTO Data Archive Register and insert a hyperlink to the learner's electronic file.

Student Records Integrity

During the handling of records relating to a learner's enrolment and training and assessment outcomes, there is potential within a busy office that records may be misplaced, not entered correctly or mishandled. To minimise the potential for inaccurate record keeping, this policy includes specific guidelines for both administrative and training staff on the handling of records during the critical end stages of training. These include procedures and processed guidelines on the validation and entering of student results into the Metro Institute student management system. These procedures must be strictly applied by all staff handling student records.

Combined with this, Metro Institute will also undertake periodic integrity audits of student records to ensure the information entered into the student information management system (RTO Data) are accurate. To achieve this, the office manager will undertake periodic desk audits of student records. The Office Manager will aim to undertake a desk audit of at least 10% of student records each quarter. The desk audit will be conducted by making a direct comparison with the learner's record (enrolment record and assessment result) with the data entered into the learner's enrolment profile within RTO Data. Specifically, the desk audit will seek to identify inaccuracies in learner's enrolment information and the details relating to the achievement of units of competency. The desk audit will be quality controlled and recorded using Student Records Integrity Checklist. Completed checklist will be electronically scanned and appended to the relevant student file. Identify inaccuracies will be corrected and form the basis of opportunities for improvement to improve data integrity.

Email records and correspondence

In many cases, information relating to Metro Institute operation will be transmitted using electronic communication. It is important that this information is also retained and archived.

Any email record or correspondence which relates to training and assessment services provided by Metro Institute is to be copied or forwarded to a designated archive email address. This email database is to be backed up at least once weekly and a copy kept off-site in a secure location.

Unique Student Identifier

The *Student Identifiers Act 2014* was approved and came into effect from the 1st January 2015. Any USI provided to Metro Institute by a student must be **verified** with the USI Registrar. This may be achieved by inserting the USI into the Student details within RTO Data and changing the USI status to “Verify”. RTO Data will verify any records with the USI Registrar with this status every 30 seconds. Once verified the status will have changed to “Valid”. If the status does not change to valid then one of the following student details is incorrect:

- First name
- Last name
- Date of Birth
- The Unique Student Identifier

These are the only data elements used to verify a USI so if it does not verify then one of these elements is incorrect. A common error is the abbreviation of the learner’s name. The student may have registered their USI with the first name of “Benjamin” but has completed the enrolment application form with the first name of “Ben”. The first name provided by the student must align with the name they provided when they registered their USI.

- Student Identifier details and all related documentation under the control of Metro Institute **must be kept secure**. This includes the information stored within RTO Data. User profiles and password protections to RTO Data are to be used to prevent any unauthorised access to USI information. Where Metro Institute assisted the student to create their USI, additional details such as the learners Driver’s Licence information will have been collected and stored within the RTO Data - Document Verification System (DVS). Once the learner’s USI has been successfully created, these details within the DVS are automatically removed (deleted) from the database. This is a requirement of the USI legislation and is aimed at protecting the learner’s privacy.

Further information on the Unique Student Identifier can be accessed via the following website:

<http://usi.gov.au/Training-Organisations/Pages/training-organisations.aspx>

Treatment of records on ceasing operation

Metro Institute acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to ASQA should Metro Institute ceased to operate. It is a requirement that RTOs who ceased to operate,⁴ must within 30 days of registration ending, forward to ASQA an electronic copy of the records for each student who were enrolled in a course during the period of registration.

⁴ This includes voluntarily withdraws its registration, whose registration either lapses or is not renewed, or is cancelled by ASQA.

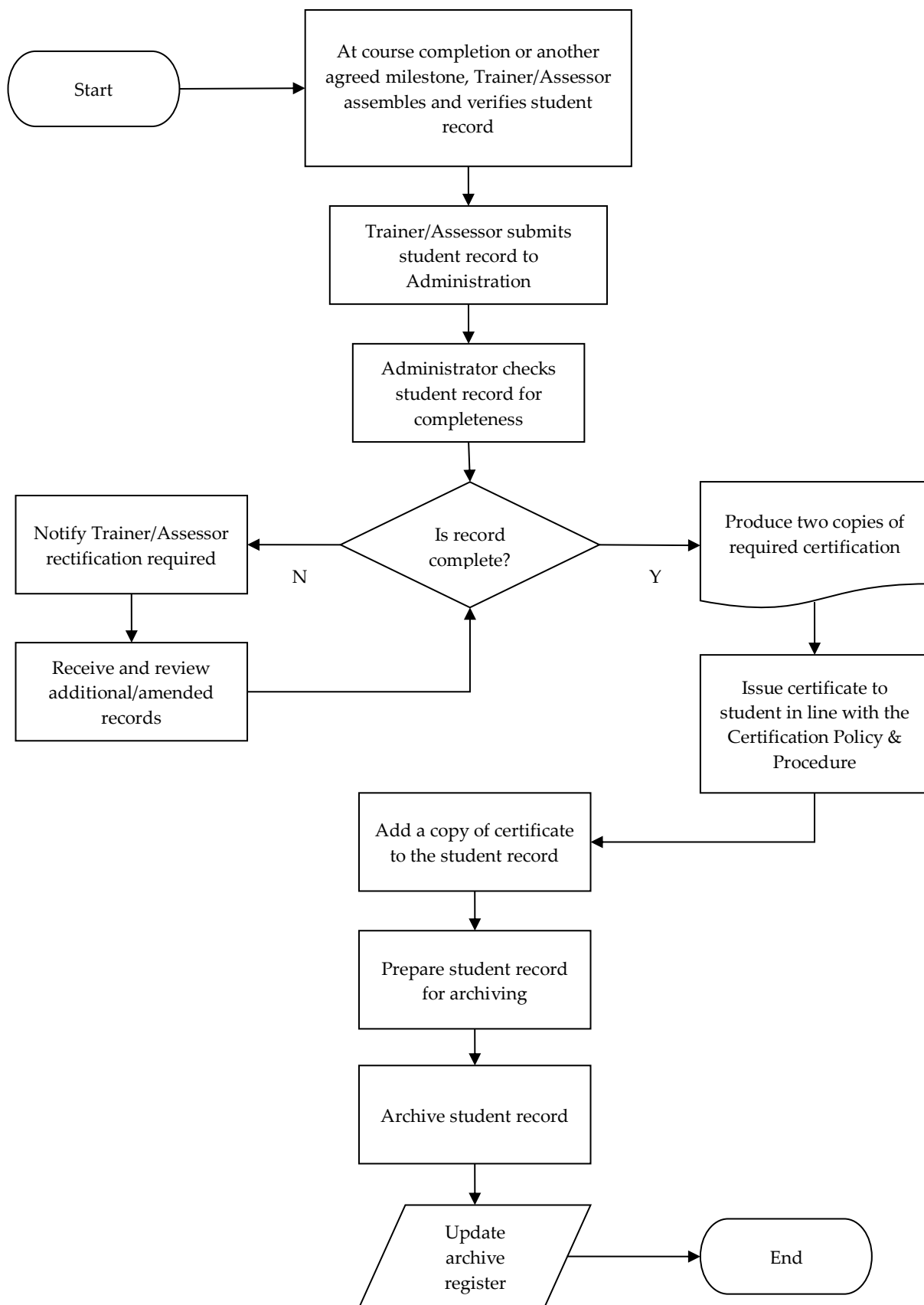
This requirement does not include hard copy student files and relates specifically to electronic data providing evidence of activities the student has performed⁵. For the purposes of this policy, Metro Institute will interpret “activities” to mean records providing information on the outcomes achieved by learners. This will include records of qualifications and units of competency which have been issued by Metro Institute during the entirety of its registration period. Metro Institute will retain these records electronically and will provide this information electronically in Microsoft Excel format. The following information must be included:

- Students full name
- Residential post code
- Date of birth
- Student ID number (if issued)
- Enrolment/commencement date(s)
- Code and title of qualifications
- Codes and title of units of competencies
- Results for each unit of competencies
- Date the certificate or statements of attainment were issued
- Unique Student Identifier (2015 onwards students only)

These reports are to be generated by year and supplied to ASQA in a suitable file structure and format to enable it to be navigated and used. The files must be in a nationally AVETMISS compliant format produced using our RTO Data student management system.

⁵ Standards for Registered Training Organisations

Records Archiving and Completion Process



Reporting Obligations

Total VET Activity Reporting

Metro Institute is required to maintain the capability to provide AVETMISS compliant data reports to the NCVET on an annual basis. This requirement is specified in the [Data Provision Requirements 2012](#) and the [Total VET Activity Reporting](#) guide on the ASQA website, which explains the requirement for all RTOs to report their nationally recognised training data in accordance with the [National VET Provider Collection Policy](#). Metro Institute will meet this requirement by maintaining its activity data with RTO Data, our student management system.

National VET Provider Collections must be submitted to the National Centre for Vocational Education Research (NCVER) before the end of February each year. The activity report will relate to the previous calendar year. So, a report being made on 28th Feb 2016 will relate to the activity period of 1st Jan 2015 – 31st Dec 2015.

Activity reports including all NAT files are to be submitted to the [AVETMISS Validation Software](#). This system will report any data entry errors which must be corrected and then resubmitted. Metro Institute must be registered with the NCVET to use the AVETMISS Validation Software. This video explains how to use the AVETMISS Validation Software: [Click Here](#)

Please note that the report must include a full set of NAT Files produced from RTO Data and must be in the current AVETMISS format which is currently AVETMISS 7.0 VET Provider Collection. The full set of NAT Files include:

- Training organisation (NAT00010) file
- Training organisation delivery location (NAT00020) file
- Program (NAT00030) file
- Subject (NAT00060) file
- Client (NAT00080) file
- Client postal details (NAT00085) file
- Disability (NAT00090) file
- Prior educational achievement (NAT00100) file
- Enrolment (NAT00120) file
- Program completed (NAT00130) file

General information about AVETMISS reporting can be accessed via the NCVET at the following link:

http://www.ncver.edu.au/content/cssfaqs.htm#about_avetmiss

Quality Indicator Reporting

Metro Institute is required to report quality indicator data to ASQA in accordance with scheduled reporting dates. This requirement is specified in the Data Provision Requirements

2012 and explained further on the ASQA website: [ASQA - Quality Indicator Reporting](#). ASQA also issued a General Direction regarding Quality Indicator Reporting on 24th April 2012 which introduced new reporting arrangements using the ASQA Quality Indicator Annual Summary Report. The General Direction can be accessed at: [General Direction - Quality Indicators](#)

The Academic Manager is responsible to use the [Student Questionnaire](#) and the [Employer Questionnaire](#) to collect survey data regarding student and employer satisfaction. Metro Institute will utilise [Satisfaction Data](#) to collate and report student and employer survey responses.

There are two Quality Indicators which are explained in the following table:

<p>Student Satisfaction</p> <p>and</p> <p>Employer Satisfaction</p>	<p>After data is collated and analysed using the Satisfaction Data database, Metro Institute is to collate the results of the survey and produce a report in using the Quality Indicator Summary Report . A summary report is to be emailed to ASQA between the period 01 Jan – 30 June each year and will relate to the student engagement and employer satisfaction QI survey response rates and improvement actions identified for the previous calendar year – i.e. 01 Jan – 31 Dec. The report is to be emailed to the following email address: gidata@asqa.gov.au.</p> <p>The summary report must address the following information:</p> <ul style="list-style-type: none"> – numbers of surveys issued against numbers received (rates of response) – trends in response statistics (for instance, which learner/employer cohorts provided high/low response rates) – commonalities or surprising/unexpected survey responses – trends with previous year/s QI data findings – information gained from analysis – preventive and/or corrective actions implemented, and – how the effectiveness of such actions is or will be monitored. <p>Further information on the reporting of Quality Indicator Data reporting is available at the ASQA website: Click Here</p>
---	---

Training Package Transition

At Metro Institute, we acknowledge our obligation to remain informed of changes to training packages and to establish transition arrangements for existing learners and those learners who may be enrolled during a transition period. Our obligation is underpinned by the Standards for Registered Training Organisations requiring RTOs to manage their scope of registration to transition from superseded Training Packages within 12 months of their publication on the national register in order to only deliver currently endorsed Training Packages and currently accredited courses.

Background

Like all things in the national training system, nationally endorsed training packages are amended from time to time under a continuous improvement approach to ensuring that training packages are aligned with industry requirements. In addition to these smaller changes, training packages can be entirely reviewed on a cyclic basis and this often leads to new versions being issued or new training packages being developed and released.

The impact of these changes can mean that qualifications and unit of competency codes and titles can change. Qualification issuing rules can change and units of competency that are superseded may or may not be equivalent. This will all happen at different times during a learner's enrolment and requires Metro Institute to manage the change process so that we comply with the Standards for Registered Training Organisations and ensure that our learners are not disadvantaged by these changes.

New training packages are published and released using the National Training Register (training.gov.au). It is the date of release that marks the date for subsequent transition arrangements which are covered in this policy.

Aim

The aim of this policy is to ensure Metro Institute is delivering the most current outcomes to learners and to ensure Metro Institute actively manage its scope of registration.

Transition principles

Metro Institute is to apply the following principles to the management of a training package transition:

- Metro Institute is to monitor the status of training packages by subscribing to the Training.gov.au notification service and the notification service offered by the relevant Industry Skills Council or equivalent. When changes to training packages are identified that effect the scope of registration of Metro Institute a new continuous improvement is to be raise within RTO Data.

- Continuous improvement actions relating to training package transition are to be managed through the Management Team meeting to ensure transition is managed in a systematic way. Centralised and systematic management will enable other aspects of the Metro Institute operation to be included in the transition planning and the progress of the transition to be monitored. Other aspects of the Metro Institute operation that may be affected by training package transition include marketing, business development, administration, compliance, resource development, student welfare, interaction with ASQA, etc.
- RTO Data is to be used to record the details of superseded qualifications including the date existing qualifications were superseded and to create new courses on the scope of registration once they are approved on the National Register. RTO Data allows for the production of various reports which permits learners affected by transition to be identified and managed.
- Metro Institute will initiate transition arrangements in response to training package changes as soon as possible following the publication on the National Register of revised qualifications or units of competency. Within the period of **one year** from the date the replacement training product was released on the National Register learners must have either completed their training and have been issued with their AQF certificate or they must have been transferred to the revised training product. The student cannot remain in or be issued a certificate for a superseded training product beyond the 12-month period from the release date published on the National Register.
- Where the qualification or unit of competency is equivalent, these items will be automatically updated on the Metro Institute scope of registration. Where the items are not equivalent, Metro Institute must apply to have new training products added to its scope of registration by submitting an application to change RTO scope of registration to ASQA via [ASQANet](#), accompanied by supporting evidence and the required fee.
- Once a new qualification or unit of competency has been added to the scope of registration of Metro Institute, enrolments in the superseded item must cease as soon as practical and all new enrolments must be made into the revised qualification or unit of competency. Please note that, the Standards for Registered Training Organisations does allow enrolments in superseded qualifications to continue until the superseded qualification or unit is removed from the national register of the RTO (which occurs 12 months after it is superseded). Metro Institute has taken the position to cease enrolments into superseded qualifications or units of competency as soon as possible to ensure learners are receiving the most current training product.
- Learners who are enrolled in qualifications which are superseded part way through a training program are to be offered and encouraged to transfer their enrolment to the new qualification once it is obtained on Metro Institute scope of registration.
- Where an AQF qualification is no longer current and has not been superseded, all learner's training and assessment is to be completed and the relevant AQF certification

documentation issued within a period of **two years** from the date the AQF qualification was removed or deleted from the National Register.

- Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of **one year** from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register.
- A new student must not commence training and assessment in a training product that has been removed or deleted from the National Register.
- Where a qualification is listed on our scope of registration and that qualification includes a superseded unit of competency that has been imported from a different training package, the transition requirement specified in the Standards for Registered Training Organisations at clause 1.26 do not apply.

Teach out arrangements

Learners who are enrolled in qualifications which are superseded part way through a training program are to be offered and encouraged to transfer their enrolment to the new qualification once it is obtained on Metro Institute scope of registration. Learners who choose not to transition to a new qualification are to be 'taught out' to the conclusion of their qualifications. To support this arrangement, the following business rules are to apply:

- Metro Institute may continue to deliver training and assessment services, and issue awards, to current learners of the superseded qualification for a period of **one year** from the date the replacement training product was released on the National Register.
- Learners who have not completed a superseded qualification within 12 months from the date the replacement training product was released on the National Register must be immediately issued with a Statement of Attainment with any eligible units of competency and transferred to the new qualification.
- Except to replace an AQF Certificate issued by the RTO previously, an RTO must not issue an AQF certificate to a student for a qualification that was superseded more than 12 months from the date the replacement training product was released on the National Register.
- Where a specific cohort of learners is likely to be disadvantaged by the forced transition of a qualification within the 12 month timeframe the National VET Regulator may make a determination that provides Metro Institute additional time to teach the student out. These determinations will be published by the National VET Regulator.

Transition Management

The transition to new training packages is to be managed through the Management Team to ensure the transition is managed in a systematic way that integrates changes into all other areas of Metro Institute operations. It is critically important that high attention to detail is applied by staff who are leading this work.

The following steps are to be applied:

Monitor the status of training packages. The General Manager is to monitor the status of training packages to remain aware of changes in the revised training package and how these might affect Metro Institute scope of registration. Changes to training packages are to be reported to the Management Team using the Continuous Improvement Report. The primary information source for monitoring the status of training packages is the National Register (training.gov.au).

Determine an action plan. Once changes are confirmed, the Management Team is to determine an action plan to respond to changes. The Management Team is to provide advice about the actions to be taken and appoint a person to lead the work to analyse the amendments that have occurred in the revised training packages and develop an action plan to address all necessary changes. Attention to detail must be given to minor changes that may occur to unit codes and titles to ensure these are not missed during the transition process. The common changes will include:

- revised unit of competency and the qualification codes and titles;
- revised packaging rules for qualifications changing the requirements in relation to the allocation of core or elective units;
- revised units of competency, this may include the combining of two units of competency into one or minor changes where the unit of competency has remained equivalent;
- revised pre-requisites, co-requisites or entry requirements; and
- revised assessment guidelines which may relate to identifying new requirements relating to trainers and assessors.

Whilst not an exhaustive list, the common changes identified in the list above are certainly the most commonly seen in the transition of training packages.

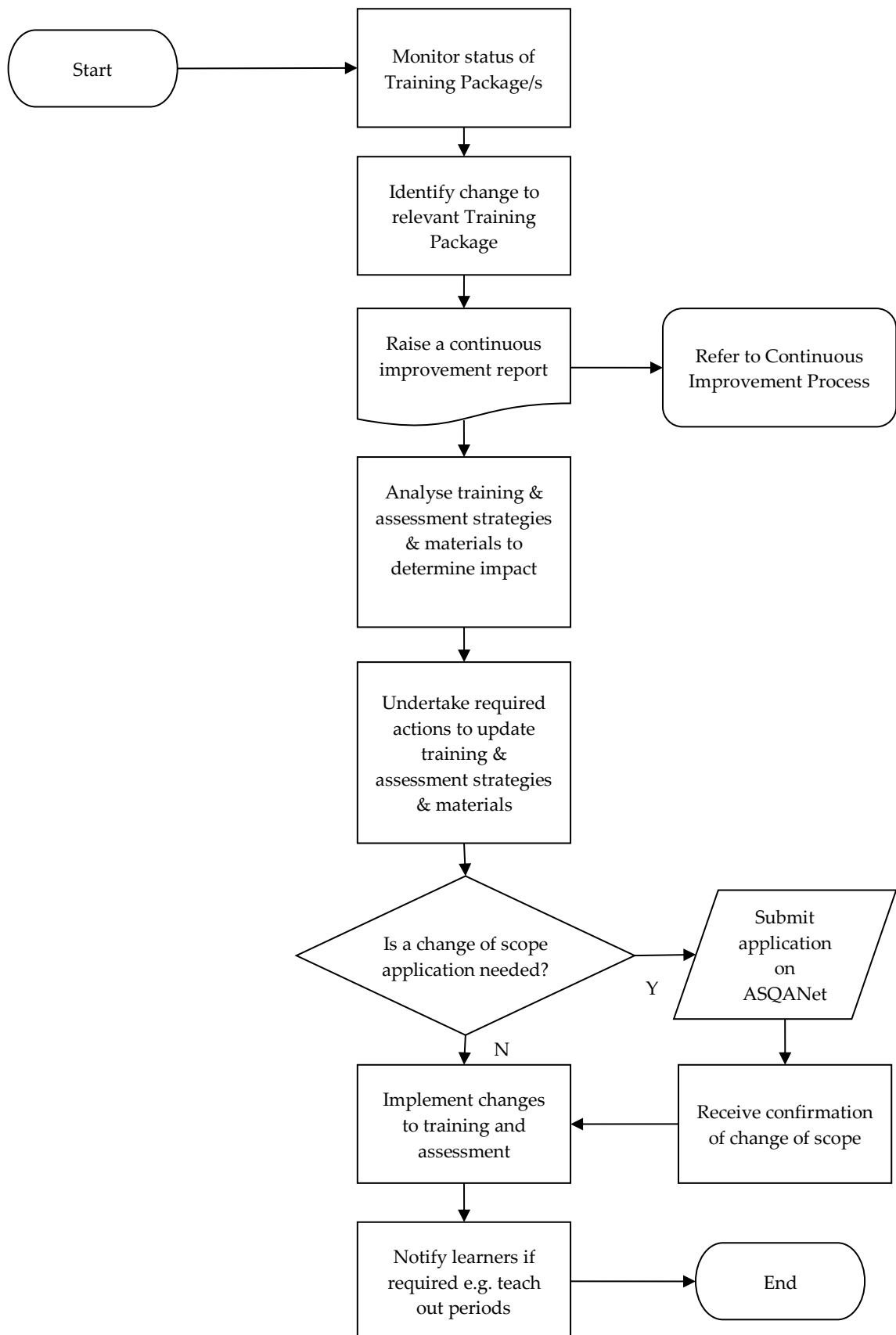
Review Training and Assessment Strategies. Review the existing training and assessment strategy to determine the higher-level changes that have occurred to a qualification and the likely changes that are required. This may include additional consultation with industry to gauge their reaction to training packages changes, to identify new preferred electives and to determine if there are specific industry requirements that need to be incorporated. Attention to detail must be given to minor changes.

Keep learners informed. Take steps to inform existing learners of the changes to the applicable qualification. Before engaging with learners, ensure that the options that learners

will have available to them have been fully considered. Provide information to learners and ensure that they fully understand their options and feel supported in any decision they may take. Learners are not to be disadvantaged because of the transition to a new training package.

Revise training and assessment materials. Undertake an analysis of the current training and assessment resources to identify relevant changes that are required to ensure training package requirements are being met. Once these have been identified, implement arrangements via the management meeting to have training and assessment materials revised.

