BRICKLAYING EDUCATION AUSTRALIA

Training and Assessment

BEA_03_V11

Policies and Procedures

AMENDMENT CONTROL

The recipient is responsible for incorporating the amendments as instructed, signing and dating the Amendment Record   Sheet on completion of action.

Version	Reference	Date	Change Reference
BEA_03_V2	All, 6.6.3.1, 6.7.2.1	14/04/2014	Spelling corrections, Study Assistance, Competence of RTO Staff
BEA_03_V3	All	12/05/2014	Index and page number correction
BEA_03_V4	All	17/05/14	ASQA changes Highlighted
BEA_03_V5	All	17/05/14	Addition of new SNRs
BEA_03_V7	All	08/06/2015	Addition of White Card Unit
BEA_03_V8	All	09/09/2015	Upgrade to new Standards
BEA_03_V9	All	14/09/2016	Review
BEA_03_V10	All	11/10/2016	WHS
BEA_03_V11	All	11/10/2016	Updated Course CPC33020

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1 POLICY REFERENCE

Standards for National VET Regulator (NVR) Registered Training Organisations 2015

Australian Qualifications Framework (AQF).

2 PURPOSE AND SCOPE

The purpose of this document is to outline Bricklaying Education Australia (BEA), philosophy and responsibilities in order to provide appropriate training and assessment of clients to ensure the provision of a competent workforce in accordance with the policies and standards outlined in the references above.

The scope of this document is as follows:

- Outline the training philosophy of the BEA,
- Outline the responsibilities for training and assessment of key positions within the BEA,
- Outline the training framework within the BEA, and
- Provide broad policy guidance for the conduct of training and assessment within the BEA.

3 DEFINITIONS

3.1 The majority of the definitions detailed below have been taken from www.education.gov.au, www.training.gov.au, and www.asqa.gov.au.

3.1.1 **Accountable Education Officer.** Is responsible for the training and assessment strategies and practice of the RTO or undertaken on its behalf and all qualifications issued by an RTO.

3.1.2 **Assessment.** The process of collecting evidence and making judgements on whether competency has been achieved to confirm an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or learning outcomes of an accredited course

3.1.3 **Australian Qualifications Framework (AQF).** The policy framework that defines all qualifications recognised nationally in post-compulsory education and training within Australia. The AQF comprises titles and guidelines, which define each qualification, together with principles and protocols covering cross-sectoral qualification linkages and insurance of qualifications and statements of attainment.

3.1.4 **Standards for National VET Regulator (NVR) Registered Training Organisations 2015.** The Standards for NVR Registered Training Organisations 2015 will be used by ASQA as an instrument in protecting the interests of all students undertaking vocational education and training in Australia.

3.1.5 The Standards for NVR Registered Training Organisations 2015 are now the standards guiding nationally consistent, high-quality training and assessment services in the vocational education and training system.

3.1.6   **Bridging Course**. A course designed to equip students to take up a new subject or course by covering the gaps between the students' existing knowledge and skills and the subject or course prerequisites and assumed knowledge.

3.1.7   **Certificates I–IV.** A set of qualifications awarded in the vocational education and training sector and recognised under the Australian Qualifications Framework (AQF). The four levels of certificate recognise increasing levels of skill.

3.1.8   **Certification.** The formal acknowledgement of successful achievement of a defined set of outcomes.

3.1.9   **Competency.** The ability to perform tasks and duties to the standard expected in employment.

3.1.10   **Competency Standard.** An industry-determined specification of performance which sets out the skills, knowledge and attitudes required to operate effectively in employment. Competency standards are made up of units of competency, which are themselves made up of elements of competency, together with performance criteria, a range of variables, and an evidence guide. Competency standards are an endorsed component of a training package.

3.1.11   **Computer-Based Training (CBT).** An educational method in which a computer is the primary medium for instruction and learning.

3.1.12   **Conduct Phase.** This phase of the Training Cycle is the physical presentation and assessment of training to trainees utilising the materials produced from the Development Phase.

3.1.13   **Continuity of Employment.** Employment that has been maintained in one field with no break from employment in that field for a period of greater than 12 months.

3.1.14   **Continuous Improvement.** A planned and ongoing process that enables an RTO to systematically review and improve its policies, procedures, products and services to generate better outcomes for clients and to meet changing needs. It allows the RTO to constantly review its performance against the Standards for National VET Regulator (NVR) Registered Training Organisations 2015 and to plan ongoing improvements. Continuous improvement involves collecting, analysing and acting on relevant information from clients and other interested parties, including the RTO's staff.

