Policies and Procedures
Manual

This is a live document to document which may be subject to change without notice. All changes will be approved by the CEO prior to implementation. This document was last updated on the 20th of January, 2020.

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RTO Number: 32381
CEO: Robert Kerridge

Contact Details for Civil Safety:

Postal Address: 52 Commerce Circuit, Yatala, Queensland 4207
Phone: 1300 CIVIL S
Email: compliance@civilsafety.edu.au
Website: www.civilsafety.edu.au

Policy Overview

Civil Safety is committed to excellence in training and equipping people to be all that they can be in whatever field of endeavour they pursue.

It follows then that Civil Safety is committed to adhere to best practice guidelines for recognised training, as adopted by the Australian Skills Quality Authority (ASQA), and as they apply to the presentation and development of Civil Safety.

This Civil Safety Manual has been developed over time and revised in an attempt to ensure that Civil Safety continues to comply with all that is expected, and continues to maintain its status as a Registered Training Organisation in Queensland.

This Policy and Procedures Manual does not stand alone. Companion documents include:

1. Course Documents -- a full description of the curriculum associated with the accredited Courses offered by Civil Safety.

2. Student Handbook -- information made available to students which contain all policies relevant to their completion of training. A current version is found on our website at civilsafety.edu.au

3. The Standards for Registered Training Organisations (RTOs) 2015

4. Training and Assessment Strategies

Training and Assessment Strategies and Resources Policy

1. Purpose

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

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

2. Policy Statement

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

Civil Safety will:

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

3. Definitions

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

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

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

Educational and support services may include, but are not limited to:
   a)   pre-enrolment materials;
   b)   study support and study skills programs;
   c)   language, literacy and numeracy (LLN) programs or referrals to these programs;
   d)   equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
   e)   learning resource centres;
   f)   mediation services or referrals to these services;
   g)   flexible scheduling and delivery of training and assessment;
   h)   counselling services or referrals to these services;
   i)   information and communications technology (ICT) support;
   j)   learning materials in alternative formats, for example, in large print;
   k)   learning and assessment programs contextualised to the workplace; and
   l)   any other services that the RTO considers necessary to support learners to achieve competency.

Industry means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:
   a)   enterprise/industry clients, e.g. employers;
   b)   group training organisations;
   c)   industry organisations;
   d)   industry regulators;
   e)   industry skills councils or similar bodies;
   f)   industry training advisory bodies; and
   g)   unions.

Industry engagement, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:
   a)   partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
   b)   involving employer nominees in industry advisory committees and/or reference groups;
   c)   embedding staff within enterprises;
   d)   networking in an ongoing way with industry networks, peak bodies and/or employers;
   e)   developing networks of relevant employers and industry representatives to participate in assessment validation; and
   f)   exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

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

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

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
   a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
   b)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

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

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

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

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

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

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

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

** Table is an Excerpt from AQF.

4. Policy Principles

4.1   Underpinning Principles

a) Civil Safety utilises a 10-step process to develop and document its Training and Assessment strategies and resources, in consultation with clients and stakeholders, taking account of factors such as :
   i. industry/enterprise needs;
   ii. the commercial environment;
   iii. cost;
   iv. the requirement of the Training Packages or VET Accredited courses; and
   v. educational support services required to accommodate the specific client needs (eg their language, literacy and numeracy needs).

b) The training and assessment strategies are developed and documented by the Director Civil Safety on application for registration / extension of scope and reviewed and customised for client implementation, for each qualification, skill set, cluster or individual unit/ module for delivery.

c) Through the development of training and assessment strategies Civil Safety will ensure appropriate access to the trainers and assessors, facilities, equipment, training and assessment materials required to provide the training and assessment services, to accommodate client numbers, client needs, delivery methods and relevant assessment requirements (including distance learning and on-line).

d) All training and assessment strategies are clearly articulated to comply with the requirements of Training Packages, VET Accredited courses and AQF (with particular regard to "Volume of Learning") and based on data collected regarding industry/client requirements and learning needs through effective consultation.

e) Further information will be researched during the development training and assessment strategies including:
   i. via the internet;
   ii. Industry and government documentation / information;
   iii. Training publications.

f) Information gathered may include:
   i. Regulations or laws governing the industry;
   ii. Standard operating procedures;
   iii. Manufacturer's instructions;
   iv. Information regarding the work environment (eg work schedules, seasonal factors and fluctuations, shift rosters etc);
   v. Preferences regarding training delivery; and
   vi. Characteristics of the target group.

g) Industry / client involvement may include representatives from the following bodies:
   i. Industry skills councils;
   ii. industry training bodies;
   iii. industry organisations/enterprises;
   iv. clients;
   v. Licensing bodies/ regulators;
   vi. Trade Unions.

h) Training and assessment strategies must meet the client needs and support the characteristics of the target group. Client needs may include:
   i. Learning styles;
   ii. Physical or intellectual abilities;
   iii. Relevant prior learning or experience;

  iv. Language, literacy and numeracy abilities;

  v. Location of training an assessment;

  vi. Cultural or ethnic background and learning approaches;

  vii. Socio-economic factors.

i) Validation - Reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgements made by a range of assessors against the same competency standards is to occur at least annually and any action to improve the quality and consistency of assessment is to be documented. (See Validation Policy)

4.2 Training and Assessment Strategies (TAS)

a) Civil Safety has a Training and Assessment Strategy (TAS) template which is to be used for each qualification or VET accredited course under the scope of registration. The full completion of this template ensures that all the requirements of a TAS, are met.

b) Information contained in the TAS includes (but is not limited to):

  i. Full code and title of the training product

  ii. How the units of competency are packaged to meet the requirements of the qualification

  iii. How pre-requisite and co-requisite units are accommodated

  iv. Amount of training

  v. Duration and scheduling

  vi. Entry level requirements

  vii. Modes of delivery

  viii. Assessment resources, methods and timing

  ix. Human resources

  x. Physical resources

  xi. Learning resources.

  xii. Learning approaches that can be used to accommodate client needs

  xiii. Recognition of prior learning (RPL) processes

  xiv. Advice to trainers and assessors on how training is to be delivered and assessment conducted

4.3 Client Tailored Programs

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

4.4 Training and Assessment Resource Register

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

4.5 Training and Assessment Resources

a) All resources needed for the delivery of the training program are identified in the Training and Assessment Strategy (TAS).

b) Documented Training and Assessment Resources may include :

  i. Trainer Resources:

   • Trainer information regarding the unit of competency

   • Lesson plans

   • Handouts (as applicable)

- Relevant training program specific forms
- Audio/Visual presentations
- Videos/DVDs

ii. Learner Resources:
- Learner manual
- Text book (as relevant)
- Training Journal

iii. Assessment Resources:
- Assessment tools
  - information regarding the unit of competency
  - Assessor instructions
  - Client instructions
  - Assessment instruments
  - Assessment forms/templates
- Assessment marking guides
- Recognition Tool

iv. Mapping Documentation – identifying how the training and assessment materials map for compliance against the unit of competency

c) Other Resources may include:
  i. Premises, equipment and facilities required
  ii. Industry placement arrangements
  iii. Simulated environments required
  iv. Support staff or resources required to meet learner needs
  v. Language, literacy and numeracy support
  vi. Agreements for the use of resources, equipment, machinery, facilities

4.6   Copyright of Resources

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

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

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

  i. Identify client training needs
     a. Consult with industry (Industry Consultation Form)
     b. Conduct a task and training needs analysis (If applicable)
  ii. Identify appropriate competency standards and training package requirements
  iii. Develop the training and assessment strategy (using Training and Assessment Strategies Template)
  iv. Validate training and assessment strategy with industry / client

a. Review and update training and assessment strategy
   v. Identify / develop appropriate training and assessment resources
   vi. Validate training and assessment resources with industry / client
       a. Review and update training and assessment resources
   vii. Conduct and evaluate 'Pilot' program
   viii. Review and finalise training and assessment strategy and resources
   ix. Deliver the training and assessment
   x. Ongoing review and evaluation of training and assessment

5. Responsibilities

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

6. Legislation

Legislation applicable to this policy include:

- Copyright

7. Records Management

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

8. Monitoring and Improvement

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

Assessment Policy and Procedures

1 Purpose

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

This policy ensures Civil Safety assessment practices comply with SRTOs 2015, provides Civil Safety assessors with clear information on assessment processes and evidence requirements, and ensures that assessments are conducted in accordance with the principles of assessment and rules of evidence.

2 Policy

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

Civil Safety applies flexible assessment options, which recognise the diversity of individual client needs and circumstances, facilitating wherever possible the realisation of their learning and vocational goals.

Civil Safety ensures that:

- all assessment options and processes implemented are in compliance with competency-based assessment and Training Package requirements;
- all assessments meet the Training Package, Accredited Course, Unit of Competency or Skill Set requirements as published on training.gov.au and that all assessments are consistent with the organisation's Training & Assessment Strategies Procedure;
- all assessments ensure the integrity of the VET system;
- assessment processes respect, recognise and develop learners' current knowledge and experiences and provide appropriate opportunities for the formal recognition of prior learning be equitable for all learners, taking account of cultural and linguistic needs have provision for reassessment on appeal;
- assessment include coversheets that contain learner declaration with respective learner's and assessor's name, date and signature;
- the assessment meets workplace performance standards as defined in the Training Package and refined by consultation with industry;
- assessment tools meet the requirements of the Principles of Assessment and are valid, reliable, flexible and fair;
- the assessment evidence collected and analysed meets the requirements of the Rules of Evidence and are sufficient, valid, authentic and current;
- all evidence submitted as part of applications for RPL meet all assessment requirements, including the requirements of the training package, the Principles of Assessment and the Rules of Evidence;
- assessment requirements are declared in advance and are transparent and accessible;
- assessment tools are moderated to ensure consistency in the interpretation of evidence;
- assessment is conducted by qualified assessors;
- assessment feedback is timely and appropriate;
- qualifications provided by other Registered Training Organisations are recognised; and
- lead to the issuing of a Statement of Attainment or Award under the Australian Qualification Framework (AQF) when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Packages.

In the development of an assessment strategy, use the information contained in each unit of competency and assessment conditions to:

- Engage and consult with industry regarding the physical and human resources required for specific contexts of assessment;
- Set benchmarks for measuring student performance using observable behaviour; and
- Provide opportunities for assessment in different workplace contexts and environments.

In the conduct of assessment, assessors assess students, to determine if students can perform these tasks at an acceptable level, against all the:

- Tasks identified in the elements and performance criteria of the unit of competency;
- Skills, performance and knowledge evidence as specified in the unit of competency;
- Foundation skills; and
- Requirements as set out in the assessment conditions.

In the achievement of competency students have satisfactorily demonstrated their:

- Ability to perform relevant tasks in a variety of workplace situations, or accurately simulated workplace situations;
- Understanding of what they are doing, and why, when performing tasks in the workplace; and
- Ability to integrate performance with an understanding, which shows they are able to adapt to different workplace contexts and environments.

3. Definitions

Australian Qualifications Framework (AQF)	means the national policy for regulated qualifications in the Australian education and training system;
Australian Skills Quality Authority (ASQA)	means the national regulator for VET in Australia. ASQA regulates courses and training providers;
Assessment conditions	mean the description of the context for assessment under which a student demonstrates competency, including any specific requirements for resources, trainers and assessors;
Assessment	means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course;
Assessment system	is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment and the Rule of Evidence.
Assessment tools	are the instruments and procedures used to gather and interpret evidence of competence for the chosen assessment method. Assessment tools include but not limited to assessment tasks with clear evidence criteria/decision making rules, assessment mapping, marking guide, instruction to learners and assessors and information to learners regarding reasonable adjustment.
Competency	involves the specification of skills and knowledge and their application to a particular standard of performance required in the workplace. Aspects of work performance included in this concept involve: • Performance of technical skills at an acceptable level • Organising one's tasks Responding and reacting appropriately when things go wrong transferring skills and knowledge to new situations and contexts.
Industry engagement	is an ongoing activity where the information obtained is systematically used to develop and review the training and assessment strategies used in VET provisions;

Recognition of Prior Learning (RPL)	means the process by which prior learning (formal, informal or non-formal) is identified and assessed for relevance and value against the requirements of a VET course to determine the competencies that may be granted towards that course;
Regulation	means any rule endorsed by government where there is an expectation of compliance;
Regulator standards	mean the Standards for RTOs 2015 or its successor;
RTO	means Registered Training Organisation;
Scope of Registration	means the identified VET Training Products for which the CIVIL SAFETY is registered to deliver and issue AQF certification documentation;
Services	include the training, assessment, and related educational and support services and/or any activities related to VET. It does not include services such as student counselling, mediation or information and communications technology (ICT) support;
Training package	means a set of nationally endorsed standards, qualifications and guidelines used to recognise and assess the skills and knowledge people need to perform effectively in the workplace

4. Principles

Underpinning Principles

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

b) Three levels of assessment:

Various levels of assessment may be used, including:

i. **Diagnostic** also known as pre-assessment provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement.

ii. **Formative** assessment assists and supports training by monitoring and advising clients of their performance and rate of progress against the training outcomes. This provides feedback to the client, supervisor and trainer on what development activities are needed to achieve the required competencies. Assessment accumulates.

iii. **Summative** assessment evaluates of achievement of the Training outcome. Often conducted in the workplace, summative assessment confirms achievement of the competency requirements. Assessment culminates.

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

d) Evidence gathering methods commonly used by Civil Safety may include, but are not limited to:
    i. Projects
    ii. Written Assignments
    iii. Workplace assignments
    iv. Workplace performance
    v. Documentation
    vi. Demonstration
    vii. Questioning
    viii. Role play
    ix. Simulation
    x. Oral presentations
    xi. Written tests
    xii. Portfolio
    xiii. Third party reports.

e) Assessment is carried out in accordance with the requirements of the relevant Training Package, on a consistent and timely basis to ensure that learning has taken place and that clients have acquired the knowledge and skills required to demonstrate competency.

f) All assessments will be recorded in accordance with Civil Safety Records Management Policy and procedures using appropriate documentation and Student Management System (SMS).

g) Assessment outcomes will be recorded and securely maintained in both electronic and manual systems.

h) feedback is provided to clients and includes the assessment outcome and guidance for further learning and assessment (as appropriate);

Special Considerations

a) Clients who experience unforeseen circumstances or have special needs that affect their performance in an assessment may be eligible to apply for a special consideration and reasonable adjustment to assessment.

b) Special consideration may apply to clients who during training or assessment experience one of the following circumstances:
    i. Serious illness or psychological conditions for example, hospital admission, serious injury, severe anxiety or depression (requires doctor's certificate).
    ii. Bereavement.
    iii. Hardship/Trauma for example, victim of crime, sudden unemployment.
    iv. Other exceptional circumstances (to be assessed on application).

c) Clients wishing to apply for Special consideration in the above circumstances may do so by discussing their circumstances with Director Civil Safety.

d) Approved applications for Special consideration may be subject to one of the following outcomes:

i.   Extension of submission date (not beyond 6 months);
ii.   Deferred Assessment;
iii.   Additional assessment;
iv.   No action;
v.   Withdrawal from course without penalty;
vi.   Resubmit/reassessment; or
vii.   Opportunity to recommence course, dependent on availability on another date.

Reasonable Adjustments to assessment

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

Assessment Submission

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

Principles of Assessment

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

Fairness	The individual learner's needs are considered in the assessment process.
	Where appropriate reasonable adjustments are applied by the RTO to take into account the individual learner's needs.
	The RTO informs the learner about the assessment process, and

| | provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary |
| **Flexibility** | Assessment is flexible to the individual learner by: |

- Reflecting the learner's needs;
- Assessing competencies held by the Learner no matter how or where they have been acquired; and
- Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:

- Assessment against the unit/s of competency and the associated assessment requirement covers the broad range of skills and knowledge that are essential to competent performance;
- Assessment of knowledge and skills is integrated with their practical application;
- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessments requirements.

Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Rules of Evidence

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

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.

Currency   The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Assessor Requirements

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

Assessment Resources

a) Assessment resources are developed in consultation with industry. (See Training Strategies and Resources Policy)
b) Assessment tools are the resources used by assessors to identify and record the skills and knowledge clients must demonstrate to be deemed competent in a unit/module.
c) Assessment tools are crucial for the accurate and consistent assessment of clients against competency standards.
d) Assessment tools are required as evidence of assessment and must be retained on record as proof that a person was assessed as competent, for a minimum period of six (6) months.
e) Assessment tools consists of:
    i. Instructions for clients;
    ii. Instructions for assessors;
    iii. Assessment instruments;
    iv. Pre assessment briefing;
    v. Assessment checklists; and
    vi. Assessment outcome Summary.

Assessment Validation

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

Assessment Marking

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

Assessment Decisions and Outcomes

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

Assessor Code of Conduct

a) All Civil Safety Assessors abide by the following code of conduct.
   Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME)). The Code of Practice below is based on the international standards.

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

Recognition of Prior Learning

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

Plagiarism, Cheating and Collusion in Assessment

    a) Plagiarism, cheating and collusion in assessment are expressly prohibited.
    b) Clients cannot submit any piece of work for assessment that is not entirely their own work.
    c) Clients cannot assist other Civil Safety clients with assessed work.
    d) Clients cannot accept assistance from other Civil Safety clients with assessed work.
    e) Clients cannot submit the same piece of work for assessment, as another learner/client of Civil Safety.
    f) All cases of plagiarism, cheating and collusion are treated as a serious matter and will be reviewed and treated on a case by case basis.
    g) Depending on severity and circumstances, penalties of plagiarism, cheating and collusion may include one or more of the following (i.e. sanctions may not be discrete):
        i. Completion and resubmission of a new assessment task; and/or
        ii. All parties receiving a "Not Yet Satisfactory" result for the assessment task; and/or
        iii. Verbal or written warning; and/or
        iv. Suspension or expulsion from the course.
    h) Client records will be noted with all investigated and proven incidents.
    i) All incidents will be reviewed by the Director Civil Safety.

5. Responsibilities

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

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

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

The Director will ensure:

    a) All appointed and authorised Assessors possess and maintain relevant qualifications and vocational competency in accordance with those required in Standards of RTOs.
    b) Clients are provided information on the assessment process prior to assessments being conducted.

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

Assessors

Assessors conducting assessment on behalf of Civil Safety will:

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

6. Procedure

6.1 Steps

STEP 1 – Preparation for assessment			
No.	**Action**	**Why**	**Who**
1.1	a) Students are informed of assessment requirements prior to the commencement of learning b) Students receive assessment documentation prior to the commencement of learning. **c) Learners are to be advised by the assessor of:** the context and purpose of the assessment process the competency standards to be assessed and the evidence to be collected Flexibility of assessment options	To ensure clients are fully aware how they are to be assessed. Details of the assessment processes should be provided to each student in a program, course or module. This could be prior to course commencement or at the first contact session at the latest	Trainer Assessor

	Number of assessment attempts available Result notification process Appeals policy		
1.2	**The Assessor is to:** • assess the needs of the candidate and, where applicable, negotiate reasonable adjustments for assessing people with disabilities without compromising the integrity of the competencies • seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process • determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment.	To ensure that the learner is ready for assessment.	Trainer Assessor

STEP 2 – Conducting assessment			
No.	**Action**	**Why**	**Who**
2.1	Conducting assessment involves the following steps: • select appropriate assessment tool for each assessment • ensure that the requirements are in place for the proper and safe conduct of the assessment • conduct assessment • make judgments based on the evidence gathered • advise learner of the assessment outcomes. **The Assessor must:** • use the approved Civil Safety assessment tools to gather sufficient and valid evidence about the candidate's performance in order to make the assessment decision • organise equipment or resources required to support the evidence gathering process • coordinate and brief other personnel and/or stakeholders involved in the evidence gathering process.	To provide a safe assessment environment with appropriate resources and to ensure consistency of assessment.	Trainer Assessor

STEP 3 – Collect Evidence & make assessment decision			
No.	**Action**	**Why**	**Who**
3.1	The Assessor must: • establish and oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility • collect appropriate evidence and assess this against 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	To assess competence in line with the unit/module requirements and following the rules of evidence. To record judgements as per Civil safety requirements.	Trainer Assessor

	competencies		
	• evaluate the evidence in terms of validity, consistency, equity, authenticity and sufficiency		
	• consult and work with other staff in the assessment process		
	• record details of evidence collected		
	• make a judgement about the candidate's competency based on the evidence and the relevant Unit[s] of Competency.		

STEP 4 – Provide feedback on assessment

No.	Action	Why	Who
4.1	The Assessor must provide advice to the candidate about the outcome 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 information on reassessment and the appeals processes • an opportunity for reassessment if applicable.	To provide the learner with adequate feedback on their performance and any gaps in competence.	Trainer Assessor

STEP 5 – Recording & reporting results

No.	Action	Why	Who
5.1	The Assessor must: • record the assessment outcome for each unit and maintain confidentiality • forward completed assessments evidence and signed and dated assessment outcomes to Civil Safety administration. • Civil Safety Administration will quality check the evidence and process entry of results into the Student Management System	To document student results and to ensure assessment tools and documentation is complete.	Trainer Assessor/Admin

STEP 6 – Review the assessment process

No.	Action	Why	Who
6.1	As requested by Civil Safety, the Assessor must be willing to: • participate in a review of the assessment process, including participating in validation and	To maintain assessment currency and to check consistency of judgements.	Trainer Assessor/Quality Team

No.	Action	Why	Who
	• moderation meetings • provide feedback on the positive and negative features of the assessment to those responsible for the assessment procedures • make suggestions (if necessary) on improving the assessment procedures to appropriate personnel.		

STEP 7 – Participate in the reassessment and appeals process			
No.	**Action**	**Why**	**Who**
7.1	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 the Training Manager and/or Director • participate in the reassessment or appeal according to the policies and procedures of Civil Safety.	To provide a fair assessment process and opportunity for learners to be reassessed and appeal judgements.	Trainer Assessor/Quality

7. Supporting Information

7.1 Related Legislation

- Vocational Education and Training (VET) Quality Framework
- Standards for Registered Training Organisations (RTOs) 2015
- Anti-Discrimination Act 1991
- Disability Services Act 1992
- Freedom of Information Act 1992
- Privacy Act 1988
- Privacy Regulation 2001
- Workplace Health & Safety Act 1995

7.2 Related Documents

- Training and Assessment Strategies and Resources Policy
- Records Management Policy
- Training and Assessment Strategies
- Course Resources and Assessment tools
- LLN assessment
- Individual Support Plan

- Training Plan
- Recognition policy
- Assessment cover sheet
- Industry Engagement Procedure
- Continuous improvement Policy & procedure
- Appeals policy and procedure

Training Delivery Policy and Procedures

1. Purpose

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

2. Policy

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

Civil Safety ensures that:

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

3. Definitions

Educational and support services may include, but are not limited to:
   a)   pre-enrolment materials;

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

Industry means the bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:
a)   enterprise/industry clients, e.g. employers;
b)   group training organisations;
c)   industry organisations;
d)   industry bodies;
e)   industry training advisory bodies; and
f)   unions.

Industry engagement, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:
a)   partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
b)   involving employer nominees in industry advisory committees and/or reference groups;
c)   embedding staff within enterprises;
d)   networking in an ongoing way with industry networks, peak bodies and/or employers;
e)   developing networks of relevant employers and industry representatives to participate in assessment validation; and
f)   exchanging knowledge, staff, and/or resources with employers, networks and industry bodies

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

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
a)   both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
b)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

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

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

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

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

4. *Principles*

Underpinning Principles

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

Mode of Delivery

a) Civil Safety typically utilises the following delivery methodologies that may be incorporated for courses (depending on client needs):

   i. **Classroom: Trainer – Led**
   Clients will be provided with access to industry professionals who are qualified trainers and assessors and a full set of learning & assessment resources. This is a full delivery model whereby the trainer teaches full content to clients as they progress through the learning of the qualification/ unit of competency, in accordance with learning resources provided and the requirements of the Training Package or VET Accredited Course. The learning environment is interactive with clients engaging in group discussions and activities. Clients are provided with assessments to undertake/complete and submit to demonstrate their competency.

   This teacher-led delivery mode has the advantage of providing a focussed, controlled environment for acquiring the skills and knowledge necessary. Clients are given the opportunity to practise the application of knowledge and skills. Group activities allow

the application of learning to a variety of situations. Self-paced research and work gives clients opportunities to develop and practice their capacity for self-directed work, and make learning very relevant to their particular circumstances and/or workplace.

ii. **Distance Learning (Correspondence / Online)**
This is a self-paced learning approach whereby clients receive a full set of learning and assessment resources. Clients learn at their own pace and have access to and support from industry professionals who are qualified trainers and assessors via telephone, email, chat, video etc. Once Clients have completed their learning and assessments, they forward their completed assessment back to Civil Safety for judgment on competency.

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

iv. **Assessment Only – Recognition (RPL)**
Where clients choose an assessment only mode they receive full set of assessment resources, with ongoing communication and support from an industry professional who is a qualified assessor. No learning materials are provided for this mode. (**See Recognition Policy and practices**)

v. **Blended Learning**
A combination of any of the above six (4) modes of delivery can be put in place to suit the needs of clients. These are negotiated and agreed with clients on an individual basis.