Training Package Transition Process



Interaction with the National VET Regulator

The Australian Skills Quality Authority (ASQA) is the National VET Regulator as the body established by the National Vocational Education and Training Regulator Act 2011. Metro Institute is registered by ASQA and therefore must comply with requirements set down by ASQA under the VET Quality Framework.

It is an important requirement that Metro Institute establish arrangements to ensure appropriate cooperation and interaction with ASQA. The CEO is responsible to coordinate arrangements to achieve this. The primary effect of cooperating with the ASQA is to keep ASQA informed of material or significant changes to Metro Institute operations.

The following actions are to be applied to ensure Metro Institute cooperates with ASQA requirements:

- **Audits and the monitoring of its operations.** The CEO shall act as the designated point of contact during ASQA audits and monitoring activities. The CEO is to coordinate the preparation for external audits and ensure all documentary evidence and access to staff is provided to support the conduct of the audit. The CEO show also coordinate the response to any request for information or corrective action because of a compliance audit.
- **Accurate and timely data.** The Data Provision Requirements released by ASQA are a separate legislative instrument that outline Metro Institute's responsibilities to report the following data:
 - Australian Vocational Education and Metro Institute Information Statistical Standard (AVETMISS) data;
 - Proof of legal entity;
 - Financial viability risk assessment information (please refer to Financial Management Policy);
 - Business Name Registration Certificate;
 - Australian Company Number (ACN);
 - Australian Business Number (ABN);
 - address and contact details;
 - Fit and Proper Person information;
 - Information to demonstrate compliance with Standards for Registered Training Organisations; and

- quality indicator data (please refer to the Continuous Improvement Policy).

The CEO is responsible to maintain this information and establish mechanisms to ensure it is available for reporting to ASQA on request.

- **Changes to registration/contact / location details.** Situations which represent a change to registration details include:
 - registered training name/s;
 - address and/or contact details of the RTO's head office;
 - principal place of business (if different from the head office);
 - contact details of chief executive officer or equivalent person;
 - contact details of 'day-to-day' contact person;
 - contact details of high-managerial agents;
 - location and/or contact details of permanent delivery sites (for delivery to domestic learners only);
 - commencement or cessation of offshore delivery; and
 - commencement of delivery in other states or territories.

The CEO is required to notify ASQA using the [Notification of change of provider details](#). Notifications are to be made within 90 calendar days of the changes occurring.

- **Significant changes to its operation.** Situations which represent a significant change to operations include:
 - changes to chief executive officer;
 - changes to high managerial agent;
 - changes to financial administration status;
 - changes to legal name or type of legal entity;
 - changes to ownership; and
 - changes to directorship and/or control (including sale of RTO business).

The CEO is responsible to report changes to operations to ASQA. Notifications are to be made within 90 calendar days of the changes occurring.

- **Enter into an outsourced arrangement (Partnership).** If Metro Institute enters into an outsourced arrangement or a partnership with another entity, the CEO is required to notify ASQA using ASQANet. ASQA may request further information about the arrangement such as a copy of the agreement between the parties. This reporting requirement is only applicable where the partnership involves the use of Metro Institute scope of registration. Notifications are to be made within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect (whichever occurs first). ASQA should also be notified within 30 calendar days of the agreement coming to an end.

- **Changes to Financial Viability.** Metro Institute will notify ASQA immediately if there are significant changes to its financial viability. This includes:
 - Net tangible assets fall below 2% of Revenue.
 - Working capital falls below 2.5% of Revenue.
 - Debt Ratio is greater than 1.00.
 - Profitability falls below 0%.
 - Change in financial guarantor arrangements.
 - Change in mechanisms for securing student fees paid in advance.

Documentary Evidence

In addition to the notification requirements listed above, in most circumstances supporting documentary evidence is also required. The following table provides a guide to this supporting evidence when making notification to ASQA:

Situation	Documentation Required
Change to legal name	Submit on ASQANet An ASIC Historical Company Extract An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. ASIC Certificate of Registration of Trading Name showing the change of ownership with the new entity name.

	An organisational chart that reflect the ownership structure and reporting lines of the RTO
Change to legal trading name	Submit on ASQANet ASIC Certificate of Registration of Trading Name (may have been issued by a State or Territory)
Change to address and/or contact details of the RTO's head office	Submit on ASQANet
Change to principal place of business (if different from the head office)	Submit on ASQANet
Change to contact details of chief executive officer, 'day-to-day' contact person or high-managerial agents	Submit on ASQANet (assuming that the CEO is the same)
Change to location and/or contact details of permanent delivery sites (for delivery to domestic learners only)	Submit on ASQANet
Change of chief executive officer	Submit on ASQANet Chief Executive Officer Declaration Fit and Proper Person Requirements Declaration
New executive officer or high managerial agent	Submit on ASQANet Fit and Proper Person Requirements Declaration An ASIC Historical Company Extract An ASIC Historical Company Extract for any parent company if the parent company is not a natural person. An organisational chart that reflect the ownership structure and reporting lines of the RTO

Change of legal entity	Application for Initial Registration
Change to ownership, directorship and/or control (including sale of RTO business)	<p>Submit on ASQANet</p> <p>An ASIC Historical Company Extract</p> <p>An ASIC Historical Company Extract for any parent company if the parent company is not a natural person.</p> <p>An organisational chart that reflect the ownership structure and reporting lines of the RTO</p> <p>Chief Executive Officer Declaration</p> <p>Fit and Proper Person Requirements Declaration</p>
Commencement or cessation of offshore delivery	<p>Submit on ASQANet</p> <p>ASQA will likely request additional evidence</p>
Change to financial administration status	<p>Submit on ASQANet</p> <p>ASQA will likely request additional evidence</p>
Entering into an outsourced arrangement (partnership)	<p>Submit on ASQANet</p> <p>Partnership Agreement / MOU</p>

Ceasing to operate

The CEO is responsible to ensure that there are suitable arrangements to provide records of student outcomes to ASQA in the event that Metro Institute ceases to operate. Further details regarding the scope and format of this requirement is provided within the records retention policy.

If circumstances are such that Metro Institute are not able to carry on operations (death, liquidation, bankruptcy), the CEO is to advise ASQA of this decision and provide advice regarding impact on currently enrolled learners. Notifications are to be made within 90 calendar days of the changes occurring. Metro Institute has a responsibility to transfer these enrolments to another RTO with least disruption to individual learners. On ceasing operations, Metro Institute is to, facilitate currently enrolled learners transfer to another RTO, issue these learners with an appropriate refund for service not provided, and issue learners with Certificates based on completed units of competency.

CEO Annual Declaration

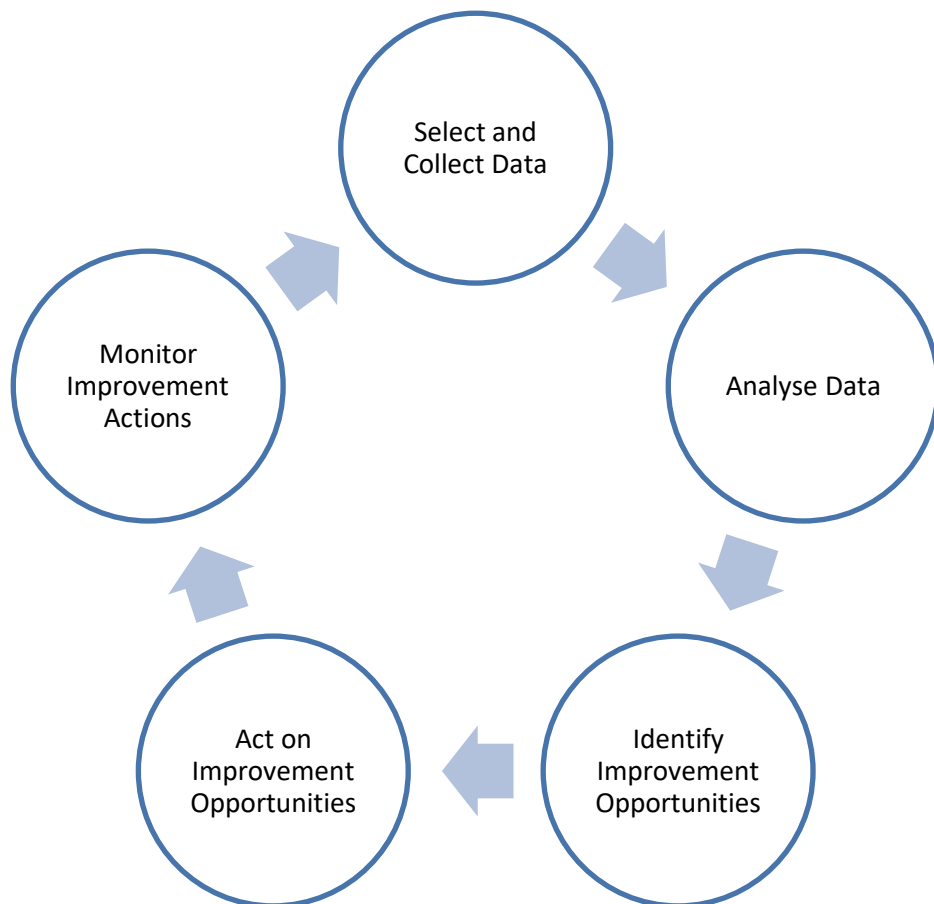
The RTO provides an annual declaration on compliance with Standards for Registered Training Organisations. The declaration confirms to ASQA that Metro Institute currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months.

Continuous Improvement

At Metro Institute, we are committed to the continuous improvement of our training and assessment services, student services and our administrative management systems. Central to this commitment is this policy which outlines our approach to continuous improvement and the procedures we apply to achieve systematic and sustained improvement.

Systematic Approach

Metro Institute applies a systematic approach to support continuous improvement. This approach includes:



Selection of Data

- Data collected by Metro Institute has been selected on the basis of its relevance to the Standards for Registered Training Organisations and quality indicators. Most important, is the collection of data from learners and employers relating to their expectation and experience of our services. Data sources have been selected to provide a balance of qualitative and quantitative information. The following data is identified for collection and for input into our continuous improvement system:
 - Student satisfaction rates
 - Employer satisfaction rates
 - Competency completion rates
 - AVETMISS Data (activity data)
 - Outcomes of complaints and appeals processes
 - Opportunities for improvement reported by staff or other stakeholders
 - Outcomes of validation and moderation processes
 - Outcomes of industry consultation
 - Advice or directions from ASQA or Industry Skills Council
 - Outcomes of management meeting
 - Outcomes of internal and external quality audits

Collection of Data

- Data will be collected using a range of methods to enable sufficient data on which valid judgements may be made. Data collection methods will provide maximum opportunity for Metro Institute to engage with learners and employers and to seek and obtain input from our staff and other stakeholders. The primary method of collecting quantitative data is via written survey of both learners and employers. This is achieved using the Quality Indicator Survey tools. Specifically, the methods of collection are the student and employer engagement survey and the collection of competency completion data.
- The Student Questionnaire and the Employer Questionnaire can be accessed at the following links: [Student Questionnaire](#) and [Employer Questionnaire](#)
- Survey responses are received and entered into the [Satisfaction Data](#) database. Qualitative data is collated by the CEO who will raise Continuous Improvement Reports for consideration by the management team as required.

- Data will be collected from our internal processes. These internal processes include complaints and appeals, moderation, validation and quality auditing. These processes produce outcomes such as recommendations and opportunities for improvement. In addition to these, we also seek input directly from our staff or other stakeholders (contractors, learners, members of the public).
- Metro Institute staff and other stakeholders are often best placed to observe deficiencies in our services and can best identify opportunities for improvement. In these instances, persons who identify an OFI are to raise a Continuous Improvement Report so it may be captured within the RTO Data Continuous Improvement Register and tabled at the next management meeting.

Analysis of Data

- Quantitative data is evaluated using the [Satisfaction Data](#) database and specifically the reporting function which enables analysis of student and employer questionnaire results over the long term. This enables data to be measured against broad performance indicators which are inbuilt within the Quality Indicator Survey tools and which provide a measure of our performance in key service areas. Performance measures which appear in Satisfaction Data with a colour rating of **Orange** or **Red** must be raised as a continuous improvement report requiring further consideration.
- Qualitative data arising from staff suggestions, consultation with industry, outcomes of complaint handling, etc are submitted as a continuous improvement report for consideration by the management team. The primary means of analysing OFI is to review and discuss these during the fortnightly management meeting.

Identify and Act on Improvement Opportunities

- Once improvements have been identified, they are reviewed via the Management Team with clearly defined improvement actions, implementing responsibilities and validation. This is achieved by generating a report in RTO Data and systematically reviewing each improvement action using the following schedule:
 - 1st - Review items due for validation
 - 2nd - Review items currently being implemented
 - 3rd - Review new continuous improvement items
- Based on the review by management, items will be either progressed as an improvement action or not. All items are ultimately being progressed toward completion and this regular review by management ensures that items are monitored and those responsible for progressing improvement actions are accountable.

Monitor Improvement

- Like all changes to a complex system, improvements must be validated to confirm that they have produced the intended result. This is achieved through the collection of further data over time to evaluate the improvement's effect on the system and how it has been received by learners and/or employers. Validation may result in the improvement action being closed or may require additional actions to fine tune the improvement. Validation occurs during the fortnightly management team meeting as outlined above. It simply involves looking back at the improvement in light of further data collected and engaging in a discussion about the improvement and if it achieved the intended outcomes. The result of this discussion will be to either close the improvement altogether or to initiate further improvements.
- **Please note.** It is critical to use the RTO Data Continuous Improvement Register to initiate and update improvement actions. The information recorded into this register provides a valuable tool for monitoring and retrospective review of system performance.

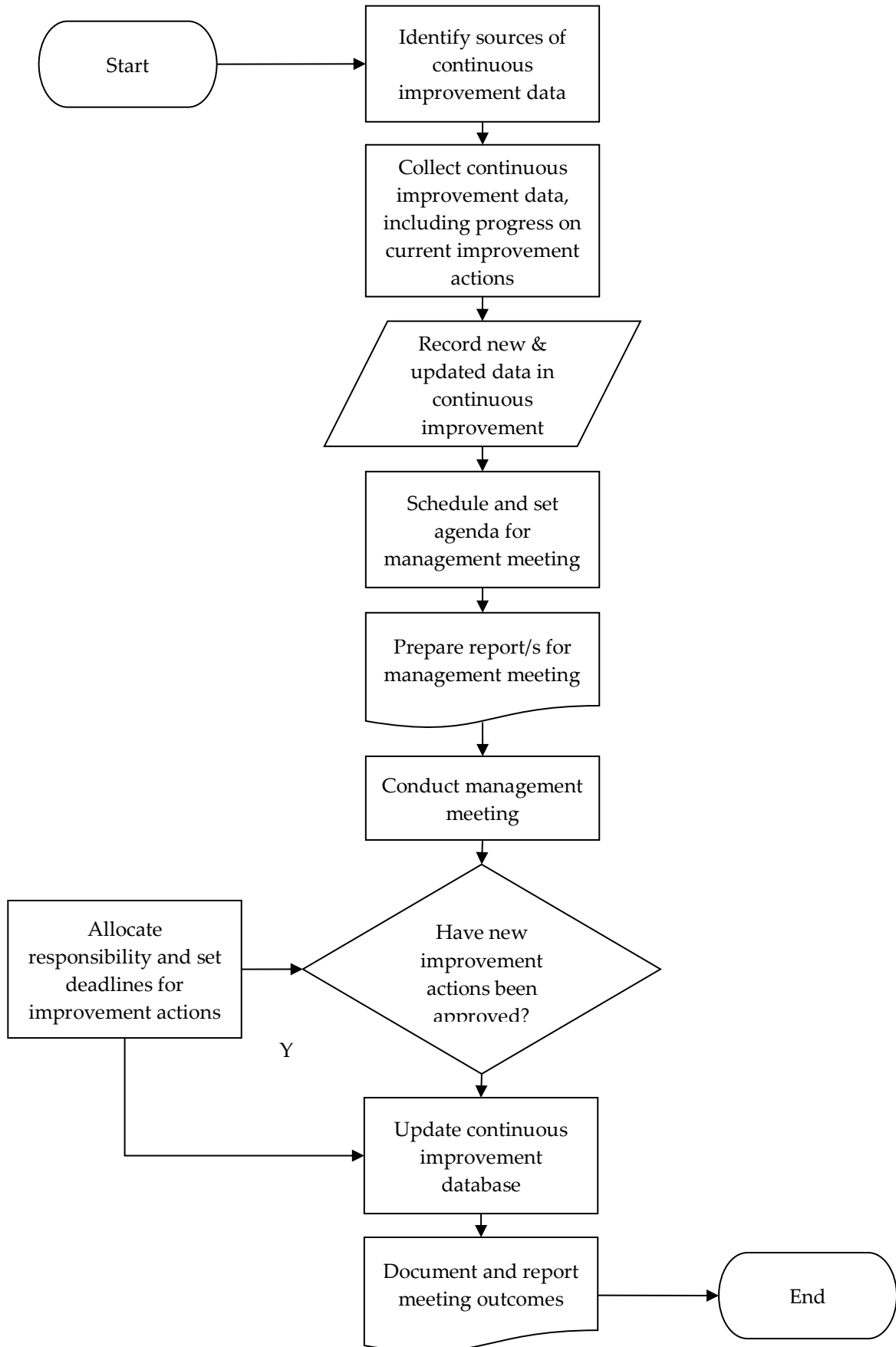
Raising and processing a Continuous Improvement Report

The following procedure is to be followed to raise and process a Continuous Improvement Report:

- **Step 1.** The person initiating the report is to raise the form and complete sections one and two. These sections require specific information on the problem and an outline of the suggested improvement. The person initiating the report must provide as much information as possible and is to identify a solution to the problem.
- **Step 2.** The Management Team is to review the report and record the agreed actions if any. The person responsible to implement the action is to be nominated and a date nominated for implementation is to be complete. Agreed actions may include taking no action and providing appropriate information to the initiating person. If specific resources are required to implement the improvement, these should be recorded on the report for authorisation by management.
- **Step 3.** The person responsible for implementing agreed actions is to undertake the required actions to implement the improvement and complete section four. This is to include details of the actions taken and the initial outcomes observed.
- **Step 4.** The Management Team is to review the actions taken and the initial outcomes and to provide advice on further action required. If all actions are complete, the Management Team will record these observations and nominate a proposed date for validation. The date for validation of the improvement will be based on the time required to allow the improvement to be integrated with other systems and to gather additional data to make a valid observation about the effectiveness of the improvement. A period of six months is considered appropriate to gather further performance data.

- **Step 5.** The Management Team is to review the improvement actions at the proposed validation date and complete section six. Validation is to include reviewing the effectiveness of the improvement considering further data collected and evaluated. The Management Team may close the report at this stage or may recommend further actions.

Continuous Improvement Process



Industry Engagement

At Metro Institute, we recognise that engagement with industry representatives is critically important to developing training and assessment strategies and resources that accurately reflect the needs of industry and the expectation of employees.

Standards for Registered Training Organisations require that Metro Institute's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

That Metro Institute implements a range of strategies for industry engagement and systematically uses the outcomes of industry engagement to ensure the industry relevance of:

- its training and assessment strategies, practices and resources; and
- the current industry skills of its trainers and assessors

To achieve this requirement, we will apply a number of ways to seek industry feedback on the appropriateness of training and assessment strategies and resources. These include:

- **Industry Advisory Committee.** This Committee has been established as part of the RTO Academic Governance Charter and includes representatives of employers and other industry representatives appointed by the CEO. The Committee provides industry input to training and assessment strategies that are presented and discussed. In addition, emerging trends in related industries will be discussed and this input will inform the context for teaching and assessment. The outcomes of these discussions and deliberations are recorded in the minutes of the Committee meetings to enable actions to be recorded for future activities. Identified opportunities for improvement are to be recorded using Metro Institute Continuous Improvement Report.
- **Employer survey.** The Industry Advisory Committee will use employer surveys as they are part of the Quality Indicator Resources. These survey tools collect quantitative data on the employer's observations of training quality, the work readiness of employees and training conditions. The results from surveys are entered into and collated using the survey database. This software platform also provides reporting on performance using a pre-determined scale of performance indicators. This reporting is very useful to Metro Institute Management Team.
- **Direct industry engagement.** If required, the RTO will also undertake direct industry engagement. This involves making time to visit a representative selection of employers in their workplace. It will usually involve an interview and a joint review of a resource or strategy with the employer. This may be undertaken by our trainers, assessors or management representatives. The outcomes of direct engagement are to be recorded onto an Industry Engagement Questionnaire. This form records actions to be taken by us because of direct engagement and acts as a point of reference for future activities and

quality compliance. Identified opportunities for improvement are to be recorded using Metro Institute Continuous Improvement Report.

- **Industry Network.** All trainers and assessors are to engage with industry networks, the bodies or industry groups to remain informed about industry developments including changes to industry practices and standards and the introduction of new equipment. The information gathered through engagement networks will contribute directly to the improvement of training and assessment to ensure that learners who complete a training program with Metro Institute have the most up-to-date skills and knowledge required in the workplace. Staff participation in industry networks also contributes to demonstrating their ongoing currency in their particular industry. Staff identifying opportunities for improvement to training and assessment resulting from engagement with industry networks are to raise a Continuous Improvement Report and submit this to the management meeting.

Recording Industry Engagement and Responding to Outcomes

It is important that a record of industry engagement be maintained to provide a record for retrospective review in situations such as management team meetings and quality compliance audits. The details of industry engagement such as the method of engagement, the organisation, the representative, the date, the subject of the discussion and the outcomes should be recorded within the industry engagement register within RTO Data. This capability allows the organisation to generate a report of industry engagement completed relevant to a course on the scope of Metro Institute.

It is also important that outcomes of industry engagement that relate to the improvement of training and assessment be recorded within a Continuous Improvement Report and submit this to the management meeting for review. The continuous improvement mechanism within the Management team meeting is the primary function within Metro Institute to implement changes to systems (including training and assessment) within the organisation.

Student Enrolment and Completion

At Metro Institute, our approach to enrolment and induction is to provide a pathway for learners to make informed decisions about their training and assessment and enter a training pathway that is the right fit for the student and their current or future employer. Some learners will already be enrolled as higher education courses at Metro Institute and will be undertaking a vocational training course or a single unit of competency. Whilst these learners will also be enrolled with the RTO, the enrolment process will normally be streamlined as some aspects of the RTO enrolment process will have been addressed previously.