3.1.15   **Core Competencies.** Identifies units of competency within a competency standard that an industry has agreed are essential to be achieved if a person is to be accepted as competent at a particular level. All units may be core, but in many cases competency at a level will involve core units plus optional or specialisation units of competency. Core competencies are normally those central to work in a particular industry.

3.1.16   **Course.** A structured and integrated program of education or training, usually consisting of a number of modules (subjects) or shorter programs, and leading to the award of a qualification

3.1.17   **Credit.** The acknowledgement that a person has satisfied the requirements of a module (subject) or unit of competency either through previous study (credit transfer) or through work or life experience (recognition of prior learning). The granting of credit exempts the student from that part of the course.

3.1.18 **Credit Transfer.** The assessment of the initial course or subject that the individual is using to claim access to, or the award of a credit in, the destination course to determine the extent to which it is equivalent to the required learning outcomes, competency outcomes, or standards in a qualification. This may include credit transfer based on formal learning that is outside the AQF framework.

3.1.19 **Current Competency.** A competency currently possessed by a person. People can lose competence over time, and having been competent in the past may need further training and practice to demonstrate current competency. See also recognition of current competencies

3.1.20 **Development Phase.** This phase of the Training Cycle involves the writing and consolidation of learning and assessment materials from identified competency standards in order to produce a training package.

3.1.21 **Direct Supervision.** Achieved when a person delivering training on behalf of the e RTO and who monitors and is accountable for the delivery for the training delivery. It is not necessary for the supervising person to be present during all training delivery.

3.1.22 **Discipline.** A branch or area of learning.

3.1.23 **Distance Education.** A mode of education in which students enrolled in a course do not attend the institution, but study off-campus and may submit assignments by mail or email.

3.1.24 **Element of Competency.** A basic building block of a unit of competency that describes the key activities or elements of work covered by the unit.

3.1.25 **Evaluation.** The process or results of an assessment or appraisal in relation to stated objectives, standards, or criteria; in vocational education and training may be applied to organisations, programs, policies, courses, etc

3.1.26 **Evidence Guide.** The part of a competency standard which provides a guide to the interpretation and assessment of the unit of competency, including the aspects which need to be emphasised in assessment, relationships to other units, and the required evidence of competency.

3.1.27 **Flexible Learning and Assessment.** An approach to VET which allows for the adoption of a range of learning and assessment strategies (including online) in a variety of learning environments to cater for differences in learning styles, learning interests and needs, and variations in learning opportunities.

3.1.28 **Identification Phase.** The initial phase of the training cycle aimed at identifying the training need and associated competency standards required to meet the training need.

3.1.29 **Industry Skills Councils (ISC).** The formal roles of Industry Skills Councils involve:

- providing integrated industry intelligence and advice to Skills Australia, government and enterprises on workforce development and skills needs

- actively supporting the development, implementation and continuous improvement of high quality training and workforce development products and services including training packages

- providing independent skills and training advice to enterprises, including matching identified training needs with appropriate training solutions; working with enterprises, employment service providers, Registered Training Organisations and government to allocate training places under the Productivity Places Program

- engaging with State and Territory Governments, State and Territory industry advisory bodies and peak representative bodies in their area of industry coverage.

3.1.30 **In-Service Training.** Training and professional development of staff, often sponsored by the employer, and usually provided during normal working hours.

3.1.31 **Integrated Assessment.** An approach to assessment that covers multiple elements and/or units of competence from relevant competency standards. The integrated approach attempts to combine knowledge, understanding, problem solving, technical skills, attitudes and ethics into an assessment task with the aim of reducing the time spent on testing as well as making assessment more 'authentic'.

3.1.32 **Learning Sequence.** A path or sequence of learning or experience that can be followed to attain competency.

3.1.33 **Learning and Assessment Strategy.** A document framework to guide and structure the learning requirements and the teaching delivery and assessment arrangements of a vocational education and training qualification. It is the umbrella document that outlines the macro-level requirements for designing the learning and assessment process at the qualification level.

3.1.34 **Licenced Training Organisation (LTO).** A training organisation licenced by a registering body in accordance with the AQTF, within a defined scope of registration who have be awarded a licence to issue nationally recognised vocational qualifications. Licenced Training Organisations is the new term replacing Registered Training Organisations

3.1.35 **Log Book.** A record kept by a person of the knowledge, skills or competencies attained during on-or off-the-job training.