Workplace Training

a) If a client is not currently employed, they may be required to undertake vocational placement throughout their training if required by the course requirements.
b) Civil Safety will negotiate with the client and the workplace management, to ensure appropriate arrangements for the confidential treatment of workplace information, and interactions with the workplace.
c) Civil Safety will ensure that where the client uses evidence from their workplace as demonstration of their competence, the client obtains prior approval from the workplace management for the information/documentation to be taken from the workplace and provided as evidence to the Civil Safety for assessment.
d) Civil Safety will sign a workplace approval/agreement advising clients and workplaces that all confidential information (such as names, addresses) can be removed from assignments and/or that fictitious names can be used instead, to protect privacy.
e) Civil Safety ensures that should site visits be required for training and assessment that the Civil Safety representative is aware of the privacy, confidentiality and commercial sensitivity of the business.

f)   Civil Safety ensures it has permission from the workplace management for the conduct of training and assessment in the workplace environment.

g)   Civil Safety ensures that client will be informed of any requirement to interview workplace managers, colleagues or clients, and that this is approved by those parties involved.

h)   Civil Safety ensures the confidentiality of individuals who may be involved in any workplace interviews, such as managers, colleagues and clients.

i)   Civil Safety ensures that trainers and assessors receive relevant site inductions prior to entering a workplace, in consultation with site management.

Training & Assessment Resources – for Trainers and Assessors

a)   Civil Safety provides the following resources to trainers and assessors for the delivery of training:
    i. Training and assessment strategy
    ii. Lesson plans/Delivery schedule
    iii. Trainer resources
    iv. Assessment resources
    v. Course resources

b)   Resources provided contain all relevant information for the trainer to enable delivery of the training to meet the unit/s of competency.

c)   Civil Safety provides the relevant facilities and equipment required as prescribed in the Training and assessment strategy and to accommodate the number of learners.

Conducting Training

a)   Training sessions will be provided at:
    i. Civil Safety Training rooms; or
    ii. on-site at the clients' premises (away from the normal work routine); or
    iii. a contracted training room arranged by Civil Safety.

b)   The degree to which learning occurs depends on how the client interacts with their learning environment. The environment consists of the trainer, the training materials, other learners, as well as the physical and psychological atmosphere.

c)   In all cases, trainers are required to deliver learning in accordance with the Training and assessment strategy and training and assessment resources provided giving particular attention to their functions of teaching, and managing clients and the learning environment.

d)   Trainers as leaders are required to guide, inspire and supervise the clients so that they attain their learning outcome.

e)   Trainers are required to encourage clients to be responsible for their own learning. Controlling the learning activity enables the trainer to monitor the progress of the learning experience.

f)   Other Trainer functions include:
    i. Prior to the commencement of training, trainer / assessor will assess the area to identify hazards which could pose threat to safety of clients.
    ii. Planning the learning environment, ensuring it is safe and conducive to learning;
    iii. Consulting with Civil Safety management and administration staff on administrative and training procedures;
    iv. Monitoring and reporting training progress and success;
    v. Monitoring and reporting on client's readiness for assessment.

g)   Trainers are required to ensure all course documentation is fully completed and provided to Civil Safety administration staff, immediately following training delivery. (See **Records Management Policy**)
    This includes, but is not limited to:
    i. Attendance records;
    ii. Site Visit forms;
    iii. Training Environment safety evaluation;
    iv. Client – Evaluation forms;

v. Trainer – Evaluation form;

Premises, equipment and facilities

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

Language, Literacy and Numeracy

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

5. Responsibilities

Overall responsibility for training delivery rests with the Director of Civil Safety.

6. Procedure

6.1 Steps

STEP 1 – Planning for Training Delivery			
No.	**Action**	**Why**	**Who**

1.1	d) Confirm the need for a new course to be scheduled/planned (either from a client or implementing a training calendar).
	e) Organise new marketing material for the new course (See **Marketing Materials Procedures**).
	f) Check, identify and confirm Trainer availability for new course.
	g) Create Training & Assessment Strategy (TAS) for new course.
	h) Advise Admin to create new course. (See **Records Management Procedures – Course Records and File**).
	i) Provide the following to Admin:
	   i. Details of Trainer / Assessor**;**
	   ii. **Training and assessment Strategy (TAS);**
	   iii. Details of Group / Corporate Booking (if applicable);
	   iv. Special requirements for Training and Assessment materials (as applicable);
	   v. Equipment / Facilities required for the course;
	   vi. Venue details and requirements;
	   vii. Catering requirements;
		Identify new products that meet the needs of Civil Safety clients and target demographic and plan for delivery ensuring compliance with Civil internal process and applicable regulatory requirements and standards.	Director/Training Manager

| | | viii.   Travel requirements for Trainer (if applicable);
ix.   Accommodation requirements for Trainer (if applicable);
j)   If a public course; advise Admin to commence marketing new course.
k)   Liaise and confirm with Corporate Client throughout planning phase. | | |

STEP 2 – Preparing for New Course			
No.	**Action**	**Why**	**Who**

2.1	a) Follow **Records Management Procedures – Course Records and File.**
	b) Organise printing and delivery of training materials.
	c) Organise, book and confirm venue.
	d) Organise, book and confirm equipment and resources.
	e) Organise, book and confirm Travel for Trainers (if applicable);
	f) Organise, book and confirm Accommodation for Trainers (if applicable).
	g) Organise, book and confirm Catering.
	h) Make notes of all actions on **'Course Checklist Form'** and **'Course File Checklist'** as appropriate.
	i) Ensure Course Nomad file is ready for Trainer Collection and includes:
	     i. **Training Attendance Form;**
	     ii. Sufficient Number of **Course Evaluation Forms**;
	     iii. **Trainer Evaluation Form**;
	     iv. **Trainer Course Report Form**;
	     v. Copies of blank **Client file Note Forms;**
	     vi. Instructions on Venue;
	     vii. Contact details of Venue;
	     viii. Information regarding Catering.
		To ensure courses are setup correctly and appropriate resources allocated. To meet training delivery documentation requirements.	Admin

STEP 3 – Conducting Training			
No.	**Action**	**Why**	**Who**
3.1	**Before training:** a) Collect **Course File** from Admin, prior to training day. b) Collect Course Materials from Admin. c) Confirm Special Requirements for Course with Admin d) Arrive at least 30 minutes before scheduled commencement time, for set-up. e) Liaise with Venue contact on arrival f) Confirm any Catering matters with Admin and the Venue g) Confirm amenities at the Venue h) Confirm any Evacuation procedures at the Venue i) Conduct Safety Check of Venue j) Conduct Safety Check of Equipment k) Ensure effective Room Set-up / Layout	To ensure that trainers are prepared for delivery of training.	Trainer/Admin

	l)	Ensure all presentation equipment is setup and ready (e.g. Laptop, Projector, television, Audio)		
	m)	Set-out learning and assessment resources for clients.		
3.2	**During Training:** a) Conduct Client Induction, ensure all Client Induction forms are signed and returned to **Course file** b) Ensure all Participants sign the **'Training Attendance Form'**. c) Ensure ongoing safety of all d) Make note of any relevant issues on '**Trainer Course Report Form**'.		To provide information on course requirements and overview of training/assessment and individual responsibilities. Provide a safe training environment and to identify any issues to improve services.	Training/Training Manager
3.3	**Post training:** a) Distribute '**Client course Evaluation forms'** for completion b) Gather completed **Client course Evaluation forms**, and place in **Course file** for Admin c) Complete, collate and place any completed assessments documents in **Course file**. d) Complete Trainer Course Report Form, and place in **Course file** for Admin e) Clean and tidy Training Room; f) Return any relevant equipment to the Venue contact g) Return **Course File** to Admin as soon as possible, at least within 48 hours.		To gather feedback on training services to identify any opportunities for improvements. To ensure processing of results in a timely manner and within Civil safety and regulatory requirements.	Trainers/Admin

7. *Supporting Information*

7.1 Related Legislation

- Trade Practices legislation and regulations
- Vocational Education and Training (VET) Quality Framework
- Standards for Registered Training Organisations (RTOs) 2015
- Anti-Discrimination Act 1991
- Disability Services Act 1992
- Freedom of Information Act 1992
- Privacy Act 1988
- Privacy Regulation 2001
- Workplace Health & Safety Act 1995

7.2 Related Documents

- Training and Assessment Strategies and Resources Policy
- Records Management Policy
- Training and Assessment Strategies
- Course Resources and Assessment tools
- LLN assessment
- Individual Support Plan
- Training Plan

Trainer Currency Policy and Procedures

1. Purpose

- Ensuring that all Trainers have the qualifications, competencies and industry currency as required by the Australian Skills Quality Authority (ASQA), under the Standards for Registered Training Organisations (RTOs) 2015;
- VET Trainers undertaking professional development in vocational training, learning and assessment and
- Confirming, documenting, and retaining evidence of qualifications and competencies for all Trainers.

2. Policy

Civil Safety is committed to ensuring qualified and skilled trainers and assessors train and assess VET Training Products. The qualifications and competence of VET Trainers directly impact the quality of the delivery.

3. Definitions

Term	Definition
AQF qualification	an AQF qualification type endorsed in a Training Package or VET accredited in a VET accredited course.
Australian Qualifications Framework (AQF)	the national policy for regulated qualifications in the Australian education and training system
Australian Skills Quality Authority (ASQA)	the national regulator for VET in Australia. ASQA regulates courses and training providers
Certified evidence	a copy of an original document that has been authorised (or stamped) as being a true copy of the original by an authorised person
Industry Currency	the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of industry
Professional development	activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and assessment, including competency-based training and assessment
Recognition of Prior Learning (RPL)	the process by which prior learning (formal, informal or non- formal) is identified and assessed for relevance and value against the requirements of a VET course to determine the competencies that may be granted towards that course
RTO	Registered Training Organisation
Scope of Registration means	the identified VET Training Products for which the Civil Safety is registered to deliver and issue AQF certification documentation
Standards	the Standards for Registered Training Organisations (RTOs) 2015
Third party provider	any party (organisation or entity) that provides services on behalf of, or for the Civil Safety Employment & Training. A third party may include other Registered Training Organisations, non-registered training providers, recruitment agents or brokers, or employment/job services agencies
Training product	a VET unit, skillset or qualification registered with ASQA on the Civil Safety's Scope of Registration
VET	Vocational Education and Training
Vocational Competency	that an individual is familiar with the content of the vocation and has relevant current experience in the industry relevant to the Training Product Vocational competencies must be considered on an industry-by-industry basis and with reference to the guidance provided in the assessment guidelines of the relevant Training Package.

4. Principles

4.1 Training & Assessment Qualifications

Training and assessment at Civil Safety can only be undertaken by Trainers who have:

- Vocational competencies and qualifications at least to the AQF level being delivered and assessed;
- 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; and

- The following trainer and assessor credentials:
    - On or before 31 March 2019:
        - TAE40110 Certificate IV in Training and Assessment; or
        - TAE40116 Certificate IV in Training and Assessment or its successor; or
        - A diploma or higher-level qualification in adult education.
    - On or after 1 April 2019:
        - TAE40110 Certificate IV in Training and Assessment, and one of the following units of competency;
        - TAELLN411 or TAELLN401A (or their successor), and one of the following units of competency, TAEASS502 or TAEASS502A orTAEASS502B (or their successor); or
        - TAE40116 Certificate IV in Training and Assessment or its successor, or
        - A diploma or higher-level qualification in adult education.

4.2 Vocational Competency

In addition to the training and assessment competencies specified above, Trainers must demonstrate vocational competencies at least to the level being delivered and assessed by:

- Holding the competency, they are delivering; or
- Demonstrating equivalence of competency.

Evidence of equivalence is captured by mapping the requirements of each unit of competency/module being taught or assessed by the trainer and assessor and comparing these to their actual industry skills and knowledge by completing a Civil Safety Trainer matrix.

4.3 Industry Currency

To provide training that reflects current industry practice and valid assessment, Trainers must have current skills within their industry area. The current industry skills must be:

- Consistent with the requirements of the Training Product they are training and/or assessing; and
- Consistent with the required skills for trainers and assessors identified through industry engagement.

Currency in skills depends on the industry area. Trainers are required to keep up to date with the requirements of industry and must be able to demonstrate how they have maintained, upgraded, or developed new skills, relevant to the current industry needs. Currency is achieved through the following activities:

- Regular exposure to workplaces;
- Participating in workplace tasks;

- Participation in relevant professional development activities run by industry skills associations;
- Attending conferences, professional workshops, and industry specific development programs;
- Industry and professional association membership;
- Undertaking specific training courses in new equipment or skill sets;
- Fulfilling industry licencing or regulatory requirements;
- Concurrent employment in relevant industry on a part-time or casual basis.

4.4 Vocational training and assessment currency

A Trainer who recently completes any qualification or skill set from the Training and Education (TAE) Training Package must demonstrate current vocational training and learning knowledge and skills. Trainers are required to develop knowledge and practice of vocational training and assessment, including competency-based training and assessment competencies through continual professional development.

Evidence of maintaining training and assessment currency must be documented and stored on the Currency Log on the Civil Safety Shared Drive.

5. Responsibilities

The Training Manager will be responsible for the implementation of this policy and procedure and to ensure that the staffs are aware of its application and procedures.

6. Procedure

6.1 Steps

STEP 1 – Completing Trainer Matrix			
No.	**Action**	**Why**	**Who**
1.1	a) Prospective trainer & assessor to complete Civil safety Trainer matrix and lodge the following with the training manager prior to commencement: o Trainer Matrix o Certified/Verified Copies of all qualifications o Current resume with at least 2 referees b) The trainer manager will advise the trainer of the training products the trainer is approved to deliver	All trainers must complete a Civil Safety Trainer Matrix and provide copies of qualifications and resume for approval prior to commencing any training & assessment. (This includes but is not limited to Trainers employed on a continuing, fixed-term, casual or sessional basis, or engaged because of Third Party arrangements.)	Trainers
1.2	a) The training manager will upload the trainer documentation and approved trainer matrix to a secure trainer folder on the network drive	To maintain documentation of trainer approval and evidence of compliance to the standards.	Training Manager
1.3	a) All Trainers must maintain the Trainers Matrix form by updating annually including professional development activities over the past 12 months. The Trainer Matrix Form is updated at least annually and used to record the following information:	To ensure currency of trainer information, qualifications, approved delivery and PD activities	Trainers

	o Training Product/s delivered and/or assessed; o Qualifications held (including training and assessment credentials and vocational qualifications); o Ongoing study towards completion of formal qualifications; o Employment history; o Positions held, employer, dates of employment; o Relevant industry experience/training; o Relevant training/ professional development; o Current memberships of professional/industry associations; and o Competence to deliver/assess each unit of competency (this includes listing the equivalent unit and detailing vocational competency).		

STEP 2 – Providing Currency

No.	Action	Why	Who
2.1	a) Trainers are to complete the Currency & PD Logbook to record PD activities in relation to vocational competency, industry and training and assessment currency. b) All trainers are required to complete the Currency & PD logbook weekly located on the network drive and upload PD evidence to their currency folder o Evidence of professional development activities must be recorded and include dates, the provider, the activity and outcomes. Trainers must also provide evidence of participation in professional development such as certificates, memberships, conference registration or other relevant documentation.	To maintain records of trainer currency on a regular basis to ensure up-to-date currency information is available	Trainers
2.2	a) The PD logbooks are to be reviewed monthly by Regional Managers to ensure trainers are recording their currency activities b) If any non-compliance to the process is evident then Regional Managers are to report the non-compliance to the Director	To ensure that trainers are completing their currency logbooks	Regional Managers
2.3	a) An internal audit of trainer's currency is to be performed quarterly by the Quality Manager b) The quality manager is to update the trainer compliance spreadsheet with up to date trainer information and report any issues to the Training Manager and Director	To check trainer compliance and to update the trainer compliance spreadsheet	Quality Manager

Transition of Training Packages Policy and Procedures

1. Purpose

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

2. Policy Statement

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

Civil Safety ensures that it has effective and efficient practices in place:
- To monitor currency of training products;
- To maintain currency of its scope of registration;
- For the transition of training products
- For the transfer of clients to upgraded Training Package qualifications and VET Accredited courses.

3. Definitions

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

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

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

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
a)   both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
b)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

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

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

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

VET Regulator means:

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

   4. Policy Principles

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

4.2   Transitioning Clients

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

a)   Where a training product on Civil Safety scope of registration is superseded, all clients' training and assessment is to be completed and the relevant AQF certification documentation issued, or clients transferred into the replacement qualification, within one (1) year from the date the replacement training product was released on the National Register (www.tga.gov.au). (SRTO 1.26a)
i.   Clients who will complete their learning and be issued a qualification or statement of attainment within the one year transition period do not need to be transferred to the replacement training product.
b)   Where an AQF qualification is no longer current and has been removed or deleted (ie it has not been superseded), all clients' training and assessment is completed and the relevant AQF

certification documentation issued within two (2) years from the date the AQF qualification was removed or deleted from the National Register. (SRTO 1.26b)

c)   Where a skill set, unit of competency, accredited short course or module is no longer current and has been removed or deleted (i.e. it has not been superseded) all clients' training and assessment is to be completed and the relevant AQF certification documentation issued within a period of one (1) year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National register.   (SRTO 1.26c)

d)   No new enrolments or commencements will be accepted into any training product that has been removed or deleted from the National Register. (SRTO 1.26d)

4.3   Superseded Units in Secondary Training Packages

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

4.4   Changes to Scope – Superseded training products

a)   If an Industry Skills Council (ISC) deems that a replacement training product is equivalent to the superseded training product, Civil Safety scope of registration will be automatically updated by the VET Regulator to include the replacement Training product.

b)   If replacement training product is considered "not equivalent" to the superseded training product, Civil Safety will need to (prior to transferring any client enrolments):

     i.   Apply for the replacement product to be added to scope of registration; and
     ii.   Have the application approved.

c)   One (1) year from the date a training product was superseded, the VET Regulator will remove the superseded training product from Civil Safety's scope of registration. From this date Civil Safety will not:

     i.   Enrol or train clients in that training product; and /or
     ii.   Issue a qualification or statement of attainment for that training product (except reprint / replacement documentation for previously issued certification).

4.5   Changes to Scope – Deleted or Removed Qualification
a)   From time to time, ISCs may determine that a qualification will be removed or deleted without being replaced by another qualification. There is therefore no replacement qualification into which clients can be transferred.

     i.   Civil Safety will determine, in consultation with the client, an alternative qualification to meet client needs.

b)   Civil Safety will not allow a client to commence training or assessment into a training product that has been deleted or removed, from the date the training product is removed from the National Register.

c)   Two (2) years after a qualification has been removed or deleted from the national register, the VET Regulator will remove the qualification from Civil Safety's scope of registration. From this date Civil Safety will not:

      i.   Enrol or train clients in that qualification; and/or

      ii.   Issue a qualification for that training product (except reprint / replacement documentation for a previously issued qualification).

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

a) From time to time, ISCs may determine that a skills set, unit, course or module will be removed or deleted without being replaced. There is therefore no replacement into which clients can be transferred.

i. Civil Safety will determine, in consultation with the client, an alternative training product to meet client needs.

b) Civil Safety will not allow a client to commence training or assessment into a training product that has been deleted or removed from the date the training product is removed from the National Register.

c) One (1) years after a skill set, unit or module has been removed or deleted from the national register; the VET Regulator will remove the skill set, unit or module from Civil Safety's scope of registration. From this date Civil Safety will not:

i. Enrol or train clients in that qualification; and/ or

ii. Issue a Statement of Attainment for that training product (except reprint / replacement documentation for a previously issued Statement of Attainment).

5. Civil Safety Responsibilities

The Director Civil Safety is responsible for ensuring compliance with this policy.

6. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

7. Transition of Training Packages Procedures

7.1 Amendment to Scope of Delivery

STEP 1 – Confirming Transition with client		
No.	Who	Actions
1.1	Director	a) Upon advice that a Training Product is being superseded and replaced, confirm details and timeframes through Skills Service Organisations (SSOs). b) Determine if the RTO scope will be upgraded automatically, or whether a change in scope request is required to be lodged with the VET Regulator. c) If a change of Scope application is required, determine effective timeframes. d) Develop a timeline the actions for the increase in scope, ensuring all products and services will be available on time. e) Keep relevant personnel, including Quality and Compliance, updated with transition of scope process and timeframes. f) Develop Training and Assessment Strategy and training and assessment resources; in accordance with '**Training & Assessment Strategy and Resources Policy and procedures'**. g) Develop new Marketing Materials for new training product; in accordance with

		'**Marketing Policy and procedures'**.
		h) When all resources are ready, lodge the Extension of Scope with the VET Regulator.
		i) Once extension of scope has been granted and appears on the National Register, clients can be transferred to the new training product.
		j) Advise Managers of confirmation of new scope.

7.1 Transition of clients

STEP 1 – Confirming Transition with client		
No.	**Who**	**Actions**

1.1	Compliance Co-ordinator	a) Upon advice that a Training Product is being superseded and replaced, conduct a review/report on all Clients who are currently enrolled in the superseded training product.
		 b) Determine the likelihood for each client to complete the program within the next twelve (12) months.
		 c) Contact each client and advise of the situation with the training product and their option to :
		    i. Complete the existing program within the next twelve (12) months; or
		    ii. Transfer to the new training product.
		 d) Advise each client of the process, the timeframes and consequences of NOT completing within the next `12 months.
		 e) Gain advice from the client on their preference.
		 f) For clients who choose to transfer to the new training product, have the client complete the **'Transition Qualification Form'** and send return.
		 g) Once received the **'Transition Qualification Form':**
		    i. Process equivalence and credit transfer for all relevant units, in accordance with guidelines from Skills Service Organisations (SSOs) documentation.
		 h) Wait for RTO Scope to be updated with new training products.

1.2	Quality Manager	a) Once RTO Scope has been updated; Provide all documentation to Admin for processing.
STEP 2 – Processing Transfer		

2.1	Admin	a) Once received the **'Transition Qualification Form'** and relevant details regarding unit equivalences and credit transfers**:**
		    ii. Complete the course transfer in RTOPro;
		    iii. Update the client file;
		    iv. Organise Training Schedule or Training Plan to be updated.
		 b) Send confirmation of new qualification, training schedule/training plan to clients.
		 c) Advise relevant Trainer / Assessor.
		 d) Place all documentation on the client file and store.

8. *Monitoring and Improvement*

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

Recognition Policy & Procedure

1. Purpose

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

2. Policy

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

Civil Safety will ensure that:

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

3. Definitions

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

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

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

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

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

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

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

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

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

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

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

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

4. Principles

Underpinning Principles

  a) Recognition is made available to any person commencing a course with Civil Safety.
  b) Recognition of Prior Learning (RPL) is the determination, on an individual basis, of the skills and knowledge currently held by the learner acquired through formal, non-formal and informal learning.
  c) Recognition is used to determine the advanced standing or 'credit', for a training program, that the learner may be awarded as a result of their prior knowledge, skills and experience.
  d) Recognition is an alternative pathway to an AQF qualification or Statement of Attainment.
  e) Recognition is an Assessment process, and as such is subject to all provisions of the Civil Safety "Assessment Policy".
  f) Recognition assessment decisions must comply with Principles of Assessment and Rules of Evidence as outlined in the Standards for RTOs and in Civil Safety Assessment Policy. (See Assessment Policy)
  g) All clients may apply for formal recognition of existing competencies against a AQF qualification / Accredited course / unit of competency /module that Civil Safety is registered to deliver.
  h) The onus is upon the candidate to demonstrate competence to the satisfaction of the assessors, including the provision of certification documentation.
  i)

j) Competency may be derived from many sources:
1. Work experiences
2. Work product
3. Life experience
4. Training programs offered by industry, private or community-based providers which may or may not have been formally recognised
5. Training programs undertaken overseas (which may or may not be accredited in that country)
6. Informal learning programs
7. Certification from another RTO

k) Only accredited and approved assessors will conduct Recognition assessments on behalf of Civil Safety. (See Assessment Policy and Procedure)

l) Recognition assessments must comply with the assessment requirements detailed in the relevant Training Package and VET Accredited course.

m) Recognition application and assessments are subject to fees as outlined in Civil Safety 'Schedule of Fees'.

n) The minimum acceptable claim for Recognition is a Unit of competency/module.

o) Certification documentation will not be issued until all relevant fees are paid in full. (See Certification Policy)

p) Information of Recognition processes and arrangements are provided to all clients and prospective clients.

q) An applicant, who has undertaken a course that is not competency based, can gain credit transfer into a competency-based course if the mapping of competency can be justified.

Mutual Recognition / Credit Transfer

a) Civil Safety will accept and mutually recognise the decisions and outcomes of any RTO or body in partnership with an RTO, thereby ensuring mutual acceptance throughout Australia of the qualifications and Statements of Attainment awarded by other RTO's or AQF authorised issuing organisations.

b) Civil Safety recognises AQF certification documentation from other RTOs, and authenticated VET transcripts issued by the Registrar and after review and verification of validity will apply a credit to all relevant units of competency/modules.

c) Mutual Recognition applies when the certification documentation provided by the client contains the same national competency code as those that form part of the training and assessment program offered by Civil Safety.

d) Certification documentation must be presented as either originals or certified copies of an original. Certified copies must be signed by an authorised signatory or Director Civil Safety to verify authenticity. Original Certification documentation will be returned to the applicant.

e) Civil Safety are not obliged to issue a AQF qualification or Statement of Attainment that is achieved wholly through recognition of units and /or modules completed at another RTO or RTOs. (i.e. client cannot complete all of their learning and assessment with another RTO and request Civil Safety to issue the qualification under Recognition)

f) The amount of recognition contributing to the issuance of certification documentation from Civil Safety (i.e. using units/modules completed at other RTOs) is at the discretion of the Director Civil Safety.

g) In the event a client wishes to undertake refresher training in a unit/module for which they have been previously awarded recognition, then client will be advised that the completion of the assessment is not necessary, however, may be offered as an option.

h) Where the recognised AQF qualification and attributed units/modules forms part of another AQF qualification, the client will only be enrolled in the additional units required to complete the new qualification.
   i. Fees will reflect reduced learning load.