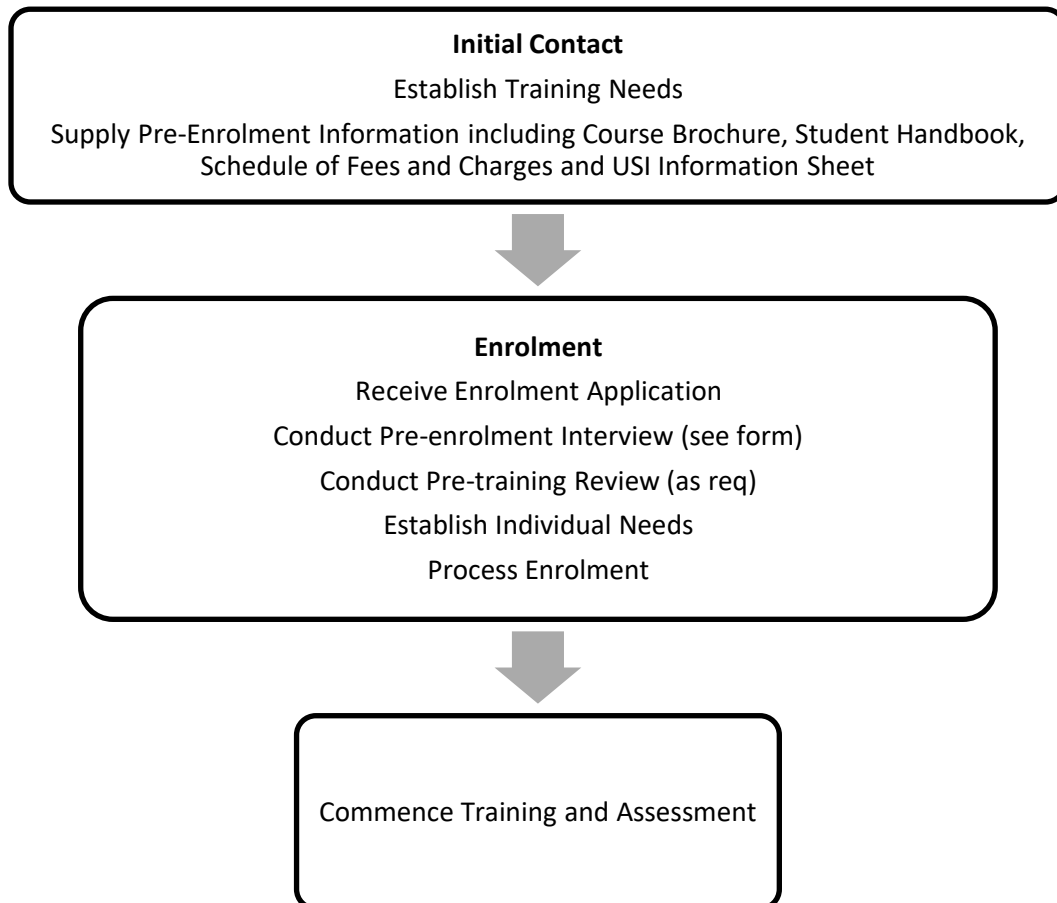
We strive to identify a learner's needs during the enrolment process to ensure that our services to each individual student are appropriately adjusted to allow for their unique requirements.

To achieve this, we will normally:

- Provide persons making an enquiry with accurate and ethical marketing and pre-enrolment information that enables them to make confident and suitable decisions about selected training programs;
- Conduct a one-on-one enrolment interview either face-to-face or over the telephone to individually assess the person's needs and circumstances and provide them information about their rights and obligations;
- Provide information about special requirements for their desired training program and pathways to obtain these;
- Provide information about the occupational outcomes produced by their selected program and discuss how these align with their occupational goals and aspirations;
- Validate that applicants meet the entry requirements for their selected program to ensure that they have the greatest opportunity for success and completing the course;
- Determine if the applicant has the required access to information technology including modern computer systems and access to the internet if applicable.
- Determine that the applicants have appropriate language, literacy and numeracy skill and abilities to meet the requirements of their desired training program;
- Determine if the applicant has any need for reasonable adjustment at the point of enrolment to allow training programs to be suitably adjusted;
- Ensure there are no unnecessary barriers for persons to participate in the training program of their choice;
- Provide comprehensive administrative support that allows the applicant to complete enrolment efficiently and commence training at an agreed time and place; and

- Inform applicants about alternate pathways to training such as gaining credit transfer for current competence or recognition of prior learning.

-
Metro Institute will apply the following steps during the enrolment process:



Please refer to the following description and associated process diagrams for detailed information on the steps to be taken to fully engage with and induct a student into a course program offered by Metro Institute.

Initial contact

The primary purpose of the initial contact process is to establish the needs of the client and ensure the client receives all pre-enrolment information applicable to the program they are interested in. Establishing the client needs is important to ensure that those clients enrolling in programs are aligned to training and assessment that meets their vocational requirements in the industry of their choice. By providing clients with pre-enrolment information early, we are also ensuring that prospective learners are informed about their rights and obligations, about the training and assessment services to be provided and about the fee payment and refund arrangements.

There will be times when Metro Institute staff are contacted by potential clients (quite often these contacts will be employers) for information pertaining to available training. Metro Institute staff should establish a positive client relationship from the start. How questions and answers are provided the client may make a big difference between securing an ongoing relationship or losing them to a competitor. Staff responding to inquiries is to do so courteously and professionally.

The following are guidelines are to be applied when engaging with an enquiring person:

- Try to establish over the phone which training program would be most appropriate. If the person really needs a training program that is not on Metro Institute scope of registration, advise the person that we are not able to provide the training and tell them how they can find a course that better suits their needs. One way of doing this is to direct them to <http://training.gov.au>.
- If the person's needs do align with one of our training programs, inform the person of the Metro Institute delivery model and the choices they have in the scheduling of training to suite their circumstances.
- Obtain an email address from the person and send them via email a copy of the student handbook, a copy of the fee schedule, a copy of the course brochure applicable to the program they have enquired about, a copy of the USI Fact Sheet and a copy of the enrolment application form.

Please note. It is important to stress to a person making an enquiry that they are advised to read carefully the material you are sending to them as this informs them about the services to be provided and their rights as a consumer under Australian Consumer Law ([Click Here](#))

- If the person requests to proceed with enrolment, provide them with instructions on completing the enrolment application form and sending it to Metro Institute via email or fax.
- Arrange a time for the person to conduct an enrolment interview with a Metro Institute representative either in person or over the phone.

Enrolment procedure

The following steps are to be followed when enrolling a new student into a training program:

- Receive the enrolment application form and check that it is completed correctly. Take note of any individual needs and language, literacy and numeracy (LLN) suitability the person has identified. Contact the person and arrange a suitable time to undertake an enrolment interview.
- Undertake an enrolment interview (in person or by phone) to:

- Determine the applicant's career / work objectives. Why are they seeking this course?
- Assess the person's individual needs and circumstances and present / discuss support options available to the person both within Metro Institute and those available through specialist service providers;
- Inform the person about opportunities for recognition of their prior learning or current competence;
- Confirm the mandatory work placement requirements (if applicable) that apply to the course. Confirm the arrangements to establish this, orientation, supervision, required hours and duties;
- Confirm the person received all required pre-enrolment information and talk through the person's rights and obligations, confirm fee payment arrangements and the services to be provided;
- Explain the training and assessment services involved in the relevant training program;
- Highlight the delivery model and assessment methods that will be used throughout the training program;
- Explain the requirements applicable to the USI; and
- Confirm the next step to complete the enrolment process and commence training program.

Please refer to the Student Enrolment Interview Form for the specific details to be covered with the applicant during the interview.

Following the enrolment interview, if the student is continuing with their enrolment the remaining enrolment actions are required:

- Complete enrolment application processing and create the student profile within RTO Data.
- Enter and verify the learners USI or create the learners USI. Please refer to the USI website for the Proof of ID requirements and options:
<http://usi.gov.au/Learners/Pages/proof-of-ID.aspx>
- Create a training plan according to the learner's and/or employer's requirements. Ensure allocated units of competency reflects the learners training needs.
- Record any support arrangements for arrangements (if applicable) to cater for the learner's individual needs within the student enrolment register in RTO Data. Inform

training staff of these requirements and schedule a reminder for the allocator trainer prior to the commencement of the learner's program.

- Raise a hard copy student files complete with enrolment application form, proof of identity, enrolment interview record and course schedule report from RTO Data. The learner's file is to be batched with other student files on the scheduled course and passed to the allocator trainer on the scheduled day of training.
- Make an appointment to visit the Learners' nominated work placement location and point of contact.
- Prepare a student confirmation of enrolment letter and invoice for tuition fees (initial payment) and send these to the student via their supplied email.
- Confirm payment of tuition fees prior to the commencement of the training program and visit to work placement venue.
- Issue learning materials applicable to the enrolled training program to the student and notify the allocated trainer of the learner's commencement and send both an introductory email.

On the day of commencement

On the day of the first scheduled training the nominated trainer is required to:

- engage with learners identified as requiring support services during the enrolment interview. Support services are to be negotiated with the student and put in place before the commencement of the training program.
- record the attendance of learners and report any non-attendance to administration to enable a follow-up phone call to be made.
- confirm the payment of tuition fees and supply of learning resources.
- Confirm licencing checks have been completed and a copy is held on the learners file.
- Confirm arrangements for the learner's work placement (if applicable) and that the work placement agreement and checklist have been completed or are scheduled.

Provision of pre-enrolment Information to learners

The Standards for Registered Training Organisations under Standard 5 identify that each student is properly informed and protected either prior to enrolment or the commencement of training and assessment. At Metro Institute, we achieve this by providing prospective learners with the following three pre-enrolment information sources:

- **Student Handbook.** The student handbook is the primary information vehicle to inform learners about their rights and obligations prior to their enrolment. Ideally, the student

handbook is supplied electronically as a PDF document. It is important that this document is professionally presented as it reflects the quality of the organisation. The student handbook is effectively the policy manual for all the learner's participation in training and engagement with Metro Institute. It should constitute a valuable information source for the student who can reference the handbook when the student has questions about their course participation. The student handbook should contain information on the following topics for the learner:

- Introduction to Metro Institute;
 - Parking arrangements;
 - Public transport options;
 - Meal options;
 - Our expectation of you;
 - Training safety arrangements;
 - Equity and diversity support arrangements;
 - Privacy arrangements;
 - Refund policy;
 - Student access to records;
 - Continuous improvement arrangements;
 - Assessment arrangements;
 - Re-assessment policy;
 - Language, literacy & numeracy skills;
 - Education support services;
 - Making complaints & appeals; and
 - Recognition of existing skills & knowledge.
- **Course Brochure.** The course brochure is the primary means of informing prospective learners about the services to be provided in relation to a specific course leading to a qualification or units of competency. Course information can be displayed on the website and be available in a downloadable PDF for the student to print and review. A course brochure will also be sent to the student via email as pre-enrolment information. The course brochure should contain the following minimum information:
- the nationally endorsed outcome by code and title;
 - the expected duration of the course;
 - the entry requirements or prerequisites;
 - the mode of delivery of training and assessment;
 - the units of competency that comprise the course;

- the assessment requirements to successfully complete the course;
 - student resource requirements;
 - the expected locations for delivery;
 - identify clearly any third-party providers (if applicable);
 - identify any work placement arrangements;
 - the expected occupational outcomes;
 - contact details for Metro Institute; and
 - identify the RTO by its national code and legal name.
- **Schedule of Fees and Charges.** This schedule of fees and charges provides a central place where the nominated fees and charges to participate in services with Metro Institute are listed. Schedule of fees and charges should contain the following information:
- the total amount of all fees including course fees, administration fees, material fees and any other charges for enrolling in a training program;
 - payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
 - the nature of the guarantee given by Metro Institute to honour its commitment to deliver services and complete the training and/or assessment once the student has commenced study;
 - any discounts, fee reductions or exemptions available for multiple enrolments, concession card holders, continuing learners, group bookings etc;
 - information on the implications for the student of government training entitlements and subsidy arrangements in relation to the delivery of the services;
 - the fees and charges for additional services, including such items as issuance of a replacement qualification parchment or statement of results and the options available to learners who are deemed not yet competent on completion of training and assessment; and
 - Metro Institute refund policy.

Informing learners of changes

If at any time there is a change to the agreed services to be provided or policies relating to the learner's rights and the payment of fees and other charges, Metro Institute must advise current learners prior to any of these changes coming into effect. This includes changes in relation to new third-party arrangements or changes to ownership of Metro Institute.

Completion Procedure

The steps to complete an enrolment from an administrative process are largely explained within a combination of the Records Retention and Management policy and the Issuing

Certificates and Outcomes policy. These policies specify the procedures for:

1. Confirming the completeness of completed student assessment items before results are entered into the student management system;
2. Correctly entering competency outcomes into the student management system and recognising when a student has completed all the requirements for the course in which they are enrolled;
3. Generating the relevant AQF certificate and checking that it contains the correct details about the student and their achievements;
4. Obtaining authorisation for the AQF certificate from the authorised person and together with the letter of completion issuing this issued to the student no later than 30 days after the date of the learner's final assessment of competency;
5. Recording the dispatch of the AQF certificate to the student in the student management system; and
6. Filing the learner's records into archive and noting this within the archiving register of the student management system.

Whilst this is a typical process where the student has achieved all outcomes, there are circumstances where a student may finalise their enrolment early for personal or academic reasons. Where this is the case, the student is requested to complete the form Application for Course Deferment / Transfer / Withdrawal. This provides the student the opportunity to specify their reasons and select to indicate their preference to defer their enrolment, to transfer their enrolment to another course or to terminate their enrolment altogether. Where the enrolment is being deferred or terminated, learners are to be issued a statement of attainment to recognise the outcomes they have achieved during their enrolment. A student who defers and returns to complete a course will be eligible to recommence their training and receive a credit transfer for any completed units of competency. The General Manager will review these applications and where possible, is to interview the student to understand their circumstances and is to record their decision using the section provided on the application. Learners are to be informed of this decision in writing.

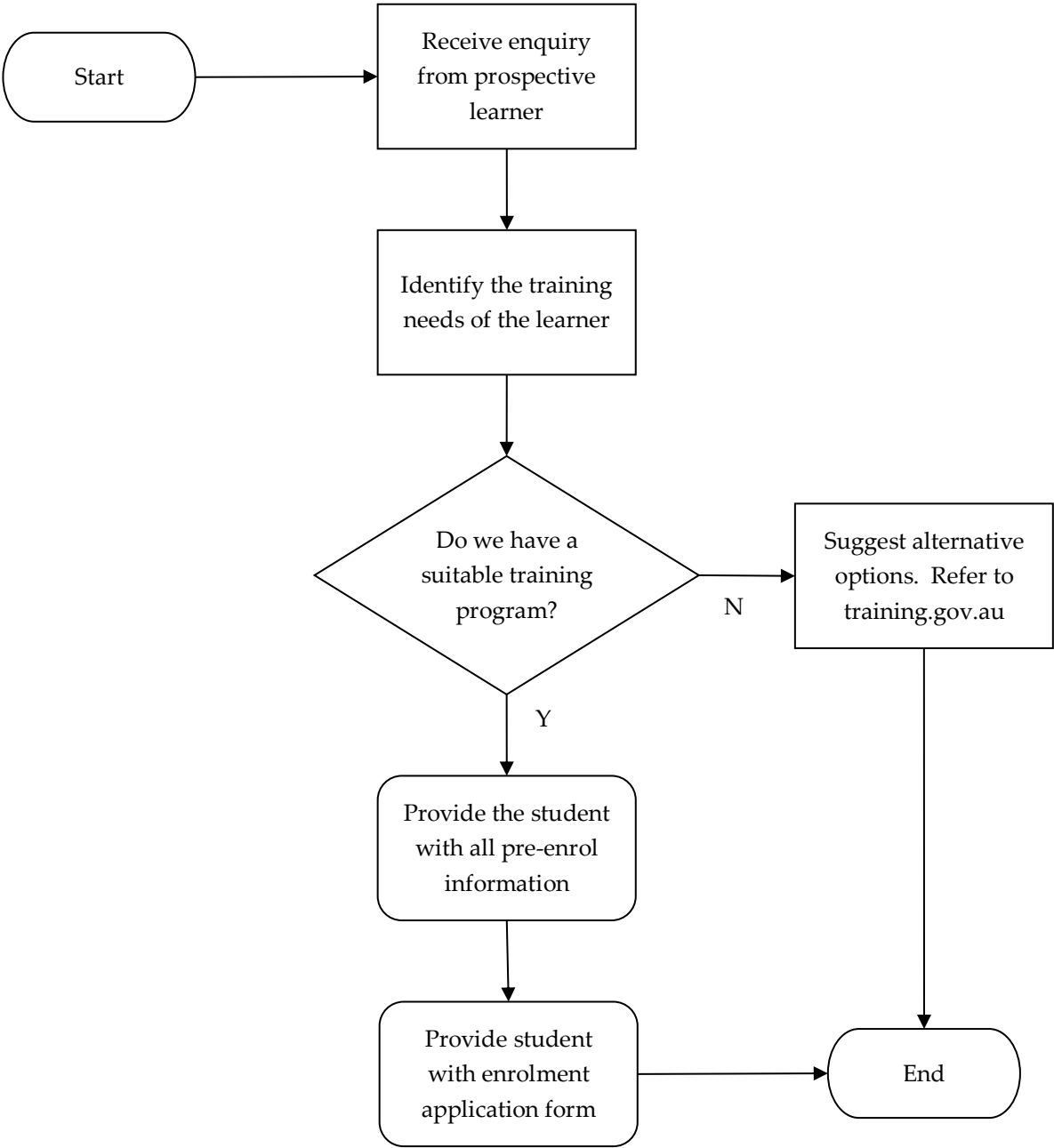
Student who are not contactable or not responding

Where a student is not contactable or fails to respond to requests by the Metro Institute, the learner's enrolment may be terminated in absentia. This action may only be taken where the Metro Institute has made every reasonable attempt to engage with the student or contact the student to seek their instructions about their intentions to continue with or complete the applicable course. Advice received from a student via email or phone conversation communicating their request is to be accepted where the student is not willing to complete an Application for Course Deferment / Transfer / Withdrawal. Email records and written records of phone conversations are to be retained on the learner's file as evidence of these expressed instructions from the learner.

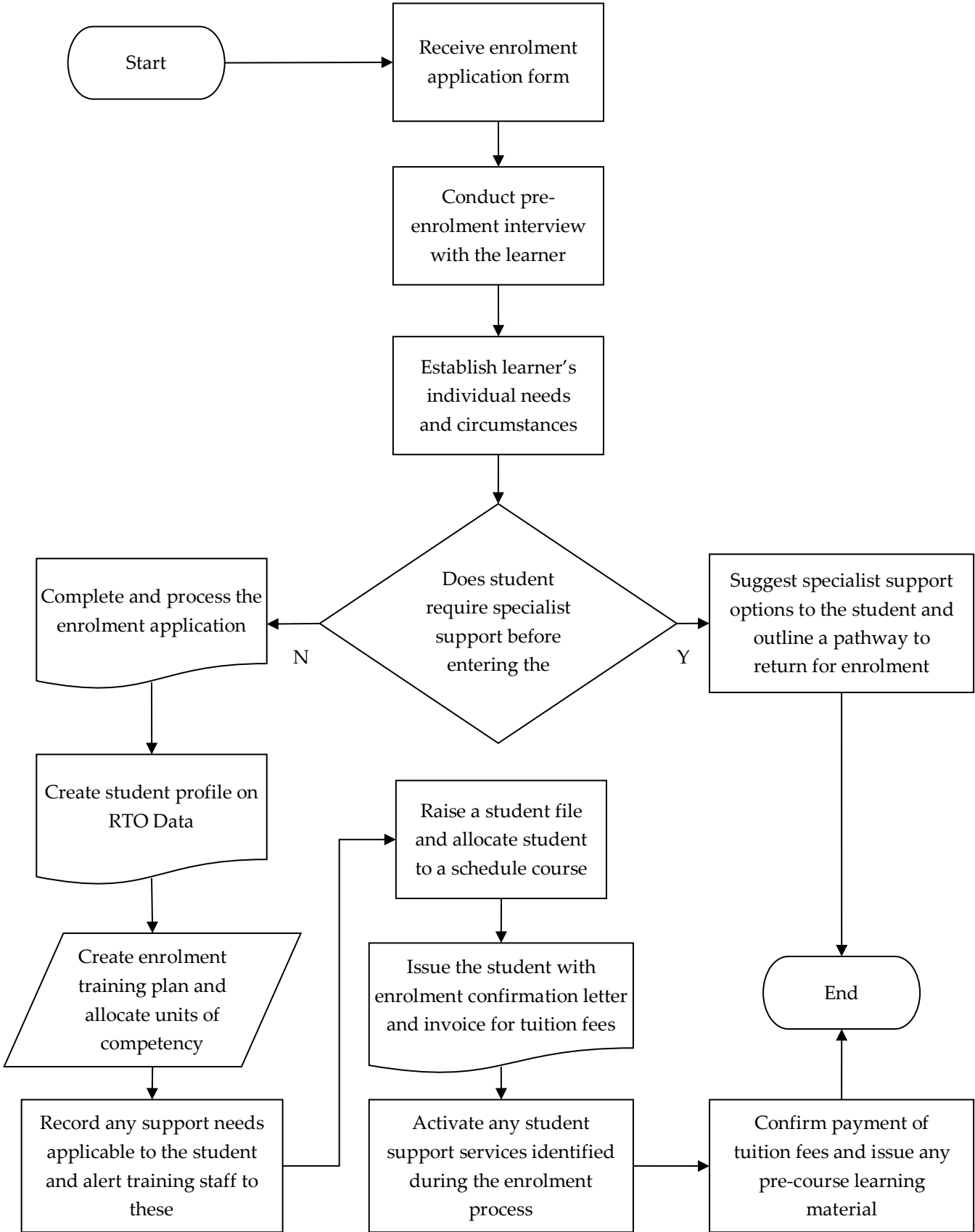
Before a learner's enrolment can be terminated without their written or expressed consent the following protocol is to be followed:

- A minimum of three attempts (four weeks apart) must be made using the last known contact details (email, phone and mail) to contact the student and issue the student with a warning letter notifying them of the intent to terminate the enrolment.
- Where the student fails to respond, the learner's enrolment is to be terminated and the learner's record within the student management system is to be updated with the outcome of "withdrawn" entered into each unit of competency that has not been completed at the time.
- Any final AQF certificate to which the student is entitled is to be sent registered mail to the learner's last known mailing address. This should also be noted in the learner's enrolment record and a photocopy of the certificate retained on the learner's record.
- The learner's record is to be archived in accordance with the Records Retention and Management Policy.
- Applicable trainers are to be informed of the learner's enrolment termination and advised to inform the Academic Manager if the student makes contact.