3.1.36 **Mentor.** An experienced and trusted advisor.

3.1.37 **Modular Course.** A course composed of modules.

3.1.38 **Module.** Also called subject. A unit of education or training that can be completed on its own or as part of a course. Modules may also result in the attainment of one or more units of competency.

3.1.39 **Multi-skilling.** Training workers in a number of skills, enabling them to perform a variety of tasks or functions across traditional boundaries. Multi-skilling may be horizontal (broad skilling), vertical (up skilling) or diagonal (contributory skilling).

3.1.39.1 **National Training Framework.** The system of vocational education and training that applies nationally. It is made up of the Australian Quality Training Framework and nationally endorsed Training Packages.

3.1.40 **Off-the-Job Training.** Training which takes place away from a person's job, usually off the premises, e.g. at TAFE, but may be on the premises, e.g. in a special training area.

3.1.41 **Online Education.** Also online learning and online training learning or training conducted via a computer network, e.g. using the internet and the World Wide Web, a local area network (LAN), or an intranet.

3.1.42 **On-Site Training.** Training conducted at the work site (e.g. in a training room) but not on the job.

3.1.43 **On-the-Job Training.** Training undertaken in the workplace as part of the productive work of the learner

3.1.44 **Open Learning.** An approach to learning which gives students flexibility and choice over what, when, at what pace, where, and how they learn, commonly using distance education and the facilities of educational technology.

3.1.45 **Performance Criteria.** The part of a competency standard specifying the required level of performance in terms of a set of outcomes which need to be achieved in order to be deemed competent.

3.1.46 **Performance Indicator.** A criterion or measure for monitoring or evaluating the efficiency or effectiveness of a system or service, which may be used to demonstrate accountability and to identify areas for improvement.

3.1.47 **Prerequisite.** (in vocational education and training) A requirement for admission to a particular course or module, e.g. satisfactory completion of a specific subject or course, at least five years in the workforce, etc.

3.1.48 **Qualification Certification.** Awarded to a person on successful completion of a course in recognition of having achieved particular knowledge, skills or competencies. See also Australian Qualifications Framework

3.1.49 **Range of Variables.** The part of a competency standard which specifies the range of contexts and conditions to which the performance criteria apply.

3.1.50 **Recognition of Prior Learning (RPL).** The recognition of competencies currently held, regardless of how, when or where the learning occurred. RPL assesses the individual's prior learning to determine the extent to which that individual is currently competent against the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of a qualification.

3.1.51 **Refresher Course.** A course which revises or updates previously acquired knowledge and skills.

3.1.52   **Registered Training Organisation (RTO).** A training organisation registered by a registering body in accordance with the AQTF, within a defined scope of registration. See **Licenced Training Organisation (LTO)**

3.1.53   **Self-Assessment.** A process in which learners or organisations assess their own performance against particular standards or criteria; (in competency-based training) a process in which learners assess their own performance against competency standards; (in quality endorsement) a process in which an organisation assesses the extent to which it satisfies the criteria for quality endorsement, identifying opportunities for improvement.

3.1.54   **Self-Directed Learning.** Learning in which the learner is the principal driving force, deciding how, when, and at what pace learning takes place.

3.1.55   **Self-Paced Learning.** Learning undertaken at a student's own pace.

3.1.56   **Statement of Attainment.** Certification issued to a student for partial completion of a qualification, including, where relevant, the units of competency achieved under nationally endorsed standards. Achievements recognised by statements of attainment can accumulate towards a qualification within the Australian Qualifications Framework.

3.1.57   **Task Analysis.** A process of identifying the elements or steps which make up a task or activity, e.g. listing the elements and evidence required for a unit of competency.

3.1.58   **Trainee.** A person receiving training or undertaking a traineeship.

3.1.59   **Training.** The development of skills, knowledge, attitudes, competencies, etc. through instruction or practice.

3.1.60   **Training Cycle.** A four phased continuous improvement cycle designed to guide thinking in the identification of the training need, the development of training packages, conduct of training and validation of the training outcomes to meet workplace and individual needs. The phases are Identification, Development, Conduct and Validation.

3.1.61   **Training Package (National).** An integrated set of nationally endorsed competency standards, assessment guidelines and AQF qualifications for a specific industry, industry sector or enterprise.