5. *Responsibilities*

Overall responsibility for Recognition rests with the Director of Civil Safety.

6. *Procedure*

6.1 Steps

STEP 1 – Initial Enquiry and Client Briefing			
No.	**Action**	**Why**	**Who**
1.1	a) Client makes an enquiry regarding RPL.	Client may have previous skills and knowledge or formal training and be eligible for recognition	Client

1.2	b) Discuss with the client to determine if the client already possesses certification documentation relevant to unit/modes from another RTO.
	c) If client already has certification documentation relevant to unit/modes from another RTO, refer to Credit Transfer procedure below.
	d) If the client does not have certification documentation relevant to unit/modes from another RTO :
	   a. Explain the process of RPL and requirements regarding assessment.
	   b. Provide client with RPL details and Recognition Application form.
	   c. Confirm and book a time for client to discuss Recognition and Recognition Application form with an Assessor.
		Ascertain client's eligibility for possible RPL, provide additional details and application and organise assessor to discuss further.	Admin/Trainer

1.3	a) Meet with client; accept Recognition Application form.
	b) Inform clients assessment requirements, including:
	   i. Expectations of the client;
	   ii. Types of evidence;
	   iii. RPL assessment process;
	   iv. Principles of assessment;
	   v. Rules of evidence;
	   vi. Submission timeframes.
	c) Confirm the units /modules the client is seeking to complete as RPL.
	d) Supply RPL information and documentation to client.
	e) Conduct an assessment briefing session with the client to confirm assessment requirements for each unit/module/cluster; identifying assessment tasks, specific standards or learning outcomes which apply for units/modules.
	f) Complete contact form.
	g) Provide Recognition Application form, and contact form to Admin for Enrolment processing.
		To discuss recognition requirements with client, such as units, assessment tasks including any practical requirements. Lodge recognition application documentation with admin.	Trainer/Admin

STEP 2 – RPL Assessment			
No.	Action	Why	Who
2.1	c) Student completes all assessment requirements for each unit/module/cluster. d) Student takes and keeps a copy of the completed assessment prior to submission. e) Student submits assessment to Admin for marking.	Student to complete negotiated RPL assessments including practical where applicable. Client to lodge written work to admin for marking.	Student/Admin
2.2	b) Upon receipt of assessment submission, note the date the assessment was received. c) Enter the details of the assessment submission into: 　　i. Student information in SMS d) Provide copy of unmarked Assessment to Assessor for marking.	Confirm receipt of assessment and send for marking	Admin

STEP 3 – Making assessment judgement			
No.	Action	Why	Who
3.1	a) Mark recognition assessments in order of date received, ensuring all assessments are marked within two (2) weeks of receipt. b) Use the Assessment Marking Guide for the unit/module to assist with judgement. c) Where reasonable, if minor clarification is required from student to determine a successful outcome, contact the student by telephone and discuss. d) Make relevant assessment judgement taking into account: 　　a. Elements and performance criteria for the unit/module; 　　b. Assessment requirements; 　　c. Principles of Assessment; and 　　d. Rules of Evidence; 　　e. Competency standard required in the workplace. e) Complete all relevant documentation, including Assessment Cover Sheet. f) Provide written feedback on assessment and Assessment Cover Sheet, as appropriate. g) Contact/ Meet with the student, providing feedback and assessment outcome, and advise on any further evidence requirements or training, as appropriate. h) Advise student of right to appeal. i) Complete Contact log. j) Enter notes into Client records on SMS. k) Forward all assessment documentation to Admin for processing.	To assess student's RPL assessment and provide feedback	Trainer

STEP 4 – Processing Marked Assessments			
No.	Action	Why	Who
4.1	a) If Assessment judgement is "NYS": 　　i. File all Assessment documentation onto Student File. (Full Assessment submissions and records must be kept on file for a minimum six (6) months or the contractual requirement whichever is longer.)	To result student and store documentation of assessment.	Admin

	ii. Update client record in SMS with assessment result.
	
	b) If Assessment judgement is "S":
	   i. Update client record in SMS with assessment result.
	   ii. File all Assessment documentation onto Student File. (Full Assessment submissions and records must be kept on file for a minimum six (6) months or the contractual requirement whichever is longer.)
	   iii. If Student is due for the Issuance of Certification Documentation, refer to Certification Issuance Procedures.		

STEP 5 – Student completes further assessment

No.	Action	Why	Who
5.1	a) Student completes all assessment requirements for each unit/module/cluster. b) Student takes and keeps a copy of the completed assessment prior to submission. c) Student submits assessment to Admin for marking.	Student to complete any further assessments required for enrolment and lodge with admin for processing	Student

STEP 6 – Receiving further assessment submissions

No.	Action	Why	Who
6.1	a) For the second (2nd) submission of an Assessment for the same unit/module. b) Refer to Step 2.	Student has lodged a resubmission of a required assessment	Admin

STEP 7 – Student evaluation

No.	Action	Why	Who
7.1	a) Provide Client with Evaluation Form.	To receive feedback on recognition/assessment process	Admin

7. Supporting Information

7.1 Related Legislation

- Standards for Registered Training Organisations (RTOs) 2015
- Anti-Discrimination Act 1991
- Disability Services Act 1992
- Privacy Act 1988
- Privacy Regulation 2001
- Workplace Health & Safety Act 1995

7.2 Related Documents

- Recognition application
- Assessment Policy & Procedure
- Course Assessment tools

Validation Policy

1. Purpose

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

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

2. Policy Statement

Civil Safety is committed to conducting ongoing systematic validation of its assessment practices, tools, processes and judgements made by assessors, including by third party providers.

Civil Safety ensures that:

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

3. Definitions

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

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

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

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

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

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

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

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

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

4. Policy Principles

4.1 Underpinning Principles

a) Validation is used by Civil Safety to

i. Verify and maintain industry relevance of training and assessment strategies, practices and resources;
ii. Verify compliance with requirements of national Training Packages and VET Accredited Courses;
iii. Monitor compliance with SRTOs 2015;
iv. Evaluate efficiency of training and assessment strategies and practices;
v. Engage with industry;
vi. As a method for continuous improvement of Civil Safety training and assessment products and services;
vii. Monitor services provided on its behalf by third party providers;
viii. ensuring consistency and integrity, meeting the needs of industry.
b) Assessment documentation to be validated will include :
i. Training and assessment strategies;
ii. Assessment tools;
iii. Assessment policies and procedures; and
iv. Assessment evidence and judgments.
c) Validation will be undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
i. Vocational competencies and current industry skills relevant to the assessment being validated;
ii. Current knowledge and skills in vocational teaching and learning; and

iii.   The training and assessment qualification or assessor skill set referred to in Schedule 1 of Standards for RTOs.

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

e)   The validation process provides opportunity for dissemination of information and professional development on the processes, practice and procedures to Assessors.

f)   The validation process is to ensure individuals are respected and confidentiality is upheld.

g)   Confidentiality includes:

i.   No copying or use of materials made available for moderation without prior permission from the Intellectual property owner.

ii.   Respect ethical practice.

iii.   Respect privacy of assessors.

h)   Civil Safety ensures discussions during validation validate:

i.   The effectiveness of assessment tools and practices;

ii.   The standard of performance demonstrated and achieved;

iii.   Evidence collected meets with Rules of Evidence; and

iv.   The accuracy and consistency of the assessment judgments.

4.2   Validation Plan

a)   The validation plan will cover a five (5) year cycle.

b)   The validation plan will be reviewed and updated annually to accommodate changes in the business, industry / environment, scope and identified risk areas.

c)   Civil Safety validation plan will include:

i.   Proposed dates for validation meetings;

ii.   Full code and title of each of the nominated units/modules from the training product;

iii.   The designated chair of the validation meeting;

iv.   The suggested/nominated participants;

v.   How the outcomes of the validation will be documented; and

vi.   How the outcomes of the validation will be acted upon.

d)   At least 50% of products will be validated within the first three years of each five year cycle; taking into account scope of delivery, relative risks, and industry needs.

e)   Risks will be assessed based on:

i.   Unit of competency/ module

ii.   Delivery site

iii.   Delivery mode

iv.   Third party arrangements in place

v.   Equipment used

vi.   Financial concerns

vii.   Assessment methods implemented

viii.   Licensing requirements

ix.   Numbers of Enrolments

x.   Assessment outcome rates / statistics

xi.   Recent addition to scope

xii.   Complaints

xiii.   Appeals

xiv.   Staff turnover

xv.   Risks identified by the VET Regulator

4.3   Validation of Training and Assessment qualifications

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

4.4   Industry Engagement - Validation

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

5. Civil Safety Responsibilities

The Director Civil Safety is responsible for the validation process and ensuring that all Assessors, including those from third party providers are applying consistent standards and making consistent judgments when conducting assessments.

Assessors are responsible for:

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

6. Procedure

6.1 Steps

STEP 1 – Validation Planning			
No.	Action	Why	Who

1.1	c) Develop and maintain a validation plan to schedule validation activities covering a five (5) year period.
	
	d) Ensure Validation Plan ensures that:
	   i. 50% of Training Products are validated within the first three (3) years;
	   ii. 100% of Training Products (including all units of competency/modules) are validated within the five (5) year period;
	   iii. Priority is given to high risk Training Products;
		To systematically plan validation activities over a 5-year period to ensure compliance with standards, ensure assessment meet the requirements of the unit/module and to provide a mechanism to identify improvements	Training Manager

	iv. Validation is undertaken by parties independent to Assessment decisions for a particular Training Product.		
	e) Reviews the Validation Plan Annually.		

STEP 2 – Organising Validation meetings			
No.	Action	Why	Who
2.1	f) Schedules the date and time for the meeting. g) Update the Validation Plan. h) Invites and confirms participants to the validation meeting.	To ensure validation activities are scheduled as per the Validation Plan and to confirm validation participants	Training Manager

2.2	c) Prepare the venue for the meeting.
	d) Gather relevant documentation for the meeting:
	    a. Qualification document (from training.gov.au);
	    b. Unit of competency document (from training.gov.au);
	    c. Training and Assessment Strategy (TAS);
	    d. Assessment Tools;
	    e. Marking Guides;
	e) Validation Form.
		To ensure that required documentation, assessment materials are available to the validation team	Admin

STEP 3 – Conducting Validation			
No.	Action	Why	Who
3.1	l) Open the meeting, providing information to the group regarding development and implementation of the training product and in particular the assessment processes and resources. m) Chair /facilitate discussions in accordance with the 'Validation Form' and resources to be Validated. n) Complete the 'Validation Form', taking notes throughout the meeting. o) Agree on outcomes and recommendations with the group. p) Ensure all relevant paperwork is completed documenting the occurrence and outcomes of the meeting. q) Close the Meeting r) Provide all documentation to Training Manager for processing.	Perform validation activity and record results of validation	Chairperson/Training Manager

STEP 4 – Processing Validation Outcomes			

No.	Action	Why	Who
4.1	c) Review 'Validation Form' for actions and continuous improvement recommendations. d) Complete 'Continuous Improvement Request (CI) Form'. e) Lodge 'Continuous Improvement Request (CI) Form' as per Continuous Improvement procedures. f) File all Validation documentation.	To identify any improvement actions and store validation results	Training Manager

7. Supporting Information

7.1 Related Legislation

- Standards for Registered Training Organisations (RTOs) 2015
- Privacy Act 1988
- Privacy Regulation 2001

7.2 Related Documents

- Validation Plan
- Validation Form
- Training and Assessment Strategies Policy & Procedure
- Records Management Policy & Procedure
- Training and Assessment Strategies
- Trainer Guides
- Course Resources and Assessment tools
- Recognition policy
- Assessment cover sheet
- Continuous improvement Policy & procedure

Issuing Certification Policy

1. Purpose

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

2. Policy Statement

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

Civil Safety will ensure that:

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

3. Definitions

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

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

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

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

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

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

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

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

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

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

4. Policy Principles

4.1 Underpinning principles

The following principles underpin this policy.

a) Civil Safety is obliged to issue certification in accordance with Schedule 5 of Standards for Registered Training Organisations (SRTOs 2015).

b) Civil Safety offers training and assessment against both nationally recognised training and non-nationally recognised training programs. Nationally recognised training is aligned to national competency standards from Training Packages and VET Accredited Courses.

c) Civil Safety only issues qualifications and Statements of Attainment to those clients who meet the required outcomes of a qualification, accredited course, unit of competency or module, as specified in the relevant Training Package or VET accredited Course.

d) Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.

e) Civil Safety will, using the Student Management System:

  i. Maintain a register of all AQF qualifications issued;
  ii. Retain records of all AQF certification documentation for a period of 30 years; and
  iii. Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.

f) AQF certification documentation will be issued to a client within 30 calendar days of the client being assessed as meeting the requirements of the Training Package or VET Accredited course:

  i. if the training program in which the client is enrolled in is complete; and
  ii. providing all agreed fees the client owes to the RTO have been paid.

g) AQF certification documentation will not be issued to an individual without Civil Safety being in receipt of the verified unique Student Identifier for that individual, unless an exemption applies, as per the requirements of the Student Identifier Act 2014.

  i. If an exception applies, in accordance with SRTOs, Civil Safety will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever comes first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

4.2   Qualifications

a) All clients who have completed a training program which leads to the award of a full AQF qualification will receive :

  i. A testamur, and
  ii. A record of results.

b) Each AQF qualification issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' - Schedule 5, and will include:

  i. Civil Safety name and logo
  ii. Civil Safety national provider number (RTO Code: RTO 32381)
  iii. The full name of the individual receiving the award
  iv. The full title and national code of the unit/s of competencies or AQF qualification awarded
  v. A certificate number
  vi. The date of issue
  vii. The signature of an authorized person
  viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
  ix. Authentication mark (Corporate identifier, unique watermark)
  x. The industry descriptor, e.g. Engineering

xi. The occupational or functional stream, in brackets e.g. (Fabrication)

xii. Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'

xiii. Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

c) All testamurs will identify the qualification as an AQF qualification either :

i. by the inclusion of the words, 'The qualification is recognised within the Australian Qualifications Framework; or

ii. the use of the AQF logo authorised by the AQF Council.

4.3 Statement of Attainment

a) Each Statement of Attainment issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' - Schedule 5, and will include:

i. Civil Safety name and logo

ii. Civil Safety national provider number (RTO Code: 32381)

iii. The full name of the individual receiving the award

iv. The full title and national code of the unit/s of competency / modules awarded

v. A certificate number

vi. The date of issue

vii. The signature of an authorized person

viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)

ix. Authentication mark (Corporate identifier, unique watermark)

x. The words, 'A statement of attainment is issued when an individual has completed one or more accredited units'

xi. Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'

xii. Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

xiii. Where relevant, the words, 'These competencies form part of [code and title of qualification]'

xiv. Where relevant, the words 'These competencies were attained completion of [code] course in [full title]' – for an Accredited course

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

a) Civil Safety abides by 'Conditions of Use of NRT Logo' as prescribed in Schedule 4 of STROs 2015.

b) AQF logo will be used on all AQF documentation issued by Civil Safety.

c) AQF logo must NOT be used on non-National recognised training certification issued by Civil Safety.

d) Civil Safety will comply with the use of "State" regulator logo, in accordance with relevant Logo Specifications

e) Civil Safety will comply with the use of Sate/Territory funding body logo requirements, in accordance with contract obligations.

4.5   Replacement of Certification Documentation

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

5. Replacement Certification Procedures

STEP 1 – Issuing Replacement Certification Documentation		
No.	**Who**	**Actions**
1.1	**Client**	a) Completes **'Replacement Certificate Form'** and submits to admin with payment.

1.2	**Admin**	a) Verifies the authenticity of the original issuance of the requested certificate
		b) i. Check client file.
		   ii. Check SMS for confirmation of certificate issuance.
		c) If certificate is authentic:
		   i. Process payment for reprint certificate.
		   ii. Raise invoice and record payment in SMS.
		   iii. Re-print the certification documentation.
		   iv. Provide completed form and re-printed certification documentation to Director for final verification, signatory and approval for distribution.

STEP 2 – Authorisation by Director		
No.	**Who**	**Actions**
2.1	**Director**	a) Review **'Replacement Certificate Form'** and documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on **'Replacement Certificate Form'**. b) If NOT approved, return all documentation to Admin, and note on **'Replacement Certificate Form'**.
STEP 3 – Processing Certification Documentation		
No.	**Who**	**Actions**

3.1	**Admin**	a) If approved:
		
		   i. Take photocopy of signed certification documentation.
		   ii. Place all documentation and photocopy of signed certification documentation on client file.
		   iii. Forward signed certification documentation to client nominated address.
		   iv. Enter note on client records in SMS.
		b) If NOT approved, file all documentation on client file.
		   i. Enter note on client records in SMS.

STEP 4 – Processing payment		
No.	**Who**	**Actions**
4.1	**Finance**	a) Upon receipt of completed **'Replacement Certificate Form'** process and raise invoice to the client. b) Update finance system (e.g. MYOB, QuickBooks, XERO etc) c) File documentation accordingly.

6. Certification Issuance Procedures

STEP 1 – Issuing Certification Documentation		
No.	**Who**	**Actions**
1.1	**Assessor**	b) Monitors / tracks completion of course / qualification by client c) Completes **'Certificate Issuance Authority Form'**. d) Forward completed **'Certificate Issuance Authority Form'** to admin for processing.

1.2	**Admin**	d) Review assessment documentation for each candidate, keeping a track on client eligibility for certification.
		e) Reviews **'Certificate Issuance Authority Form'** submitted by Assessors.
		f) Completes **'Certificate Issuance Authority Form'** for approval.
		g) For clients who are eligible for the issuance of certification documentation, verify that all outstanding fees are paid in full.
		h) For clients with outstanding invoices:
		    i. Send email to client requesting full payment, advising certification documentation cannot be supplied when payment of invoices is outstanding.
		    ii. Check regularly for payment.
		    iii. Once payment received progress to Step 1.2 f.
		i) For clients with NO outstanding invoices:
		    i. Print the certification documentation for all successful clients, as relevant, and in accordance with certification issuance form.
		    ii. Provide completed form and printed certification documentation to Director for final verification, signatory and approval for distribution.

STEP 2 – Authorisation by Director		
No.	**Who**	**Actions**
2.1	**Director**	c) Review **'Certificate Issuance Authority Form'** and documentation supplied; verify eligibility and compliance of certification documentation. d) If approved, sign certification documentation for distribution and note on **'Certificate Issuance Authority Form'**. e) If NOT approved, return all documentation to Admin, and note on **'Certificate Issuance Authority Form'**

STEP 3 – Processing Certification Documentation		
No.	**Who**	**Actions**

3.1	**Admin**	c) If approved:
		    v. Take photocopy of signed certification documentation.
		    vi. Place all documentation and photocopy of signed certification documentation on client file.
		    vii. Forward signed certification documentation to client nominated address.
		    viii. Enter note on client records in SMS.
		d) If NOT approved. Destroy documentation.

7. Civil Safety Responsibilities

The Director Civil Safety is responsible for ensuring compliance with this policy.

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

Admin of Civil Safety will process creation/ issuance of certification documentation in preparation for authorised signatory.

8. Legislation

Legislation applicable to this policy include:
- Student Identifier Act 2014 and Regulations.

Work Health and Safety Policy

1. Purpose

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

The purpose of this policy is to ensure Civil Safety complies with The Work Health and Safety Act 2011, Work Health and Safety Regulation 2011 and all other relevant laws, regulations and standards that is relevant to its operation and Scope of Registration.

2. Policy Statement

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

Civil Safety will:

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

3. Policy Principles

3.1 Underpinning Principles

a) Civil Safety uses a consultative and participative approach with employees regarding Workplace Health and Safety.
b) Civil Safety considers Risk Management a top priority in all activities on and off site and WHS is a key element of this risk management. Communication within all levels of the organisation ensures everything from clearly marked exits to spill signage and evacuation plans form the basis of a comprehensive approach.
c) The Director and management team of Civil Safety conduct bi-annual Safety Risk Audits and enter any identified Actions into the Continuous Improvements Register. This includes an Action Date and a Date Closed so that the Administrative Officer can follow up any issues with Directors.

d) Civil Safety at all times plans for and monitors its employees and clients wherever they are working.
e) Evaluation of WHS matters are discussed in the regular meetings.
f) Civil Safety provides ergonomic equipment at all times.
g) Safe use of equipment is discussed at regular staff meetings.
h) Safe plant and equipment are provided and maintained by Civil Safety.
i) Environmental protection is a Civil Safety concern including disposal of various types of materials from the administrative areas to industrial waste where relevant.

3.2 First Aid

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

3.3 Management of Workplace Hazards / Risks

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

3.4 Reporting Accidents and Incidents

a) All accidents and incidents must be reported immediately to the Director, Civil Safety.

3.5 Emergency Management Plan

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

4. Civil Safety Responsibilities

4.1 Primary Duty of Care – Civil Safety

a) Civil Safety will:
   i. Provide and maintain: safe work areas and systems of work; adequate facilities and amenities
   ii. Monitor the work environment to maintain safe working conditions

iii.   Provide adequate information and training to workers regarding workplace health and safety

(including ways of reporting health and safety issues)

iv.   Keep information and records relating to the health and safety of their employees

v.   Nominate a person at the appropriate level to be the employer's representative when health and safety issues arise.

vi. Ensure that an appropriate person is nominated by the workers to be the employee representative when health and safety issues arise.

4.2   Primary Duty of Care – Employees and Clients

a)   All employees and clients have a primary duty of care to :

      i.   take reasonable care for your own health and safety and for the health and safety of anyone else who may be affected by your acts or omissions at the workplace; and

      ii.   co-operate with your employer or trainer with respect to any action taken by the employer or trainer to comply with any requirements imposed by or under this Act;

      iii.   not wilfully or recklessly interfere with or misuse safety equipment that is provided; and

      iv.   not wilfully put at risk the health and safety of others.

5   *Legislation*

a)   Civil Safety must abide by the Work Health and Safety Act 2011.

b)   The legislation provides a balanced and nationally consistent framework to secure the health and safety of workers and workplaces by:

      i.   protecting workers and other persons against harm to their health, safety and welfare through the elimination or minimisation of risks arising from work; and

      ii.   providing for fair and effective workplace representation, consultation, co‑operation and issue resolution in relation to work health and safety; and

      iii.   encouraging unions and employer organisations to take a constructive role in promoting improvements in work health and safety practices, and assisting persons conducting businesses or undertakings and workers to achieve a healthier and safer working environment; and

      iv.   promoting the provision of advice, information, education and training in relation to work health and safety; and

      v.   securing compliance with this Act through effective and appropriate compliance and enforcement measures; and

      vi.   ensuring appropriate scrutiny and review of actions taken by persons exercising powers and performing functions under this Act; and

      vii.   providing a framework for continuous improvement and progressively higher standards of work health and safety; and

      viii.   maintaining and strengthening the national harmonisation of laws relating to work health and safety and to facilitate a consistent national approach to work health and safety in this jurisdiction.

6   Records Management

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

7   Monitoring and Improvement

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

Access and Equity Policy

1.   Purpose

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

2. Policy Statement

Civil Safety is committed to providing quality training and assessment products and services in compliance with the Standards for Registered Training Organisations (RTOs) 2015.
Civil Safety promotes, encourages and values equity and diversity with regard to clients. Civil Safety will ensure services offered are provided in a fair and equitable manner to all clients, free from bias.
Civil Safety is committed to providing flexible learning and assessment options, allowing clients alternatives which recognize the diversity of their individual needs and circumstances aiding them in their learning goals.