Initial Contact Process



Fee for Service Enrolment Process



Student Support Services

During the enrolment process, normally Metro Institute personnel will engage with a prospective student in several ways to understand their individual needs and how we can best provide services to each student to maximise their chances of successfully completing the selected training program. We engage with learners in the following ways:

- **First Point of Contact.** During the first point of contact, the student will be engaged either over the phone or in person to determine their training requirements and their vocational goal. This information will be used to align the student with a particular program that we offer or to refer the student to a different training organisation. Following the first point of contact, the student sent an enrolment package which includes the enrolment form to gather personal information about the learner.
- **Enrolment form.** Enrolment form includes specific questions for the student in regard to their cultural and educational background. Enrolment form also includes questions relating to their spoken English ability and their skill in literacy and numeracy. There is also a specific question which asks the student if they have any individual needs that may prevent their full participation in the training program. This information is gathered and taking into account during the enrolment interview.
- **Enrolment interview.** Once the enrolment form is received, Metro Institute personnel will review the information and arrange to engage with the student to undertake the enrolment interview. This interview may be undertaken over the phone or face to face and is supported by an enrolment interview for which provides specific points for discussion during the interview relating to individual needs, LLN, rights and obligations, recognition opportunity, et cetera.

This multipoint approach ensures that learners entering a training program with Metro Institute will have their individual needs identified which enables the allocation and arrangement for the applicable support services which may be supplied internally or by an external provider

If support services are identified, the following is a guide to support that can and should be provided:

Individual need	Support Service
Pre-enrolment support to understand rights and obligations, fees and payment arrangements, and the services to be provided	Learners requiring additional support to understand the pre-enrolment information requirements are to be engaged on additional one-on-one sessions to talk the student through the information contained within the student handbook, the applicable course brochure and the schedule of fees and charges. It is preferable if these sessions are conducted face-to-face.
Minor LLN need that would inhibit the participation	<p>Scheduled training during a weekday only. Allocate an additional trainer to provide individual support during learning activities and reasonable adjustment during assessment activities. This support must be coordinated through the Academic Manager to ensure suitable allocation of trainers is available.</p> <p>A verbal course can be offered and course structured altered to accommodate the learner.</p>
Significant LLN need that would prevent participation and completion of the course	<p>Refer the student to TAFE to complete Course in Language, Literacy and Numeracy</p> <p>Nil Cost</p> <p>Part Time Day: 10 hours per week x 18 Weeks</p> <p>This course is delivered part-time 2 days a week 9.00am - 1.00pm</p>
Recognised difficulties in studying and learning	Where appropriate to the program learners identified with recognise difficulties in studying and learning are to be scheduled with additional one-on-one support sessions at regular intervals throughout the course program. These support sessions are to be used to review the learning content with the student and to engage the student in discussion about the subject matter. These sessions should be structured in accordance with the planned learning applicable to the course program. The study sessions should direct student back to the course reference material to encourage their individual self-paced effort.

Individual need	Support Service
	<p>The following online resources are also useful for providing student support to study:</p> <p>Effective Study skills A useful quick overview of study skills www.adprima.com/studyout.htm</p> <p>How to Study A large directory to study skills websites, including how to study in specific subject areas. www.howtostudy.org</p> <p>Study Guides and Strategies A wide ranging overview of the skills needed at all stages of student life. www.studygs.net</p> <p>Study Skills Self-Help Covers important skills such as time management, note taking and exam preparation. www.ucc.vt.edu/stdysk/stdyhlp.html</p>
<p>Work hours are restrictive which would prevent the student attending training during Monday to Friday.</p>	<p>Course can be offered as a weekend course to accommodate the availability of the learner. The student can also attend split sessions to allow for half day participation. Where required, learners can also be supported to adopt a self-paced study method we scheduled support sessions to assist the student to progress in the course program whilst considering their restricted availability.</p>
<p>English as second language</p>	<p>A verbal course can be offered and course structured altered to accommodate (split days so not consecutive, more time to study and more individual attention from our trainers).</p>
<p>Financial difficulties that prevent the full payment of fees in advance.</p>	<p>Offer fees on payment plan with a small initial payment to be made in advance then small fortnightly payments as a direct debit.</p>
<p>Student suffers from a nervous/anxiety disorder.</p>	<p>We can accommodate by giving individual attention away from others involved in the training program. Training and assessment deliberately offered in a relaxed mode without time pressures.</p>

Individual need	Support Service
Inadequate clothing to participate in training	Student may be able to access suitable clothing and footwear at low cost via: St Vincent de Paul Society.
Student required counselling support and advice about their personal situation	<p>Student may be referred to:</p> <ul style="list-style-type: none"> – Lifeline 13 11 14 – Beyond Blue 1300 22 4636 – Salvation Army Family Welfare Centres
Learners with a disability or medical condition	<p>All possible allowances may be provided to persons with disabilities.</p> <p>Assessors are to use their judgement in assessing the learner's ability to perform tasks in a safe manner.</p>
Learners with visual impairment	<p>Learners with visual impairment can be supported by supplying internal learning resources with a larger printed font.</p> <p>Learners can also be supplied with audio recordings of learning sessions where appropriate.</p>
Learners who are Aboriginal and Torres Strait Islander	Refer to ATSI Cultural Awareness Policy

Other individual needs can be considered on a case-by-case basis in consultation with the Academic Manager.

ATSI Cultural Awareness

Metro Institute are committed to providing a culturally supportive learning environment for learners who identify as Aboriginal and Torres Strait Islander. The following information provides a guide to being culturally aware and sensitive:

Men's or Women's Business

Discuss with the student if there are any aspects of the training that are considered Men's or Women's Business and if so make appropriate adjustments in the program for that learner.

Referring to Aboriginal People

Do not make general reference to Aboriginal people inferring that 'Aboriginal' covers both Aboriginal and Torres Strait Islander people.' This is considered offensive and generalises both cultures. It is also considered a generalisation to use the word Indigenous in reference to Aboriginal & Torres Strait Islander people — try to refrain from using this term.

Providing Support

It is important to approach this sensitively and not cause embarrassment or shame to the person by asking them if they can read or write. When the time comes for the person to read or write something, ask them if they would like help or the help of a family or community member. In most cases the person will ask for assistance if they need it, provided the issue has been approached with sensitivity and respect.

Swearing

It can be common for some Aboriginal people to use swear words in their regular vocabulary and in general conversation. Swearing is not considered to be as offensive as it is in some cultures. If this happens, try not to take any offence and just focus on the message being communicated. This does not include a person swearing directly at you in a derogatory, threatening or offensive manner; this behaviour should not be tolerated by anyone.

Non-verbal signs

Aboriginal English makes considerable use of non-verbal signs, especially when discussing direction. These are an integral part of the communication process and should not be ignored.

Non-verbal communication

Be sensitive to the use of nonverbal communication cues which are a part of Aboriginal communication patterns. The use of silence does not mean Aboriginal people do not understand, they may be listening, remaining non-committal or waiting for community support. During discussions, Aboriginal people may delay expressing a firm opinion, preferring to listen to others' opinions first before offering their own.

Images of deceased people

Avoid displaying or broadcasting images of deceased people. If it is important to do so, make sure that you have permission from the person's family and/or community and include a relevant disclaimer. Images of people included in training materials used by Metro Institute must be approved by the Chief Executive Officer.

Acknowledgement of land and original custodians

When appropriate, at Metro Institute major events, there is an acknowledgement of land and original custodians. An example of this is:

'I would like to acknowledge the original custodians, the Gadigal people of the Eora nation (Sydney), on whose land we are meeting today. I would also like to pay my respects to Elders past and present, and welcome all Aboriginal people here with us today.'

These should be the first words spoke after saying hello. For reference the original custodians in Melbourne are the Wurundjeri people of the Kulin Nation and the original custodians in Brisbane are the Turrbul People. There is no reference to a nation in Brisbane as the Turrbul People are from the Turrbul Nation.

Welcome to Country

A Welcome to Country can only be performed by an Elder or leader who is from the community in which you are meeting. A non- Aboriginal person cannot perform a Welcome to Country and to do so is rude and disrespectful to the traditional owners and to all Aboriginal people. An Aboriginal person or group delivering a Welcome to Country for an event must be remunerated.

Information source

The information in this policy was sourced from the publication: Working with Aboriginal People and Communities, A Practice Resource, Feb 2009, Aboriginal Services Branch, NSW Department of Community Services.

This publication can be downloaded from the following link:

http://www.community.nsw.gov.au/docswr/assets/main/documents/working_with_aboriginal.pdf

Core Skills Support

Core skills are critical to almost all areas of work. This is particularly true in many vocations where language, literacy and numeracy skills influence the performance of workplace tasks such as comprehending written work instructions and producing written documents. The Australian Core Skills Framework (ACSF) describes each of the five core skills of learning, reading, writing, oral communication and numeracy. Staff not familiar with the ACSF are recommended to study the information available at the following two sites:

<https://www.education.gov.au/australian-core-skills-framework>

www.precisionconsultancy.com.au/acs_framework

Research has indicated that many adult learners do not have the language, literacy and numeracy skills they need to effectively participate in vocational education and training. The increasing importance of core skills such as communication in the workplace highlights the need for underpinning language, literacy and numeracy skills.

To support this approach Metro Institute will:

- Assess a learner’s core skills during their enrolment on an as needed basis to ensure they have adequate skills to complete the training;
- Support learners during their study with training and assessment materials and strategies that are easily understood and suitable to the level of the workplace skills being delivered;
- Provide clear information to learners about the detail of the core skills assistance available;
- Refer learners to external language, literacy and numeracy support services that are beyond the support available within Metro Institute and where this level of support is assessed as necessary; and
- Negotiate an extension of time and other support arrangements to assist learners to complete training programs if necessary.

Core skills assessment

The following procedure is to be followed to assess a learner’s core skills:

- **Self-assessment.** In the first instance, prospective learners are asked on the enrolment form “Do you consider that you have adequate language, literacy and numeracy skills to undertake the course?” In response to this question, the student may tick yes, no or not sure. If the student ticks yes, it is to be assumed that the student will have the language, literacy and numeracy skills to undertake the training.
- **Interview.** If the student ticks no or not sure on the enrolment form, the student should be contacted and arrangements made for an interview to further assess their language, literacy and numeracy skills. The interview will be by phone. The purpose of the interview

is to establish the background, motivation and general abilities of the student to determine what support Metro Institute may provide. The Core Skills Interview Guide is available in the forms folder.

- **Core skills Indicator Assessment.** Depending on the information gained from the interview, it may be necessary to invite the student to undertake a Core Skill Assessment. The assessment is not intended to cause anxiety but to determine where the student has specific language and literacy deficits and to determine what support is required to undertake the RTO's training. The Core Skills Indicator Assessment is available in the forms folder.

Supporting learners with language, literacy and numeracy deficits

Where it is determined that a student does have deficiencies with their core skills, Metro Institute is to adopt strategies which enable the student to progress in their desired training program. The following strategies are to be considered and will be informed by the level of language, literacy or numeracy deficit determined during the assessment:

- Negotiate a training program with the student that recognises that additional time will be required to appropriately support the student to complete the training.
- Obtain a strong commitment from the student that they will provide personal effort that is in addition to that normally required to undertake the training program.
- If agreed to by the learner, engage with the learner's employer to negotiate the additional time and effort required to appropriately support the student during the training program.
- Provide the student with a list of the words and terms which are highly relevant to the workplace skills and knowledge being delivered within the training program. This list should be practised with the student to get them comfortable with identifying the words and their meaning. This list should be expanded over time and acts as a "vocational vocabulary" and will focus the student on small steps of achievement.
- Program sessions where learning information that would usually be delivered to the student via their own reading is presented to the student verbally and is supported by questions and answers.
- Make arrangement to regularly engage via teleconference with the student to monitor their progress and adjust the support strategies.

Referring the student for language, literacy and numeracy assistance

Where it is determined that a student has core skills which are beyond the support available within Metro Institute, the student should be referred for dedicated language, literacy and numeracy training. This training is available through most public training providers (SWS TAFE in Sydney). These courses have been designed to provide learners with the opportunity to gain specific language, literacy and numeracy skills required in a vocational or work

environment, which meet the requirements to enter a range of vocational qualifications and gain language, literacy and numeracy related employability skills.

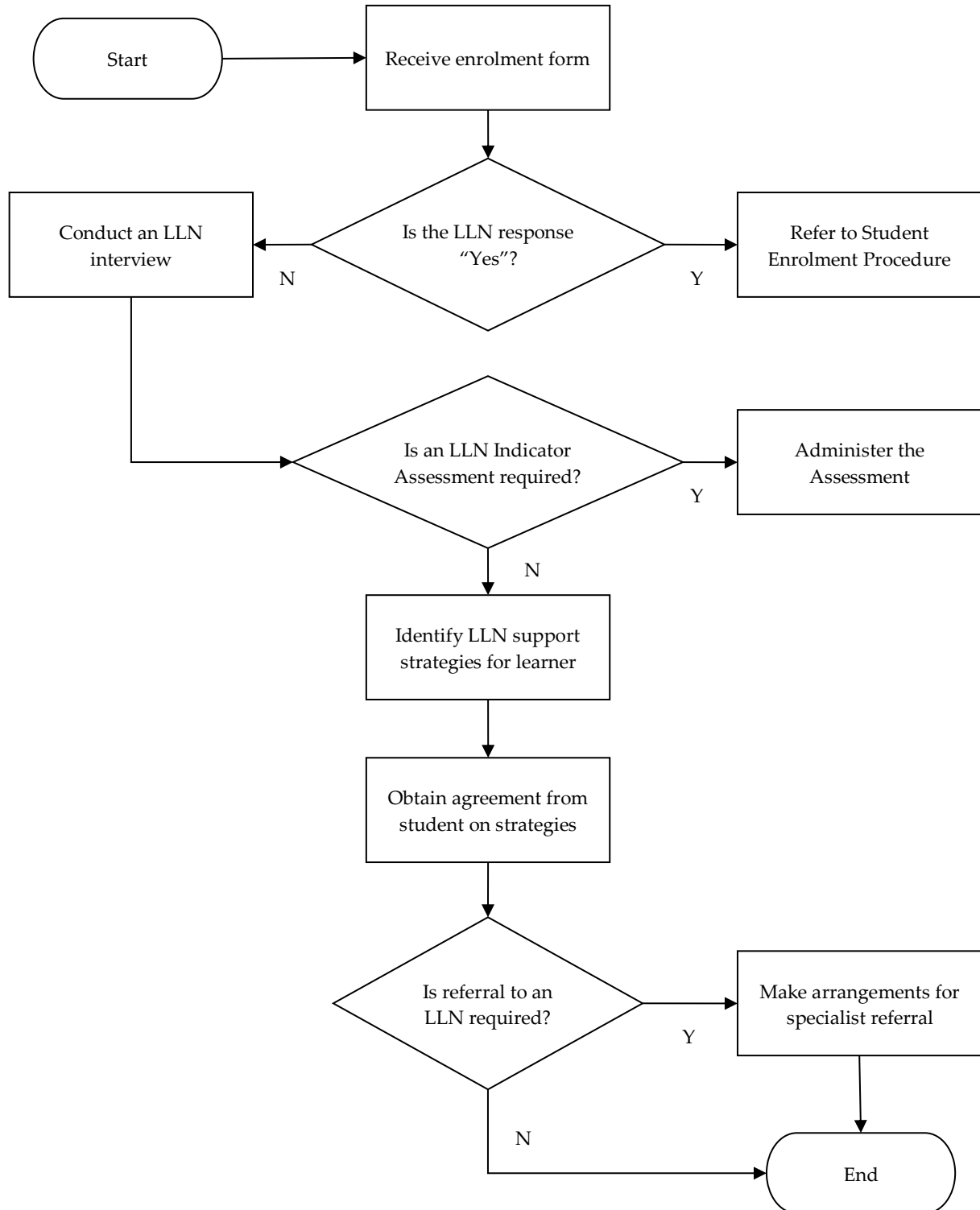
Deciding to refer the learner

The decision to refer a student to another training provider for language, literacy and numeracy training will be based on the level of assessed core skills deficit and the learner's motivation to improve their abilities.

As a general guide:

- If the student does not currently possess the basic skills to perform training and development tasks in the workplace, they **should** be referred for assistance which should occur prior to enrolment with Metro Institute.
- If the learner's skills are adequate for the workplace but will hinder their participation in training, they **should not** be referred. Instead, Metro Institute is to design and implement suitable support services to enable their training and assessment.

Language, Literacy and Numeracy Process



Complaints Handling

Metro Institute is committed to providing a fair and transparent complaint handling process.

What is a complaint?

A complaint is generally negative feedback about services or people which has not been resolved locally.

Who does this policy apply to?

This policy applies to and may involve issues concerning the conduct of:

- Metro Institute as an organisation, its trainers, assessors or other staff;
- Third party's services provided on the behalf of Metro Institute, its trainers, assessors or other staff; or
- a student of Metro Institute.

This is an important point to note in understanding that this policy has a broad application and is not simply relevant to complaints that may be made by learners. A complaint may be made by an employer about Metro Institute or by the trainer about the conduct of the learner. Throughout this policy we refer to the person making a complaint as simply the complainant.

Early resolution of complaints

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It is often the case that complaints can be avoided by proper communication and respect between persons involved.

Relationship to continuous improvement

Frequently, the complaints handling process will expose weaknesses in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of complaints handling is very positive and should be actively applied by all persons involved. It is for this reason that complaints received from stakeholders should be seen in a positive light and as opportunities for improvement.

Making a complaint

A complaint may be received by Metro Institute in any form and does not need to be formally documented by the complainant to be acted on. Complaints may be made by any person.

To make a complaint, the person is recommended to complete the Metro Institute - Complaint Form. This form is available via our website or can be obtained from the Metro Institute office.

The completed complaint form is to be submitted to the Academic Manager either in hard copy or electronically via the following contact details:

*Academic Manager
Metro Institute - Registered Training Organisation
Level 4, 770 George St Haymarket NSW 2000
Email: (to be established)*

If a complainant has any difficulty accessing the required form or submitting the complaint to Metro Institute, they are advised to contact the following phone number:

(to be included)

Complaint handling procedure

Metro Institute will apply the following procedure to its complaints handling:

- A complaint may be received in any form (written, verbal) although persons seeking to make a complaint are recommended to complete the complaint form which is available to them on the website. There is no time limitation on a person who is seeking to make a complaint. A person who makes a complaint must be **provided a written acknowledgement** as soon as possible and **not later than 24 hours** from the time the complaint is received. This acknowledgement is intended to provide the complainant assurance that Metro Institute had received the complaint and will review the relevant issues and provide a response as soon as practicable. The acknowledgement must inform the person that they will receive a written response within 14 days and explain the complaint handling process and the persons rights and obligations.
- A written record of all complaints is to be kept by Metro Institute including all details of lodgement, response and resolution. The complaints register within RTO Data is to be used to record the details of the complaint and to maintain a chronological journal of events during the complaint handling process. Records relating to complaint handling must be stored securely to prevent access to unauthorised personnel.
- A complainant is to be provided an opportunity to formally present his or her case at no cost.
- Each complainant may be accompanied and/or assisted by a support person at any relevant meeting.
- Where a complaint is made about or involves allegations about another person, Metro Institute is obliged to inform this person about this complaint or allegation and provide them the opportunity to respond and present information in response to the issues raised. This may be achieved through direct meetings or meeting via an electronic means. Metro Institute must maintain a detailed record of these meetings in the form of a record of conversation. At all times information must be handled sensitively and treated in

confidence. Persons involved in a dispute or complaint should be reminded to treat each other with respect and conduct themselves in a professional and courteous manner.

- Where a complaint is received by Metro Institute which involve allegations about alleged criminal conduct, Metro Institute are to recommend the person making the complaint refer the matter to the relevant State or Territory Police Service.
- The complaints policy must be publicly available. This means that the complaints policy and procedure must be published on the Metro Institute website.
- The handling of a complaint is to commence within **seven (7) working days** of the lodgement of the complaint and all reasonable measures are taken to finalise the process as soon as practicable.
- The complainant is to be provided a written response to the complaint, including details of the reasons for the outcome. A written response must be provided to the complainant within **fourteen (14) working days** of the lodgement of the complaint.
- Complaints must be resolved to a final outcome within **sixty (60) calendar days** of the complaint being initially received. Where Metro Institute Chief Executive Officer considers that more than 60 calendar days are required to process and finalise the complaint, the CEO must inform the complainant in writing, including reasons why more than 60 calendar days are required. As a benchmark, Metro Institute should attempt to resolve complaints as soon as possible. A timeframe to resolve a complaint within thirty (30) calendar days is considered acceptable and in the best interest of Metro Institute and the complainant. A complainant should also be provided with regular updates to inform them of the progress of the complaint handling. Updates should be provided to the complainant at a minimum of **two (2) weekly intervals**.
- Metro Institute shall maintain the enrolment of the complainant during the complaint handling process.
- Decisions or outcomes of the complaint handling process that find in the favour of the student shall be implemented immediately.
- Complaints are to be handled in the strictest of confidence. No Metro Institute representative is to disclose information to any person without the permission of Metro Institute Chief Executive Officer. A decision to release information to third parties can only to be made after the complainant has given permission for this to occur. This permission should be given using the Information Release Form.
- Complaints are to be considered and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the complaint handling process. This means that the complainant is entitled to be heard with access to all relevant information and with the right of reply. The complainant is entitled to have their complaint heard by a person that is without bias and may not be affected by the decision. Finally, the decision must be made based on logical evidence and the decision-maker must take account of

relevant considerations, must act for a proper purpose and must not consider irrelevant considerations. Further guidance on principles of natural justice and procedural fairness can be accessed at the following link: [Principles of Natural Justice and Procedural Fairness](#)

- Complaint handling procedures should conclude with an analysis of the circumstances to identify any opportunities for improvement.

Informing Persons and Responding to Allegations

Where a complaint involves one person making allegations about another person, it is a requirement for Metro Institute to hear both sides of the matter before making any judgements about how the complaint should be settled. A person who will be affected by a decision made by Metro Institute as a result of a complaint has the right to be fully informed of any allegations and to be provided adequate opportunity to be heard and respond. The person has the right to:

- put forward arguments in their favour,
- show cause why a proposed action should not be taken,
- deny allegations,
- call for evidence to disprove allegations and claims,
- explain allegations or present an innocent explanation, and
- provide mitigating circumstances (information aimed at reducing the severity, seriousness, of something).

Metro Institute also has an obligation to fully consider the substance of allegations and the response provided by parties before making a decision. Decisions must be communicated to the complainant and relevant persons subject of allegations in writing. This is to include advising these persons of their right to seek a third-party review of decisions made by Metro Institute.

Where an allegation is made that involve alleged criminal or illegal activity and it is considered outside the scope and expertise of Metro Institute to investigate the matter, then in these circumstances Metro Institute reserve the right to report these allegations to law enforcement authorities. Persons related to the matter involving alleged criminal or illegal activity will be advised in writing if this course of action is being taken.

Third Party Review

Where the person making a complaint is not satisfied with the handling of the matter by Metro Institute, they have the opportunity for a body or person that is independent of Metro Institute to review his or her complaint following the internal completion of complaint handling process. Before a person seeks a review by an independent third party, they are requested to first allow Metro Institute to fully consider the nature of the complaint and to respond to the person in

writing. If after this has occurred, the person is not satisfied with the outcome, they have the right then seek a review by an independent third party. To request a review by an independent third party, the complainant should inform the Office Manager of their request who will initiate the process with the Chief Executive Officer.