3.1.62   **Training Package.** The consolidated training material and supporting documentation which includes the learning and assessment strategy, learning sequence, lesson plans and presentations, assessment tools and instructions, evaluation tools, risk assessment, handouts, etc.

3.1.63   **Training Program.** A set of education and training activities designed to achieve a specific vocational outcome, e.g. a course, module (subject), on-the-job training, etc.

3.1.64   **Unit of Competency.** The specification of knowledge and skill and the application of that knowledge to the standard of performance expected within the workplace.

3.1.65   **Validation.** A process for confirming the correctness or soundness of information or findings.

3.1.66   **Validation Phase.** The process of confirming that the content of any training package meets the needs of the workplace and trainees.

3.1.67   **Vocational Education and Training (VET).** Post-compulsory education and training, excluding degree and higher level programs delivered by higher education institutions, which provides people with occupational or work-related knowledge and skills. VET also includes programs which provide the basis for subsequent vocational programs.

3.1.68   **Workplace Assessment.** The gathering and judging of evidence during normal work activities in order to determine whether a required standard has been achieved. Workplace assessment usually involves observation of work in progress, checking the product(s) of a work activity, and receiving oral responses to questions posed while work is in progress

3.1.69   **Workplace Learning.** Learning or training undertaken in the workplace, usually on the job, including on-the-job training under normal operational conditions, and on-site training, which is conducted away from the work process (e.g. in a training room).

3.1.70   **Work Placement.** A period of unpaid work with an employer undertaken by VET students in order to satisfy the requirements of a course or module, with supervision provided by the employer, the training provider or both.

4   TRAINING PHILOSOPHY

4.1   Training Cycle

Training is an integral part in the achievement of aims and objectives for BEA. The provision of training is essential to ensure that employee behaviours, knowledge and skills match the jobs they are required to perform. Training can also provide an avenue to job satisfaction, and meaningful career and personal development.

BEA has developed a cyclic approach to training based on four phases: Identification, Development, Conduct and Validation (Figure 1). This cyclic approach encourages trainers to adopt a holistic approach to training allowing the examination of the whole cycle of training rather than concentrating on one specific area.
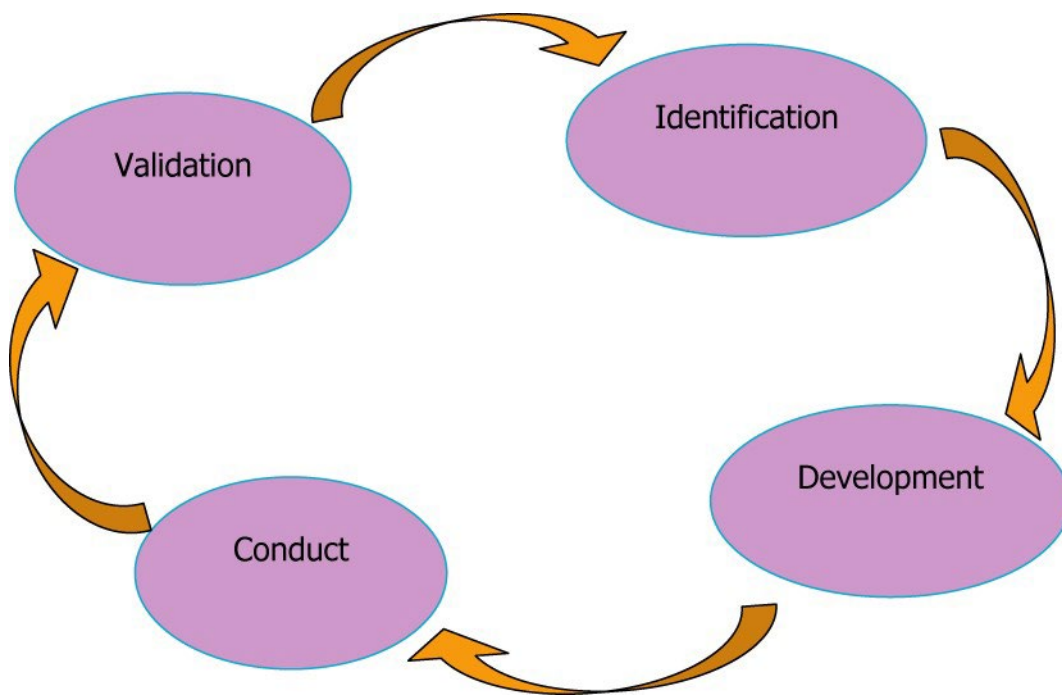
Figure 1: Training Cycle

This cyclic process allows for the accurate identification of BEA's current and projected training liabilities.