Civil Safety will ensure:

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

3. Definitions

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

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

3.2   Discrimination

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

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

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

3.3   Workplace Harassment

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

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

3.4   Sexual Harassment

The most common form of harassment is sexual harassment. Examples of sexual harassment include, but are not limited to:
a)   Unwanted touching
b)   Sexual innuendo propositions
c)   Nude pin-ups and posters
d)   Obscene telephone calls
e)   Wolf whistles

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

3.5   Verbal Harassment

Examples of verbal harassment include, but are not limited to:
a)   Sexual comments, advances or propositions
b)   Lewd jokes or innuendos
c)   Racist comments or jokes
d)   Spreading rumours
e)   Comments or jokes about a person's disability, pregnancy, sexuality, age or religion
f)   Repeated questions about one's personal life

g)   Belittling someone's work or contribution in a meeting

h)   Threats, insults or abuse

i)   Offensive obscene language

j)   Obscene telephone calls, unsolicited letters, faxes and emails

3.6   Non-Verbal Harassment

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

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

b)   Putting offensive material on notice boards, computer screen savers and emails

c)   Wolf whistling

d)   Nude or pornographic posters

e)   Displaying sexist or racist cartoons or literature

f)   Demoting, failing to promote, or transferring someone because they refuse requests for sexual favours

g)   Following someone home from work

h)   Standing very close to someone or unnecessarily leaning over them

i)   Mimicking someone with a disability

j)   Practical jokes that are unwelcome

k)   Ignoring someone, or being cold and distant to them

l)   Crude hand or body gestures

3.7   Physical Harassment

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

a)   Unwelcome physical contact such as kissing, hugging, pinching, patting, touching, or brushing up against a person

b)   Indecent or sexual assault or attempted assault

c)   Hitting, pushing, shoving, spitting, or throwing objects at a person

d)   Unfastening a person's attire

4.   *Policy Principles*

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

4.1   Access and Equity Principles

a)   Civil Safety abides by access and equity principles.

b)   Civil Safety will respect a client's right to privacy, confidentiality and be sensitive to client needs.

c)   Civil Safety provides equal opportunity for all learners and is responsive to the individual needs of clients whose gender, pregnancy, race, marital status, sexuality, age, family/carer responsibilities, disability, transgender, political conviction, cultural or ethnic background, linguistic background, religious belief, geographic location, socio-economic background, employment/unemployment, imprisonment may present a barrier to access, participation and achievement of suitable outcomes.

d) At enrolment, clients will be asked to identify personal needs or circumstances that may exist and for which they may require additional support (See Enrolment Policy).

e) Real Property Learning (RPL) will ensure that all staff, employees, and contractors have access to the information and support needed to prevent discrimination, sexual harassment, bullying and violence, victimization, and vilification or to deal with it appropriately if it occurs.

f) Civil Safety seeks to create a learning environment where all students are respected and can develop their full potential.

g) All clients are given fair and reasonable opportunity to attend and complete training.

h) All staff are given fair and reasonable opportunity to participate in relevant decision making processes and the allocation of resources and services as required to fulfil their duties and responsibilities.

i) Deficiencies will be investigated to determine whether a breach or policy deficiency exists. Should a discrepancy be proven, the impact of that breach or deficiency will be identified along with how the policy should be amended to eliminate the breach or deficiency in the future.

j) All perceived deficiencies in the Access and Equity Policy are to be documented, assessed and reviewed by the Director Civil Safety.

k) Civil Safety will demonstrate its commitment by:
   i. Selecting students according to a fair and non-discriminatory process
   ii. Making its training relevant for a diverse student population
   iii. Providing suitable access to facilities and resources
   iv. Providing appropriate support services
   v. Providing appropriate complaints procedures
   vi. Consulting with relevant industry groups
   vii. Raising staff, contractor and student awareness of equity issues.

4.2 Equal Opportunity

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

Target Groups are defined as:

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

4.3 Special Needs/Considerations

a) Clients intending to enrol for training with Civil Safety are requested prior to enrolment to advise Civil Safety if they have any disability, physical or other impairment which may adversely affect their ability to successfully undertake training and assessment.

b) Clients are encouraged to discuss with Civil Safety any 'special needs' and/or 'reasonable adjustments' to the study environment which they consider are necessary or would assist them in the performance of their studies.

c) Civil Safety, in collaboration with the Client, will assess the potential for the Client to successfully complete the training which may include flexible delivery options to optimise the ease and benefit of the Clients' learning. However, no compromise to the integrity of the assessment against competency will be allowed.

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

4.4 Language, Literacy and Numeracy

a) Each Training Package sets a minimum requirement in language, literacy and numeracy skills of learners, with which Civil Safety must abide.

b) Civil Safety makes appropriate concessions for language, literacy and numeracy issues of clients where these concessions do not compromise the requirements of the relevant Training Package and the integrity, equity and fairness of assessment.

c) Where a Client is deemed, either prior to enrolment or throughout the training program, to possess a lower level of language, literacy or numeracy than is the minimum requirement for the requirements of the Training Package, Civil Safety will provide appropriate advice and support to the Client regarding further learning options. At times, further language or literacy development or remedial assistance may be required to be completed prior to the continuation or completion of the Client's course of study.

4.5 Harassment

a) Harassment will not be tolerated at Civil Safety. If harassment occurs, the person responsible will be subject to disciplinary procedures. Disciplinary action will be taken against any staff or client involved in such behaviour. This may include termination of employment and removal of the client from the training course.

b) Serious cases of harassment may constitute a criminal offence.

c) Civil Safety will not tolerate behaviour which is considered to be sexual harassment and expects all staff, contractors and clients to treat each other with dignity and respect.

4.6 Bullying and Violence

a) Civil Safety will not tolerate bullying or violent behaviour and expects all staff, contractors and clients to treat each other with dignity and respect.

b) Civil Safety recognises bullying and violence demeans and infringes the rights of individuals and groups, damaging the work and learning environment.

4.7 Vilification

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

4.8 Complaints

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

b)   Complaints will be investigated in a confidential manner and action will be taken to ensure that the discrimination/harassment stops. Appropriate warning or disciplinary action will be taken where harassment is found to have occurred.

c)   Those responsible for advising, conciliating or investigating a complaint must act fairly and impartially, they must act without bias and avoid any conflict or interest the respondent must be given a fair opportunity to know the case against him or her and to be given the opportunity to make a considered response.

d)   All staff, clients and contractors involved with the Civil Safety complaint procedures will be treated with respect and courtesy. Enquiries and complaints will be dealt with in a sensitive, equitable, fair, and confidential manner. All attempts will be made to deal with matters expeditiously while ensuring all parties are provided with sufficient time to prepare and or respond.

e)   Civil Safety acknowledges that it is of paramount importance and in the best interests of all parties that confidentiality is maintained during these procedures.

f)   Civil Safety encourages the reporting of behaviour that breaches equal opportunity policy, but will not tolerate vexatious or frivolous complaints.

4.9   Victimisation

a)   In order for complaints to be brought forward, complainants must feel secure in the knowledge that the COMPANY NAME procedures will be followed without fear of reprisal.

b)   Civil Safety will not victimise or treat any person unfairly for making a harassment complaint.

c)   Civil Safety will not tolerate behaviour of victimisation of another person and expects all staff, contractors and clients to treat each other with dignity and respect.

d)   Any complaint of victimisation will be treated in the same manner as a complaint of discrimination, sexual harassment or vilification.

5. Civil Safety Responsibilities

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

Civil Safety will:

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

5.1   Director Responsibilities

The Director and Managers of Civil Safety are responsible for client equity.

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

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

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

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

5.2   Staff, Contractors and Clients Responsibilities

Civil Safety staff, contractors and clients have the responsibility to:

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

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

   6. Legislation

This policy reflects our commitment to the following legislation:

a)   National Vocational Education and Training Regulator Act 2011 (NVR Act) – Commonwealth
b)   Vocational Education and Training Accreditation Act 1990 (New South Wales)
c)   Education and the Education and Training Reform Act 2006 (Victoria)
d)   Vocational Education and Training Act 1996 (Western Australia)
e)   Vocational Education, Training and Employment Act 2000 (Queensland)

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

7. Records Management

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

8. Monitoring and Improvement

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

Appeals Policy and Procedures

1. Purpose

Civil Safety is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs) 2015. As such, Civil Safety is required to have a policy and processes in place to manage requests for a review of assessment decisions, including those made by third party training and assessment providers who provide services on behalf of Civil Safety.

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

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

2. Policy Statement

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

Civil Safety has provision for clients to appeal against assessment decisions, including those made by a third party partner.

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

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

3. Definitions

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

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

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

4. Policy Principles

4.1   Underpinning Principles

a)   Clients have the right to lodge an appeal against an assessment decision if they feel they were unfairly treated during an assessment, and/or where they feel the assessment decision is incorrect and they have grounds for an appeal.
b)   The principles of natural justice and procedural fairness are adopted at every stage of the appeal process.
c)   The appeals policy is publicly available, via Civil Safety website.
d)   The appellant can provide detail of their appeal either verbally and/or in writing.
e)   All appeals must be lodged within 7 calendar days of the date of the assessment result notification to the client.

f) If the appeals process fails to resolve the appeal or the appellant is not satisfied with the outcome of the appeal, the matter will be referred to an independent third party for review, at the request of the appellant. All costs incurred for the third party review will be advised to the appellant.

g) Every appeal is heard by a suitably qualified independent assessor or panel, who will be asked to make an independent assessment of the application.

h) All appeals are acknowledged in writing and finalised as soon as practicable.

i) Civil Safety may charge a fee for the appeals process where an external assessor is engaged. Should this be the case, all costs incurred will be advised to the appellant.

j) If the appeal will take in excess of 60 calendar days to finalise Civil Safety will inform the appellant in writing providing the reasons why more than 60 calendar days are required. The appellant will also be provided with regular updates on the progress of the appeal.

k) Civil Safety strives to deal with appeal issues as soon as they emerge, in order to avoid further disruption or the need for a formal complaint process.

l) All appeals will be handled 'In-Confidence' and will not affect or bias the progress of the participant in any current of future training

4.2   Grounds for Appeal

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

a) The judgement as to whether competency has been achieved and demonstrated was made incorrectly;

b) The judgement was not made in accordance with the Assessment Plan;

c) Alleged bias of the assessor;

d) Alleged lack of competence of the assessor;

e) Alleged wrong information from the assessor regarding the assessment process;

f) Alleged inappropriate assessment process for the particular competency;

g) Faulty or inappropriate equipment; and/or

h) Inappropriate conditions.

4.3   Appeal Outcomes

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

a) Appeal is upheld; in this event the following options will be available:
  i.   The original assessment will be re-assessed, potentially by another assessor.
  ii.   Appropriate recognition will be granted.
  iii.   A new assessment shall be conducted/arranged.

b) Appeal is rejected/ not upheld; in accordance with Civil Safety assessment policy the client will be required to:
  i.   undertake further training or experience prior to further assessment; or
  ii.   re-submit further evidence; or
  iii.   submit/undertake a new assessment.

  5. *Civil Safety Responsibilities*

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

Details concerning the scope of the Appeals Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Client Handbook and Civil Safety website.

6. Appeals

6.1   Appeals Process

All appeals shall follow the below process:

a)   Appeal to be made in writing within 7 calendar days of notification of the assessment decision using the Appeals form.
b)   A submitted Appeals form will constitute a formal appeal from the appellant. Further detail may be provided by the appellant verbally.
c)   The Director Civil Safety shall be informed of receipt of any appeal.
d)   The Director Civil Safety may delegate responsibility for the resolution of the appeal, as appropriate.
e)   Appeals will be processed in accordance with the Appeals flowchart – Annex A.
f)   Appeals, where possible, are to be resolved within 28 days of the initial application.
g)   In all cases the final conclusion will be endorsed by the Director Civil Safety.
h)   The appellant will be advised in writing of the outcome of their appeal, within seven (7) days of the resolution.
i)   If the outcome is not to the satisfactory of the appellant, they may seek an appointment with the Director Civil Safety.
j)   If the appellant is not satisfied with the decision they have the option to seek outside assistance to pursue the appeal.

7. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

8. Records Management

Records of all appeals and their outcomes are maintained securely.

Records of appeals will include:

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

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

Candidate verbally raises concerns with Trainer or Assessor

Matter resolved with Trainer or Assessor

YES

NO

No further action required

Client completes Appeals form and outlines the ground for appeal

Appeal lodged within 7 calendar days

Trainer or assessor is required to forward all documentation to the Director or delegated representative

Director or delegated representative commences appeal through a participative process

Director or delegated representative reviews all evidence and makes a judgement. The client is informed of the outcome

Matter is resolved within 28 calendar days

APPEAL UPHELD

APPEAL NOT UPHELD

Appropriate recognition is issued, assessment arranged, root cause identified and rectified

Candidate is required to undertake further training or experience prior to further assessment

9. Appeals Procedures

STEP 1 – Initial Review of Appeal		
No.	**Who**	**Actions**
1.1	**Client**	e) If the client is unhappy with the assessment decision they should first seek to discuss the decision and options with the Assessor, to determine and fully understand the reasons for the decision.
1.2	**Assessor**	j) With a view to resolving the matter, discuss with the client: give specific feedback on their performance, identify areas of improvement, and provide options to the client such as further training and/or assessment.
1.3	**Assessor**	a) If the matter is successfully resolved, complete the "**Appeals Lodgement Form"** and submit to Admin for processing. b) If the matter is not resolved, advise client of their right to appeal the decision referring them to the Appeals policy and provide client with access to the **Appeals Lodgement Form.**
1.4	**Admin**	a) Enter details of Appeal into Student Management system (SMS) b) Enter details of Appeal into **Appeals Register**. c) Note actions on "**Appeals Lodgement Form".** d) File **"Appeals Lodgement Form"** (if appeal resolved) onto Client file.
STEP 2 – Lodgement of Appeal		
No.	**Who**	**Actions**
2.1	**Client**	f) Lodges an appeal in writing using the "**Appeals Lodgement form".** g) Submits within seven (7) days of the date of assessment result notification. h) The Appeals lodgement form must clearly state the grounds for appeal and should include sufficient evidence to support the claim.
2.2	**Admin**	a) Enter details of Appeal into Student Management system (SMS) b) Enter details of Appeal into **Appeals Register**. c) Note actions on "**Appeals Lodgement Form".** d) Print and commence "**Appeals Progress Form**". e) Provide all documentation to Director for action.
2.3	**Director**	a) On receipt of the appeals application, acknowledges receipt of the claim, in writing, to the appellant within two working days, this may be via email, letter or fax. b) Keep all documentation in the Appeals file, which will remain in place until the appeal is resolved. After which time all appeal documentation will be placed on the Client file.

STEP 3 – Processing the Appeal		
No.	**Who**	**Actions**
3.1	**Director**	e) Nominates, within five working days, an independent assessor or panel to review the appeal and make a determination. f) Advise the appellant in writing of the name of the independent Assessor or panel.

3.2	**Director / Independent Assessor**	a) Appeals claim is reviewed and investigated which includes:
		   i. A review of the application form and supporting evidence.
		   ii. A review of all assessment documentation and process.
		   iii. An interview with the appellant to allow them the opportunity to formally state their claim.
		   iv. An interview with the Assessor.
		b) Determine the appeal outcome, and provide an explanation to justify their decision.
		c) The independent assessor /panel will advise the Director of the appeals outcome, in writing, within 5 working days.
		d) Note actions on "**Appeals Progress Form".**
		e) If the outcome involves re-assessment, go to Step 4.

STEP 4 – Conduct Re-Assessment		
No.	**Who**	**Actions**
4.1	**Director**	a) Arrange for the appellant to be re-assessed and inform the appellant of the details regarding the re-assessment, in writing, in accordance with assessment processes. b) Place a copy of the re-assessment correspondence on the Client file. c) If the appellant is dissatisfied with the result or the process of the appeal, the appellant may lodge a complaint with External Arbitrator. d) If appellant refuses to be reassessed, the progress of the appeal to the External Arbitrator is at the discretion of the Appellant.
4.2	**Independent Assessor**	a) The appellant has the option to nominate an independent observer to be present during the re-assessment. b) Conduct the re-assessment. c) Determine the assessment outcome against the competencies. d) Complete all relevant assessment documentation, (in accordance with the Assessment policy) notifying the appellant and the Director of the outcome, in writing

No.	Who	Actions
STEP 5 – Finalising the Appeal		
5.1	**Director**	d) Supply the appellant with the appeals outcome in writing within 2 working days

5.2	**Director**	a) If the appeal is upheld, and if Civil Safety is satisfied with the outcome:
		   i. Finalise the appeals documentation, place all documentation in the client's appeals file.
		   ii. Complete documentation for the issuance of a Statement of Attainment or qualifications (as appropriate).
		   iii. The appeals file is closed, and provided to Admin.
		b) If the appeal is upheld and if Civil Safety is NOT satisfied with the outcome, progress with Appeal with the External Arbitrator.
		c) Note actions on "**Appeals Progress Form".**

5.3	**Director**	a) If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. b) Client continues to progress through the usual Assessment process. c) Note actions on "**Appeals Progress Form".**
5.4	**Director**	a) If client is dissatisfied with outcome, advise the client of their right to further progress the appeal through the External Arbitrator. (See to Step 6) b) Note actions on "**Appeals Progress Form".**
5.5	**Admin**	a) Enter details of Appeal outcome into Student Management system (SMS) b) Enter details of Appeal outcome into **Appeals Register**. c) Note actions on and complete the "**Appeals Progress Form".** d) The client is provided a refund of the appeals fee if appeal is upheld. Follow refunds policy and procedures. e) Place all documentation from Appeals file onto Client file.
5.6	**Director**	a) Ensure that the assessment tools, policy and procedures relating to any substantiated Appeal is reviewed and progressed through continuous improvement processes, as appropriate

STEP 6 – Referral to External Arbitrator		
No.	**Who**	**Actions**
6.1	**Director or Client**	a) Contact and engage the External Arbitrator for a review of the Appeal, providing all relevant documentation. b) Cooperate with External Arbitrator for a review of the Appeal.
6.2	**External Arbitrator**	a) Review, investigate and mediate the complaint with all relevant parties and make a ruling. b) Civil Safety will abide by any resolutions as recommended by the External Arbitrator.
6.3	**Director**	a) If the Appeal is Upheld, go to Step 5.2
6.4	**Director**	a) If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. b) Client continues to progress through the usual Assessment process. c) Go to Step 5.3.

10. Monitoring and Improvement

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

Complaints Policy and Procedures

1. Purpose

Civil Safety is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Civil Safety is required to have a policy and processes in place to manage and respond to allegations involving the conduct of staff, learners and third party training and assessment providers who provide services on behalf of Civil Safety.

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

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

2. Policy Statement

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

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

In doing so, Civil Safety:

a)   has written procedures in place for collecting and managing complaints in a constructive and timely manner;
b)   ensures that these procedures are communicated to all staff, third party partners and clients;
c)   ensures that all necessary documentation and resources are in place to enable clients to submit a complaint;
d)   ensures that each complaint and its outcome is recorded in writing; and
e)   ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

3. Definitions

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

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

4. Policy Principles

4.1   Principles

In managing complaints, Civil Safety will ensure that:

a)   The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
b)   The complaints policy is publicly available.
c)   There is a procedure for making a complaint.
d)   Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
e)   Complaints will be resolved on an individual case basis, as they arise.
f)   All clients have the right to express a concern or problem and/or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided (including through a third party) or the behavioural conduct of another learner.
g)   All complaints are acknowledged in writing and finalised as soon as practicable.
h)   The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant and respondent, using a process of discussion, cooperation and conciliation.
i)   The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
j)   In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
k)   Final decisions will be made by the Director Civil Safety or an independent party to the complaint.
l)   The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
m)   If the complaints process fails to resolve the complaint or the complainant is not satisfied with the outcome of the complaint the matter will be referred to an independent third party for review, at

the request of the complainant. All costs incurred for the third party review will be advised to the complainant.

n)   If the complaint will take in excess of 60 calendar days to finalise Civil Safety will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.

o)   Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.

p)   All complaints will be handled as Staff-In-Confidence and will not affect or bias the progress of the client in any current of future training.

4.2   Types of Complaints

A complaint may include allegations involving the conduct of :

a)   Civil Safety, its trainers, assessors or other staff; or
b)   A third party providing services on behalf of Civil Safety, its trainers, assessors or other staff; or
c)   A learner of Civil Safety.

5. Civil Safety Responsibilities

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

Details concerning the scope of the Complaints Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Client Handbook and Civil Safety website.

6. Process

6.1   Complaints

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

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

6.2   Complaints Process

All complaints shall follow the below process:

a)   Complaints are to be made in writing within 7 calendar days of the incident using the Complaints Form.
b)   A submitted complaint form will constitute a formal complaint from the client. Further detail of the complaint can be provided by the client verbally.

c)   The Director Civil Safety must be informed of receipt of all complaints immediately.

d)   The Director Civil Safety may delegate responsibility for the resolution of the complaint.

e)   In the case of a complaint, the Director Civil Safety will initiate a transparent, participative investigation to identify the issues.

f)   Complaints will be processed in accordance with the Complaints flowchart - Annex A.

g)   Complaints, where possible, are to be resolved within 14 calendar days of the initial application.

h)   In all cases the final conclusion will be assessed by the Director Civil Safety.

i)   The Client will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.

j)   If the outcome is not to the satisfaction of the Client, they may seek an appointment with the Director Civil Safety.

k)   If the client is not satisfied with the decision they have the option to seek outside assistance to pursue the complaint.

7. *Access & Equity*

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

8. *Records Management*

Records of all complaints and their outcomes are maintained securely.
Records of complaints include:

a)   How the complaint was dealt with;

b)   The outcome of the complaint;

c)   The timeframes for resolution of the complaint;

d)   The potential causes of the complaint; and

e)   The steps taken to resolve the complaint.

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

9. *Monitoring and Improvement*

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

Candidate verbally raises concerns with Civil Safety staff member

Matter resolved with Civil Safety staff member

YES

No further action required

NO

Client completes Complaints Form and outlines the grounds for the complaint

Complaint lodged with Civil Safety within 7 calendar days of the incident date

Staff member involved is required to forward all documentation to the Director or delegated representative

Director or delegated representative commences complaint resolution through a participative process

Director or delegated representative reviews all evidence and makes a judgement. The complainant is informed of the outcome

Matter is resolved within 28 calendar days

COMPLAINT UPHELD

Appropriate outcomes are implemented with the complainant, root cause identified and rectified

COMPLAINT NOT UPHELD

Complainant is informed of the decision and their right to pursue the decision further with external agencies

7. Complaints Procedures

STEP 1 – Initial Review of Complaint		
No.	**Who**	**Actions**
1.1	**Client**	f) Raises the concern with Civil Safety staff.
1.2	**Staff**	k) Attempt to resolve the complaint immediately.
1.3	**Staff**	c) If the matter is successfully resolved, complete the "**Complaints Lodgement Form"** and submit to Admin for processing. d) If the matter is not resolved, advise client of their right to make a formal complaint referring them to the Complaints policy. e) Provide client with access to the "**Complaints Lodgement Form".**
1.4	**Admin**	e) Enter details of Complaint into Student Management system (SMS) f) Enter details of Complaint into **Complaints Register**. g) Note actions on "**Complaints Lodgement Form".** h) Notify Director of the resolved Complaint. i) File **"Complaints Lodgement Form"** (if appeal resolved) onto Client file.
STEP 2 – Lodgement of Complaint		
No.	**Who**	**Actions**
2.1	**Client**	i) Lodges a complaint in writing using the "**Complaints Lodgement form".** j) Submits within seven (7) days of the date of the issue.
2.2	**Admin**	f) Enter details of complaint into Student Management system (SMS) g) Enter details of complaint into **Complaints Register**. h) Note actions on "**Complaints Lodgement Form".** i) Print and commence "**Complaints Progress Form**". j) Provide all documentation to Director for action.
2.3	**Director**	c) On receipt of the complaint documentation, acknowledge receipt of the claim, in writing, to the complainant within two (2) working days, this may be via email, letter or fax. d) Keep all documentation in a Complaints file, which will remain in place until the complaint is resolved. After which time all complaints documentation will be placed on the Client file.

STEP 3 – Processing the Complaint		
No.	**Who**	**Actions**
3.1	**Director**	g) Implement appropriate resolution techniques to resolve the issue promptly to the mutual satisfaction of all parties. h) Inform any respondent(s) (if applicable) by letter, that a complaint has been received. This letter will be forwarded within 2 (two) working days of receipt of the original formal complaint.

3.2	**Director**	f) Review, investigate and mediate to resolve the complaint within seven (7) days. Actions which may be taken include, but are not limited to:
		  i. Discussing the facts of the complaint with the complainant.
		  ii. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness.
		  iii. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level.
		  iv. Interview all parties individually, including any witnesses.
		  v. Conduct interviews privately and confidentially
		  vi. Where applicable, report the outcome of the meeting with the respondent to the complainant.
		  vii. Seek preferred outcome from each of the parties.

3.3	**Director**	a) Determine a resolution to resolve the complaint, within Civil Safety policies. b) Advise all parties of the outcome of the complaint in writing, within five (5) working days.
3.4	**Director**	a) Confirm all parties are satisfied with the outcome of the complaint. b) If client is dissatisfied with outcome, advise the client of their right to further progress the appeal through the External Arbitrator. (See to Step 5) c) Note actions on "**Complaints Progress Form".**
STEP 4 – Finalising the Complaint		
No.	**Who**	**Actions**
4.1	**Director**	e) Complete all necessary documentation including the "**Complaints Progress form"**, noting actions and outcomes of the complaints resolution process. f) Place all documentation in the client's complaints file and provide to admin for completion. g) Implement agreed actions and /or administrative arrangements. h) Monitor the learning environment to ensure that the behaviour/incident does not re-occur.
4.2	**Admin**	f) Enter details of complaint outcome into Student Management system (SMS) g) Enter details of complaint outcome into **Complaints Register**. h) Note actions on and complete the "**Complaints Progress Form".** i) Place all documentation from complaint file onto Client file.
4.3	**Director**	b) Ensure that the issue, policy and procedures relating to any substantiated complaint is reviewed and progressed through continuous improvement processes, as appropriate

STEP 5 – Referral to External Arbitrator		
No.	**Who**	**Actions**
5.1	**Director or Client**	c) Contact and engage the External Arbitrator for a review of the complaint, providing all relevant documentation. d) Cooperate with External Arbitrator for a review of the complaint.
5.2	**External Arbitrator**	c) Review, investigate and mediate the complaint with all relevant parties and make a ruling. d) Prepare a formal written report on the investigation, providing a copy to both Director Civil Safety and complainant. e) Civil Safety will abide by any resolutions as recommended by the External Arbitrator.
5.3	**Director**	b) If the complaint is upheld, go to Step 4.1.
5.4	**Director**	d) If the complaint is rejected notify the complainant in writing that the original decision is to stand. e) Go to Step 4.1.

8. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

9. Records Management

Records of all complaints and their outcomes are maintained securely.
Records of complaints include:

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

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

10. Monitoring and Improvement

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

Enrolment Policy & Procedures

1. Purpose

Civil Safety is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Civil Safety is required to comply with relevant Commonwealth, State and Territory laws regarding and including anti-discrimination and equal opportunity. Civil Safety is committed to providing the best practice, professional products and services to its clients and acknowledges it can only succeed in this with effective and efficient quality processes.
The purpose of this policy is to provide fair and equitable process for client enrolment and ensure clients are provided with accurate and sufficient information to make an informed choice about their enrolment and chosen course.

2. Policy

Civil Safety is committed to ensuring all clients enrolling on courses are treated fairly and equitable, and are clearly informed of the enrolment process, conditions, details regarding their chosen course, rights and obligations.
Civil Safety will provide prospective and current clients with advice regarding relevant training products to meet their needs, taking into account the individual existing skills and competencies.

3. Definitions

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

a) pre-enrolment materials;

b) study support and study skills programs;

c) language, literacy and numeracy (LLN) programs or referrals to these programs;

d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;

e) learning resource centres;

f) mediation services or referrals to these services;

g) flexible scheduling and delivery of training and assessment;

h) counselling services or referrals to these services;

i) information and communications technology (ICT) support;

j) learning materials in alternative formats, for example, in large print;

k) learning and assessment programs contextualised to the workplace; and

l) any other services that the RTO considers necessary to support learners to achieve competency.

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

4. Principles

4.1   Information to Clients

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

4.2   Enrolment of Individual Clients

a)   Enrolment into training programs will be conducted at all times in an ethical and responsible manner, ensuring fairness and compliance with the *Civil Safety Access & Equity Policy*.

b)   Enrolments are subject to availability of places on the training program, based on the maximum number of clients who can be accommodated under the particular circumstances (e.g. safety, capacity of training venue, type of course, learning structures etc within program).

c)   All prospective clients will be provided with information regarding the RTO and its course, in accordance with *Civil Safety Client Information Policy*.

d)   Civil Safety will review the individual needs of each prospective client, taking into account their existing skills and competencies, advising them of the most appropriate training product to meet their needs.

e)   If a training program is fully booked at the time a client enquires about enrolment into that particular training program, they will either be placed on a 'Wait List' or offered a place on another date that the program has been scheduled, which is not fully booked.

f)   Clients on the 'Wait List' are given priority should a place become available. This is strictly on a first-in, first-served basis.

g)   Enrolments will be considered tentative until payment and the Student Identifier has been received. Should enrolment numbers reach maximum, and another person wishes to enrol on a course where there is a tentative enrolment. The tentative booking will be contacted to confirm payment. If payment is not made the place will be given to the new client.

h)   All Clients enrolled on courses are advised in writing, upon receipt of their enrolment form and payment, that their place on the course is confirmed.

i)   Course fees are payable in advance (subject to *Financial Management Policy – Course Fees*).

4.3   Special Needs of Clients

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

4.4   Language, Literacy and Numeracy Abilities of Clients

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

4.5 Student Identifier

a) All clients are required to provide their unique Student Identifier, in accordance with requirements of Student Identifier Act.

b) Students will be advised on the process of obtaining a Student Identifier if they do not already have one, via http://www.usi.gov.au/Pages/default.aspx

c) Civil Safety will verify and maintain all Student Identifier numbers in its Student Management System (SMS).

4.6 Group Enrolments (Corporate Client / Employer)

a) Director of Civil Safety negotiates course requirements with relevant company client representative.

b) Written confirmation is required to confirm course booking with names of individual clients included.

c) Individual enrolment forms are required for all individual clients to secure a place.

4.7 Recognition

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

4.8 Confirmation of Enrolment

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

4.9 Changes to Training and Assessment

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

4.10 Cancellation of Courses

a) It is NOT Civil Safety normal policy to cancel scheduled training programs.

b) However, if for some unforeseen reason a course is cancelled or postponed, all clients will be offered the opportunity to attend the training program on another date, at another location (if available) or in another delivery mode.

c) If, in the event that the client does not accept the offer, or for some reason the offer cannot be made, the course fees will be refunded in full within one week of the date of the cancellation of the course. (See Refund Policy)

4.11 Refund for Cancellation of Enrolment by Client

a) Refunds can be provided, in accordance with Civil Safety Refund Policy. (**See *Refund policy)***

4.12   Transfer of Enrolment

a)   **Transfer to another "Course date"** – Clients are able to transfer to another course date, providing they make a request in writing a minimum of one week in advance.
The transfer is subject to course availability.

b)   **Transfer to another "Course"** – Should a client wish to transfer to another course, they need to make the request in writing a minimum of one week in advance.
The transfer is subject to course availability.

c)   **Transfer to another "Delivery mode"** – Should a client, enrolled in a course, wish to transfer to another "delivery mode" for the same course they are able to do so providing they make a request in writing a minimum of one week in advance. An administration fee is applicable for all transfers to another course delivery mode.
The transfer is subject to course availability.
Should a student wish to transfer to another delivery mode and does not provide written notice at least one week in advance, the student forfeits the full course fee.

d)   **Transfer to another "Client"** – Prior arrangement no later than one week prior to the course.   An administration free is applicable for all transfers to another client.

4.13   Client Records of Enrolment

a)   Civil Safety is obligated to report all enrolments, in compliance with national reporting requirements.   (**See Management of RTO Policy**)

b)   Individual client records are created for each enrolment and maintained for a period of 30 years. (See Records Policy)

c)   All individual clients have access to their own records, and the progress of their learning. This is enabled through the student management system. (**See *Records Policy***)

4.14   Fees

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

4.15   Student Induction

a)   Civil Safety provides clients with induction/orientation to ensure they have appropriate information to facilitate their interactions with Civil Safety and their learning.

b)   Each client receives a copy of the Civil Safety Student Handbook which outlines key information including their rights and responsibilities as a learner.

c)   All clients sign an acknowledgment that they have received, read and understood Civil Safety policies and details within the Student Handbook.

5. Responsibilities

The Director of Civil Safety is responsible for ensuring compliance with enrolments processes.

6. Procedure

6.1 Steps

No.	Action	Why	Who
1	Pre-enrolment Information: Ensure that the prospective student has either booked into an available information session or has received all pre-enrolment information for their chosen course. During the information session and/or prior to enrolment please ensure that prospective students have received an electronic or print copy of **civil safety student handbook.**	The purpose of the information session/pre-enrolment information is to advise what the course is, any applicable funding, what units they will be doing, what we expect from student, when they are required to attend training and what they will get at the end of the course. The student handbook has information for students on relevant Civil Safety policies such as fees, payments and refunds, complaints and appeals, consumer rights and other important general information for students.	Admin/Trainers or delegated team members
2	Collect ID: ○ Photo ID ○ Medicare	Eligibility and Enrolment	Admin team/trainer
3	Enrolment documents: ○ Enrolment Form– inc USI ○ LLN ○ Credit Transfer form ○ Record of Training ○ Media consent form ○ Fee schedule ○ Training Plan ○ First Visit Checklist ○ Program specific form	Standard enrolment process. Documents and information required to be distributed and collected as per ASQA standards and PQS agreement	Admin team/trainer
4	Purchase order or payment	Payment or evidence of agreement to pay by purchase order	Admin
5	Enrol client into Powerpro: ○ Client details ○ Emergency contact AVETMISS/USI	Enrolment information to be recorded into Student Management System to be reported to ASQA and DESBT	Admin team
6	Scan – after confirmation of enrolment from compliance team	Per scanning procedure	Admin team
7	Training Commences		Trainer/Admin team

7.1 Related Legislation

- Trade Practices legislation and regulations
- Vocational Education and Training (VET) Quality Framework
- Standards for Registered Training Organisations (RTOs) 2015
- Anti-Discrimination Act 1991
- Disability Services Act 1992
- Freedom of Information Act 1992
- Privacy Act 1988
- Privacy Regulation 2001
- Workplace Health & Safety Act 1995

7.2 Related Documents

- Enrolment Form
- LLN Assessment
- Credit Transfer Form
- Pre-enrolment Information sheets
- Student Handbook
- Program information
- First Visit Checklist
- Media Consent Form
- Record of Training
- Training Plan

Records Management Policy & Procedure

1. *Purpose*

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

2. *Policy*

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

As a registered training organisation, Civil Safety, ensures all records developed and used in the delivery of training and assessment services are quality controlled. Civil Safety will also preserve as evidentiary support of the organisation's training and assessment activity, student participation and outcomes, all records of service for a period of no less than 30 years. This will be achieved by:

- maintaining up-to-date records of the qualifications and experience of all staff employed by or contracted to deliver training and assessment services for Civil Safety.
- maintaining current and accurate records of all enrolments, course participation, training outcomes and certification/statements of attainment issued.
- maintaining all records required by funding authorities in accordance with the relevant performance agreement and the Standards for Registered Training Organisations 2015.
- maintaining a records management system that will ensure the confidentiality of staff and student records.
- assuring the safety and integrity of all records.
- ensuring that all training resources, materials, forms and procedures utilised in the management and delivery of RTO are reviewed for currency by appropriately qualified staff and issued under a version control system.
- implementing an effective financial records system to record all fees received from students, the issue details of all fees receipts, and where appropriate, the issue details of all fee refunds.
- ensuring that all certificates and statements of attainment issued by Civil Safety are recorded and are checked for compliance with the requirements of the Australian Qualifications Framework (AQF) and relevant standards prescribed by Standards for Registered Training Organisations 2015.
- ensuring that in the event of the closure of Civil Safety, all such records developed and maintained as evidence of service delivery and student participation and outcome, will be forwarded to the Regulatory Agency.

3. Definitions

Administrative records:	Administrative records are those documents which are used to facilitate the participant's administration during their enrolment. Examples of administrative records are enrolment forms, privacy forms, requests for refund, payment details etc. These records are locked in the stationery room.
Archived files	may include, but are not limited to, the enrolment form, copies of certificates/statements of attainment issued, assessment records, attendance records and any notes made by the trainer/assessor about the student.
Assessment	The process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of an accredited course
Assessment tools	Assessment tools refer to the various templates, checklists and assessment methods that Civil Safety uses over the term of its operations. This specifically refers to the retention of the versions of tools used as opposed to retention of completed resources. The aim of retaining a revision record of versions used over time is to allow an appropriate record for future review by regulatory bodies.
ASQA	Australian Skills Quality Authority
AVETMISS	The Australian Vocational Education Training Management Information Statistical Standard (AVETMISS) for VET Providers is a national data standard that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.
Completed student assessment items	The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. Completed assessment may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or

	records of feedback from assessors to participants. Assessment resources include all those items which substantiate the assessment decision made by an assessor.
Completed files	files for which no further training or assessment services are to be provided to an individual under a service contract or funding agreement.
Continuous Improvement:	Continuous improvement is the outcome from Civil Safety identifying and acting on opportunities for service and operation improvement. Methods such as student and employer evaluation and feedback, self-assessment and review, validation, and strategic planning are used to gain information for continuous improvement
Currency	One of the rules of evidence. In assessment, currency relates to the age of the evidence presented by candidates to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the very recent past.
Current files	files for which the training and/or assessment service is still being delivered
Individual student files	may include, but are not limited to, the enrolment form, copy of any training agreement or contract, signed training plan, visitation record, attendance record, record of contacts, assessment records, training materials, copies of certificates/statements of attainment issued, any notes made by the trainer/assessor about the student.
Internal Audit:	Auditing is one process used by Civil Safety for Continuous improvement of the organisation's operations
NVR Registered Training Organisations 2011	A legislative instrument describing the minimum standards to be met by RTOs through the VET Quality Framework. The VET Quality Framework is aimed at achieving greater national consistency in the way providers are registered and monitored and in how standards in the vocational education and training (VET) sector are enforced. http://www.asqa.gov.au/about-asqa/national-vet-regulation/vet-quality-framework.html
PowerPro	Student Management System
Qualifications / Statements of Attainment:	Qualifications and Statements of Attainment are documents to recognise the outcomes of assessment. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualifications Framework (AQF). These are currently issued via RTO Manager and VETtrak, our student management system for international and domestic student respectively. A pdf version of each documents are saved.
Record	A written, printed or electronic document providing evidence that activities have been performed.
Registered Training Organisation (RTO)	A training organisation authorised to deliver VET Programs and courses.
Regulatory Agency	Regulatory Agency is the Federal, State or Territory government body which has jurisdiction to approve and maintain RTO registration.
Risk Assessment:	Risk assessment is the process used to determine risk management priorities by evaluating and comparing the level of risk against acceptable levels of risk.
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 grievances and appeals.
Securely retain:	To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible. Records may be in hard copy or electronic format.
Student academic records:	This includes what units of competence (including codes) and the result the participant achieved. This may include if the participant withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued credit for current competency held. These records are currently held in Student Support assessment electronic portal and hard copies kept in secure location in Student Support Department.
Staff records:	Each staff member has a file which includes a copy of their resume and qualifications, a copy of their job description and signed employment contract, leave requests (held electronically), signed copy of the annual performance review and any other documentation relating to a staff member's employment with the organisation. These files are kept in a secure location in the vault.

4.   Principles

4.1   Records

Records on operations include:

4.1.1   Training and Assessment Records

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

4.1.2   Compliance Records

a)   Continuous improvement activities and systems;
b)   Training and assessment strategies;
c)   Validation plan, activities and outcomes;
d)   Industry consultation;
e)   Training and assessment resources;
f)   Quality Indicators;
g)   Evaluation;
h)   Audit.

4.1.3   Business Records

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

4.2   Electronic Records

a)   Civil Safety Student Management System (SMS) is backed up on a daily basis, at the COB daily or on completion of data entry.
b)   All Civil Safety documents and emails are saved to the system network (server), which is backed up at the COB daily and weekly and stored externally.

c) Electronic Records will be uploaded to relevant reporting databases in accordance with the reporting requirements.

d) Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines.

4.3 Paper-based Records

a) Paper Records are stored in secure/lockable cabinets for a period of not less than 12 months.

b) Paper records are archived annually, for an additional four (4) years at a secure off-site storage facility.

c) Paper Records can be destroyed after five (5) years.

5. Responsibilities

The Director has the overall responsibility for the compilation, maintenance and storage of all version-controlled documents, corporate documentation including human resources, financial records and annual reports.

The Training Manager is responsible for this procedure and to ensure that staff and students are aware of the application of this procedure and that staff implement its requirements.

Administration are responsible for the storage, maintenance and archiving of all student records, student files, training and assessment records in accordance with standards and ASQA requirements.

Data entry and records management is carried out by the Administration Team in accordance with their Duty Statements.

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

Enrolments are entered into the RTO Database and the enrolment record uploaded into the system.

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

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

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

6. Procedure

6.1 Steps

1 – Recording information			
No.	**Action/Process**	**Why**	**Who**
1.1	Application forms are completed and maintained in	Collect and maintain relevant	Admin

No.	Action/Process	Why	Who
	files for individual students. Data from the application form is entered in the student management systems.	student information	
1.2	Competency records for each unit are maintained by trainers, signed and dated by the trainer and then forwarded to the Administration at the completion of each unit.	To keep accurate completed assessment for resulting and archive	Trainer/Admin
1.3	Based on the quality checked competency records forwarded by trainers, the achievement of units of competency for each student is recorded on the student management system by Administration.	To ensure assessment records are complete	Admin
1.4	The date of issue, title of the Award or Statement of Attainment, and sequence number of the document is recorded in the student management system awards register.	To ensure accurate and compliant awards and maintain accurate records of issuances	Admin
1.5	In June each year data is lodged following the ASQA requirements for the quality indicator system for training activities completed in the previous calendar year: • the number of enrolments for each qualification code • the number of qualifications completed for each qualification code • the number of enrolments for each unit of competency or module • the number of units completed for each unit of competency or module • an indication of offshore operations.	To submit compliant data required by the department	Admin
1.6	Civil Safety student records will include student's current residential address, mobile phone number, email address, emergency contact and any other details prescribed by applicable regulations and funding contract requirements.	To maintain accurate contact details	Admin
1.7	Students can update their personal details by contacting Administration, administration will record the updated details in the student management system.	To ensure currency of information	Admin
2 – Electronic records			
No.	**Action/Process**	**Why**	**Who**
2.1	All student's records including enrolment, course progress and results are entered stored in the AVETMISS compliant Student Management System – PowerPro. Data entry for student details, results, notes, results, awards and records management using PowerPro are carried out by Administration.	Maintain accurate up to date records of details, participation and results	Admin
2.2	Every record is stored in the Student Management System, which is a server-based system are backed up by the Civil Safety IT department as part of regular server backups.	To safeguard information and prevent loss of data	IT
2.4	All client AVETMISS information including details of assessment results is stored electronically for a period of 30 years and made available to the National VET Regulator on request.	To maintain compliance with requirements of maintaining assessment records	Director
2.5	All electronic data is password protected with access rights provided to appropriate personnel. Server based storage of a student record may include the following: o Enrolment form o Training plan o Attendance records o Assessment tasks/materials o Statement of Attainment/Certificate o Unique Student Identifier (USI)	To maintain security of information to prevent unauthorised access	Director/IT

3 – Paper Based Records			
No.	**Action/Process**	**Why**	**Who**
3.1	Paper Records (Student File) to be stored in a secure/lockable cabinet within the Regional Administration Office for a period of not less than 6 months on completion of Training or Assessment.	Security of files	Training Manager/Admin
3.2	If required, Paper Records are then to be archived in secure storage for the required period as specified by regulatory authority or specific contract requirements.	Security of files	Training Manager/Admin

4 – Retention period			
No.	**Action/Process**	**Why**	**Who**
4.1	**Participant results / Qualifications / Statements of Attainment:** Participant results / Qualifications and Statements of Attainment (100%) are to be retained for a minimum of thirty (30) years electronically and/or paper based.	Regulatory requirement	Director
4.2	**Completed assessment resources:** o Completed assessment resources (100%) are to be retained for a period of six months from the date on which the judgement of competence for the student was made. Note: Students participating in some government funding programs have specific retention requirements, as such completed assessment items need to be retained as per the contractual requirements of the program (see below) o User Choice/Certificate 3 Guarantee – all student assessment records to be retained for 6 years from the end of the Term of Agreement	Regulatory or contractual requirements	Training Manager/Admin
4.3	**Staff records:** Staff records are to be retained for a minimum of five (5) years after employment with the organisation ceased.	To Maintain staff records	HR/Accounts

5 – Disposal of Records			
No.	**Action/Process**	**Why**	**Who**
5.1	The manner of disposal after the retention period will be the responsibility of the Training Manager. To ensure confidentiality, documents containing personal details or other sensitive information will be securely destroyed. Paperwork with sensitive or confidential information needs to be shredded. Documents to be placed in the shredx security bins include but are not limited to: o Company Information o Client Information o Forms o Terms and Conditions o Policies	To securely dispose of records and ensure privacy and confidentiality	Training Manager/Admin

6 – Privacy			
No.	**Action/Process**	**Why**	**Who**
6.1	Information about a student will be handled as per the Civil Safety's Privacy Policy.	Privacy in line with legislation and regulations	Director/training Manager
6.2	Except as required under the Standards for Registered Training Organisations 2015, Government Contracts or by law, information about a student will not be disclosed to a third party without the written consent of the student.	To maintain confidentiality and privacy of student records.	Admin/Training Manager

No.	Action/Process	Why	Who
6.3	Access by students to their personal records is available upon request to the Administration in writing and approved by the Training Manager. Information that may be accessed includes progress, personal details, and any relevant details of the student's enrolment that the Civil Safety has collected.	Freedom of Information	Admin/Training Manager

7 – Staff records

No.	Action/Process	Why	Who
7.1	All staff involved in the delivery of Civil Safety services shall have a staff file(s) raised and maintained for recording: o position profile, o qualifications and vocational competence, o employment conditions or terms of contract, o participation in induction processes o professional development Either Certified Copies or Original documentation must be sighted to verify the authenticity of qualifications, references and industry awards. Copies on file shall indicate the date sighted and by whom. Disciplinary action or notices of complaints may also be noted on this file.	To maintain privacy of staff files and to maintain evidence of competency, currency and other relevant staff information.	Director, Training Manager, Quality Manage, HR
7.2	Staff files are held and maintained by the Training Manager and secured on the network drive with permissions.	To store staff files securely and prevent unauthorised access	Training Manager/Director

No.	Action/Process	Why	Who
7.3	Staff may access information on their files on request to the Director. Third party access must be cleared by the Training Manager or Director and only for purposes relevant to the maintenance of records or for audit purposes (ie to update records).	Freedom of information & privacy	Training Manager/Director

8 – Student Records

No.	Action/Process	Why	Who

8.1	Student records are to be raised at enrolment. These records are to be established electronically and as a hard-copy record. These records are to include, but are not restricted to:
	
	  o Enrolment application form
	  o Fees Arrangements
	  o Emergency Contact details
	  o Student Identification
	  o Applications for RPL or Mutual Recognition
	  o Participation evidence
	  o Assessments
		To maintain contact details and training records of students	Admin

8.2	Student records are to be entered and maintained on PowerPro by Administration. All enrolment changes, and changes to personal data must be forwarded directly to the Administration Team for data entry. Administration are responsible for entering unit results into PowerPro.	Maintain currency of information and student results	Admin
8.3	Students may request a copy of their data profile on request and proof of identification. Third party access cannot be approved by any means other than student agreement.	Privacy of records and freedom of information	Admin/Training Manager

9 – Record of Fees/Refunds

No.	Action/Process	Why	Who
9.1	Prior to enrolment, all students are informed of any applicable fee structures and payment schedules.	To ensure students are aware of all costs associated with their prospective course.	Admin
9.2	All fees paid by individual students are to be receipted and recorded by Civil Safety accounts department. Where an employer pays the fees on behalf of a student, the employer is to be invoiced for the appropriate tuition fee, clearly indicating on the invoice each student to whom the invoice applies. A copy of the invoice is to be placed on the student's file.	To maintain accurate financial records for reporting and accounting purposes	Accounts/Admin
9.3	Where a refund has been granted, the amount, date and reason for the refund are to be noted on the student's file.	Maintain records and outcomes of refunds and to maintain accurate financial records	Accounts/Training Manager

10 – Contract Management

No.	Action/Process	Why	Who
10.1	Civil Safety establish a file for reporting all contracts or agreements for RTO service delivery. These responsibilities will be summarised and monitored using a register of all contracts or agreements relevant to its delivery of RTO services. The register is to be managed by the Training Manager and must include: o Party to whom contract is made o Duration of Agreement	To maintain a current summary of all contracts to monitor currency reporting obligations, and reviews	Training Manager
10.2	The Contract File will include a MOU or similar that outlines the agreement between both parties as to quality assurance requirements. Where Civil Safety is the lead agent, it is required to take full responsibility for all compliance matters. The other party must be provided with a clear compliance role to support these quality requirements within the MOU. All performance requirements will be recorded and reviewed during and at the end of the contract period or as agreed within the MOU.	To have an established formal agreement outlining the reasonability of all parties	Training Manager

11 – Record Access

No.	Action/Process	Why	Who
11.1	All records maintained by Civil Safety are subject to the laws of privacy. As such, it is a requirement that records be held in a secure environment, safeguarded against loss, damage of unauthorised access. **Accordingly:** o Staff files may only be accessed by the Civil Safety Director, Finance Manager, the Training Manager, and the Quality Manager for purposes of internal audit or an auditor appointed by ASQA for the purposes of checking regulatory compliance. o Student files may only be accessed by the Civil Safety Staff for updating those student files, or internal auditing and review purposes. An auditor appointed by the ASQA may access files for the purposes of evaluating regulatory compliance. o All individuals have a right to view their own files and may do so upon request and proof of identification to student administration. o Privacy and access procedures are made clear to all parties at induction (staff), orientation (student) or during course information sessions for intending students. o Access to a file by a third party other than as above can only be provided with the written consent of the individual.	Maintain secure records and provide approved access where applicable	Director/Training Manager/Quality Manager/Finance Manager/HR
11.2	If a client makes application to obtain access to their personal records they must do so in writing and provide this written application to Training Manager who will ensure the personal records are provided within seven (7) working days from the date of the application. If a client wishes to allow a third party to access their personal records, they must make application in writing on Form authorising the release of information to a third party. Civil Safety will provide the information requested within fourteen (14) days from the receipt of the	Approval mechanism for access to information by the individual or to a 3rd party	Training Manager/Director

		application.		