In these circumstances, the Metro Institute Chief Executive Officer will advise of an appropriate party independent of Metro Institute to review the complaint outcome (and its subsequent handling) and provide advice to Metro Institute in regard to the recommended outcomes. The independent third-party is required to respond with their recommendations within **fourteen (14) working days** of their review being requested. This advice is to be accepted by Metro Institute as final, advised to the person making a complaint in writing and implemented without prejudice.

Where the Metro Institute appoints or engages an appropriate independent person to review a complaint, the Metro Institute will meet the full cost to facilitate the independent review.

Where a complaint is received by Metro Institute and the Chief Executive Officer feels that they may have bias or there is a perception of bias, then the complaint is to be referred directly to an independent third-party for consideration and response as outlined above.

Unresolved Complaints

Once the complaint handling process has concluded; where the person making a complaint remains not satisfied with the outcome of the complaint handling procedure, the person is to be advised that they have the right to refer the matter to any external authority/agency who may be relevant to their complaint. The following external agencies are nominated in the first instance as relevant points of referral the person may consider:

- In relation to consumer related issues, the person may refer their complaint to the **Office of Fair Trading**.
- In relation to the delivery of training and assessment services, the person may refer their complaint to the **National Training Complaints Service** via the following phone number: 13 38 73 or visit the website at <https://www.education.gov.au/NTCH>
- In relation to matters relating to privacy, the person may refer their complaint to the **Office of the Australian Information Commissioner** via the following details: <https://www.oaic.gov.au/individuals/how-do-i-make-a-privacy-complaint> or call on 1300 363 992

This guidance is also communicated to learners within the Student Handbook. It is expected that the above agencies will investigate the persons concerns and contact the Metro Institute for information. External agencies will typically request a copy of any record of how the complaint was handled from the person. Metro Institute is to ensure that the person is provided with a written response that they may use for this purpose.

The Metro Institute is to cooperate fully with agencies such as the National Training Complaints Service, the Office of Fair Trading or ASQA that may investigate the handling of a complaint. Metro Institute considers that it would be extremely unlikely that a complaint is not able to be resolved quickly within Metro Institute internal arrangements.

Record Management of Complaint Records

Records relating to complaints will present in two formats. There will be electronic records in the form of email correspondence and other documents which are communicated electronically and hard copy records which are submitted by the complainant or generated by Metro Institute. There is also a record of the complaint maintained within the Metro Institute student management system RTO Data. This includes the details about the complaint and a diary log which records the progress of the complaint handling and closure. This record also records identified opportunities for improvement that result from complaints handling.

All records regardless of their format (excluding RTO Data) will be saved in a digital format into a secure folder located on the Metro Institute file storage. Each file is to be clearly labelled with the document title or subject and the date of which the document was received or generated. This folder must only be accessible to persons authorised by the Chief Executive Officer. Records stored on RTO Data are to be accessible only to RTO data administrators and managers.

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of complainants.
- Records must be kept in a location to avoid damage by fire, flood, termites or any other pests.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

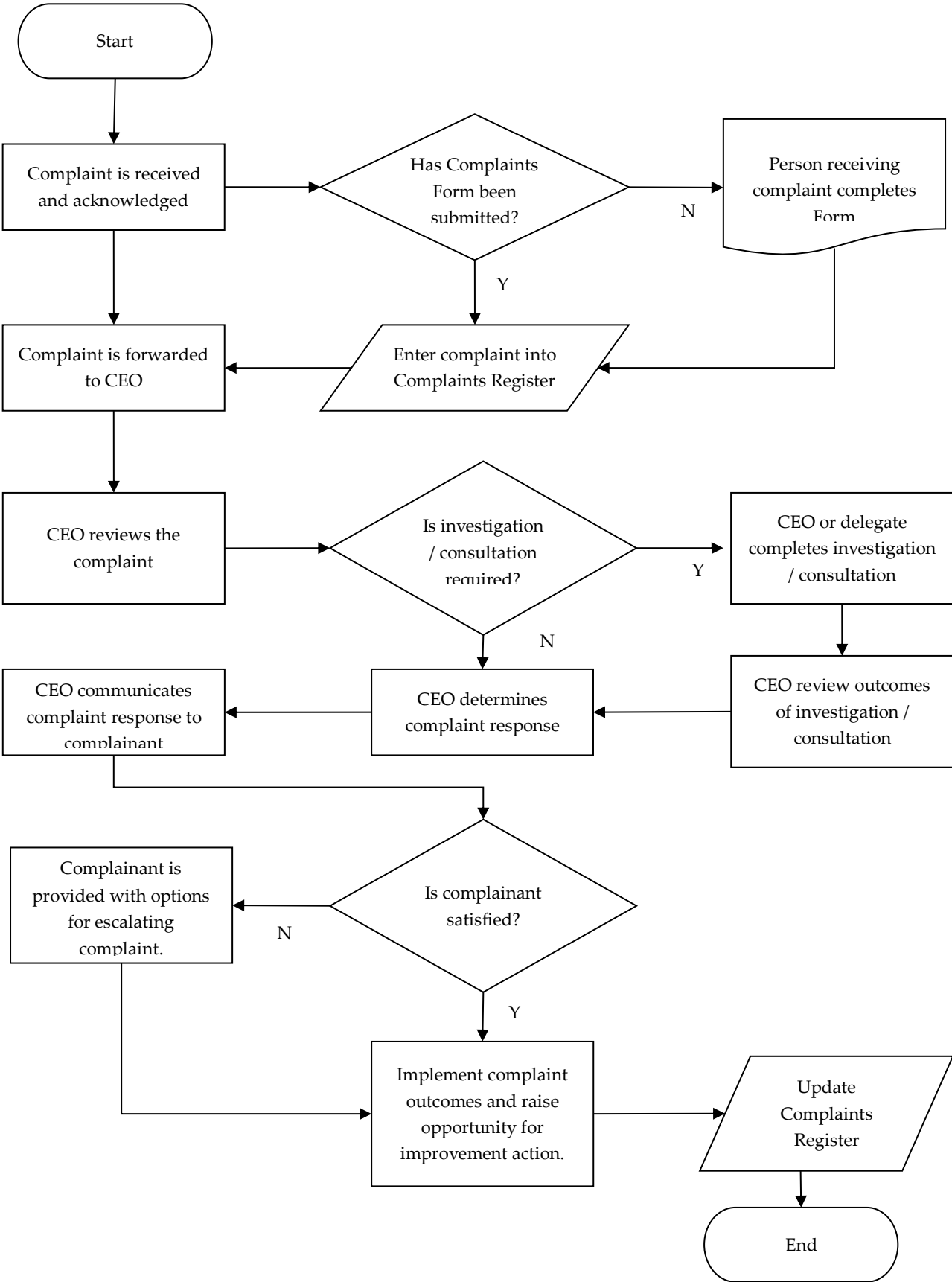
Period of retention of Complaints Records

Metro Institute is to retain records relating to complaints handling for a minimum of five (5) years.

Destruction of Complaints Records

Metro Institute CEO is the only person who can authorise (in writing) the destruction of complaint handling records. Records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled.

Complaints Handling Process



Appeals Handling

Metro Institute is committed to providing a fair and transparent appeals handling process.

What is an appeal?

An appeal is an application by a student for reconsideration of an unfavourable decision or finding during their time with Metro Institute. An appeal must be made in writing and specify the particulars of the decision or finding in dispute. Appeals must be lodged within **twenty-eight (28) working days** of the decision or finding being informed to the learner.

It is important to note that a student may appeal any decision made by Metro Institute or a third party providing services on Metro Institute behalf. Contrary to the popular belief that appeal relates only to assessment decisions, appeals can relate to administrative decisions that Metro Institute may make. Examples of this include an appeal of a decision to deny a refund or to deny an application for credit transfer. As the process for handling and assessment appeal compared with an appeal of an administrative decision is slightly different, this difference has been catered for within this policy with adjusted processes for both situations.

Early resolution of appeals

In all cases, issues that arise during training and assessment that are the source of frustration or are in dispute should be resolved at the time they occur between the persons involved. It can often be the case that a learner's decision to make an appeal can be avoided by proper communication and consultation with learners at the time a decision is made.

Relationship to continuous improvement

Frequently, the appeals handling process will expose weaknesses in the training and assessment or administrative system that can flow into the continuous improvement system as opportunities for improvement. This outcome of appeals handling is very positive and should be actively applied by all persons involved. It is for this reason that appeals received from stakeholders should be seen in a positive light and as opportunities for improvement.

Making an appeal

An appeal must be received by Metro Institute in writing using the specified form within **twenty eight (28) working days** of the decision or finding being informed to the person.

To appeal a decision, the person is required to complete the Metro Institute - Request for Appeal of a Decision. This form is available via our website. The completed Request for Appeal form is to be submitted to the Academic Manager either in hard copy or electronically via the following contact details:

Academic Manager
Metro Institute - Registered Training Organisation

Level 4, 770 George Street Haymarket NSW 2000

Email (to be established)

If a person seeking an appeal has any difficulty accessing the required form or submitting the appeal to Metro Institute, they are advised to contact Metro Institute immediately at the following phone number: (To be included when established)

Appeal handling procedure

Metro Institute will apply the following procedure to its appeals handling:

- Appeals must be lodged within **twenty eight (28) working days** of the decision or finding being informed to the person. An appeal must be submitted using the Metro Institute - Request for Appeal of a Decision.
- A person who submits an appeal must be **provided a written acknowledgement** as soon as possible and **not later than 24 hours** from the time the appeal is received. This acknowledgement is intended to provide the person making an appeal assurance that Metro Institute had received the appeal and will review the relevant issues and provide a response. This acknowledgement is intended to provide the person making an appeal assurance that Metro Institute had received the appeal and will review the relevant issues and provide a response as soon as practicable. The acknowledgement must inform the person making an appeal that they will receive a written response within 14 days and explain the appeal handling process and the persons rights and obligations.
- A written record of all appeals is to be kept by Metro Institute including all details of lodgement, response and resolution. The appeals register within RTO Data is to be used to record the details of the appeal and to maintain a chronological journal of events during the appeal handling process. Records relating to appeal handling must be stored securely to prevent access to unauthorised personnel.
- An appellant is to be provided an opportunity to formally present his or her case at no cost.
- Each appellant may be accompanied and/or assisted by a support person at any relevant meeting.
- The appeals policy must be publicly available. This means that the appeals policy and procedure must be published on the Metro Institute website.
- The handling of an appeal is to commence within **seven (7) working days** of the lodgement of the appeal and all reasonable measures are taken to finalise the process as soon as practicable.
- The appellant is to be provided a written response to the appeal, including details of the reasons for the outcome. A written response must be provided to the appellant within **fourteen (14) working days** of the lodgement of the appeal.

- Appeals must be resolved to a final outcome within **sixty (60) calendar days** of the appeal being initially received. Where Metro Institute Chief Executive Officer considers that more than 60 calendar days are required to process and finalise the appeal, the CEO must inform the appellant in writing, including reasons why more than 60 calendar days are required. As a benchmark, Metro Institute should attempt to resolve appeals as soon as possible. A timeframe to resolve an appeal within thirty (30) calendar days is considered acceptable and in the best interest of Metro Institute and the appellant. An appellant should also be provided with regular updates to inform them of the progress of the appeal handling. Updates should be provided to the appellant at a minimum of **two (2) weekly intervals**.
- Metro Institute shall maintain the enrolment of the appellant during the appeal handling process.
- Decisions or outcomes of the appeal handling process that find in the favour of the appellant shall be implemented immediately.
- Appeals are to be handled in the strictest of confidence. No Metro Institute representative is to disclose information to any person without the permission of Metro Institute Chief Executive Officer. A decision to release information to third parties can only be made after the appellant has given permission for this release to occur. This permission should be given using the Information Release Form.
- Appeals are to be considered and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the appeal handling process. This means that the appellant is entitled to be heard with access to all relevant information and with the right of reply. The appellant is entitled to have their appeal heard by a person that is without bias and may not be affected by the decision. Finally, the decision must be made based on logical evidence and the decision-maker must take account of relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations. Further guidance on principles of natural justice and procedural fairness can be accessed at the following link: [Principles of Natural Justice and Procedural Fairness](#)
- Appeals handling procedures should conclude with an analysis of the circumstances to identify any opportunities for improvement.

Third Party Review

Where the appellant is not satisfied with the handling of the matter by Metro Institute, they have the opportunity for a body or person that is independent of Metro Institute to review his or her appeal following the internal completion of appeals handling process. Before a person seeks a review by an independent person, they are requested to first allow Metro Institute to fully consider the nature of the appeal and to fully respond to the person in writing. If after this has occurred, the person is not satisfied with the outcome, they can then seek a review by an independent person. To request a review by an independent person, the person making an appeal should inform the Office Manager of their request who will initiate the process with the Chief Executive Officer.

In these circumstances, the Metro Institute Chief Executive Officer will advise of an appropriate party independent of Metro Institute to review the appeal outcome (and its subsequent handling) and provide advice to Metro Institute in regard to the recommended outcomes. The independent third-party is required to respond with their recommendations **within fourteen (14) working days** of their review being requested. This advice is to be accepted by Metro Institute as final, advised to the appellant in writing and implemented without prejudice.

Where the Metro Institute appoints or engages an appropriate independent person to review an appeal, the Metro Institute will meet the full cost to facilitate the independent review.

Where an appeal is received by Metro Institute and the Chief Executive Officer feels that they may have bias or there is a perception of bias, then the appeal is to be referred directly to an independent third-party for consideration and response as outlined above.

Unresolved Appeals

Once the appeals handling process has concluded; where the person seeking an appeal of a decision remains not satisfied with the outcome of the appeals handling procedure, the person is to be advised that they have the right to refer the matter to any external authority/agency who may be relevant to their appeal. The following external agencies are nominated in the first instance as relevant points of referral the person may consider:

- In relation to consumer related issues, the person may refer their matter to the **Office of Fair Trading**.
- In relation to the delivery of training and assessment services, the person may refer their matter to the **National Training Complaints Service** via the following phone number: 13 38 73 or visit the website at <https://www.education.gov.au/NTCH>
- In relation to matters relating to privacy, the person may refer their matter to the **Office of the Australian Information Commissioner** via the following details: <https://www.oaic.gov.au/individuals/how-do-i-make-a-privacy-complaint> or call on 1300 363 992

This guidance is also communicated to learners within the Student Handbook. It is expected that the above agencies will investigate the persons concerns and contact the Metro Institute for information. External agencies will typically request a copy of any record of how the appeal was handled from the person. Metro Institute is to ensure that the person is provided with a written response that they may use for this purpose.

The Metro Institute is to cooperate fully with agencies such as the Office of Fair Trading, National Training Complaints Service or ASQA that may investigate the handling of an appeal. Metro Institute considers that it would be extremely unlikely that appeals are not able to be resolved quickly within Metro Institute internal arrangements.

Record Management of Appeals Records

Records relating to appeals will present in two formats. There will be electronic records in the form of email correspondence and other documents which are communicated electronically and hard copy records which are submitted by the appellant or generated by Metro Institute. There is also a record of the appeal maintained within the Metro Institute student management system RTO Data. This includes the details about the appeal and a diary log which records the progress of the appeal handling and closure. This record also records identified opportunities for improvement that result from appeals handling.

All records regardless of their format (excluding RTO Data) will be saved in a digital format into a secure folder located on the Metro Institute file storage. Each file is to be clearly labelled with the document title or subject and the date of which the document was received or generated. This folder must only be accessible to persons authorised by the Chief Executive Officer. Records stored on RTO Data are to be accessible only to RTO data administrators and managers.

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.
- Records must be kept confidential to safeguard information and to protect the privacy of the appellant.
- Records must be kept in a location to avoid damage by fire, flood, termites or any other pests.
- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Electronic data is also to be backed-up off site.

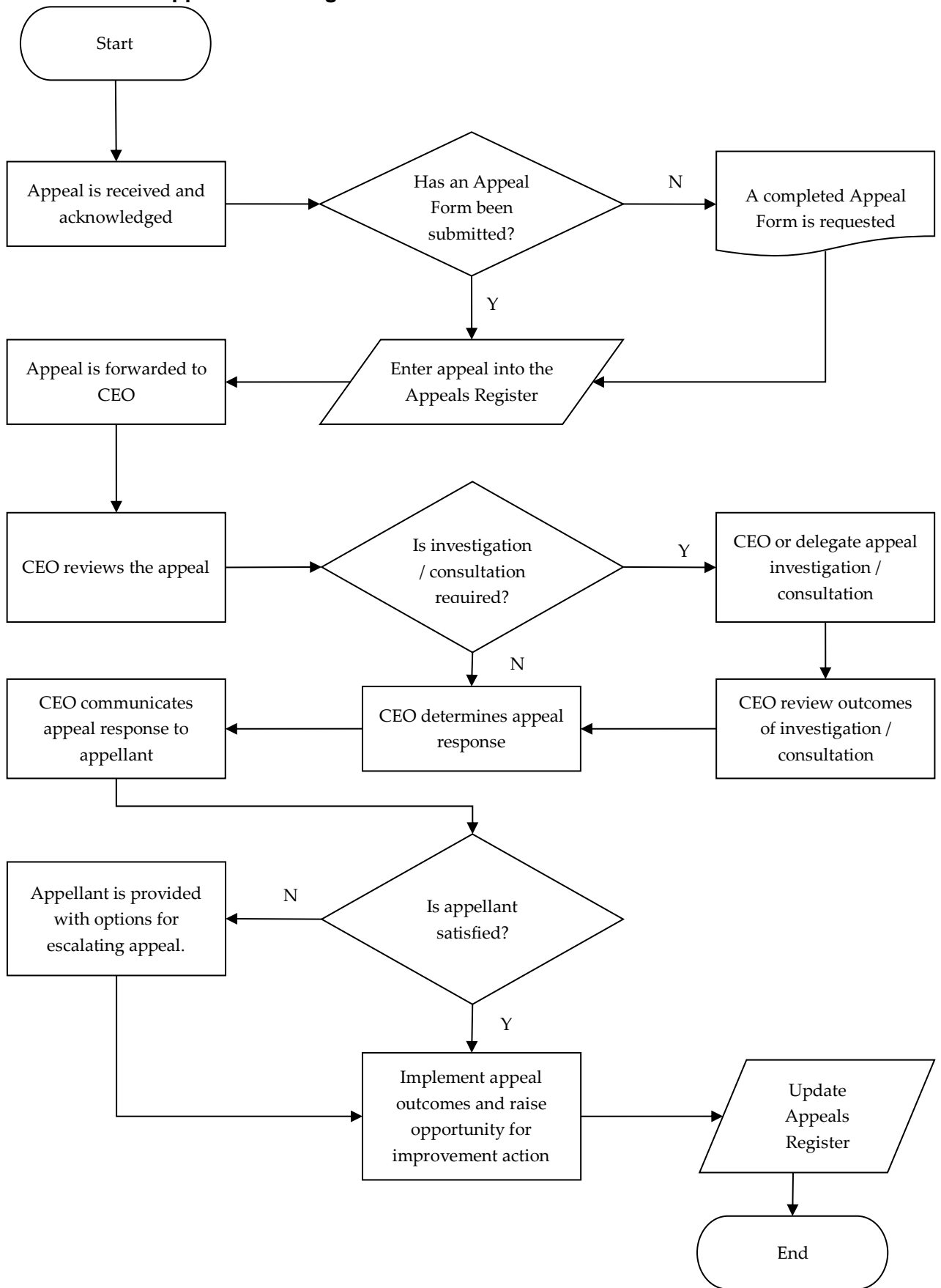
Period of retention of Appeals Records

Metro Institute is to retain records relating to appeals handling for a minimum of five (5) years.

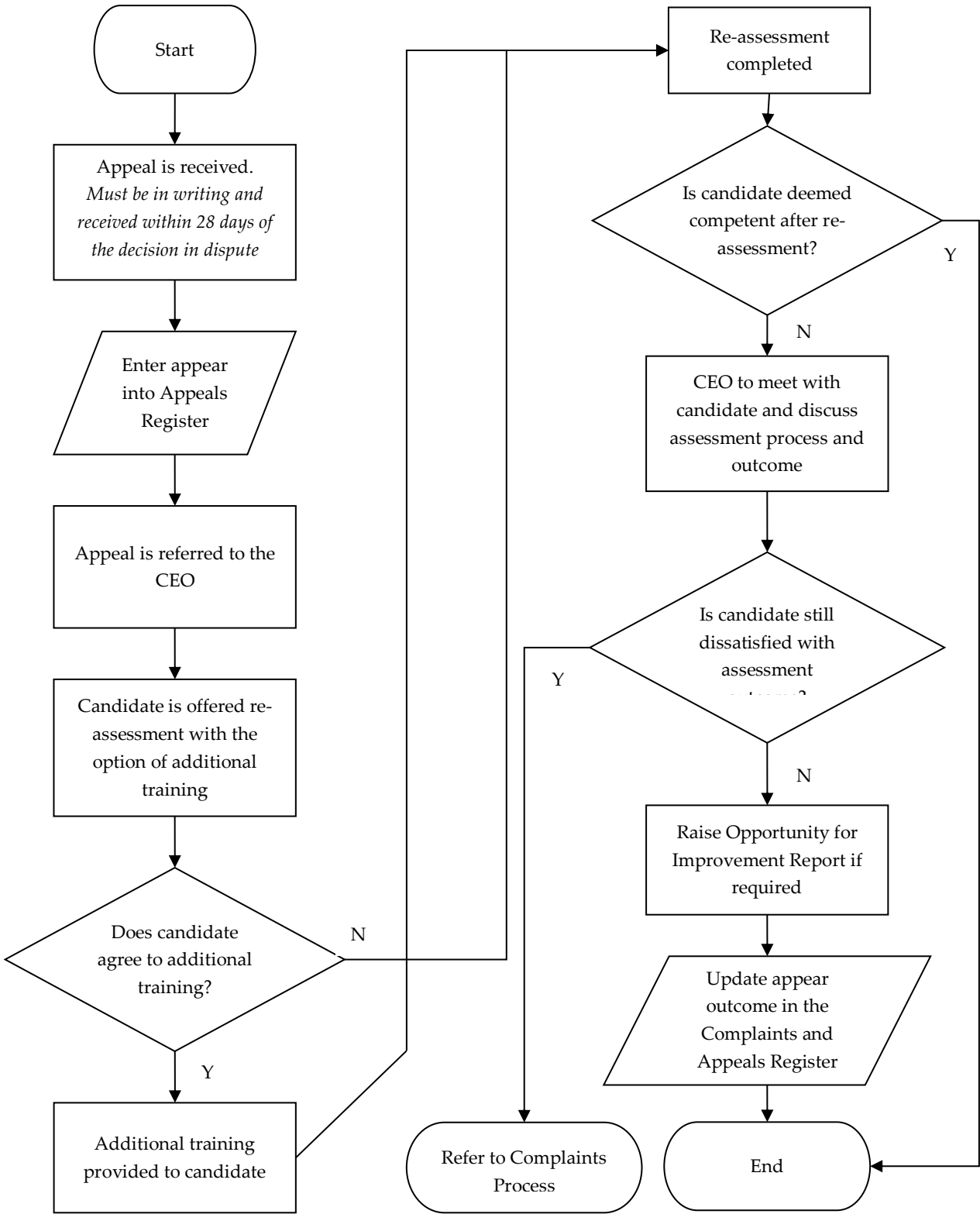
Destruction of Appeals Records

Metro Institute CEO is the only person who can authorise (in writing) the destruction of appeals handling records. Records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled.