Each phase of the training cycle is mutually dependant with the others. Modifications made within one phase may require changes to be made in the other phases.

4.2   Training Cycle Phases

Identification Phase. The aim of this phase is to identify what is required to resolve a workplace performance issue. The initiation of this phase may be as the result of a workplace accident/incident, changes made to existing workplace instructions, the introduction of new equipment or the identification of a training short fall as a result of an in house review or validation action. The Identification Phase involves the conduct of a formal or informal needs analysis. The results of the analysis should include recommendations for/or against the development of a training solution and the identification of appropriate competency standards as required.   See Document: BEA_04_ Identification of Training

Development Phase. This phase is the most labour intensive of the training cycle. It is in this phase that a training package is constructed to meet the training need and the competencies (as required) identified within the Identification Phase. It will involve the development of a training package incorporating integrated assessment and learning materials and strategies, resource requirements/consolidation, learning sequences and modular or course outlines. The development of any training must also take into consideration the packages means of delivery in order to develop the most appropriate training tools. See Document: BEA_05_ Development of Training

Conduct Phase. This phase is the delivery of training to the identified audience. It may involve a number of different delivery methodologies depending on the disparity of participants, the complexity of the material to be given and the timeframe for which the training is required. Delivery methodologies may include but are not limited to distance education, on-line learning, CBT, self-

assessment, self-paced/directed learning, mentoring, log books, residential periods, etc. See Document: BEA_06_ Conduct of Training

Validation Phase. The aim of the Validation Phase is to confirm that the training has met the identified need and that trainees have acquired the skills and knowledge necessary to perform the task. Validation will be undertaken through two main avenues. An evaluation undertaken by trainees during and at the completion of a training package/module to identify weaknesses and strengths in the training delivery/content and at periodic intervals after the completion of training involving the trainee, supervisors and management. Adhoc validation activities may be initiated as a result of recommendations from an evaluation report, an incident/accident or complaint by a customer. The results will be used in the identification phase to continually improve the training package. See Document: BEA_07_ Validate Training

Review. The Validation Phase will provide the means to review the entire training package. However, at each phase the outputs should be reviewed against the requirements of the previous phase and the identified training need. This continual review process may be informal in its format but ensures that the training remains focused on the original training need.

4.3   Competency Based Training and Assessment

'Competency standards define the level of skills, knowledge and attitudes required for particular roles, functions or areas of work carried out in an industry or relevant to a number of industries. They represent the relevant industry's work requirements, describing both the content of the area of work defined by the competency and the level of performance expected.'[1]

The primary aim of the BEA training and assessment activities is to develop and maintain a competent workforce in order to meet bricklaying industry. BEA will develop its training and assessment utilising nationally recognised AQF competencies and training packages. These competencies and packages will primarily be taken from the Construction, Plumbing and Services Training Package.

Registration as a Licence Training Organisation (RTO) from the Australian Quality Skills Authority (ASQA) allows BEA to issue nationally recognised Statement of Attainments (SoA) and qualifications to its employees and customers.

Training

BEA's bricklaying training can be broken up into two phases; theory training and practical training. Each of the 28 Units of Competency needed to complete the Certificate III in Bricklaying/Blocklaying require the entire theory component to be completed prior to the commencement of the practical component within that unit.

For Work safely in the construction industry i.e. General Construction Induction Training (White Card Course) the training will be mainly theory orientated.

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[1] (CPC 08 Construction, Plumbing and Service Training Package).

Theory Training

All theory can be found on BEA's E-learning Moodle site. The Moodle will guide the student in which particular order that the units should be completed and what order the theory of each unit should be accomplished. The theory element of each unit may consist of but not limited to;

- Theory notes

- Industry brochures

- Self-marking quizzes

- You Tube clips

- PowerPoint presentations

- Watching video's

Bea recommends you read/watch/complete all theory elements before attempting the assessment.

Practical Training

Practical training can be achieved by many methods; same examples are;

- Trained by BEA, s Workplace Trainer/Assessor (WTA)

- Trained by a mentor i.e. work colleague/supervisor/employer

- Self-trained

BEA being fully flexible encourages students to be practically trained in the method that suits them, however BEA endorses that all students be assisted in their training by a qualified BEA WTA. This can be achieved by being trained on the student's worksite or guided over the phone and/or other forms of electronic communication i.e. Skype

BEA recommends that no practical training should be commenced until all theory training and assessment has been completed for that unit.