12 – Version Control

No.	Action/Process	Why	Who
12.1	All documents and materials raised and used in the delivery of Civil Safety services shall be managed under a version or document control system. **It is a requirement therefore that:** o The Training Manager or Quality Manager shall authorise under the direction of the Civil Safety, the issue of documents, materials and forms for use in the day-to-day operations of Civil Safety. o The Quality Manager, in conjunction with Training Manager and administration, shall maintain a register of documents, materials and forms issued for use in Civil Safety operations. o When a new/revised document is issued, administration and/or Quality Manager will notify all relevant staff of the change of issue and remove the outdated version from circulation. o The document control registers shall be used as a tool for monitoring 'documents and materials in use' and to inform audit processes. o All training materials must be managed in the control system and issued only under the authority of staff suitably qualified to determine the relevance and value to the training program (s). The same staff are responsible for reviewing these materials on an annual basis and ensuring their release is warranted.	This aims to ensure that all parties have access to current and accurate information that has been approved for release and use in the delivery of services.	Training Manager/Quality Manager

13 – Awards management

No.	Action/Process	Why	Who
13.1	The issue of awards by Civil Safety is governed by its scope of registration and the guidelines specified in the AQF Implementation Handbook.	To ensure awards are compliant and valid	Training Manager/Quality Manager
13.2	Students who have satisfactorily completed their full program of study are entitled to a Certificate and a Results transcript. Students who withdraw or partially complete their training program are to be issued with a Statement of Attainment. These must include: o RTO name and ID o Full title of qualification and its national code o Name of student and student id number o Certificate number o If a statement of attainment, include the correct unit names and codes NRT logo (refer to NRT logo specifications document)	To ensure correct award is issued and correct usage of the NRT logo	Training Manager/Quality Manager
13.3	The Training Manager or Quality Manager is to verify the student's entitlement to a certificate or statement of attainment from RTI form and Administration is to prepare their issue.	To ensure records are complaint and complaint award is issued	Training Manager/Quality Manager
13.4	The Director is the authorised signatory for all qualifications and statements of attainment	All awards issued must be signed by the director	Director
13.5	Each certificate/statement of attainment issued is to be uploaded to PowerPro.	To keep a full copy of issued awards	Admin

14 – Archive Management

No.	Action/Process	Why	Who
14.1	All student records are to be securely stored and protected from loss, damage or unauthorized	Security of files and student information	Training Manager/Admin

No.	Action/Process	Why	Who
	access. All hard-copy records are to be stored either in locked metal filing cabinets or in archive storage, and their access supervised by the relevant Regional Manager. All electronic records are to be maintained on Civil Safety's PowerPro database		
14.2	Individual assessment records are retained for a minimum of six (6) months post completion of the course. Assessments may be kept longer than 6 months due to contractual obligations.	Maintain complaint retention of student records	Training Manager/Admin
14.3	Civil Safety keep sufficient records associated with Student Results for a period of thirty (30) years from the date of their issue. This will ensure that an award will be re-issued to the student.	Compliance with standards and to reissue awards when required	Director
14.4	All electronic records are backed up by Civil Safety IT department.	Prevent loss of data	IT
14.5	All paper documents will be destroyed securely and appropriately, as per the Public Records Act, after the timeframes listed above have elapsed.	Regulatory requirements and privacy	Training Manager
14.6	If during the period of registration Civil Safety voluntarily withdraws its registration, its registration has lapses, does not renew the registration or has its registration cancelled by ASQA it will forward student records within 30 days to ASQA.	Compliance requirement	Director

15 – Records retained for audit

No.	Action/Process	Why	Who
15.1	The following records shall be kept and maintained for each registration period and are subject to audit: • Copy of previous audit report and corrective action plan • Policies, Procedures and supporting documents • Version Control Log • Meeting Minutes • Course Review Reports • Industry Consultation • Student Surveys • RTO Self-assessment • Training and Assessment Strategies • Training Plans • Student Files • Trainer Files • Validation and Moderation Activities • Assessment tools and records • Current Staff Handbook • Current Student Handbook • Complaints and Appeals and their outcomes • Team meeting minutes • Current Marketing Materials • Samples of completed assessments • Position Descriptions • Evidence of staff professional development • Evidence of student participation	To maintain accurate records and compliance with relevant standards and contracts	Director, Training Manager, Quality Manager

7. Supporting Information

7.1 Related Legislation

- Standards for Registered Training Organisations (RTOs) 2015
- Public Records Act 1973
- Electronic transactions Act 2000
- Freedom of Information Act 1992
- Privacy Act 1988
- Privacy Regulation 2001
- Student Identifiers Act 2014

7.2 Related Documents

- Enrolment form
- Student handbook, letters, adverts and the website
- Learner Assessment Outcome Record (LAOR)
- Staff file
- Student files
- Financial records
- Trainer matrix
- Staff professional development records
- Staff performance review records
- Certificates/ statements of attainment
- Guidelines for use of NRT logo
- Guidelines for AQF logo and certificates
- Course evaluation
- Attendance Records
- Assessment tools
- Document register
- Privacy Policy
- QMS documentation

Continuous Improvement Policy

1. Purpose

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

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

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

2. Policy Statement

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

Civil Safety will:

•   implement and maintain strategies and practices to systematically monitor its compliance with the Standards for RTOs;
•   review and evaluate its training and assessment strategies and practices (using various processes) including those offered by a third party;
•   utilise the outcomes of all monitoring and evaluative processes to inform and continually improve training and assessment strategies and practices.

3. Policy Principles

3.1   Underpinning Principles

a)   Civil Safety continuous improvement approach is systematic, involves staff, clients and other stakeholders, and uses qualitative and quantitative data to determine the need for improvement to the RTO's services, operations, practices and systems.
b)   Civil Safety continuous improvement focus areas include, but is not limited to:
i.   Training and assessment products and services;
ii.   Training and assessment resources, tools and instruments;
iii.   Facilities and equipment;
iv.   Policies, procedures and practices;
v.   Management / operational systems;
vi.   Strategic / business plans;
vii.   Staff performance, competencies and professional development;
viii.   Third party arrangements.
c)   Continuous improvement is ongoing and may be planned or unplanned, occurring as often as identified and required.
d)   All staff are encouraged to report any opportunities for improvement to the Director in writing as they identify them. Staff are to provide any information and data they have collected to support their recommendations so it can be analysed and acted on accordingly.
e)   Staff recommendations are reviewed by the Director of Civil Safety at the regular staff meetings.
f)   Improvements may be implemented immediately or at an appropriate time, depending on the urgency and circumstances, action and subsequent affect to other operational systems and practices.
g)   Continuous improvement actions (IORs) are recorded and maintained on the "Improvement Opportunity Request Register".
h)   Civil Safety identifies areas of continuous improvement for all areas of its operations through (but not limited to):

i.   Training and assessment outcomes;
ii.   Client feedback on training (See Evaluation Policy);
iii.   Client feedback on assessment (See Evaluation Policy);
iv.   Workplace / Client Management feedback (See Evaluation Policy);
v.   RTO Management review;
vi.   Candidate feedback (regarding Assessment); (See Evaluation Policy)
vii.   Client satisfaction surveys; (See Management of RTO Policy)
viii. Trainer feedback (See Evaluation Policy);
ix.   Assessor feedback (See Evaluation Policy);
x.   Staff feedback;
xi.   RTO Auditing (internal and external) (See Audit Policy);
xii.   Customer complaints (See Complaints Policy);
xiii. Appeals (See Appeals Policy);
xiv.   Induction of staff and contractors;
xv.   Course reports (See Course Delivery Policy);
xvi.   Legislative or regulatory changes (See Legislation Compliance Policy);
xvii. Feedback or liaison from stakeholders;
xviii. Administrative processes / efficiencies (See Records Management Policy);
xix.   Performance Management/ Trainer Observations (See HR Policy);
xx.   Validation and Moderation (See Validation Policy);
xxi.   Changes to Training Packages (See Transition of Training Packages Policy);
xxii. Industry consultation and feedback;
xxiii. Networking activities;
xxiv. Staff Professional Development;
xxv.   Quality indicators data, under "Data Provision Requirements";
xxvi. Development of Learning and Assessment Strategies and Resources (See Policy);
xxvii. VET Regulator / Industry updates;
xxviii. Review of marketing practices;
xxix. Industry licensing / regulatory bodies;
xxx.   Skills Service Organisations (SSOs);
xxxi. Annual Business planning;
xxxii. Business/Finance reviews.

i)   Civil Safety seeks feedback from clients regarding their satisfaction with services they have received. This feedback is collated and reviewed by Civil Safety to identify areas of continuous improvement. (See Evaluation Policy)

j)   Civil Safety conducts internal auditing against quality standards (e.g. the Standards for RTOs 2015), all policies and procedures, and training and assessment products and services (See Audit Policy).

k)   Civil Safety provides information and feedback regarding continuous improvement actions to all staff via :
     i.   Staff meetings
     ii.   Staff memos
     iii. Training / coaching sessions
     iv.   Intranet
     v.   Email
     vi.   Noticeboards

l)   All continuous improvement actions need to account for, and maintain, consistency with other policies, procedures, practices, management systems and staff responsibilities. To ensure consistent implementation, all impending continuous improvement actions will be verified and implemented as follows:

      i.   Checked against the affect the amendment may have on other policies, procedures, or systems;

      ii.   Check against the affect the amendment may have on the working or process of other written documents;

      iii.   Communicating the details of the amendments throughout the organisation, and to third party providers;

      iv.   Actively engaging staff in continuous improvement and implementation processes;

      v.   Potentially undertaking a trial of the amendment to test its effectiveness and cause of results.

m)   Civil Safety implements where possible the continuous improvement cycle from ISO9001:2008 indicated in the diagram below.

Cycle of Improvement
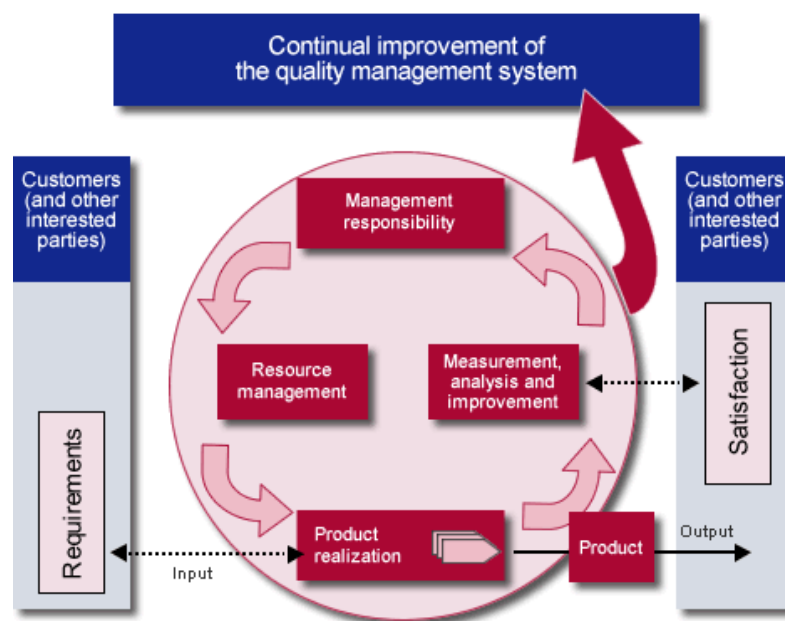
Diagram 1 – Continuous Improvement

4. Civil Safety Responsibilities

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

5. Continuous Improvement (IOR – Improvement Opportunity Request) Procedures

STEP 1 – Submit IOR Request		
No.	**Who**	**Actions**
1.1	**All**	g) Complete '**Improvement Opportunity Request'**, providing full detail of request. h) Provide completed '**Improvement Opportunity Request'** to Director.
STEP 2 – IOR Management Review and Approval		

No.	Who	Actions
2.1	**Director**	a) Review the '**Improvement Opportunity Request'** request. b) Consider all implications from the implementation of recommendations. c) Approve/decline/modify recommendations, as applicable (and in accordance with compliance requirements as a RTO) making note on the '**Improvement Opportunity Request'**. d) Provide completed '**Improvement Opportunity Request'** to relevant 'Process Owner'/Quality Manager for implementation.

STEP 3 – Implement IOR Action

No.	Who	Actions
3.1	**Process Owner / Quality Manager**	a) Enter CI details into '**IOR Register'**, make note of IOR No. on '**Improvement Opportunity Request'.** b) Check approved actions for : i. Amendments to other policies/ procedures/ forms/ systems not yet identified; ii. Implications/effects on other work processes or documentation, not yet identified. c) Implement continuous improvement recommendations. d) Update all documentation, as relevant. e) Provide detail of all IOR actions implemented, including updated documentation, to Director for final review and approval.

STEP 4 – Management Approval of Changes

No.	Who	Actions
4.1	Director	i) Review and approve/decline/modify IOR actions and updates. j) Provide approval/decline/modifications, feedback and all documentation back to Process Owner / Quality Manager

STEP 5 – Implementation and Communication

No.	Who	Actions
5.1	**Process Owner / Quality Manager**	a) Make relevant changes as per Director response/feedback. b) Update **IOR Register**. c) Complete the '**Improvement Opportunity Request'** to close out all actions and file in the continuous improvement file. Store in order of IOR Request No. d) Communicate details of the IOR through the organisation.

STEP 6 – Trial and Review Amendment / IOR

No.	Who	Actions
6.1	**All**	a) Implement changes. b) Review effectiveness of changes and provide feedback. c) Go to Step 1, if further continuous improvement is required.

6. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

7. Records Management

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

8. Monitoring and Improvement

All enrolment practices are monitored by the Director of Civil Safety and areas for improvement identified and acted upon. (See Continuous Improvement Policy/IOR forms)

Privacy Policy

1. Purpose

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

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

2. Policy Statement

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

Civil Safety will ensure :

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

3. Policy Principles

3.1   Legislation

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

3.2   Underpinning Principles

a)   Personal Information is defined in the Privacy Act 1988 to mean "information or an opinion about an identified individual, or an individual who is reasonably identifiable:
i.   whether the information or opinion is true or not; and

ii.   whether the information or opinion is recorded in a material form or not.

b)   Sensitive Personal Information is defined in the Privacy Act 1988 to mean "information or an opinion about an individual's" that is also personal information, such as:

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

3.3   PART 1 – Consideration of Personal Information Privacy

a)   Open and Transparent Management of Personal Information.

Civil Safety will :

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

b)   Anonymity and pseudonymity

Civil Safety will :

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

3.4   PART 2 – Collection of Personal Information

a)   Civil Safety will not collect personal information form you unless that information is necessary for one or more of its functions or activities, or is required by law.

b)   Civil Safety advises that it is required by law to collect, hold, use and supply personal information, in accordance with the National VET Provider Collection Data Provision Requirements.

c)   Civil Safety will take reasonable steps at or before the time of collection to ensure that you are aware of:

i.   Who we are and how to contact us;

ii.   How to gain access to your own information;

iii.   The purpose for which the information is being collected;

iv.   Any organisation to which we would normally disclose information of that kind;

v.   Any law that requires the particular information to be collected;

vi.   The main consequences for the individual if all or part of the information is not provided.

d)   Civil Safety collects information from you in the following ways:

i.   When you register your interest on line, apply for enrolment, request certain services or products, or otherwise contact or do business with us.

ii.   Information may be collected from enrolment forms, certified documents, telephone calls, faxes, emails, letters sent by you.

iii.   Information may be collected from third parties, such as other training providers, regarding confirmation of training and ongoing professional development that you have attended, as permitted by you.

e)   Should Civil Safety collect information about you from a third party we will take reasonable steps to ensure that the individual is or has been made aware of the matters listed above except to the extent that making the individual aware of the matters would pose a serious threat to the life or health of any individual.

3.5   PART 3 – Dealing with Personal Information

a)   Civil Safety will not use or disclose personal or sensitive information for any purpose other than what it was collected for, unless the relevant person has provided written consent to use or disclose that information in circumstances that are different to those for which it was collected.

The circumstances where an exception may occur are:

i.   Where the use or disclosure of this information is required or authorised by or under an Australian law or a court/tribunal order;

ii.   The individual would reasonable expect Civil Safety to use or disclose the information for the secondary purpose;

iii.   A permitted health situation exists in relation to the use or disclosure of the information by Civil Safety;

iv.   A permitted general situation exists in relation to the use or disclosure of the information by Civil Safety;

v.   Civil Safety reasonably believes that the use or disclosure of the information is reasonably necessary for one or more enforcement related activities conducted by, or on behalf of, an enforcement body.

b)   Civil Safety collects your personal information so as to:

i.   Process applications;
ii.   Manage your enrolment;
iii.   Record and maintain your details;
iv.   Administering training programs;
v.   Record and maintain details of your ongoing training and assessment;
vi.   Provide you with details regarding client services, benefits, and training opportunities;
vii.   Notify you about upcoming events and opportunities;
viii.   Gain feedback from you;
ix.   Communicate with you;
x.   Report to relevant authorities as required by law.

c)   Direct Marketing

Civil Safety:

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

d)   Cross Border Disclosure

Civil Safety:

iii.   Does not disclose personal information to overseas recipients unless prior written approval is received by the individual who the personal information relates.

e)   Adoption, use or disclosure of Government Related identifiers

Civil Safety:

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

3.6   PART 4 – Integrity of Personal Information

a)   Quality of personal information

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

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

b)   Security of personal information

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

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

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

a)   Civil Safety provides all clients with electronic access to their own personal records, where the individual can update and maintain their own personal information.

b)   In some circumstances, Civil Safety may not permit access to individuals for their personal information. If this is ever the case, Civil Safety will provide full details for the legal reasons for this decision. These may include that Civil Safety believes :

   i.   That giving access to the information would pose a serious threat to the life, health or safety of the individual, or to public health or public safety; or
   ii.   Giving access would have an unreasonable impact on the privacy of other individuals; or
   iii.   The request for access is frivolous or vexatious; or
   iv.   The information relates to existing or anticipated legal proceedings between Civil Safety and the individual, and would not be accessible by the process of discovery in those proceedings; or
   v.   Giving access would reveal the intentions of Civil Safety in relation to negotiations with the individual in such a way as to prejudice those negotiations; or
   vi.   Giving access would be unlawful; or
   vii.   Denying access is required or authorised by or under an Australian law or a court/tribunal order; or
   viii. Both of the following apply:

   • Civil Safety has reason to suspect that unlawful activity, or misconduct of a serious nature, that relates to Civil Safety functions or activities has been, is being or may be engaged in;
   • Giving access would be likely to prejudice the taking of appropriate action in relation to the maters; or

   ix.   Giving access would be likely to prejudice one or more enforcement related activities conducted by, or on behalf of, an enforcement body; or
   x.   Giving access would reveal evaluative information generated within Civil Safety in connection with a commercially sensitive decision-making process.
   c)   When dealing with requests for access to personal information, Civil Safety will:

i.   Respond to request for access within 30 days of the request, if from an individual, and within a reasonable time, if the request is from an organisation; and

ii.   Provide access to the information in the manner requested, if it is reasonable and practicable to do so.

d)   Civil Safety does not charge a fee for access to personal information. The exception is re-prints of certification documentation previously supplied.

e)   With regard to the correction of personal information held:

i.   should Civil Safety be satisfied that information is inaccurate, out of date, incomplete, irrelevant or misleading, Civil Safety will take such steps as reasonable to correct the information to ensure that, having regard to the purpose for which it is held, the information is accurate, up-to-date, complete, relevant and not misleading.

ii.   Should Civil Safety refuse to correct information, Civil Safety will give written notice to the individual that sets out:

- The reason for refusal
- The mechanisms available to complain about the refusal; and
- Any other matter prescribed by the regulations.

4.   Privacy Procedures

Clients Obtaining Access to Own Records
Client's have access to their own records through their person login into the Student Management System (SMS).

STEP 1 – Application to access own records – Paper-based/ documentation

No.	Who	Actions
1.1	**Client**	g) Client advises in writing they wish to view their own records "Paper-based" (i.e. Client file) kept by Civil Safety.
1.2	**Admin**	l) Communicate with client confirming their needs. m) Confirm identify of the client. n) Arrange a date / time for the client to attend and view their records.

STEP 2 – Accessing own records

No.	Who	Actions
2.1	**Client**	k) Client arrives to view their own "Client file".
2.2	**Admin**	a) Verify identification of client. b) Retrieve client file. c) Provide private access for client to view their own records under supervision.
2.3	**Client**	a) Client views to view their own "Client file". b) Client is not permitted to remove any documentation from their own file, however may request a copy of the documentation.
2.4	**Admin**	k) Return client file to filing system.

Client Allowing Access of their Records to a third party		
Client's have access to their own records through their person login into the Student Management System (SMS).		
STEP 1 – Application by a client for a third party to access client records / information		
No.	**Who**	**Actions**
1.1	**Client**	l) Client completes **"Privacy Disclosure Form"** and submits to admin, allowing a third party to access the clients own records/ information.
1.2	**Admin**	a) Communicate with client confirming their needs. b) Confirm identify of the client. c) Confirm identify of the third party. d) Arrange a date / time for the third party to attend and view the records, or discuss personal details of the client. e) May need to communicate with Third party to arrange date and time. f) Note on the client records, both SMS and Client file, that a third party has authority to view records. g) Place **"Privacy Disclosure Form"** on client file.
STEP 2 – Accessing Client records by a Third party		
No.	**Who**	**Actions**
2.1	**Third party**	e) Third party arrives to view the Client records "Client file", or calls to receive client specific information.
2.2	**Admin**	s) Verify identification of Third party. t) Retrieve client file. u) Provide private access for Third party to view the records under supervision, or provide personal information as permitted and written on the **"Privacy Disclosure Form"**.
2.3	**Third party**	g) Third party views the "Client file". h) Third party is not permitted to remove any documentation from the client file, however may request a copy of the documentation if this has been the instruction given by the client on the **"Privacy Disclosure Form"**.
2.4	**Admin**	a) Returns client file to filing system.

5. *Civil Safety Responsibilities*

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

The Director of Civil Safety ensures that all clients have access to and awareness of this policy.

6. *Records Management*

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

7. *Monitoring and Improvement*

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

Evaluation Policy and Procedures

1. *Purpose*

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

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

2. *Policy Statement*

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

Civil Safety ensures that:

a) Systematically monitors and evaluates training and assessment strategies and practices and use the outcomes of evaluations for continuous improvement;
b) It collects and analyses feedback and satisfaction data from all stakeholders regarding all training and assessment services provided, including via third party providers;
c) Information to be evaluated includes data collected from quality/performance indicators, validation outcomes, feedback from clients, trainers, assessors and industry, complaints and appeals; and
d) Systematically monitors any training and assessment services delivered, including by third party providers.

3. *Policy Principles*

3.1   Underpinning Principles

a)   Evaluation of training and assessment services will be conducted:

i.   During the delivery of training and assessment, including feedback from :
•   Clients
•   Trainers
•   Assessors
•   Subject matter experts
•   Outcomes of assessment
ii.   Post delivery of training and assessment, including feedback from :
•   clients
•   Trainers
•   Assessors
•   Workplace clients / supervisors
•   Complaints
•   Appeals

- Validation
- Quality data indicators
- Outcomes from audits

b)   Civil Safety understands the value of client feedback for continuous improvement and ensuring that current and changing needs are met.

c)   Feedback is requested and encouraged from all clients, however is not compulsory.

d)   All feedback collected is collated and submitted to Director Civil Safety in the monthly report.

e)   Director Civil Safety will review the collated reports and make determination for continuous improvement.

f)   Civil Safety's approach to evaluation and feedback includes staff, clients and other stakeholders.

3.2   Types of Feedback

a)   Feedback will be gathered and evaluated regarding:

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

3.3   Resources to gather feedback

a)   Feedback is gathered using a number of processes, tools and instruments. These include but may not be limited to:

i.   Email communications
ii.   Training Evaluation form
iii.   Assessment Evaluation form
iv.   Client Feedback Form
v.   Course reports (completed by trainers)
vi.   Satisfaction surveys (online)
vii. Workplace Feedback Form
viii. Learner Questionnaire (Quality indictor)
ix.   Client Questionnaire (Quality indictor)
x.   Complaints forms
xi.   Appeals Forms
xii. Validation forms
xiii. Interviews
xiv. Focus groups

4. *Civil Safety Responsibilities*

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

Trainers and assessors (including those from third party providers) are responsible for implementing client feedback procedures.

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

5. *Evaluation Procedures*

STEP 1 – Seeking Client Course Evaluation (Face to Face)		
No.	**Who**	**Actions**
1.1	**Trainer**	m) Provide '**Course Evaluation Form'** to all learners at the end of training sessions, requesting that they complete it and leave on the desk before they depart. n) Collect '**Course Evaluation Form'** and place in '**Course Nomad File'** for submission to Admin.
1.2	**Assessor**	a) Provide '**Client Assessment Evaluation Form'** to all candidates at the end of the assessment process, requesting that they complete it before they depart. b) Collect '**Client Assessment Evaluation Form'** and place in '**Course Nomad File'** for submission to Admin.
STEP 2 – Seeking Client Course Evaluation (Online)		
No.	**Who**	**Actions**
2.1	**Admin**	a) Send link to '**Learner Questionnaire'** to learners email address, at the end of each quarter. Or b) Send a copy of '**Learner Questionnaire'** to learners postal address, at the end of each quarter c) Send link to '**Employer Questionnaire'** to Employer Managers email address, at the end of each quarter. OR d) Send a copy of '**Employer Questionnaire'** to Employer Managers postal address, at the end of each quarter.
2.2	**Assessor**	e) Provide '**Client Assessment Evaluation Form'** to all candidates at the end of the assessment process, requesting that they complete it before they depart. f) Collect '**Client Assessment Evaluation Form'** and place in '**Course Nomad File'** for submission to Admin.
STEP 3 – Seeking Staff (Trainer / Assessor) Evaluation and Feedback		
No.	**Who**	**Actions**
3.1	**Trainer**	a) Completes '**Trainer Evaluation Form'** at the end of each course and submits in **Course Nomad file** for processing. b) Completes '**Course Report Form'** at the end of each course and submits in **Course Nomad file** for processing.
3.2	**Assessor**	a) Completes '**Assessor Evaluation Form'** at the end of each assessment and submits to Admin processing.
STEP 4 – Collate Evaluation Feedback		
No.	**Who**	**Actions**
4.1	**Admin**	j) Enter all feedback from: iii. Course Evaluation Forms;

		iv. Client Assessment Forms;
		v. Learner Questionnaires;
		vi. Employer Questionnaires;
		vii. Trainer Evaluation Form;
		viii. Assessor Evaluation Form; and
		ix. Course Report Form.
		Into Online Survey portal / Spreadsheet.
		k) Collate/summarize feedback, reviewing feedback for trends, patterns, relevance and validity.
		l) Present Evaluation summary reports to Director.