Administrative Appeals Handling Process



Assessment Appeals Handling Process



Student Access to Records

At Metro Institute, we acknowledge that learners need access to their records in order to monitor their progress and participation. Metro Institute will facilitate access to records to a student on request.

Requesting access to records

Learners who require access to their records are required to complete a Records Request Form. This form can be obtained from any Metro Institute staff member. It is the responsibility of all staff to respond positively to these requests and assist the student to complete the request form and facilitate access.

It should be noted that access will only be provided to the student in person and only after identification has been confirmed. Photo ID is required. Metro Institute also requires the payment of an administrative fee of \$10.00 if the student requires a copy of their records. This is a one-off admin fee that is only payable where copies are requested to take away by the learner. If the student is simply requesting access to view records then this incurs no cost. The student does however need to complete the Records Request Form on all occasions where access is requested. The completed Records Request Form can be submitted to any staff member who will pass the request to the Office Manager. The Office Manager will respond to the request within two business days.

What records can be accessed?

The Records Request Form seeks to identify what specific records are requested to access. These may include:

- hard copy records from your student file which will include enrolment administrative records and assessment evidence.
- activity data which is contained within the Metro Institute student management system including your electronic training plan and details of awarded units of competency.

How are records accessed?

Once a student has requested access to records, a staff member will organise for the student to attend the Metro Institute office where controlled access will be provided. Controlled access means, hardcopy records may be viewed by the student in the presence of a Metro Institute staff member.

Learners who request activity data from the Metro Institute student management system can be provided this in a printed report format which details all activity recorded within the learner's training plan for any specific enrolment which includes achievement of units of competency.

Learners who request to access their records are to be provided with this access at the earliest opportunity. Metro Institute is committed to maintaining a transparent and equitable training environment.

Access by external authorities

The Australian Skills Quality Authority is entitled to collect activity data about a learner's enrolment and achievements. This information includes all information submitted by the student during the enrolment process. This information is collected for the purpose of auditing participation and the monitoring and reporting of training outcomes. The information provide by learners may be accessed by Commonwealth officers and by the National Centre for Vocational Education Research (NCVER) for statistical research purposes.

Training and Assessment Strategy Development

This policy outlines the philosophical approach to be applied to the development and application of the Training and Assessment Strategy (strategy) within Metro Institute operations. The strategy is an important document for Metro Institute. It is the plan by which our training and assessment is delivered. Once developed, it is continuously improved as training and assessment services are also continuously improved. It is a 'live' document and should always accurately reflect the current way in which training and assessment is being provided.

The strategy has an important relationship to other documents used to deliver training and assessment. It holds a central position as the parent document to all other documents used in training for the relevant training program. We will develop and maintain a strategy for each training program we offer. Other important documents that support the implementation of a strategy include learning resources, assessment resources, industry resources and Metro Institute resources. Strategies are also supported by other resources such as those developed by industry, e.g. industry regulations or equipment operating instructions.



Training and Assessment Strategies Development Procedure

In the development of strategies to support Metro Institute operations we apply the following guidelines:

The strategy should provide the following information:

The Front Matter

- **Title and Context.** It should identify the training program title and Metro Institute contact details. It should also show what the qualification code and title (if applicable) is and the industry Training Package from where the qualification has been drawn. We will ensure that the selected Training Package is current and has not been superseded. Training Packages can be amended under a continuous improvement arrangement. This means that they can change frequently.
- **Units of competency.** The strategy should clearly identify the units of competency which comprise the training program. It should also show which units are core and which units are elective. Note that the shape and content of a course can vary greatly when elective units are selected. It is acceptable in the strategy to only list those units that we have identified as most likely required by industry (through industry consultation). There is no need to list every possible elective as individual student needs will be established at enrolment and appropriate training plans can be developed on an individual basis. It should be noted in the strategy that the units as shown are indicative and will vary based on a learner's or employer's workplace requirements.
- **The Target Learner.** Next, the strategy should identify the target learner. As much information should be recorded about the analysis of the target student which is gathered during industry consultation. At a minimum, information should include the following:
 - Typical employment situation such as school leaver, employed, unemployed, etc.
 - Characteristics, such as typical age, vocational experience, prior training and qualifications, physical requirements or motivation. The statement about motivation should clearly identify what motivates the student group to undertake the training. This might be such things as to acquire new skills, to seek new employment or to obtain a particular licence. It is important for Metro Institute to recognise that learners will have different motivations and we will seek to understand these during the enrolment process and when tailoring training to meet a learner's needs.
 - Perceived language, literacy and numeracy (LLN) skills and how this aligns to the LLN requirements of the course.
 - Pre-requisites that apply to the course, these should be clearly listed and perhaps explain how these will be checked during enrolment.

Training Strategy

The training strategy should outline how the training will be delivered in detail. This will include

the following:

- **Duration.** The expected duration of the training program needs to be identified. These include a break down by units of competency and a clear statement of the indicative hours to complete the course. It should be noted that duration may vary from student to student depending on their choice of electives, recognised prior learning, credit transfer and method of delivery. The Standards for Registered Training Organisations say that when determining the amount of training the RTO must have regard to:
 - the existing skills, knowledge and the experience of the learner;
 - the mode of delivery; and
 - where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.
- An important guide to determining a course duration is the expected volume of learning published for each qualification in the Australian Qualifications Framework. The volume of learning for each qualification is shown below:

Cert I	Cert II	Cert III	Cert IV	Diploma	Advanced Diploma
0.5 – 1 year	0.5 – 1 year	1 – 2 years	0.5 – 2 years	1 – 2 years	1.5 – 2 years

- **Delivery methods.** The delivery methods selected for use during training should be clearly identified. These may include workplace based, residential, face to face, distance, technology based or a combination of these. Importantly, this will shape what resources Metro Institute develop or acquire as the supporting resources for the training program.
- **Organisation and Sequencing.** During the analysis of the Training Package requirements, units of competency which contain pre-requisite or co-requisite requirements must be identified. This will shape the sequencing of the delivery as will the requirements of industry and the deployment and expenditure of resources. Organisation and sequencing strategies that may be applied include simple to complex, clustered delivery, unit by unit or a strategy that is based on the way work is performed. It is important to note here that Metro Institute recognise that the primary factors to influence the organisation of a training program are industry requirements.
- **Strategies for Evaluation.** Toward the end of the training strategy, the strategies for evaluation should be outlined that will ensure that the training program continues to meet industry requirements. Evaluation strategies may include:

- Surveying learners and employers about their satisfaction with training;
 - Moderation between trainers to seek out and agree on strategies to improve the services to learners;
 - Internal auditing by a suitably qualified and externally sourced auditor to provide impartial advice about training strategies; and
 - Engagement with employers and industry to determine if the training program is delivering skills and knowledge in line with current workplace requirements.
- **Trainers.** At the end of the training strategy, it should clearly identify (by name) the trainers to deliver the training. This should also include a statement about their vocational qualifications and experience applicable to the training program and their competence to deliver training in accordance with the National Skills Standards Council.

Assessment Strategy

The assessment strategy is a critically important component of the training program strategy. It will define how evidence will be gathered from learners and demonstrate how the assessment will meet the Training Package requirements, meet the rules of evidence and be conducted in accordance with the principles of assessment. The following points characterise the general requirements of good practice assessment that are applied by Metro Institute:

- Evidence is gathered over time involving several assessments rather than on one assessment occasion.
- Evidence is gathered using a range of assessment methods to allow for differences in candidate performance.
- Evidence is gathered in the holistic performance of workplace tasks not on isolated performance which does not realistically reflect the way tasks are performed in the workplace.
- Evidence is gathered based on the candidate's own performance in a real or a simulated workplace.

In developing the content for the assessment strategy, the following is a guide for Metro Institute developers:

- **Assessment Method.** At the beginning of the assessment strategy, the strategy should identify the assessment methods selected to gather evidence from the candidate. The choice of assessment methods will be informed by a range of factors including the evidence guide requirements in the unit of competency, the assessment

guidelines in the applicable Training Package and importantly the scope and nature of the skills and knowledge being applied. Assessment methods may include:

- Direct observation of workplace tasks being performed;
 - Structured activities that will lead to the demonstration of workplace tasks;
 - Questioning of required knowledge (verbal and/or written);
 - Development of a portfolio of evidence which may include workplace products, samples of work, statements by supervisors;
 - Review of products workplace products, samples of work; and
 - Workplace feedback (industry evidence).
- **Assessment Mapping.** An assessment map is a useful piece of information to include, as it provides a point of reference to all involved as to what evidence is to be collected to meet the requirements of each unit of competency. Assessment mapping will indicate the relevance of the assessment activities to the components within the applicable unit of competency. This information should provide a holistic picture of the evidence gathering which is occurring across the entire training program. In doing this, it will expose opportunities where assessment activities may be combined or clustered to create efficiencies in the assessment process. It will also demonstrate how holistic assessment may be possible to allow the assessment of multiple units of competency in one assessment event.
 - **Environment.** In this section, the environment in which assessment will be conducted should be identified. The environment includes the physical surrounds where an assessment occurs. This may include the actual or simulated workplace. The environment may also refer to the tempo of activity such as a busy call centre or reception desk. Most Training Packages require that the assessment environment is either a simulated workplace or the workplace. Both options will carry special requirements for assessment such as the facilities and role play scenarios in a simulated environment and special arrangements to support workplace assessment.
 - **Process.** The process for assessment is simply the steps the assessor takes when gathering evidence of a learner's competence. Typically, this is outlined in the assessment guide within the Training Package and should be unpacked here to provide clear guidance to assessors on Metro Institute's expectation of the assessment process and to showcase to external stakeholders the process Metro Institute applies. It is important to note that whilst Metro Institute may have a set process for gathering evidence, the process does need to be negotiated with each candidate to ensure it reflects the individual needs of each person. The timing of assessment is determined by the assessor in consultation with the candidate. Assessment may begin at the

conclusion of learning or may be timed to occur during a learning pathway. In some cases, there is no learning and the assessor and candidate will move directly to assessment. An example of this is recognition of prior learning. A typical assessment process will include:

- Step 1: Prepare for assessment;
- Step 2: Prepare the candidate;
- Step 3: Plan and prepare the evidence-gathering process;
- Step 4: Collect the evidence and make the assessment decision;
- Step 5: Provide feedback on the assessment;
- Step 6: Record and report the result;
- Step 7: Review the assessment process;
- Step 8: When required, participate in the reassessment and appeals process.

This assessment process is outlined in greater detail in the sections that follow.

- **Resources.** The resources section should outline the physical resources identified to deliver assessment. Key sources of information which will guide the identification of resources are the evidence guide, as included within each unit of competency, and the scope and nature of the tasks being performed. Typical resources include:
 - Workplace location or simulated workplace;
 - Materials relevant to a fully functioning workplace;
 - Equipment and tooling appropriate to a functioning workplace;
 - Specifications, work instructions and workplace sources of information;
 - Workplace specific resources;
 - Qualified assessor with the relevant vocational and training and assessment competence;
 - Appropriate evidence gathering tools, exercises and instructions; and
 - A suitable environment to support candidate performance.
- **Validation.** The validation of assessment practices is a critically important process which must be closely managed by Metro Institute. The validation process ensures

that assessment strategies, resources and tools are continuously improved and meeting the needs of industry. Further information on validation is provided later in this section. Validation methods may include:

- Field testing of assessment strategies, resources and tools;
 - Student and employer satisfaction survey;
 - Internal audit of assessment strategies; and
 - Moderation meetings and forums between assessors to promote consistent judgements and interpretation of evidence.
- **RPL.** This section should outline the arrangements Metro Institute have in place to assess RPL applications. This includes processes of lodgement through to decision and may outline the tools and resources to be used to assess RPL.
 - **Reasonable adjustment.** This section should outline the relationship of reasonable adjustments to the assessment process. Reasonable adjustment may take into account the following:
 - Learner’s language, literacy, numeracy requirements;
 - Provision of personal support services, for example, reader, interpreter, scribe, support person;
 - Use of adaptive technology or special equipment;
 - Flexible assessment sessions to allow for fatigue or administering of medication;
 - Adjustment of assessment materials, for example, in Braille, first language, use of audiotape/videotape;
 - Adjustments to the physical environment or venue;
 - Considerations relating to age and gender; and
 - Considerations relating to cultural beliefs, traditional practices and religious observances.
 - **Assessors.** Like the training strategy, the assessment strategy should clearly identify (by name) the assessors who will be conducting the assessments. This should also include a statement about their vocational qualifications and experience applicable to the skills and knowledge being assessed and their competence to conduct assessment in accordance with the National Skills Standards Council. If a team or partnership arrangement is to be used which allows the pooling together of suitable persons to

conduct the assessment, this should be clearly explained to inform the reader of what skills and knowledge (competence) each member of the team brings to the assessment.

Industry Consultation

After the major sections relating to training and assessment, the last area (but no less important) to be included in Metro Institute strategy is information relating to the industry consultation conducted during the development of the strategy. Metro Institute is committed to delivering training programs that build industry capacity. It is important to demonstrate that Metro Institute strategy has been developed in direct consultation with employers. This not only supports Metro Institute strategy to deliver workplace relevant skills and knowledge, but is also important to capture a record of the consultation we have conducted for compliance purposes. This section of the strategy will be updated continuously as industry engagement occurs and informs the ongoing development of training. The following information is identified for inclusion to demonstrate Metro Institute industry consultation:

- **The industry needs.** This will include an overview of the industry's needs for the skills and knowledge. This will often be related to industry production and identified skills shortages and should be supported with reference to authoritative industry publications or stakeholders.
- **Staff involvement with industry.** This section should demonstrate the current engagement Metro Institute staff members have in the industry. This may be a short bio with reference to qualifications and ongoing association with industry representative group, committees and forums. This should not only refer to the industry relevant to the course, but should also refer to the ongoing engagement in the VET industry. Engagement refers to the activities undertaken by trainers and assessors to maintain their industry knowledge and vocational competence (i.e. their trade skills). Examples of engagement with industry may include membership of industry forums and associations, part time work, attendance at industry conferences and workplace visits.
- **Visits to industry sites.** During the development of training and assessment strategies it is important to physically go out and engage with employers and obtain their input to the way training and assessment should be conducted. This is also an important component to the ongoing validation of training and assessment resources. These visits should be recorded in the strategy as they serve to demonstrate the seriousness of Metro Institute in directly engaging with industry.
- **Industry representatives on RTO governing bodies.** From time to time Metro Institute will invite appropriate industry representatives to join governing bodies within Metro Institute operation. Examples of these are the Industry Advisory Committee or a panel of experts for the validation of resources. These arrangements should be listed

as they again demonstrate the clear intent of Metro Institute to seek and listen to industry advice.

- **Industry validation of resources.** This section should list the last round of resource validation conducted with industry by Metro Institute. This should include the unit code and title, the industry representative who conducted the validation and the general outcomes of the validation.
- **Complaints received from industry.** Complaints are a rich source of information to aid in the continuous improvement of resources. Complaints from industry should be viewed positively and seen as an opportunity for improvement offered by an important stakeholder. If complaints from industry are received, they should be recorded in this section of the strategy along with information that indicates how the matter was dealt with and over what timeframe.

Assessment

At Metro Institute, we recognise that assessment is a core service offered to our learners (students) and is at the centre of our operation as a Registered Training Organisation. Quality assessment ensures that the skills and knowledge of candidates are assessed using four principal determinants:

- That assessment decisions are based on the assessment of skills and knowledge compared with units of competency drawn from nationally endorsed Training Packages or accredited courses.
- That the target industry or enterprise requirements are contextualised and integrated within the assessment.
- That evidence is gathered that meets the rules of evidence.
- That assessment is conducted in accordance with the principles of assessment.

Assessing the Unit of Competency

Metro Institute uses units of competency drawn from nationally endorsed Training Packages as the primary benchmark for assessment. Supporting these sometimes are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.

To identify the precise assessment criteria, we apply a methodology of unpacking a unit of competency to assess the full scope of the unit including elements of competence, performance evidence, knowledge evidence and the requirements of the evidence conditions. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package and are valid. To ensure alignment with all components of a unit of competency, unit mapping must be undertaken during the design and development of assessment. Unit mapping must also be undertaken when carrying out assessment validation.

Unit mapping will show the relationship between the planned assessment activities and each component of the unit. This must be conducted at a micro level of detail to allow the mapping to be useful later on as a reference to demonstrate the validity of the assessment. An assessment mapping document is available for this purpose.

Assessment context

Metro Institute recognises the importance of establishing the right context for candidates during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. This may be a workplace such as an office setting or a manufacturing workshop. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of

competency may be applied in any workplace such as skills and knowledge relating to workplace safety or leadership.

It is our responsibility to ensure that candidates are provided with the right context to undertake their assessment activities. To achieve this, we will apply the following strategies:

- Incorporation of the candidate's own workplace policies and procedures into the assessment scenario or activity.
- Conduct of the assessment in the candidate's workplace performing real workplace tasks where possible.
- Integration of relevant industry codes of practice and other industry information into the assessment activity.
- Incorporation of industry job descriptions for learners to align with during realistic simulated workplace scenarios and case studies.
- Incorporation of regulatory information relating to licensing which applies to the unit of competency.
- Tailoring the program outcomes to meet the organisational training needs of the enterprise without compromising the Training Package requirements.
- Creating assessment activities which require the student to conduct specific research relating to industry situations and occurrences where applicable.
- Provide a realistic simulated workplace within Metro Institute facilities.

While applying these strategies it is important to ensure that in establishing the context for assessment we do not affect the transferability of the unit of competency. When the candidate is assessed as competent, this also means that the candidate can transfer the applicable skills and knowledge between different workplaces and context. This means that the competency is transferable and is a fundamental element of competency based training and assessment.

Principles of assessment

In the delivery of assessment services, Metro Institute applies the principles of assessment. Assessment strategies have been designed to ensure:

- **Validity.** We conduct assessment against the broad range of skills and knowledge identified within each unit of competency and which is integrated with the performance of workplace tasks. We ensure that the assessment is transferable to different context and situations and all components of the unit of competency are being assessed.

- **Reliability.** We seek to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the candidate and for assessors. We achieve this by using assessors who have the required competencies in assessment and the relevant vocational competencies. Our assessment resources also provide for standardised outcomes supported by model answers to guide assessors in their judgements. Reliability is also supported by the moderation of assessment judgements across our assessors.
- **Flexibility.** We strive to provide assessment opportunities that reflect a candidate's needs. Our chosen assessment strategies provide for recognition of a candidate's current competency, employ a range of methods appropriate to the context of the industry, the unit of competency and the candidate themselves.
- **Fairness.** Our assessment approach encourages fairness in assessment through consideration of the candidate's needs and characteristics and through making reasonable adjustments when it is required. Assessors achieve this through clear communication with a candidate to ensure that the candidate is fully informed about, understands and can participate in, the assessment process, and agrees that the process is appropriate.

Collecting evidence that counts – the rules of evidence

In collecting evidence, Metro Institute applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:

- **Sufficiency.** We ensure the collection of valid assessment evidence in such quantity to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. The collection of sufficient assessment evidence will be supported by using a range of assessment methods which lead to the collection of evidence over time based on a range of performances.
- **Validity.** We collect evidence that directly aligns with the components documented within each unit of competency. The collected assessment evidence must replicate the outputs of the task as though it were being performed within an actual workplace. This may include the observation of the candidate performing the tasks relevant to the unit of competency or the collection of a completed workplace products. Assessment evidence that is purely academic in nature should be given a lesser priority to the collection of evidence that relates directly to the candidate performing the tasks indicative to the unit of competency.
- **Authenticity.** We seek evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the candidate's own work. Where documentary evidence is relied on it must be certified or supported by two other forms of evidence which demonstrate the same skill or knowledge. In all instances, where work is submitted external to Metro Institute (i.e.; electronically, distance assignments, online) this is to include a signed authenticity statement by the candidate that they certify the work as their own.

- **Currency.** We must be satisfied that the candidate currently holds the skills and knowledge relating to a unit of competency. Assessment evidence is to be based on the candidate's performance either at the time of the assessment decision or in the very recent past. Questions of evidence currency will mostly relate to recognition of prior learning applications where a candidate has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training. In all situations, assessors must validate the currency of a candidate's knowledge and skills.

Employers and other parties contributing to assessment evidence

Where industry representatives are engaged to contribute toward assessment evidence, Metro Institute will use a standard approach to collect this evidence. We place a high value on the assessment evidence that is gathered by supervisors or employers in the workplace. This evidence is usually very current and valid and contributes to the assessment decisions made by a qualified assessor. We do not however advocate the use of industry evidence (also referred to as third party evidence) as a substitute for the gathering of direct evidence by an assessor. In all areas of our operation, industry evidence is only to be used to complement and support the evidence being gathered by an assessor and is **not** to be used as primary evidence.

During the development of assessment tools, assessors are to ensure that the observation criteria used in industry evidence reports is wholly task orientated. These observation criteria should reflect the tasks that the supervisor would expect to issue to an employee and monitor during normal workplace duties. The industry evidence report is not to contain assessment criteria drawn from a unit of competency as these assessment criteria are suitable only for trained and qualified assessors to interpret.

It is also not desirable to collect industry evidence simply by providing a document to be completed. This leads to the collection of insufficient evidence and is an annoyance to industry. Where possible assessors are to engage with industry representatives directly and collect evidence about a candidate's performance through discussion with supervisors. This discussion will be based on observable workplace tasks and evidence is to be recorded by the assessor. These discussions may be undertaken face-to-face or over the phone. The assessor must record the industry representative's details, contact information and the date/time of the engagement.

Engagement with industry

Metro Institute is well placed to leverage off its Industry Advisory Committee and through this, a range of employers and industry associations to incorporate industry requirements into the assessment process. Consultation with enterprises or industry will provide information about assessment requirements relevant to workplaces. Regulatory requirements that relate to specific units of competency will be incorporated to ensure our learners are well prepared for

their workplace duties. Further information on industry engagement can be found in the Industry Engagement Policy.