Assessment

Among other things, this means that assessment (including recognition of prior learning) must:

1. meet the requirements of the relevant training package or accredited course, and
2. be conducted in accordance with the principles of assessment and the rules of evidence, and
3. meet workplace and, where relevant, regulatory requirements.

Assessment rules can be found on the BEA's Assessment Task Guides which accompany each Unit of

Competency (Which can be found in each unit on the Moodle). BEA recommends that all students read and have a sound understanding of all the Unit of Competency packages and Assessment Task guides before commencing the course. Any questions on these documents can be answered by the students WTA. Students will be deemed competent for that unit once all unit assessment tasks have been achieved.

Theory Assessment

Theory assessment can be found on BEA's E-Learning Moodle site and should be only completed once each of the theory training elements for that unit have been completed. All theory assessment will be in the form of a multiple answer quiz. Students should be aware of the below points before commencing any theory based assessment;

1. This assessment may be completed by classroom discussion, open book, group work or any other suitable method determined by the trainer.
2. Attempt all questions
3. For multiple choice questions, select the most correct response only
4. For True/False questions, select the correct answer. Only one (1) answer is correct per question
6. There is no time limit on this assessment.
7. 100% correct is required for competency to be achieved (For WC training 80% correct is required for competency to be achieved)

Practical Assessment

Practical assessment may be achieved by three methods of evidence gathering;

Direct (such as an observation of workplace performance by an assessor). This may be achieved by BEA's WTA.

Indirect (such as a portfolio of evidence). This may be achieved by the student creating video or photography evidence or verbal.

Supplementary (such as supervisor reports). This may be achieved by having a work colleague/mentor/supervisor/employer assessing your practical project.

Completion of the course

On Full completion of the course students will receive a testamur in Certificate III in Bricklaying and Blocklaying.

On Full or partial completion of the course students will receive a transcript stating results of each unit. Key to Results are C: Competent, RPL: Recognition of Prior Learning, RCC: Recognition of Current Competency, CT: Credit Transfer, NYC: Not Yet Competent, W: Withdrawn.

5   APPLICABILITY AND RESPONSIBILITY

5.1   Applicability

This document applies to all personnel associated with the development, training and assessment of personnel engaged within BEA and its contracted customers.

5.2   Responsibilities

5.2.1   Chief Executive Officer (CEO)

The Chief Executive of the RTO is ultimately responsible for all training and assessment conducted by the BEA. The Chief Executive Officer is responsible for:

- Compliance with VET Quality Framework as laid out and regulated by ASQA;

- Planning and supervising transitions between old and new training packages and / or accredited courses as they are endorsed and within the required time frame.

- Managing the transition from superseded units of competency and from deleted training package qualifications and expired accredited courses, as well as describing arrangements to teach-out students enrolled in superseded / deleted qualifications or superseded / expired accredited courses.

- Ensuring that all personnel are competent to perform their responsibilities;

- Ensuring that the policies and procedures for the conduct of training and assessment are circulated throughout the organisation, understood and implemented consistently;

- Responding to ASQA queries;

- Signing Qualifications Certificates;

- Review of Audit Reports and instigating remedial action;

- The provision of adequate resources to the training organisation to achieve the agreed aims and objectives;

- Reviewing all marketing and advertising material for compliance with the policies and procedures of BEA and the Standards for RTO and provide final approval for its release and use.

- Development and amendment of duty statements.

- Coordination and management of BEA training program outside the scope of the BEA.

- In conjunction with RTO Manager, coordinate the panelling of personnel to undertake appropriate training.

- In conjunction with the RTO Manager, Coordinate the mapping of competencies to employee duties and responsibilities.

- Approve Institutional Training Placements.

- Chair Assessment Review Committee.

- Consumer Protection Officer
- Ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

5.2.2   RTO Steering Committee

The purpose of the RTO Steering Committee is to provide guidance and direction to the RTO in the development of training activities. The Committee consists of:

- Chief Executive Officer, •   All employees/workers of BEA,

- Optional attendees:

    Members of the Masonry Contractors Association Employers
    of students/clients

The Committee is responsible for the following:

- Review business activities to identify organisational training needs,

- Review RTO development activities to ensure alignment with organisational needs,

- Monitor evaluation and validation activities to ensure continued alignment of training to organisation needs, and

- Monitor organisational development programs and propose remedial action plans to resolve deficiencies.