STEP 5 – Continuous Improvement

No.	Who	Actions
5.1	**Director**	v) Determine areas for continuous improvement and provide information to <Position 3>
5.2	**Position**	a) Completes **Continuous Improvement (CI) Form**. b) Progress through Continuous improvement procedures.

6. Records Management

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

7. Monitoring and Improvement

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

Legislation Compliance Policy and Procedures

1. Purpose

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

2. Policy Statement

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

Civil Safety will ensure that:

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

3. Definitions

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

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

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

b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

4. Policy Principles

4.1 Underpinning Principles

c) There are numerous Acts that impact upon the training and assessment for courses offered by Civil Safety. A list is kept on a legislation register.

d) Civil Safety advises its staff and clients of legislation that affects their duties or learning.

e) Civil Safety will purchase a copy of, or have electronic access to, all Commonwealth, State and Territory legislation that affects its operations or services delivered.

f) Civil Safety has and maintains memberships to the following legislation publishers so as to receive updates and notifications of changes in legislation and regulatory requirements.

i. Australian Government, COMLaw; at http://www.comlaw.gov.au/

ii. Australasian Legal Information Institute, website: http://www.austlii.edu.au

iii. New South Wales – http://www.legislation.nsw.gov.au/

iv. Victoria – http://www.legislation.vic.gov.au/

v. Queensland – https://www.legislation.qld.gov.au/OQPChome.htm

vi. Western Australia - State Law Publisher, at www.slp.wa.gov.au.

vii. South Australia – http://www.legislation.sa.gov.au/index.aspx

viii. Northern Territory – http://dcm.nt.gov.au/strong_service_delivery/supporting_government/current_northern_territory_legislation_database

ix. ACT – http://www.legislation.act.gov.au/

x. Tasmania - http://www.thelaw.tas.gov.au/index.w3p

g) Civil Safety has access to solicitors who provide advice on legislation.

4.2 Vocational Education and Training (VET) Legislation

a) Legislation relevant to Civil Safety includes :

i. Commonwealth - National Vocational Education and Training Regulator Act 2011
ii. New South Wales - Vocational Education and Training (Commonwealth Powers) Act 2010
iii. Victoria – Vocational Education and Training Act 1990
iv. Queensland – Vocational Education and Training (Commonwealth Powers) Act 2012
v. Western Australia – Vocational Education and Training Act 1996
vi. South Australia – Vocational Education and Training (Commonwealth Powers) Act 2012
vii. Northern Territory –
viii. ACT – Training and Tertiary Education Act 2003

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

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

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

4.6 Other Legislation
a) There is a range of legislation and policies, including consumer protection, which impact on the operational business of Civil Safety. These include:
i. Corporation law – Corporations Act 2001 and Regulations
ii. Competition and Consumer Act 2010 and Regulations
iii. Fair Work Act 2009 and Regulations
iv. A New Tax System Act 1999 and Regulations
v. Copyright Act 1968 and Regulations
vi. Fair Trading Legislation and Regulations
vii. Trade Practices Legislation and Regulations
viii. Spam Act 2003 and Regulations

b) The following represents legislation that impacts on vocational outcomes of training and assessment services delivered.
i. Standards for Registered Training Organisations (RTOs) 2015
ii. Education Services for Overseas Students Act 20010 – ELICOS Standards
iii. Data Provisions Requirements 2012
iv. Financial Viability Risk Assessment Requirements 2011
v. Student Identifiers Act 2014

c) Legislation that impacts on training and assessment provided within Civil Safety scope of registration includes:

i. Work Health and Safety Regulation 2011 (Division 2

   Accreditation of assessors)

5. *Legislation Compliance Procedures*

STEP 1 – Accessing Federal Legislation		
No.	**Who**	**Actions**

1.1	**All**	h) Details of Commonwealth legislation can be sourced through CommLaw Website: http://www.comlaw.gov.au/
		i) Click on relevant legislative document category from 'Top menu':
		   i. Acts
		   ii. Legislative Instruments
		   iii. Gazettes
		   iv. Bills
		   v. Other
		i) Search using 'Filter' parameters or Click on Alpha character.

STEP 2 – Accessing State Legislation		
No.	**Who**	**Actions**
2.1	**All**	a) Details of State/Territory legislation can be sourced through ……………….. Website: (e.g. New South Wales Government – NSW Legislation) http://www.legislation.nsw.gov.au/ b) Click on 'Search' from 'Top menu'; this will present the search parameters. j) Click on 'Browse' to filter alphabetically. .

STEP 3 – Monitoring Legislation		
No.	**Who**	**Actions**

3.1	**Director**	f) Changes to legislation are monitored through subscription to the relevant Federal / State Law Publisher website.
		g) Subscribe to receive Notification of changes.
		h) Any changes that are identified are noted / printed.
		i) Check the legislation register to determine the resources or documents that include information about the legislation which may require updating. These may include:
		    a. Policies;
		    b. Procedures;
		    c. Forms;
		    d. Training resources;
		    e. Assessment resources;
		    f. Marketing materials;
		    g. Other business documentation;
		    h. Other client documentation e.g. Student Handbook
		j) Determine which legislation needs to be provided to staff and how this information will be best provided.
		k) Determine which legislation needs to be provided to clients and how this information will be best provided.

STEP 4 – Incorporating Legislation		
No.	**Who**	**Actions**
4.1	**Director**	k) Review the relevant resources or documents or modification requirements. l) Complete a '**Continuous improvement form'** for implementation into continuous improvement of resources. (See Continuous Improvement procedures) m) Ensure information regarding legislative requirements is provided to staff.

6. Civil Safety Responsibilities

The Director Civil Safety is responsible for ensuring compliance with this policy.

7. Records Management

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

8. Monitoring and Improvement

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

Management of RTO Policy and Procedures

1. Purpose

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

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

2. Policy Statement

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

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

To this end, Civil Safety has in place effective :
•	Business management systems and practices;
•	Financial management systems and practices;
•	Compliance management systems and practices; and
•	Risk management systems and practices.

3. Definitions

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

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

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

Educational and support services may include, but are not limited to:
a)   pre-enrolment materials;
b)   study support and study skills programs;
c)   language, literacy and numeracy (LLN) programs or referrals to these programs;
d)   equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
e)   learning resource centres;
f)   mediation services or referrals to these services;
g)   flexible scheduling and delivery of training and assessment;
h)   counselling services or referrals to these services;
i)   information and communications technology (ICT) support;
j)   learning materials in alternative formats, for example, in large print;
k)   learning and assessment programs contextualised to the workplace; and
l)   any other services that the RTO considers necessary to support learners to achieve competency.

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
m)   both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
n)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

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

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

4. *Policy Principles*

4.1   Business Management

a)   The strategic and operational business plan will be developed/reviewed, monitored and maintained against all areas of operations at least every year.

b) Business plans will incorporate Civil Safety full scope of registration and scale of operations.

c) Business planning is undertaken to determine the major goals, objectives and key performance indicators (KPIs) regarding Civil Safety training and assessment services, and to identify risks, relevant strategies and resources needed to achieve identified goals and objectives.

d) Civil Safety consults with relevant stakeholders and clients for input into strategic and business planning.

e) Business planning meetings occur annually, in alignment with annual financial planning.

f) An annual SWOT (strengths, opportunities, weaknesses and threats) analysis is undertaking in preparation for business planning process. Key areas of analysis include, but are not limited to:

i. Industry and environmental changes;

ii. VET sector changes and reform;

iii. RTO Compliance;

iv. Changing needs and future demands from industry and clients;

v. Business growth and development;

vi. Marketing and advertising;

vii. Staff and human resources (including contract trainers and assessors);

viii. Training and assessment resources and materials;

ix. Type of training services provided, including delivery modes and methods;

x. Type of client support services provided;

xi. Premises and facilities;

xii. Equipment and resources;

xiii. Training packages – including changes and transitions;

xiv. Industry Skills gaps or shortages;

xv. Funding opportunities and changes.

g) Identified goals and objects will be supported by a marketing strategy to promote the RTOs operations, products and services.

h) Civil Safetyensures that marketing and advertising is in accordance with SRTOs 2015 and Civil Safety's Marketing policy. (See Marketing Policy)

4.2 Financial Management

a) Civil Safety conducts financial management planning on an annual basis, in accordance with the Australian Financial year time period.

b) Financial Management is implemented through Civil Safety Financial Management Policy. (See Financial Management Policy)

4.3 Compliance Management

a) Civil Safety ensures it complies with all RTO compliance requirements across all operations and scope of registration, including where services are being delivered on its behalf by third party providers.

b) Civil Safety ensures it complies with the VET quality Framework, including the following:

i. Standards for Registered Training Organisations (SRTOs 2015)
http://www.comlaw.gov.au/Details/F2014L01377

ii. Australian Qualifications Framework (AQF)

http://www.aqf.edu.au/

iii. Financial Viability Risk Assessment Requirements 2011
http://www.comlaw.gov.au/Details/F2011L01405

iv. Data Provision Requirements 2012
http://www.comlaw.gov.au/Details/F2013C00497

v. Training Packages
https://training.gov.au/Home/Tga

vi. National Reporting for RTOs :
Total VET Activity
http://www.industry.gov.au/skills/NationalReportingforRTOs/Pages/default.aspx

Quality Indicator reporting (including Learning Questionnaires, Employer Questionnaires and Competency Completion (CCOS)
http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html

vii. Unique Student Identifier (USI)
http://www.usi.gov.au/Pages/default.aspx
http://www.comlaw.gov.au/Details/C2014A00036

c) Civil Safety ensures that (in accordance with Standard 7.1 of SRTOs 2015) its executive officers or high managerial agent:

i. Are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and

ii. Meet each of the relevant criteria specified in the Fit and Proper Person requirements of Schedule 3 of STROs 2015.

d) Civil Safety ensures operations of the RTO are quality assured, and in accordance with Standard 2.2 of SRTOs:

i. Systematically monitors training and assessment strategies and practices to ensure ongoing compliance; and

ii. Systematically evaluates and uses the outcomes of the evaluations to continually improve the RTOs training and assessment strategies and practices.

e) Quality assurance practices include, but are not limited to, the implementation of Civil Safety's :

i. Evaluation and Feedback Policy; and

ii. Audit Policy; and

iii. Continuous Improvement Policy; and

iv. Validation Policy; and

v. Partnership Policy.

f) Civil Safety ensures it maintains insurance cover to protect it from possible litigation, including:

i. Public Liability;

ii. Professional Indemnity;

iii. Workers Compensation;

iv. Building and Contents;

v. Directors.

g) Civil Safety ensures it cooperates with VET Regulator at all times, including:

i. By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;

ii. During the conduct of audits and the monitoring of the RTO's operations;

iii. By providing quality/performance indicator data;

iv. By providing information about substantial changes to its operation or any event that would significantly affect the RTO's ability to comply with SRTOs within 90 days of the change occurring; and

v. By providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

vi. In the retention, archiving, retrieval and transfer of records.

h) Civil Safety ensures that any third party delivering services on its behalf is required under writing agreement to cooperate with the VET regulator:

i. By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

ii. In the conduct of audits and the monitoring of its operations.

i) Civil Safety will notify the VET regulator:

i. Of any written agreement entered into with a third party for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and

ii. Within 30 calendar days of the agreement coming to an end.

j) Civil Safety provides an annual declaration on compliance with the SRTOs to the VET regulator and in particular whether it:

i. Currently meets the requirements of the SRTOs for all AQF certification documentation it has issued in the previous 12 months; and

ii. Has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the SRTOs.

k) Civil Safety will comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. (See Legislation Policy)

l) Civil Safety informs staff and clients of any changes to legislative and regulatory requirements that affect the services delivered.

m) Civil Safety ensures it has, for all of its scope and consistent with its training and assessment strategies, sufficient:

i. Trainers and assessors to deliver the training and assessment;

ii. Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;

iii. Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and

iv. Facilities, whether physical or virtual and equipment to accommodate and support the number of learners undertaking the training and assessment.

4.4   Risk Management

a) Civil Safety takes a risk management approach when managing the RTO business and compliance.

b) Risk management is the process of identifying risks, analysing, prioritising and either eliminating, reducing, protecting or insuring against risk.

c) Risk management processes include, but are not limited to:

i. Internal audits;

ii. Audits of third party providers;

iii. Validation;

iv. Complaints;

v. Appeals;

vi.   Feedback and evaluation;

vii.   SWOT analysis;

viii.   Financial reviews

ix.   Business planning;

x.   Industry consultation.

d)   Risk management outcomes feed into continuous improvement processes. (See Continuous Improvement Policy)

5. *Management of RTO Procedures*

Compliance Management		
STEP 1 – Compliance with VET Regulations and Policies		
No.	**Who**	**Actions**

1.1	**Director**	a) Kept abreast of compliance requirements and VET Reform changes which impact on RTO Operations. These include (but are not limited to):
		    i. Standards for RTOs 2015;
		    ii. The Australian Qualifications Framework (AWF);
		    iii. Financial Viability Risk Assessment Requirements 2011
		    iv. Data Provision Requirements 2012;
		    v. Training Packages;
		    vi. Total VET Activity Reporting requirements; and
		    vii. Student Identifier Act;
		b) As changes are identified, strategize the process for implementation of the new requirements in a timely manner.

1.2	**Director**	a) Provide an annual declaration on compliance to VET Regulator.
1.3	**Director**	a) Ensure Internal **Audit Policy and Procedures** are implemented on an annual basis at minimum.
1.4	**Director**	a) Ensure that Civil Safety cooperates with **External Audits**
1.5	**Director**	a) Ensure third party provides are monitored and audited regularly to ensure compliance across Standards for RTOs 2015.
Changes to the RTO		
STEP 1 – Compliance with VET Regulations and Policies		
No.	**Who**	**Actions**

1.1	**Director**	b) Kept abreast of compliance requirements and VET Reform changes which impact on RTO Operations. These include (but are not limited to):
		    viii. Standards for RTOs 2015;
		    ix. The Australian Qualifications Framework (AQF);
		    x. Financial Viability Risk Assessment Requirements 2011
		    xi. Data Provision Requirements 2012;
		    xii. Training Packages;
		    xiii. Total VET Activity Reporting requirements; and
		    xiv. Student Identifier Act;
		c) As changes are identified, strategize the process for implementation of the new requirements in a timely manner.

6. Business Management Procedures

Business Management		
STEP 1 – Business Planning		
No.	**Who**	**Actions**
1.1	**Director**	a) Conducts and annual business planning review and meeting to strategies the year ahead.
1.2	**Director**	a) Ensures all Business insurances have currency, including: i. i. Public Liability; ii. ii. Professional Indemnity; iii. iii. Workers Compensation; iv. iv. Building and Contents; v. v. Directors.

7. Civil Safety Responsibilities

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

8. Legislation

Legislation and legislated instruments relevant to this policy include:
• Standards for Registered Training Organisations (SRTOs 2015)
• Financial Viability Risk Assessment Requirements 2011
• Data Provision Requirements 2012
• Student Identifier Act 2014
• Corporations Act

9. Records Management

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

10. Monitoring and Improvement

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

Partnering Policy and Procedures

1. Purpose

Civil Safety is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Civil Safety must have written agreements in place with third parties (other organisations or persons) that provide training and /or assessment on its behalf.

Civil Safety must have sufficient strategies and resources to systematically monitor any services delivered on its behalf to ensure they comply with the SRTOs 2015 at all times.

The purpose of this policy is to ensure that services provided by a third party are subject to a written agreement and that the third party complies with the SRTOs 2015 at all times.

2. Policy Statement

Civil Safety acknowledges that it must manage partnering arrangements with third party providers who conduct training and assessment services of its behalf, and that those services comply with the SRTOs at all times.

Civil Safety is committed to ensuring that appropriate partnering arrangements are entered into and that these are monitored to ensure their effectiveness and compliance.

Civil Safety will:

• Develop and maintain written agreements with all third parties providers delivering training and assessments services on its behalf;
• Monitor the implementation of training and assessment products and services by third parties through audit processes;
• Specify roles and responsibilities for each party to the agreement in compliance with the Standards for Registered Training Organisations;
• Ensure all parties sign and are provided with a copy of the written agreement; and
• Maintain a register of all agreements held with third party providers.

3. Definitions

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

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

4. Policy Principles

The following principles underpin this policy.

a) Civil Safety manages training and assessment provided by third parties on its behalf by documenting and recording agreements covering the responsibility of both parties, the implementation and monitoring of the agreements and making improvements where required.

b) As Civil Safety, is accountable for the quality of training and assessment provided by third party providers, it is essential that written agreements clearly articulate fully the roles and responsibilities of all parties.

c) Arrangements will be identified, evaluated and agreed through consultation with prospective third party partners ensuring a mutually beneficial partnering arrangement.

d) Contract trainers and assessors who provide training for Civil Safety enrolled clients are NOT required to sign a third party agreement; they will be subject to all Civil Safety policies and procedures as an employee/contractor.

e) All third party providers who enrol their own clients are required to agree, sign and comply with a written agreement for services undertaken on behalf of Civil Safety.

f) The written agreement will specify arrangement for:

i. Ensuring that training and assessment products and services are appropriate and continuously improved;

ii. Developing, monitoring and reviewing training and assessment strategies;

iii. Ensuring that staff, facilities and equipment are in place, as described in training and assessment strategies;

iv. Providing information to clients on training, assessment and client support services provided, as well as their rights and responsibilities as learners;

v. Where relevant, ensuring that employers and others are engaged in the development, delivery and monitoring of training and assessment;

vi. Providing educational and support services to clients;

vii. Managing records and providing data;

viii. Issuing qualifications and statements of attainment;

ix. Managing complaints and appeals;

x. Marketing and advertising of products and services, in compliance with SRTOs, including the approval process;

xi. Provision of client information.

g) Civil Safety will monitor and review third party training and assessments services and arrangements to ensure they comply with all Standards for RTOs at all times.

Monitoring activities may include (but are not limited to):

i. Regular reporting including client feedback;

ii. Site visits to the third party provider sites;

iii. Assessment validation;

iv. Auditing.

h) Third party providers must abide by Civil Safety Fee Protection Policy and practices as defined in Schedule 6 of the Standards for RTOs. (See Financial Management Policy)

i) All third party providers must comply with all requirements of SRTOs 2015 and all Civil Safety policies and practices at all times, with particular regard to the following:

i. Appeals

ii. Complaints

iii. Client information

iv. Marketing

v. Validation

vi. Evaluation and feedback

vii. Auditing

viii.   Cooperation with the VET Regulator

ix.   Fees

x.   Data provisions

xi.   Records keeping

5. Partnering Procedures

STEP 1 – Development / Modification of Agreement Template		
No.	**Who**	**Actions**
1.1	**Director**	j) Develop the Partnering agreement template ensuring compliance with Standards for Registered Training Organisations (SRTOs 2015).

STEP 2 – Completion of Written Agreement with Third Party Provider (TPP)		
No.	**Who**	**Actions**
2.1	**Director**	l) Discuss, negotiate and agree on the conditions of the agreement with TPP. m) The written agreement is created and provided to the TPP for review. n) Two (2) copies of the written agreement are signed by both the Director Civil Safety and the appropriately authorised managerial representative of TPP.
2.2	**Admin**	d) Create TPP file. e) One of the 'original' signed copies of the written agreement is placed on the TPP File. f) The other 'original' signed written agreement is provided to the TPP. g) Update the **'MOU register'**.
2.3	**Director**	c) Within 30 calendar days of the agreement being entered into and prior to the obligations of the agreement taking effect (whichever comes first), advise the VET regulator of the written agreement with the Third Party Provider.

STEP 3 – Monitoring of the Agreement with Third Party Provider (TPP)		
No.	**Who**	**Actions**
3.1	**Director**	a) Monitor and audit the arrangement each year in accordance with the undertakings within the written agreement ensuring both parties are complying with the agreement. b) Maintenance of the agreement and services provided will be in accordance with that as specified in the agreement.

STEP 4 – Termination of Written Agreement with Third Party Provider (TPP)		
No.	**Who**	**Actions**
4.1	**Director**	a) Monitor and ensure due process with termination conditions within the written agreement. b) Complete **'Termination of Third Party Agreement Form'** by all parties. c) File completed **'Termination of Third Party Agreement Form'** on TPP file. d) Within 30 calendar days of the agreement coming to an end, advise the VET regulator of the written agreement with the Third Party Provider.

6. Civil Safety Responsibilities

The Director Civil Safety is responsible for ensuring compliance with this policy.

7. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

8. Records Management

All documentation related to third party arrangements are recorded and maintained in accordance with Records Management Policy. (See Records Management Policy)

9. Monitoring and Improvement

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

Refund Policy and Procedures

1. Purpose

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

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

2. Policy Statement

Civil Safety is committed to ensuring fair and reasonable refund practices.

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

3. Policy Principles

The following principles underpin this policy.

a)	Details of Civil Safety Refund Policy are to be publicly available.
b)	Payment of all refunds is made within one week (seven days) of application for refund.
c)	With regard to all withdrawals, Civil Safety will firstly encourage a client to enrol on another course date, prior to processing refund applications.
d)	Written notification of withdrawal from a training program must be provided by a client to apply for a refund for a course. This may be via letter, email or the completion of the refund form.
e)	There is no refund applicable where a client has commenced their course/unit.
f)	There is no refund to participants who do not obtain their qualification after assessment.
g)	There is no refund for recognition of prior learning assessments after enrolment, where Recognition resources and services have been supplied to the client.
h)	Civil Safety does not accept liability for loss or damage suffered in the event of withdrawal from a course by a client.

i)   Civil Safety provides a full refund to all clients, should there be a need for Civil Safety to cancel a course. In the first instance Civil Safety will (where possible) provide an opportunity for the client to attend another scheduled course.

j)   If Civil Safety cancels a course, clients do not have to apply for a refund, Civil Safety will process the refunds automatically.

k)   Refunds for cancellation of enrolments are granted on a sliding scale (See Below 3.1 & 3.2).

3.1   Short Courses & Skill Sets

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

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

a)   A fee equal to 25 % of the full fee is charged where cancellations occur within seven (7) days before commencement of an enrolled course or assessment.

b)   Fees are refunded in full where the client submits in writing reason for withdrawal, eight (8) days or more prior to commencement of an enrolled course or assessment.

3.2   Qualifications / Accredited Courses

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

Fee Type	Description	Fee $$
Enrolment cancellation fee	RTO administrative processes for processing of enrolment, reporting and other administrative actions related to cancellation	$150.00 per qualification
Unit Fee – Commenced	For all individual units commenced/attended/ completed from within the	Full Unit fee payable by the client Nil Refund

Fee Type	Description	Fee $$
	qualification /Accredited course	
Unit Fee – Not Commenced	For all individual units NOT commenced/attended/ completed from within the qualification /Accredited course	Full Unit fee paid by the client is Refunded

4. Refunds Procedures

STEP 1 – Lodgement of Refund by Client		
No.	**Who**	**Actions**
1.1	**Client**	k) Client completes "**Refund Request Form",** notifying their request for a refund of fees paid.

1.2	**Admin**	o) Review the refund application and ensure that the Client is eligible for a refund.
		p) If a refund is due, calculate the amount of refund due.
		q) Check client records to identify how the money was originally paid (i.e. cash, cheque, company or credit card).
		    i. If the money was originally paid via cash or cheque, note refund to be issued by cheque.
		    ii. If the money was originally paid via Credit card, note the refund to be processed via refunding the credit card.
		    iii. If the money was originally paid by a company, note the refund will apply as a credit to the company account or provide a cheque for the refund.
		r) Complete "**Refund Request Form"**.
		s) Provide completed "**Refund Request Form"** to Director for Approval.
		t) Go to Step 3.

STEP 2 – Refund of fees – Due to Course Cancellation		
No.	**Who**	**Actions**

2.1	**Admin**	o) Should a course be cancelled for any reason, identify all clients who have paid course fees for that particular course.
		p) Determine the full amount of refund due to each client.
		q) Check to identify how the money was originally paid (ie cash, cheque, company or credit card).
		    i. If the money was originally paid via cash or cheque, note refund to be issued by cheque.
		    ii. If the money was originally paid via Credit card, note the refund to be processed via refunding the credit card.
		    iii. If the money was originally paid by a company, note the refund will apply as a credit to the company account or provide a cheque for the refund.
		r) Complete a "**Refund Request Form"** for each client eligible for a refund.
		s) Provide completed "**Refund Request Form"** to Director for Approval.

STEP 3 – Management approval for Refund		
No.	**Who**	**Actions**
3.1	**Director**	i) Review refund and note approval/modification/decline on "**Refund Request Form"**. j) Return Completed "**Refund Request Form"** to Admin for processing.