Recognition of prior learning

Metro Institute will provide all learners the opportunity to seek recognition of their prior learning. Recognition is viewed simply as another method of assessment and therefore is conducted in accordance with this policy. Further information can be found in this manual in the sections on Recognition.

Credit transfer (Credit transfer)

Metro Institute will recognise and award credit transfer for candidates presenting with current competence. Where a candidate is seeking credit transfer for a unit of competency that is on our scope of registration and the candidate can provide documentary evidence that the unit has been previously awarded to the candidate, credit transfer will be awarded. It is important to note that credit transfer is not an assessment. It is an administrative function that determines the equivalence of a unit of competency the candidate has been previously awarded to units of competency incorporated into courses being delivered by Metro Institute. If the unit is the same or is equivalent, then the unit may be issued as a credit transfer. This is not to be confused with the recognition of prior learning which is a method of assessment. Please refer to the Credit transfer policy for further guidance.

Competence of assessors

In accordance with the Standards for Registered Training Organisations, assessors are required to hold the minimum competencies for training assessment and the vocational competencies at least to the level being assessed. Metro Institute has appropriate systems in place to ensure that all staff members are appropriately qualified to meet our requirement under the Standards for Registered Training Organisations. Further information can be found in this manual within the Trainer Competency Requirements policy.

Where an assessor does not hold the required training and assessment competence, but is a recognised industry expert, we will put appropriate supervision arrangements in place to support the gathering of valid evidence. Further guidance on supporting these assessors can be found in this manual in the policy on Assessment Partnerships.

Assessment validation

Assessment validation is the process where assessors compare and evaluate their assessment methods, assessment procedures and assessment decisions. Metro Institute will facilitate regular assessment validation opportunities to maintain a quality assessment and to continuously improve assessment strategies. Further information can be found in this manual in the policy on Assessment Validation.

Assessment tools

Assessment tools are the media (electronic or hard copy) used to gather evidence about a candidate's competence. We have developed assessment tools which support the assessment of applicable units of competency in accordance with the requirements of industry Training Packages. It is important for Metro Institute staff members to acknowledge that these are generic tools which provide us with a starting point for the development of other supporting tools which will reflect the needs of our clients or target industry group. Metro Institute staff members must be satisfied that tools developed for assessment fit with the requirements of the target industry and enterprise requirements. Some units of competency are associated with licensing requirements and whilst this is not always stipulated in the unit of competency, we will need to be informed of the additional requirements this imposes during assessment.

The following are examples of assessment tools which may be incorporated into an assessment strategy to meet the Training Package and industry requirements, the rules of evidence and the principles of assessment:

- Direct observation checklist;
- Simulation exercises or role-plays;
- Project outlines and explanation sheets;
- Workplace templates;
- Written questionnaires;
- Verbal questionnaires;
- Portfolios, for example collections of work samples by the candidate;
- Product with supporting documentation or journal/log book;
- Workplace samples/products; and
- Industry/workplace evidence reports.

This list of assessment tools identifies only a small number of assessment tools which are in use. These are however the more common tools and support holistic assessment methods favoured by Metro Institute.

Completed assessment tools are to be retained within the student record in accordance with the Records Retention and Management policy.

Assessment information

Assessment information is the information provided to both candidates and assessors to guide

their conduct of the assessment and the completion of assessment activities. This information is used to draw out a response from a candidate.

Examples of assessment information include:

- Instructions to set the framework for the activity such as who, what, where, when and how. The expected outcomes of the assessment should be included in these instructions and it is critical that they are straight forward and in line with the candidate's preparation during learning or through other competency development pathways.
- Scenario information includes information that sets the context for a simulated assessment activity. This may be a simple case study or a deep scenario which requires analysis and interpretation. It is important to note that the higher the AQF qualification level, the greater the requirement to analyse and apply cognitive skills to produce workplace outcomes. Scenario information used to support assessment at a Diploma level, for example, should be relatively deep and complex to allow the candidate to exercise their analytical skills and produce viable workplace products and outcomes.
- Industry information includes items such as codes of practice, policies and procedures, legislation and regulations. Whilst this may not be provided in hard copy to every candidate, they should be provided contacts, web sites or hyperlinks to access this information. Electronic copies of industry information are also acceptable.

At Metro Institute our assessment activities are to be supported by clear assessment information that will ensure a reliable assessment across our operation. Ultimately, the quality of assessment outcomes produced by a candidate will be directly affected by the quality of the information provided at the commencement of the activity. Metro Institute staff are to prepare suitable assessment information for all assessment activities and are to gain approval from Metro Institute Chief Executive Officer for the use of assessment resources.

Re-assessment

Learners who are assessed as not yet competent are to be provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training. These learners are to be provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.

It is the policy of Metro Institute to provide **three** opportunities for additional training and re-assessment at no additional cost to the student or employer. Learners who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment. Please refer to the current fee schedule to identify the re-assessment fee.

Learner's requiring additional learning support are to be brought to the attention of Metro Institute management, so the progress of the student can be monitored closely, and additional

support services can be applied well before it becomes necessary to impose an additional fee for re-assessment. Where learners repeatedly do not demonstrate competence following significant learning and assessment support, a learner's enrolment can be determined through mutual agreement.

Assessment Procedure

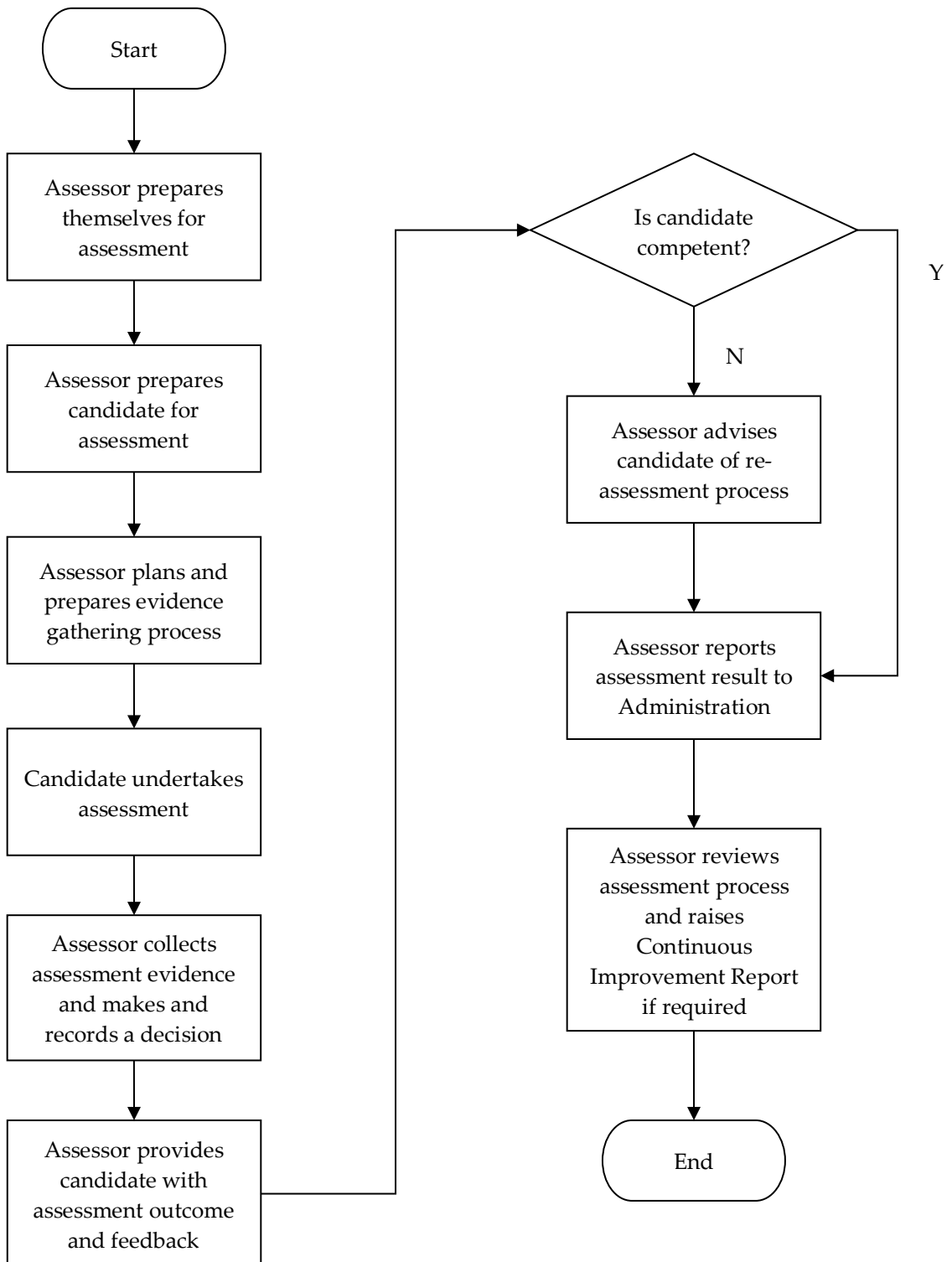
The following procedure is to be applied for conducting assessments:

- **Step 1: Prepare for assessment.** The assessor is to:
 - Establish the context and purpose of the evidence to be collected;
 - Identify and analyse the units of competency, Training Package and Metro Institute assessment strategy to identify the evidence requirements; and
 - Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence.
- **Step 2: Prepare the candidate.** The assessor meets with the candidate to:
 - Explain the context and purpose of the assessment and the assessment process;
 - Explain the units of competency to be assessed and the evidence to be collected;
 - Outline the assessment procedure and the preparation the candidate should undertake, and answer any questions;
 - Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the competency outcomes;
 - Seek feedback regarding the candidate's understanding of the units of competency, evidence requirements and assessment process; and
 - Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment.
- **Step 3: Plan and prepare the evidence-gathering process.** The assessor must:
 - Establish a plan for gathering sufficient quality evidence about the learner's consistent performance to make the assessment decision;
 - Source or develop assessment materials to assist the evidence-gathering process;
 - Organise equipment or resources required to support the evidence-gathering process; and

- Coordinate and brief other personnel involved in the evidence-gathering process.
- **Step 4: Collect the evidence and make the assessment decision.** The assessor must:
 - Establish and oversee the evidence-gathering process to ensure its validity, reliability, fairness and flexibility;
 - Collect appropriate evidence and match compatibility to the elements, performance criteria, range statement and evidence guide in the relevant units of competency;
 - Evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills and job/role environment skills;
 - Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
 - Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency;
 - Consult and work with other staff, assessment panel members or technical experts involved in the assessment process;
 - Record details of evidence collected; and
 - Make a judgement about the candidate's competence based on the evidence and the relevant unit(s) of competency.
- **Step 5: Provide feedback on the assessment.** The assessor must provide advice to the student about the outcomes of the assessment process. This includes providing the candidate with:
 - Clear and constructive feedback on the assessment decision;
 - Information on ways of overcoming any identified gaps in competency revealed by the assessment;
 - The opportunity to discuss the assessment process and outcome; and
 - Information on reassessment and the appeals process if applicable.
- **Step 6: Record and report the result.** The assessor must:
 - Record the assessment outcome according to the policies and procedures of Metro Institute;

- Maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of Metro Institute;
 - Maintain the confidentiality of the assessment outcome; and
 - Organise the issuance of statements of attainment according to the policies and procedures of Metro Institute.
- **Step 7: Review the assessment process.** On completion of the assessment process, the assessor must:
- Review the assessment process;
 - Report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
 - If necessary, suggest to appropriate Metro Institute personnel, ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation.
- **Step 8: Participate in the reassessment and appeals process.** The assessor must:
- Provide feedback and counselling to the candidate, if required, regarding the assessment outcome or process, including guidance on further options;
 - Provide the candidate with information on the reassessment and appeals process;
 - Report any assessment decision that is disputed by the candidate to appropriate Metro Institute personnel; and
 - Participate in the reassessment or appeal according to the policies and procedures of Metro Institute.

Assessment Process



Recognition

In accordance with the requirements of the Standards for Registered Training Organisations, Metro Institute provides the opportunity for learners to apply to have prior learning recognised toward a qualification or units of competency for which they are enrolled.

Recognition generally takes two forms: recognition of prior learning, which is the focus of this policy, and credit transfer which is dealt with in the Credit Transfer section of this manual. For the purposes of this policy, recognition of prior learning will be referred to simply as recognition.

What is recognition?

Recognition involves the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. Recognition assesses this unrecognised learning against the requirements of a unit of competency, in respect of both entry requirements and outcomes to be achieved. By removing the need for duplication of learning, recognition encourages an individual to continue upgrading their skills and knowledge through structured education and training towards formal qualifications and improved employment outcomes.⁶ This has benefits for the individual and industry. Most importantly, it should be noted that recognition is just another form of assessment and requires the same application of policy and procedures outlined in the Assessment section of this manual.

Recognition guidelines

The following guidelines are to be followed when an application for recognition is received:

- Any student is entitled to apply for recognition in a course or qualification in which they are currently enrolled.
- Learners may not apply for recognition for units of competency or qualification which are not included in Metro Institute's scope of registration.
- Whilst learners may apply for recognition at any time, they are encouraged to apply before commencing a training program. This will reduce unnecessary training and guide the student down a more efficient path to competence.
- Learners who are currently enrolled in a training program are eligible to apply for recognition in that program at no additional charge.

⁶ Australian Qualifications Framework (AQF) Advisory Board, 2004

- Assessment via recognition is to apply the principles of assessment and the rules of evidence.
- Recognition may only be awarded for whole units of competency.

Forms of evidence

Recognition acknowledges that workplace skills and knowledge may be gained through a variety of ways including both formal and informal learning or through work-based or life experience.

In evaluating assessment evidence, Metro Institute applies the following rules of evidence:

- Sufficient,
- Valid,
- Authentic, and
- Current.

Like assessment, recognition is a process whereby evidence is collected, and a judgement is made by an assessor or assessment team. The judgement is made on evidence provided by candidates of the skills and knowledge that they have previously learnt through work, study, life and other experiences, and that they are currently using. It also includes evidence to confirm a candidate's ability to adapt prior learning or current competence to the context of the intended workplace or industry.

Forms of evidence toward recognition may include:

- Work records;
- Records of workplace training;
- Assessments of current skills;
- Assessments of current knowledge;
- Third party reports from current and previous supervisors or managers;
- Evidence of relevant unpaid or volunteer experience;
- Examples of work products;
- Observation by an assessor in the workplace;
- Performance appraisal; or

- Duty statements.

Many of these forms of evidence would not be sufficient evidence on their own. When combined with several evidence items, the candidate will start to provide a strong case for competence. Metro Institute reserves the right to require candidates to undertake practical assessment activities of skills and knowledge to satisfy itself of a candidate's current competence.

Appealing recognition outcomes

If the student is not satisfied with the outcomes of a recognition application, they may appeal the outcome like other assessment decisions. Further information on the appeals process is available at section three.

Recognition Procedure

The following procedure is to be applied by Metro Institute upon receipt of an application for recognition:

Step 1 Provide sufficient information to prospective learners to inform them of opportunities for alternative pathways via recognition and the recognition process.

Step 2 Learners who request recognition of their current competence are to be invited to carry out a self-assessment prior to enrolment to determine their suitability for a recognition application (using the Recognition Self-Assessment Guide). This step is not compulsory but is strongly suggested. The student should be provided an electronic version of the RPL application documents.

Step 3 Undertake a recognition assessment planning interview between the assessor and the candidate (using the Recognition Assessment Plan). This is to include where possible:

- Helping the candidate to identify appropriate forms of evidence;
- Guiding the candidate on the use of recognition tools; and
- Informing the candidate about the assessment process.

Step 4 Candidates are to compile their recognition submission (using a Recognition Evidence Report). This form allows candidates to record their documentary evidence against each unit of competency and to attach this evidence as required.

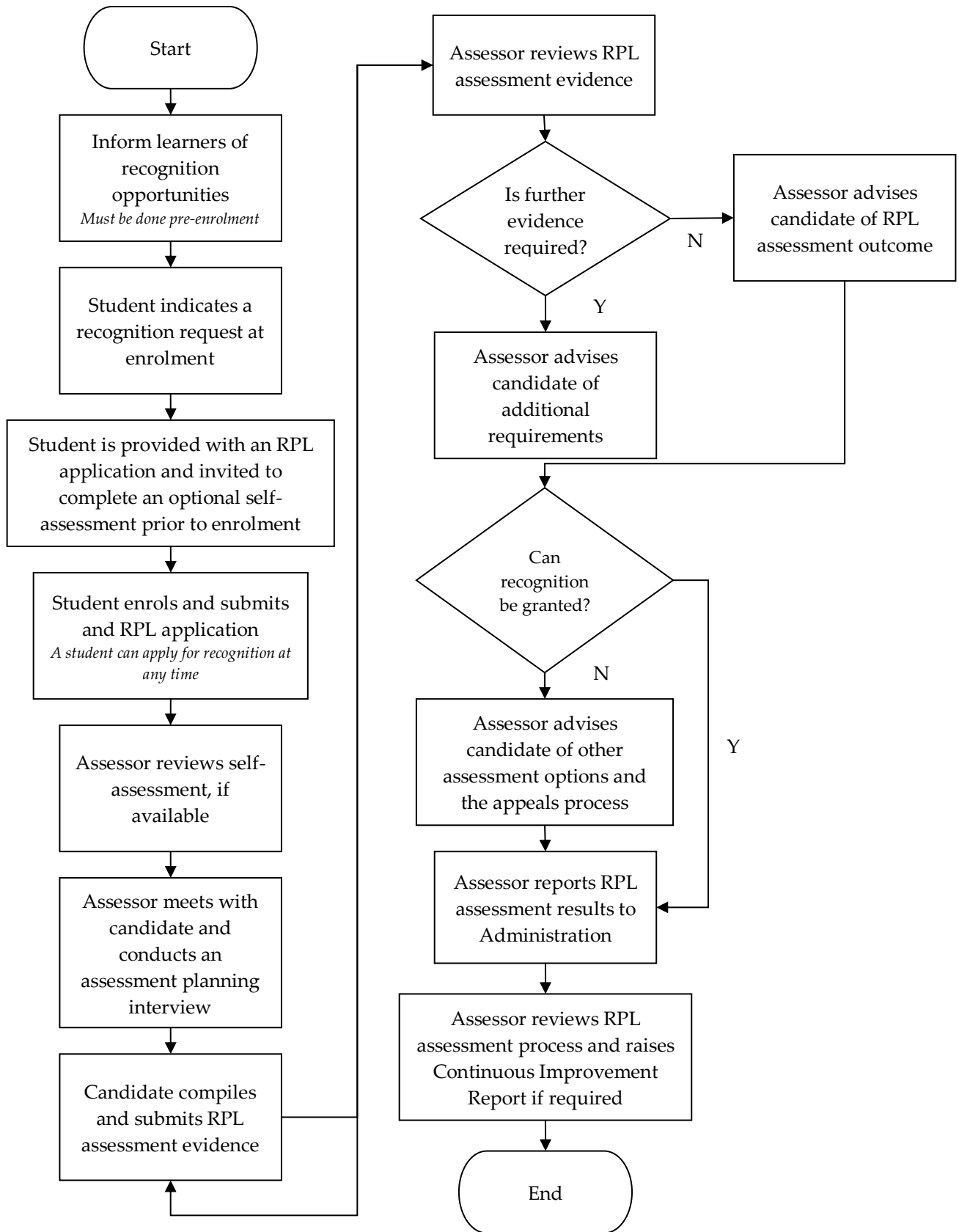
Step 5 The Assessor is then to review the assessment evidence and decide on the need for additional evidence on perceived gaps. The Assessor may invite the candidate to undertake a recognition interview to answer verbal questions or a practical assessment. At the end of the evidence gathering process the Assessor is to provide the candidate with written feedback

regarding the assessment outcomes, including the procedure for the candidate to appeal the assessment outcome.

Step 6 If the candidate is not satisfied with the outcomes of a recognition application, they may appeal the outcome like any other assessment decision. Refer the candidate to the appeals process which can be found in the Student Information Booklet or policy and procedure manual.

Step 7 When all assessment and appeal processes have concluded, the assessment outcome is to be recorded in the recognition register and issue the candidate with written advice of the outcome. This may include issuing statements of attainment or qualifications awarded through recognition in accordance with Metro Institute Qualifications Issuance policies and procedures.

Recognition Process



Assessment Validation

Assessment 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 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.⁷

Assessment Validation forms part of Metro Institute review of assessment strategies in accordance with the requirements of the Standards for Registered Training Organisations and industry training package. The process of validating our assessments will also serve to moderate assessment decisions made by assessors.

Method⁸

At Metro Institute, we use group assessment validation as our preferred method of reviewing assessment. These activities may be conducted using teleconference or conducted face-to-face. This includes groups of assessors / subject matter experts coming together to examine a statistically valid sample of completed assessments, assessment instruments, processes and outcomes of assessment and to reach consensus about the compliance of current assessment arrangements. These sessions also provide an opportunity for assessors to discuss and present ideas about how they each apply their professional judgement to reach an assessment decision. This serves to moderate assessment practices across Metro Institute.

Assessment validation is a quality review process designed to check that the assessment process is resulting in assessment in accordance with the rules of evidence, the principles of assessment and aligns with the requirements of the training package. The Assessment Validation model utilised at Metro Institute is adapted from the publication *Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, NCVET, 2002*. This relies on the review of quantitative data and qualitative based questions framed around the principles of assessment and the rules of evidence to examine how assessment for a unit is occurring. The Standards for Registered Training Organisations specify that assessment validation includes reviewing a statistically valid sample of the assessments. This implies that validation is being conducted after a period of implementation of assessment and that the review is based on actual completed assessments. This aligns with identifying assessment validation as a quality review process which is the monitoring of an activity which is ongoing as opposed to a quality control process which examines something before its release or implementation. This is an important facet of the model adopted in this policy and the

⁷ Standards for Registered Training Organisations 2015

⁸ Maximising Confidence in Assessment Decision-Making, Resource Kit for Assessors, NCVET, 2002

requirements of the RTO Standards. We are not just validating the arrangements for assessment, but are validating the actual conduct of assessment and the outcomes being produced.