5.2.3   RTO Manager

The RTO Manager is responsible for the following:

- Ensuring that the RTO complies with the Standards for National VET Regulator (NVR) Registered Training Organisations 2015 across all of its operations and in all of its training/assessment activities, including those undertaken by other persons or bodies on its behalf.

- Ensuring that the BEA provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body for the purposes of audit.

- Comply and implement Internal Audits as detailed in Internal Audit Policy and Procedure.

- Reporting to the Chief Executive Officer on the RTO's compliance with the Standards for National VET Regulator (NVR) Registered Training Organisations 2015, for review and as a basis for improvement.

- Applying to the national registering body that has registered the RTO for any extension to scope of registration.

- Providing details, upon the request of the registering body that has registered the RTO, of all operations within its scope of registration including operations in other States or Territories and outside Australia.

- Advising the registering body that has registered it:
  - Within 21 days of commencing delivery and/or assessment outside the state or territory of registration; and/or
  - Within three months of ceasing delivery and/or assessment in a location outside the state or territory of registration.

- Providing the registering body that has registered the RTO with accurate and timely information regarding registration and compliance (including major changes to the RTO's system or staffing profile, relocation of the RTO, financial difficulties and transfer of client records).

- The responsibility and authority to:
  - Ensure that the RTO has financial management policies in place and that the RTO complies with these policies;
  - Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement; and
  - When requested, provide the registering body that has registered it with a formal assurance that the BEA has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.

- The development of BEA policy and procedures for training and assessment activities.

- Developing and maintaining the scope of the BEA.

- Coordinate the signing and issue Statements of Attainment and Qualifications.

- The appointment and monitoring of the performance of Workplace Trainers and Assessors.

- The development, coordination and provision of training and assessment materials and activities including the monitoring of consistency in training and the development of training and assessment materials and programs.

- The implementation and monitoring of the training and assessment records management system.

- The implementation and conduct of training validation and audit activities including managing the transition to reviewed Training Packages within 12 months of their publication.

- Liaison with contract providers, development of suitable contract arrangements, review of contractor performance and contract cancellation.

- The maintenance of customer support and identification of external business opportunities.

- Develop, maintain and record contract/written agreements with any external organisation that provides training and/or assessment on behalf of the RTO.

- Ensuring that the marketing and advertising material is compliant with the policies and procedures of BEA and the Standards for RTO.

- Grievance and Complaints

- Discipline

- The identification of training shortfalls within BEA.

- Participate in the conduct of validation and audit activities to ensure applicability and usefulness of Training Packages against current and planned business practices.

- The development of training and assessment material.

- To ensure accurate and timely recording of RTO conducted training and the maintenance of the following RTO records:

    a) Wisenet RTO training database

    b) Monthly Training Summary report

- Chair if CEO is not present, on Assessment Review Committee

- Insure client/students receive services as detailed in agreement laid out in Enrolment Forms and Training Plans.

- Undertake a validation of the training records and data entry of approximately 5% of registered students and report the findings at the monthly management meeting.

5.2.4   Accountable Education Officer

Is responsible for the training and assessment strategies and practice of the RTO or undertaken on its behalf and all qualifications issued by an RTO ensuring that it:

- is consistent with the RTO's scope of license;
- is compliant with the requirements of and supports the achievement of the competency outcomes described within the Training Package or Accredited Course;
- is delivered by staff with the appropriate trainer/teacher and assessor competencies, vocational competencies, and industry currency;
- is relevant to the identified needs of local industry, with employers and potential employers, enterprise clients, and/or local industry representative bodies actively and formally engaged in educational decision-making;
- supports learners to identify and achieve their learning goals, which includes access to educational and other support services that recognizes and support their needs.
- sit on Assessment Review Committee

5.2.5   Workplace Trainers and Assessors

Workplace Trainers and Assessors are responsible for:

- Upon appointment by the Chief Executive Officer, conduct and/or coordinate training and assessment activities within scope of appointment instrument.

- Supervise, coordinate, mentor and monitor the performance of on-site students.

- Liaise with contract providers

- Participate in needs analysis, validation and audit activities.

- Scheduling assessment / re-evaluation within site as required.