STEP 4 – Finalise Refund Request		
No.	**Who**	**Actions**
4.1	**Director**	e) If a refund is approved: i. Process refund in SMS

1.		ii. Enter note in SMS for the client
		iii. Update the "**Refund Request Form"**.
		iv. Take a copy of completed "**Refund Request Form"** for client file**.**
		v. Send original "**Refund Request Form"** to finance for processing.
		vi. File all documentation on client file.
		f) If a refund is declined :
		i. Complete and send written notification to client advising the refund has been declined and the reasons.
		ii. Enter note in SMS for the client.
		iii. Update the "**Refund Request Form"**.
		iv. File original completed "**Refund Request Form"** and all documentation on the client file**.**

STEP 5 – Processing the Refund

No.	Who	Actions
5.1	**Finance**	n) Upon receipt of completed "**Refund Request Form"** process and make refund to the client. Noting the method of refund. o) Update finance system (e.g. MYOB, QuickBooks, XERO etc) p) File documentation accordingly, in **Refunds File**.

5. Civil Safety Responsibilities

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

6. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

7. Records Management

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

8. Monitoring and Improvement

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

Marketing Policy & Procedures

1. Purpose

The purpose of this policy and procedure is to ensure that prospective and current learners are properly informed and protected when making decisions regarding their learning needs, choice of training products, training organisation, fees, delivery methods, contract and agreements and consumer rights. This policy and procedure document is to ensure accuracy and integrity of our Marketing to meet the Standards for Registered Training Organisations 2015 and to ensure Civil Safety organisational marketing and advertising of accredited courses to prospective clients and applicable agents is ethical, accurate and consistent with our scope of registration.

2. Policy

Civil Safety management and staff are committed to ensure that marketing of its education and training services is undertaken in a professional manner and maintains the integrity and reputation of the industry. Training and assessment services are accurate, ethical and responsible, ensuring that all clients are provided with timely and necessary information.

Civil Safety:

- accurately represents, to current and prospective clients, training and assessment products and services that lead to AQF qualifications or Statements of Attainment, and ensure that advertised outcomes are consistent with these qualifications;
- ensures the marketing of its courses by agents and Third Party is undertaken in a professional manner and maintains the integrity and reputation of the industry and the Institution as a registered training provider;
- ensures its marketing and advertising of the Australian Qualifications Framework (AQF) and VET qualifications to prospective clients and learners is ethical, accurate and consistent with its scope of registration;
- ensures that all marketing and advertising materials identify training and assessment services leading to AQF qualification and/or Statement of Attainment separately from any other non-nationally recognised training / assessment services;
- ensures the appropriate use of the Nationally Recognised Training (NRT) and State Training Logo (STA) logos on advertisements in accordance with the Standards for RTOs, and specifically Schedule 4 of SRTOs;
- obtains prior written permission from any person or organisation for use of any marketing or advertising material, which refers to that person or organisation, and will abide by any conditions of that permission;
- ensures that full details of special conditions applying to our services will be communicated to our clients and participants;
- ensures it distinguishes where it is delivering training and assessment on behalf of another RTO; and
- ensures it distinguishes where training and assessment is being delivered on its behalf by a third party.
- will not give false or misleading information or advice in relation to:

  - claims of association between providers which include information in marketing materials and website;
  - the employment outcomes associated with a course; automatic acceptance into another course and pathways;
  - any other claims relating to Civil Safety, its course or outcomes associated with the course.

- Ensures all applicable provider partners or Third Parties will forward marketing materials such as website content, brochure and flyers prior to publishing for Civil Safety's final review and approval.

3. Definitions

AQF - Australian Qualifications Framework (AQF) means the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.

ASQA - Australian Skills Quality Authority; national vocational education and training regulator.

Course - A program leading to the granting of a statement of attainment or qualification.

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

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
   a)   both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
   b)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Student - Means an individual who is receiving, responding to and processing information in order to acquire and develop competence. This incorporates the processes of preparing and presenting for assessment

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

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

4. Principles

4.1   Underpinning Principles

Civil Safety:

a)   Provides up-to-date and accurate information to the general public, clients and industry stakeholders at all times.
b)   Markets all products and services in an ethical manner ensuring integrity and accuracy; avoiding misleading or ambiguous statement, enabling client to make informed decisions about undertaking training.
c)   Accurately represents the services it provides and the training products on its scope of registration;

d) Only promotes licensing or regulated outcomes, for training products it delivers, where these have been confirmed by the relevant industry regulator in the jurisdiction in which it is being advertised;

e) Includes details regarding government funded subsidy or other financial support arrangements associated with the provision of relevant training products;

f) Does not guarantee:

i. A learner will successfully complete a training product on its scope of registration; or

ii. A training product can be competed in a manner which does not meet the requirements of the relevant training package or VET accredited course; or

iii. A learner will obtain a particular employment outcome where this is outside Civil Safety's control.

4.2 Marketing strategies

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

4.3 Marketing Information

a) Marketing information to include, but are not limited to:
   i. Civil Safety RTO Code
   ii. Full Code and title of training product
   iii. Venue
   iv. Length of training
   v. Mode/s of delivery
   vi. Third party arrangements
   vii. Entry requirements
   viii. Support services provided
   ix. Fee information
   x. Funding entitlements / information where applicable
   xi. Consumer rights (e.g. cooling-off periods)

b) Marketing agents or marketing collateral will not:

   • Offer any inducements to prospective students;
   • target any vulnerable students or group who cannot complete the course;
   • encourage unrealistic expectations about the level of qualifications attainable and the facilities and equipment provided;
   • make any claim to approval or recognition that is inaccurate, or use misleading or false comparisons of courses provided by Civil Safety's competitors;
   • make any misleading statements concerning the qualifications or experience of its staff; and
   • make misleading or false statements about the prospects of employment following the course.

4.4 Use of Logos

a)   Civil Safety acknowledges its obligations in ensuring the correct use of National and State training logos.

b)   Civil Safety ensures it complies with the Conditions for usage of National and State training logos, as specified in:

i.   SRTOS 2015 – Schedule 4

ii.   State Training Authority Logo Guidelines

4.5   Prospective student engagement before enrolment

- Civil Safety will ensure that each learner is fully informed and protected and are able to make an informed decision about studying with Civil Safety.
- Prior to accepting a student for enrolment or commencement of the course, Civil Safety will provide in print, or through referral to an electronic copy, current and accurate information regarding the following:

  - entry requirements for acceptance into a course, including Language, Literacy and Numeracy (LLN), educational qualifications or work experience required and whether course credit may be applicable
  - course content and duration, qualification offered if applicable, modes of study and assessment methods
  - campus locations
  - details of any arrangements with the Third Party, person or business to provide the course, or part of the course
  - indicative course-related fees (if applicable), including advice on the potential for fees to change during the student's course, and applicable refund policies
  - information about the grounds on which the student's enrolment may be deferred, suspended or cancelled
  - information about the services it will provide to students, along with the rights and obligations of both the students and Civil Safety.
  - Civil Safety's obligations to the students, including that Civil Safety is responsible for the quality of the training and assessment in compliance with the Standards for Registered Training Organisation 2015, and for the issuance of the AQF certification documentation.
  - the student's rights, including:
    - details of Civil Safety complaints and appeals process as required by Standard 6 of the Standards for Registered Training Organisation 2015, and
    - if Civil Safety, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in
  - the learner's obligations:
    - any requirements that Civil Safety requires the learner to meet to enter and successfully complete their chosen training product, and
    - any materials and equipment that the learner must provide, and
    - information on any implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

5.   Responsibilities

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

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

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

6. *Procedure*

6.1 Authorisation

In authorising marketing and advertising:

- The Training Manager shall ensure that written permission has been obtained by any person and organisation featured in Civil Safety RTO marketing or advertising materials in name or image.
- The Training Manager shall ensure that the marketing and advertising of Civil Safety accurately represents its training and assessment services and the AQF qualifications and statements of attainment on its scope of registration
- The Training Manager shall ensure that training and assessment that leads to AQF Qualifications and statements of attainment are marketed and advertised separately from any other training and assessment service offered by Civil Safety.
- The Training Manager shall ensure that all marketing and advertising products (electronic included) released for the promotion of its student training and assessment services includes its RTO registration number.
- The Training Manager shall ensure that all materials developed for marketing and advertising purposes receive authorisation from the Director prior to release.
- The Director and Training Manager shall ensure that all marketing and advertising products (electronic included) released for the promotion of its training and assessment services shall not give false or misleading information

6.2 Steps

1.0 - Development of marketing materials			
No.	**Action**	**Why**	**Who**
1.1	l) Develop marketing and advertising templates for the various marketing and advertising strategies. m) Develop marketing materials in accordance with templates. n) Print and commence completion of **'Marketing Materials Checklist'**. Provide **'Marketing Materials Checklist'** and marketing documentation to Director for approval.	To ensure that all marketing materials are developed in line with the marketing policy and are compliant.	Training Manager or delegated team member
2.0 - Authorisation of marketing materials			
No.	**Action**	**Why**	**Who**
2.1	t) Review and approve (as appropriate)	All marketing materials	Director

No.	Action		Why	Who
	all marketing materials prior to release, completing a **'Marketing Materials Checklist'**. Forward all documentation to Training Manager for implementation.		must be approved by the director prior to implementation	
3.0 – Implementation of marketing material				
No.	**Action**		**Why**	**Who**
3.1	k)	Send Marketing and advertising materials for implementation/printing/distribution.	To maintain documentation of all approvals and to ensure currency of information provided via the website	Training Manager/Admin
	l)	A copy of the **'Marketing Materials Checklist'** and approved marketing materials will be kept in a Marketing and Advertising File.		
	m)	Manage and update the information on the Website on an ongoing basis.		

7. *Supporting Information*

7.1 Related Legislation

•   Trade Practices legislation and regulations
•   Vocational Education and Training (VET) Quality Framework
•   Standards for Registered Training Organisations (RTOs) 2015

7.2 Related Documents

•   Course marketing print materials
•   Marketing digital materials published on websites and social media
•   Marketing Materials checklist

Client Information Policy

1. *Purpose*

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

2. *Policy Statement*

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

Civil Safety provides clear information regarding:

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

3. Definitions

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

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

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

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

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

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

4. Policy Principles

4.1   Underpinning Principles

a)   Civil Safety provides accurate, relevant and up-to-date information to clients and prospective clients, prior to enrolment or commencement of training and assessment, regarding their training and assessment options so that they may make informed choices regarding their learning needs.

b)   Civil Safety maintains an up-to-date website with full client information.

c)   Course brochures have been developed for each training program and are available to all current and prospective clients.

d)   All information provided to current and prospective clients:

   i.   Accurately represent the services being provided and training products on Civil Safety scope of registration;

   ii.   Makes reference to another person or organisation only if that person or organisation has given consent;

   iii.   Includes the NRT logo only in accordance with the conditions of use specified in Schedule 4 of the Standards for RTOs 2015;

   iv.   Makes clear where a third party is recruiting prospective learners for the RTO on its behalf;

   v.   Distinguishes where Civil Safety is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party provider;

   vi.   Distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification from any other training or assessment delivered by the RTO;

   vii.   Only advertises non-current training products while they remain on the Civil Safety scope of registration;

   viii. Only markets or advertises licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

   ix.   Does NOT guarantee that :

      a.   A client will successfully complete a training product;

      b.   A training product can be completed in a manner which does not meet the requirements of the learning and assessment strategy and training package;

      c.   A client will obtain a particular employment outcome where this is outside the control of Civil Safety.

e)   Information may be provided to current and prospective clients students in (but not limited to) (See Marketing Policy):

   i.   Civil Safety website
   ii.   Policies and Procedures
   iii.   Course Brochures
   iv.   Student handbook
   v.   Course confirmation letters
   vi.   Participant manuals
   vii.   Assessment resources
   viii. Training Journals

f)   Where there are any changes to agreed services, Civil Safety will advise clients as soon as practicable (including any changes in relation to a new third party arrangement, a change in ownership or changes to existing third party arrangements).

4.2   Client information includes:

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

5.   Civil Safety Responsibilities

The Director of Civil Safety is responsible for ensuring compliance with this policy.

6.   Legislation

Legislation applicable to this policy includes (See Legislation compliance Policy) :
•   Competition and Consumer Act 2010
•   Fair Trading Legislation and Regulations
•   Trade Practices Legislation and Regulations

7.   Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

8.   Records Management

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

9. Monitoring and Improvement

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

Staff Policy

1. Purpose

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

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

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

2. Policy Statement

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

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

Civil Safety will:

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

3. Definitions

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

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

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

a) having knowledge of and/or experience using the latest techniques and processes;
b) possessing a high level of product knowledge;
c) understanding and knowledge of legislation relevant to the industry and to employment and workplaces;
d) being customer/client-oriented;
e) possessing formal industry and training qualifications; and
f) training content that reflects current industry practice.

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

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

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

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

4. Policy Principles

4.1 Staff Recruitment and Selection

a) Civil Safety ensures it has sufficient qualified trainers and assessors to deliver training and assessment for all of its scope of registration at all times, in accordance with training and assessment strategies.
b) Recruitment of Civil Safety staff will at all times be ethical and consistent with Training and Assessment services being provided.

c) Selection decisions will comply with Equal Opportunity Legislation and this policy.

d) Civil Safety ensures that, through the recruitment and selection process, all trainers and assessors are competent and suitably qualified to undertake their specified role.

e) Civil Safety will site and take copy of original certification documents from successful applicants of their VET and vocational competencies. These will be maintained on an individual staff file.

i. Where certification documentation cannot be supplied by trainers and assessors verification of current competencies will be undertaken via a mapping process.

f) Civil Safety requires all trainers and assessors to obtain and provide a copy of their current National Police Clearance and Working With Children check (as appropriate).

4.2 Trainers Competency

a) Civil Safety will ensure that all trainers will be selected based on the requirements of the Standards for RTOs 2015.

b) Training will only be delivered by persons who have:

i. Vocational competencies at least to the level being delivered and assessed; and

ii. Current industry skills directly relevant to the training and assessment being provided; and

iii. Current knowledge and skills in vocational training and learning that informs their training and assessment; and

iv. Prior to 1 January 2016, the:

- TAE40110 Certificate IV in Training and Assessment or its successor; or
- A Diploma of higher level qualification in adult education; or
- Demonstrated equivalence of competencies; and

v. From 1 January 2016, the:

- TAE40110 Certificate IV in Training and Assessment or its successor; or
- A Diploma of higher level qualification in adult education.

4.3 Assessor Competency

a) Civil Safety will ensure that all assessors will be selected based on the requirements of the Standards for RTOs 2015.

b) Assessment will only be delivered by persons who have:

i. Vocational competencies at least to the level being delivered and assessed; and

ii. Current industry skills directly relevant to the training and assessment being provided; and

iii. Current knowledge and skills in vocational training and learning that informs their training and assessment; and

iv. Where a person conducts assessment only:

- Prior to 1 January 2016, the:
  o TAE40110 Certificate IV in Training and Assessment or its successor; or
  o A Diploma of higher level qualification in adult education; or
  o TAEASS00001 Assessor Skill set or its successor; or
  o Demonstrated equivalence of competencies; and
- From 1 January 2016, the:
  o TAE40110 Certificate IV in Training and Assessment or its successor; or

o   A Diploma of higher level qualification in adult education; or

o   TAEASS00001 Assessor Skill set or its successor.

c)   In the case where industry experts are involved in assessment judgements, they must work alongside a qualified assessor to conduct the assessment.

4.4   Trainer / Assessors – Delivering Training and Assessment Qualifications

a)   Civil Safety will ensure that all trainers will be selected based on the requirements of the Standards for RTOs 2015.

b)   Training and assessment for AQF Qualification or Skill Set from the Training and Education Training package (or its successor) will only be delivered by persons who:

i.   Prior to 1 January 2016:

- Hold the training and assessment qualification at least to the level being delivered; or
- Have demonstrated equivalence of competencies.

ii.   From 1 January 2016, hold the training and assessment qualification at least to the level being delivered.

iii.   From 1 January 2017, if delivering the TAE40110 Certificate IV in Training and Assessment or its successor, or any skill set from the Training and Education Training package (or its successor):

- holds the:

    o   TAE50111 Diploma of Vocational Education and Training or its successor; or
    o   TAE50211 Diploma of Training Design and Development or its successor; or
    o   A higher level qualification in Adult Education; or

- Work under the supervision of a trainer who holds:

    o   TAE50111 Diploma of Vocational Education and Training or its successor; or
    o   TAE50211 Diploma of Training Design and Development or its successor; or
    o   A higher level qualification in Adult Education.

iv.   From 1 January 2017, if delivering any AQF qualification or any skill set from the Training and Education Training package (or its successor) other than the TAE40110 Certificate IV in Training and Assessment or its successor, the trainer /assessor must hold the qualification at least to the level being delivered.

4.5   Trainers under "Direct Supervision"

a.   Whilst it is the policy position of Civil Safety to only engage trainers / assessors with relevant trainer/assessor qualifications above, from time to time Civil Safety may engage an individual who does not hold these competencies. These person/s will be under "Direct Supervision".

b.   Where Civil Safety, engages an individual who does not hold the relevant trainer/assessor qualifications above, Civil Safety will ensure the individual works under the supervision of a qualified trainer and that the "Supervised trainer" does not determine assessment outcomes.

c.   Trainers working under "Direct Supervision" must:

i.   Hold one of the following skill sets:

    o   TAESS00007 Enterprise Trainer – Presenting Skill Set or its successor; or
    o   TAESS00008 Enterprise Trainer – Mentoring Skill Set or its successor; or
    o   TAESS00003 Enterprise Trainer and Assessor Skill Set or its successor; or

- o   Prior to 1 January 2016, is able to demonstrate equivalence of competencies; and

ii.   Has vocational competencies at least to the level being delivered and assessed; and

iii.   Has current industry skills directly relevant to the training ad assessment being provided.

d.   Civil Safety ensures that any training conducted under Direct Supervision complies with Standard 1 of SRTOs 2015.

e.   Civil Safety will ensure :

i.   It determines and puts in place :

- o   The relevant level of supervision required to ensure a quality outcome; and
- o   Any requirements, conditions or restrictions necessary on the individuals involvement in the provision of training and collection of assessment evidence; and

ii.   Trainers providing supervision monitor, and are accountable for, all training provision and collection of assessment evidence by the individual under their supervision.

4.6   Trainer / Assessor Induction

a.   Upon employment with Civil Safety trainers and assessors will undertake a Staff Induction.

b.   Civil Safety ensures that all trainers/assessors receive a comprehensive induction, which includes the provision of:

i.   a Trainer / Assessor Induction Manual; and

ii.   Job Description/ Duty Statement.

c.   Director Civil Safety meets with all new trainers and assessors to confirm the level of understanding of their role and all information contained in the induction manual.

d.   Trainer / Assessor Induction is recorded on a Trainer / Assessor Induction Checklist, which is signed by the Director Civil Safety and kept on an Individual personnel file.

4.7   Trainer / Assessor - Performance Review

a.   Performance of Trainers / Assessors is monitored through the Performance Review and feedback processes, which incorporates:

i.   Client feedback during and after a training and assessment program, as outlined in Evaluation Feedback Policy;

ii.   Trainers / Assessors Observations; and

iii.   Professional development records.

b.   All Trainers and Assessors participate in a formal Performance Review process at least annually.

c.   The Performance Review process reviews past performance positively and making plans for ongoing professional development to assist the individual achieve personal career goals and enhance workplace performance.

4.8   Trainer / Assessor – Professional Development

a.   Civil Safety Trainers and Assessors are actively encouraged to continue developing their professional knowledge and skills relating to vocational education and training, Training Packages, learning and assessment practices (including competency based training and assessment) through attending networks, forums, seminars and other competency based or modularised courses.

b. All trainers and assessors will be provided with ongoing professional development opportunities in line with their job role to complement their existing skills and develop new ones.

c. Trainers and Assessors are expected to complete 21 hours of Professional development each year.

d. Professional development opportunities will be discussed and planned primarily during the Performance Review processes, however may also be agreed and organised as they arise.

4.9 Trainer / Assessor – Currency of Industry Competence

a. Civil Safety Trainers and Assessors are actively encouraged to maintain currency of their industry vocational skills.

b. Trainers and Assessors must maintain currency of their skills and knowledge in their industry area, through exposure to industry workplaces and / or participation in workplace tasks.

c. Civil Safety requires Trainers and Assessors to justify the currency of their industry skills to units of competency/ modules being delivered.

d. Civil Safety requires Trainers and Assessors to justify the currency of their industry skills to units of competency/ modules being delivered.

5. *Civil Safety Responsibilities*

The Director Civil Safety is responsible for ensuring compliance with this policy.
The Director Civil Safety must approve all new positions, vacancies and successful applicants.
Trainers and assessors take responsibility for their own professional development, maintaining vocational industry currency, and providing evidence of this each year.

6. *Access & Equity*

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

7. *Records Management*

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

8. *Monitoring and Improvement*

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

Financial Management Policy

1. Purpose

Civil Safety is committed to establishing a long term presence in the vocational education and training sector, as a provider of quality training and assessment services. A key factor in attaining this aim is the ongoing financial stability and wellbeing of Civil Safety, resulting from careful, responsible and hands-on

financial management, aligned to the business goals, the nature of its operations and the nuances of the market in which it competes

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

2. Policy Statement

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

Civil Safety will:

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

3. Definitions

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

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

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

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
a)   both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
b)   provide assessment resulting in the issuance of AQF certification documentation by the RTO.

VET Regulator means:

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

4. Civil Safety Obligations

Civil Safety Obligations to - Financial Viability Risk Assessment Requirements 2011

4.1 Intent

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

4.2 Obligation to submit assessment

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

4.3 Indicators for Assessment

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

4.4 Information to be assessed

a)   Information that could be used to assess the common indicators may include, but are not limited to :

      i.   Independent review of financial projections, including underlying assumptions;
      ii.   Business planning, including forecast income streams and forecast expenditure;
      iii.   Assets and liabilities;
      iv.   Financial statements audited by an independent qualified auditor;
      v.   Financial records for the previous 12 months, including profit and loss, balance sheets;
      vi.   Cash flow and bank accounts;
      vii.   Short term budgets and forecasts, including assumptions;
      viii.   Information on current and projected student enrolments, including assumptions;
      ix.   Tax records;
      x.   Information about current debts and debtors, credit and creditors, loans and repayments;
      xi.   Plans, and information on any legal disputes;
      xii.   Inter-company dealings, transfers, ownerships and loans;
      xiii.   Contingent liabilities;
      xiv.   Ultimate ownership details;
      xv.   Post reporting activities.

5. Policy Principles

The following principles underpin this policy.

5.1 Financial Management

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

5.2 Course Fees

a)   Civil Safety will strive to maintain highly competitive fair and reasonable fee structures, outlining these in a "Schedule of Fees".
b)   Civil Safety adjusts its fees and charges from time to time. Changes to fees will be fairly and equitably applied, advertised and clearly indicate the date from which the change will take effect.
c)   Civil Safety provides details of course fees in all course information. (See Client Information Policy)
d)   Course fees may be negotiated with individual clients, as approved by Director Civil Safety.

e)   The Director Civil Safety may discount or waive course fees (for example in cases of severe financial hardship) at their discretion, and where such waiver falls into compliance with any "Funding body" policy (as relevant).

f)   Confidentiality regarding fee arrangements is expected from clients.

g)   Where course fees are subsidised by a "Funding Body" (for example an Australian Apprenticeship or other State / Federal /Territory funded program) these may include a non-negotiable "Student Course Fee". Civil Safety will ensure these fees are applied and communicated to clients at the time of enrolment, in accordance with the relevant Funding body" fees policy.

5.2 Fee Payment Arrangements

a)   All fees are payable in advance. As such, Civil Safety will affect financial practices to ensures the protection of fees paid in advance.
   i.   Civil Safety cannot accept prepaid fees from individual clients in excess of a total of $1500 (being the threshold total prepaid fees amount).
   ii.   Civil Safety will hold the clients prepaid fees in trust until the client 'commences' their learning or assessment – at a unit/module level.
   iii.   Regarding payment plans - Monies in trust for an individual client will not exceed $1500 at any given time.
   iv.   In accordance with Schedule 6 – Standards for RTOs; Civil Safety adopts the following to protect fees paid in advance.

b)   Flexible payment arrangements/ options will accommodate individual circumstances.

c)   Fees must be paid in full before certification will be issued

d)   If payment instalment / arrangements are in place, and a payment becomes overdue and remains unpaid for a period in excess of 14 days, Civil Safety reserves the right to suspend the clients learning or assessment (or both) until all fee payments are up-to-date.

e)   Flexible payment arrangements, such as instalments, credit card, direct debit, cheques and EFT remittance are acceptable to accommodate the diverse financial situations of clients.

5.3 Refunds

a)   Civil Safety applies refunds in accordance with the Refund Policy.

5.4 Asset Management

a)   Acquisitions of assets are in accordance with strategic planning, training and assessment strategies and budgetary considerations.

b)   Projected budget for asset acquisition will be included in annual strategic planning and the overall viability review for individual projects.

6. Civil Safety Responsibilities

The Director Civil Safety is responsible for:

a)   Ensuring compliance with financial management policies, procedures and systems.

b)   Ensuring compliance with Financial Viability Risk Assessment Requirements 2011.

c)   Monitoring and reporting on compliance with these financial management policies and procedures.

d)   Undertaking reviews of the effectiveness of the policies, procedures and systems annually and to use the results of such reviews to drive further improvements.

e)   When requested, provide VET Registration body with a formal assurance that Civil Safety has sound financial management standards for matters relating to the Scope of Registration and scale of operations.

7. Access & Equity

The Civil Safety Access & Equity Policy applies. (See Access & Equity Policy)

8. Records Management

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

9. Monitoring and Improvement

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