The following provides a guide to how an assessment validation activity should occur:

- Based on the Metro Institute Assessment Validation Plan, an event will be scheduled that identifies the training product (unit) to be validated, the time and place for the meeting and who is designated to lead and assist with the validation. A reminder email should be sent to those identified to participate no later than one month before the scheduled event. The suggested group size for an assessment validation activity is 3-5. It is also suggested that the assessment validation activity only focus on one unit of competency for each session.
- The person nominated to lead the validation activity will plan the day and begin to gather the required documentation and validation sample. This will include:
 - the complete assessment tools and resources,
 - any available assessment mapping,
 - relevant references relating to the unit requirements,
 - available data on completion rates,
 - the relevant training and assessment strategy, and
 - the selected statistically valid sample of completed assessments.
- It is advised that each participant be provided a complete set of assessment tools and resources for the nominated training product. This will allow each participant to make their own notes and refer to the resources individually. The venue for the validation activity should also be arranged.
- Participants will gather for the assessment validation where the lead validator will provide an outline of the model being applied and of the process to be followed. The lead validator will issue each participant and themselves with the assessment tools and resources and an equal number of sampled assessments. The lead validator will brief the participants on the use of the assessment validation tool and the criteria which comprise the tool and need to be responded to.
- At the beginning of the activity, each participant should be allocated an hour or so to individually review the assessment tools and resources, the training and assessment strategy and their allocated sample of completed student assessment items relevant to the training product being validated. During this time, each participant will make their own notes against the criteria within the assessment validation tool. Whilst this is a time for individual review it is acceptable for participants to ask each other questions and exchange

views about the assessment and the evidence they are reviewing. At the end of this initial time it is expected that each participant will have formed their own views and recorded their notes within an assessment validation tool and be ready to contribute to a group discussion.

- After each participant has completed reviewing the evidence individually, the lead validator will then facilitate a discussion about the assessment of the training product following the points identified within the assessment validation tool. As each point is presented it provides an opportunity for participants and the lead validator to exchange their views based on their own review of evidence indicating if the current assessment practice is suitable or needs improvement. The lead validator will note these discussion points and facilitate the discussion to attempt to arrive at a consensus. This is recorded within the assessment validation record which becomes the official record of validation activity. It is important that any suggested improvements to the assessment arrangement are clearly stated so that the original intent of the improvement carries through to the continuous improvement process.
- After the assessment validation activity, the lead validator is to summarise the collective findings of the assessment validation activity and identify the recommended opportunities for improvement for the assessment arrangements relevant to the training product being validated. It is important that the final assessment validation tool records the details of all evidence reviewed including the assessment sample and the names of those who to suppose in the assessment validation. The lead validator is then responsible raising a continuous improvement report to be considered at the next management meeting. These opportunities for improvement will then be considered and implemented in a systematic way utilising the continuous improvement and management meeting process.

Who can undertake assessment validation?

Assessment validation is to be undertaken by one or more persons who are not directly involved in the instance of delivery and assessment of the training product being validated. Persons selected to conduct assessment validation must have vocational competencies and current industry skills relevant to the assessment being validated. Persons must also be competent in training and assessment, i.e. hold the TAE40110 Certificate IV in Training and Assessment or its successor.

Scheduling assessment validation and moderation

In consultation with assessors, the Training Manager will take on the role of the validation co-ordinator and will formulate a schedule that identifies:

- When/Where meetings are to occur;
- What units of competency or modules are to be included;
- Who will lead anticipated in assessment validation; and

- How identified improvements will be made.

Assessment validation is to be scheduled using RTO Data using the event register. Metro Institute is required by the Standards for Registered Training Organisations to validate training products (unit assessments) at least once every five years, with at least 50% of products validated within the first three years of each five year cycle. Assessment validation meetings are to occur not less than once each quarter. Outcomes of the meetings will be recorded using the assessment validation tool to provide a record for retrospective review. This is to include raising continuous improvement reports as required.

Assessment sampling

Assessment sampling involves choosing a selection of assessed work from a sample of target units of competency. Samples are to be selected using the following criteria:

- The assessment work of a range of learners in the selected program;
- The assessment work of a range of assessors across different sites; and
- Include any apparent anomalies or borderline cases.

Equally the sample size must be large enough that the validation outcomes can be applied to the entire sample applicable to the unit of competency being validated. When calculating a sample size, the Training Manager is to use the sample size calculator provided by ASQA at the following website:

<https://www.asqa.gov.au/news-publications/publications/fact-sheets/conducting-validation>

This calculator is to be used by entering the number of assessment judgements that have occurred for a unit of competency. The settings relating to the percentage of error (15%) and confidence level (95%) are recommended to remain at their pre-set levels. The resulting sample size is to be used as a basis for selecting completed student assessment items from student records and archive.

Assessment validation tools

To support a consistent approach to Assessment Validation, standard tools have been developed and are to be used. The Assessment Validation Record is available within the Metro Institute forms folder. The tools provide the basis for the group discussion based on the qualitative questions aligned with the rules of evidence and the principles of assessment.

Relationship to the continuous improvement process

Often improvements will be identified as an outcome of assessment validation. These improvements are to be fed into our systematic approach to continuous improvement by raising a continuous improvement report and submitting this to the management meeting.

Outcomes identified as a result of assessment validation must be recorded within the assessment validation tool and then collated into a continuous improvement report.

Further information on continuous improvement reporting is available in the Continuous Improvement Policy.

Assessment Partnerships

Metro Institute acknowledges that in some circumstances assessment evidence will be gathered by personnel who do not have the necessary training and assessment competence in accordance with the requirements of the Standards for Registered Training Organisations. Examples of these circumstances may include where a recognised industry expert is contributing to training and assessment but does not yet have the required training and assessment competency.

We recognise the need to appropriately support the gathering of evidence in accordance with the principles of assessment and the rules of evidence. The focus of this policy is the collection of assessment evidence by an assessor who does not hold the required competence to perform assessment. In managing this situation, we will apply the following management approach:

- The assessor is to be an employee of Metro Institute. It is a Metro Institute requirement that assessors engaged through contract support are to have the required vocational and training and assessment competence as a basis for their contract for service with us.
- This policy only applies to an assessment partnership where the assessor lacks the required assessment competence. In all instances, assessors are to hold the required vocational competence and are to be recognised subject matter experts in their vocational field. Please refer to the Trainer Competency Requirements policy and specifically the section on Working under Supervision.
- Metro Institute staff members employed in the collection of assessment evidence and who do not hold the required assessment competence must take all reasonable steps to acquire this competence through either course work or through RPL. Assessment partnerships are a short term solution only.
- Assessment partnerships are not to be established informally without the knowledge of Metro Institute management. The conduct of assessment by a person who is not qualified is an area of high compliance risk for us and this practice may lead to unsatisfactory outcome for learners. The establishment of assessment partnerships is to be facilitated and recorded by Metro Institute management.
- A Metro Institute staff member engaged in conducting assessment under an assessment partnership is to be directly supervised by a supervising assessor. The supervising assessor is to provide regular support and direction and monitor the assessment practices being applied. It is not necessary for the supervising assessor to be present during all assessment. The supervising assessor is accountable for the assessment being conducted and may wish to closely monitor the assessment through moderation, validation, candidate surveys and through observation.

Assessment Partnership Procedure

Establishing an assessment partnership

The following procedure is to be followed to establish assessment partnerships at Metro Institute:

- Validate the competency requirements specified within the Trainer Competency Requirements policy and specifically the section on Working under Supervision.
- Establish written assessment partnership agreements and brief both the person being supervised and the supervising assessor on its requirements. The written agreements should outline the supervision and monitoring arrangement as well as the actions the assessor agrees to take to close the competence gap.
- Identify staff members that require an assessment partnership to bridge their competence gap.
- Monitor the competence of new staff applicants and make decisions about recruitment based on their vocational skills as the primary recruitment factor.
- Monitor the arrangement to ensure that appropriate monitoring and supervision is being provided and that student outcomes are not being affected.
- Monitor the assessor's activity to undertake actions to close their competence gap and obtain the appropriate assessment competence.
- Monitor the assessor's professional development towards being independently competent.

Supervising and monitoring in an assessment partnership

The following strategies may be applied to provide individual assessors appropriate level of supervision and monitoring during an assessment partnership arrangement:

- Participate in assessment moderation sessions to allow the person to observe the methods and views of other assessors when facilitating assessment and making assessment decisions.
- Provide input to the preparation of assessment activities including resource preparation, setting the context, briefing the candidate and preparing assessment tools.
- Discuss strategies to support the different types of candidates and to make adjustment for individuals and their workplaces.
- Assist the assessor to identify and prepare resources for conducting the assessment.

- Observing some assessments being conducted and providing feedback to standardise assessment practices.

All activities to supervise and monitor assessment partnerships are to be recorded within the Assessment Partnership Register. An Assessment Partnership Register is to be raised for each Metro Institute staff member who is undertaking assessment under a partnership arrangement. The register is to outline the action plan being implemented to close the gap in the staff member's competence and should record all activities where monitoring has occurred.

Staff Induction Policy

At Metro Institute, we are committed to meeting our obligations under legislation as an employer and ensuring that staff are appropriately inducted and given the organisational knowledge to perform their duties.

Aims

The aim of this policy is to:

- Ensure that all staff receive timely and appropriate information, instruction and training to commence their duties;
- Ensure that all staff receive information to enable them to understand our policy and procedure particularly with regard to training operations;
- Ensure that all staff are aware of relevant employment and other administrative procedures;
- Ensure that staff details are accurately recorded by us including certification of required qualifications and credentials;
- Ensure that all staff receive adequate and appropriate support during their preparation to undertake their duties.

Responsibilities

The following personnel are responsible for the application of this policy:

- The Chief Executive Officer is to provide adequate induction programs and procedures which achieve the aims of this policy and which foster cohesion and a productive work environment.
- Supervisors are to implement induction programs and procedures and work closely with staff to ensure that they are prepared for their duties in accordance with the aims of this policy. Supervisors are to monitor the induction of new staff members and report progress and finalisation of induction.
- Current staff members are to actively engage with new employees to guide their induction and to provide support during their transition to their new duties. Current staff members play an important function in the peer support component of professional development particularly as it relates to our own approach to training and assessment.
- New staff members are to actively participate in induction programs and procedures and seek out information rather than waiting for it to be provided to them. Active participation includes reviewing Metro Institute policies and procedures carefully, taking responsibility

for their own preparation to commence their duties and seeking clarification to uncertainties.

Induction program

The induction program will vary according to the background and circumstances of the staff member. As a general guide, induction will occur over a two – three day period. The first day is generic to all new staff members and includes orientation, meetings with key personnel and review of Metro Institute’s policies and procedures. After this initial period, the staff member is orientated to their respective work area, be that training and assessment or support services. This time will also include the issuing of any resources required to commence their duties, confirmation of duty statements and allocation of work area. A more detailed schedule of the induction program is available in the next section. The staff member is to be provided with an Induction Checklist to be used throughout the induction to confirm their completion of induction activities. This document is to be completed and signed by the staff member and their supervisor in recognition that induction has been completed in accordance with the required standard.

The following procedure is to be followed during the induction of new staff:

Before the new staff members arrives

- Issue a memo to all Metro Institute staff members advising them of the name of the new staff member, the position filled, location and starting date.

Day One

- Welcome by the Chief Executive Officer.
- Receive briefing on the induction schedule and obtain a copy of the Induction Checklist.
- Tour of the premises and introduction to staff.
- Complete employment administration including tax file number declaration, pay account details, superannuation choice, and employment contract confirmation.
- Review duty statement to understand Metro Institute’s expectations of duties.
- Meeting with Chief Executive Officer to discuss the Metro Institute policies and procedures, legislative obligation and training culture.
- Begin detailed review of Metro Institute policy and procedure.

Day Two

- Finalise the review of Metro Institute policy and procedure.

- Receive introduction to RTO Data.
- Receive equipment and resources required to undertake duties.
- Allocation of workspace and organise for access to internal information systems.
- In consultation with supervisor, compile professional development plan to guide the staff member's medium term development with Metro Institute.
- Complete Induction Checklist and file.
- Meeting with Chief Executive Officer to conclude the formal component of the induction program. Then commence work in allocated area fully orientated with a full workload.

Trainer Competency Requirements

Competency is defined as an individual's 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 environments⁹.

In accordance with the Standards for Registered Training Organisations trainers and assessors employed by Metro Institute are required to meet specific competency requirements to deliver training and assessment services as a Registered Training Organisation. It is summarised here to provide clarity on the preferred approach to this requirement by Metro Institute.

Vocational Competency

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. In determining requirements for vocational competency, Metro Institute will have regard to Training Packages which include advice specific to the industry related to the vocational competencies of trainers and assessors. Metro Institute will also have regard to information collected during industry engagement activities that inform the current industry skills required of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing.

Metro Institute require that training and assessment is delivered only by persons who have:

- Vocational competencies at least to the level being delivered and assessed. This means that they either hold the actual unit of competency or hold an equivalent unit of competency.
- If the nominated trainer does not hold the actual or an equivalent unit of competency then they may provide other supporting evidence to demonstrate their competency to the level being delivered and assessed. This other evidence should be presented like an RPL application and should overwhelmingly demonstrate the trainer's competency. Evidence may include certified copies of higher or related qualification or statements of attainment, work samples, employer references, resume, referees contact, etc. It must be very clear from the presented evidence that the trainer is competent in each unit of competency they are delivering.

⁹ Standards for Registered Training Organisations 2015

Training and Assessment Competency

Trainers and Assessors must hold one of the following:

- TAE40110 Certificate IV in Training and Assessment, or
- A Diploma or higher level qualification in adult education.

Metro Institute acknowledges that the Standards for Registered Training Organisations do make provision for those undertaking assessment, only to only hold the Assessor Skill Set (up until 1 Jan 2016 only). Metro Institute has determined that it will not apply this provision and require all staff delivering training or assessment to hold a full qualification as listed above.

Trainer and Assessor Currency

The Standards for Registered Training Organisations require that training and assessment is delivered only by persons who have following:

- Current industry skills directly relevant to the training and assessment being provided.
- Current knowledge and skills in vocational training and learning that informs their training and assessment.
- Can demonstrate the participating in professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

The requirement for current industry and vocational training skills and knowledge means that the trainer has maintained their skills and knowledge in their industry area of speciality. This is more general than the requirement to demonstrate competency and requires the trainer to have sufficient evidence to demonstrate the industry currency. Further policy guidance on mechanisms to maintain currency is provided in the Trainer Currency and Professional Development policy.

Working under supervision

The Standards for Registered Training Organisations define “working under supervision” as an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes. In situations where Metro Institute engaged subject matter experts to deliver training who are working under supervision of a trainer, the person must meet the following criteria:

- Must hold one of the following the following skill sets:
 - TAESS00007 Enterprise Trainer – Presenting Skill Set; or
 - TAESS00008 Enterprise Trainer – Mentoring Skill Set; or

- TAESS00003 - Enterprise Trainer and Assessor Skill Set.
- has vocational competencies at least to the level being delivered and assessed; and
- has current industry skills directly relevant to the training and assessment being provided

Approved Delivery Register

Within RTO Data “Staff Register” there is an Approved Delivery Register that acts as a central register to record what units of competency on the scope of registration of Metro Institute each Trainer is approved to deliver. This is to be updated by the Training Manager in consultation with the Chief Executive Officer. The three designations include:

- Train Only
- Assess Only
- Train and Assess

When creating the Student Training Plan for a student enrolment in RTO Data, if the selected Trainer is not approved for all the units in the training plan, RTO Data will alert the user that the Trainer does not hold the required competence. In these situations, an alternate Trainer is to be allocated to the student for the identified gap units.

Trainer Currency and Professional Development

It is a requirement as a Registered Training Organisation to provide for the continued professional development of staff members. Specifically, Metro Institute is required to apply systems to maintain and develop the professional competence of trainers and assessors and training support personnel. This includes ensuring that staff maintain the currency of their knowledge and skills relevant to the training and assessment being delivered or the role they perform. This requirement has three specified components:

- Continued development of their vocational competence (i.e. trade / industry skills and knowledge);
- Continued development of their training and assessment competence (if applicable to role); and
- Continued development of their awareness of applicable legislative and enterprise requirements.

To achieve this, Metro Institute will implement professional development in two strategies:

- Individual professional development, and
- Collective professional development.

Aim

The aim of this policy is to:

- Provide support for career advancement, so that we will retain staff who perform well;
- Prepare staff members for possible future responsibilities within Metro Institute;
- Enhance the standard of performance of all staff members in their current jobs;
- Maintain and increase job satisfaction;
- Improve and develop the ability of staff members to initiate and respond constructively to change;
- Maintain and continuously improve the vocational skills and knowledge of trainers and assessors;
- Provide a procedure for staff to play an active role in their own professional development; and
- To ensure trainers and assessors maintain the currency of vocational skills and knowledge.

Individual professional development

Each Metro Institute staff member is required to compile an individual professional development plan. This plan is to be reviewed annually and forms the basis for our distribution of financial support for individual professional development activities. Individual plans are developed in consultation with supervisors and must be approved by the Chief Executive Officer.

Approval by the Chief Executive Officer does not guarantee financial support for the plan but does ensure that it will be considered when financial support is distributed and will depend on our financial position.

Financial support for professional development

The following principles guide the distribution of financial support for individual professional development:

- Individual financial support will not exceed \$500.00 per person annually. This amount is inclusive of GST. The annual entitlement is based on a calendar year (i.e. Jan – Dec).
- Financial support will only be provided where the individual professional development activity is directly related to the individual’s current role within Metro Institute or a role that has been identified in the immediate future.
- Financial support will only be provided on the basis of 50% of the activity cost and only up to the annual entitlement (\$500.00).
- Financial support will only be provided for registration costs or tuition fees. It will not cover incidental costs such as transport, meals or accommodation.
- Individuals will be considered “on duty” when attending professional development activities and will be remunerated at their standard rate of pay.

The following is an example of these principles at work:

John is seeking to attend a seminar on assessment practices. The cost for the seminar registration is \$600.00. John writes a letter to the Chief Executive Officer seeking financial support of \$300.00. The application is approved and John attends the seminar and covers all incidental costs himself. John has a remaining entitlement of \$200.00.

Collective professional development

Collective professional development includes all professional development activities organised and facilitated by Metro Institute for the participation of all staff members. Activities that may be included in collective professional development include:

- In house training;

- Attendance at workshops and seminars;
- Trainers and assessors' moderation;
- Induction training; and
- Focus groups.

We will develop a collective professional development schedule that meets our requirements under Standards for Registered Training Organisations and accurately reflects our training tempo and business priorities. The Chief Executive Officer is responsible for the development and implementation of the collective professional development schedule. This schedule is to include an annual training session on the legislative requirements applicable to Metro Institute operations.

Recording Professional Development

To ensure an accurate record of professional development activities, all staff members are required to submit evidence of their professional development to administration, so it can be properly recorded in RTO Data Staff Professional Development and Currency Register.

Currency Points Framework

In addition to the requirement to demonstrate ongoing professional development, staff employed as trainers and assessors must also demonstrate that they hold current skills and knowledge in both their vocational competence and their training and assessment competence. This requirement creates questions about how much evidence is required to demonstrate that a staff member is current. It is also acknowledged that some evidence is more valued based on its validity as currency evidence and so a suitable approach is required to define the types of evidence that are suitable and the amount required.

In response to this requirement, Metro Institute has established Currency Points Framework. The Currency Points Framework allocates points to specific activities that are commonly used by Trainers to demonstrate their maintenance of skills and knowledge. The point's value is based on the perceived value an activity has in regard to its Validity as a form of evidence applicable to Standards for Registered Training Organisations. The framework seeks to give value to a much wider type of currency evidence than simply professional development. The framework is equally applicable to employees and contract trainers.

The point's value has been determined through consultation with staff and is largely based on how measurable an activity is in terms of demonstrating currency. The less measurable an item is considered, the less points it is allocated.

In applying this pathway, the following business rules apply:

- Each Trainer is required to maintain a minimum of **20 Currency Points** at any time.
- Within the annual Currency Points requirement:

- No less than **10 Currency Points** must be maintained for Vocational skills and knowledge.
 - No less than **10 Currency Points** must be maintained for Training/Assessment skills and knowledge.
- Where a Trainer has multiple vocational areas of delivery (such as sectors), the Trainer will be required to demonstrate a minimum of 10 Currency Points for each vocational areas of delivery.
- Each allocation of points based on currency activity completed is only valid for 12 months. When 12 months lapses, the point's value on the persons tally will be lost and the trainer must either have enough points to maintain a minimum balance or must offer additional currency evidence to restore the balance to the minimum level.
- A trainer can only use evidence related to a Currency Activity once in a 12 month period for both their Vocational skills and knowledge and their Training and Assessment skills and knowledge. This rule is intended to encourage the use of a variety of evidence and to prevent a person simply obtaining points for every time they read an industry journal.

The full Currency Points Framework and points allocation is provided on the following page.

Recording Currency Points

All staff members are required to submit evidence of their professional development and currency activity to administration so it can be properly recorded in RTO Data Staff Professional Development and Currency Register. The register will automatically calculate the points achieved in the calendar year and will be used to monitor staff compliance with the business rules.

Currency Points Framework and Points Table

The following table describes the value of Currency Points allocated to activities the Trainer may engage in to maintain their competence and currency. **Please note:** It must be demonstrated that the activity claimed by the Trainer is directly relevant to their role as a trainer and assessor and the vocational area they deliver training and assessment in. Activities must be evidenced.

Currency Activity	Evidence Guide	Points
Formal Professional Development leading to a nationally endorsed qualification	AQF Qualification with a record of results	5
Working in industry part time	Work log or equivalent	5
Formal Professional Development leading to a Statement of Attainment	Statement of Attainment	4
Delivering workplace training	Work log or equivalent	4
Undertaking formal research or a significant project	Research Paper or Project Report	4
Non-accredited Professional Development – Conference / Workshop	Certificate of Attendance or other proof	3
Work Placement (vocational) less than five days	Work log and post activity report	3
Development of learning and assessment materials	Example of developed materials	3
Internal Professional Development – Half day or less	Attendance record	2
Work Shadowing	Work log and post activity report	2

Industry site visit (half day)	Post activity report	2
Networking event (face-to-face)	Certificate of Attendance or other proof	2
Networking (online)	Print of activity demonstrating active involvement	1
Subscription to Industry Journal	Subscription fee receipt or letter of confirmation	1
Subscription to email based newsletter	Confirmation of subscription	1
Membership of an Industry Association or Professional Group	Receipt of membership fee or letter of confirmation	1

Trainer Records Management

It is a requirement as a Registered Training Organisation to retain verified copies of relevant staff records. It is good management to ensure that these records are retained with accuracy and integrity. Metro Institute is to retain these records in both hard copy and electronic format.

Hard copy records are to be maintained in a designated HR file and be stored in accordance with the records retention and reporting policy. Electronic files are to be stored in a structured folder and hyperlinked within the RTO Data “Staff Register”. The attachment field may be used to attach and retain commonly used electronic copies of staff records.

The following list defines what documents must be maintained in both hard copy and electronic format:

- Completed staff induction record - signed by staff member and CEO
- Certified true copy of trainer / assessor qualifications
- Certified true copy of vocational qualifications
- Evidence of equivalent competence if applicable
- Updated Curriculum Vitae or Resume detailing professional history
- Duty statement, signed by staff member
- Employment contract / Service Agreement, signed by staff member and CEO
- National Police Check if applicable
- Relevant licence documentation / working with children check, etc
- Evidence of recent professional development
- Individual professional development plan, signed by staff member and CEO