- Sit on Assessment Review Committee

The above documents are to be amended in accordance with the administration flowcharts located in ANNEX A Training and Assessment Organisation

6   QUALITY AND CONTINUOUS IMPROVEMENT POLICY AND PROCEDURE

6.1   Introduction

The quality and continuous improvement policy and procedure are central to the operations of BEA. The organisation's commitment to delivering and maintaining high quality training and assessment experiences and outcomes for students relies on the systematic collection and analysis of data regarding all aspects of the training operation. The analysis of this data through the continuous improvement procedures will highlight areas for corrective action that can be implemented to continually improve services to students and their employers.

The following policy and procedures outline the quality and continuous improvement approach that BEA implements in its training and assessment operations.

6.2   Training services

Registered training organisations provide services for a range of clients, including but not limited to; Indigenous councils, multinational and private companies, fee for service, government funded, trainees and not-for-profit community organisations.

Once established as a well-respected training organisation with vocational training industry experience, BEA will provide services to a number of clients across Australia. BEA strictly adheres to the SNR to continue delivering training services of the highest quality to their clients. All programs offered by BEA are aligned to the CPC08 - Construction, Plumbing and Services Training Package (Release 8.0) for quality assurance and best practice.

BEA recognises the importance and benefits of combining industry experience with tertiary education when striving to deliver programs of highest quality and relevance to the client. Therefore, all trainers and assessors employed or contracted by BEA have demonstrated significant industry experience in addition to obtaining tertiary qualifications, allowing them to provide a professional, well-rounded learning environment for participants. Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively.

Aspect of business and has developed an organisational culture within BEA to capitalise on these opportunities for improved practice.

BEA supplies feedback forms to all participants at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, and ensuring the ever-changing needs and expectations of clients are being met. The CEO also welcomes feedback from other improvement opportunities such as risk assessment, participant suggestions, complaints and appeals, validation sessions and audit reports.

In order to encourage and achieve continuous improvement based on the collection of the above mentioned data, BEA has developed a Best Practice Record and Register which will include a written record of all improvement strategies and reviews.

<u>Students Handbook</u>

<u>Instructors Handbook</u>

6.3 Continuous Improvement Procedure

Identification of improvement opportunities

To ensure a commitment to continuous improvement, BEA will monitor progress with best practice strategies through the monthly management meetings. Best practice strategies are discussed and implementation outcomes confirmed at these meetings.

Where an opportunity for improvement is identified, thorough consultation will be undertaken prior to all recommended changes being implemented. BEA recognises that even small changes or improvements can cause a 'ripple effect' within the organisation. Where it is identified that a recommended change may impact on other aspects of the RTO, the opportunity for improvement may be re-evaluated. Appropriate changes will be made to the affected aspects of the RTO, while at all times retaining the focus on continuous improvement.

All stakeholders are encouraged to make suggestions for the improvement of best practice methods. Where a stakeholder recognises an opportunity to improve a best practice strategy and is unable to attend the monthly management meeting, a nominated proxy may make the presentation on their behalf.

Opportunities for improvement that are identified through these processes fall into two broad categories.

6.4 Minor improvements

This category refers to relatively inconsequential or low risk opportunities for improvement, such as spelling mistakes, grammatical errors and other adjustments to be made to documents. These opportunities will be collected and recorded to be included in the editing the next time a document is re-printed. All training manuals are reviewed, updated and re-printed annually ensuring correction within a twelve (12) month period.

Where minor improvements are identified in the organisation's day-to-day operational processes, the organisation will take a flexible approach that allows for an immediate response and update of

the identified improvement. Any identified minor improvement will be recorded in the continuous improvement register and the implemented action recorded in the corrective action register. An immediate response of this type may only be implemented by senior management before being disseminated to all staff.

6.5 Major improvements

In this category, a major improvement would be identified by a significant document or process error that results in an unacceptable impact to students or other stakeholders. In the unlikely event that such an error is identified, BEA will immediately initiate corrective action and appropriate communication will be sent to all affected stakeholders. Any identified major improvement will be recorded in the Correction Action Reports and the implemented action recorded in the Continuous Improvement Register.

Where the requirement for a major improvement is identified in a document, corrective action may include a new document being printed, a new version number and a new copy to be distributed to all affected stakeholders.

Where the requirement for a major improvement is identified in an operational process, corrective action may include updates to the policy & procedure document and any supporting forms / templates and / or registers, as well as communication to staff and stakeholders.

6.6 Best practice strategies

Corrective action reports Monthly management meetings will be held to assess and implement strategies which ensure an ongoing advancement of best practice. The meetings will monitor the progress of these strategies through discussion of effectiveness, opportunity for improvement and confirmation of implementation outcomes. Ensuring thorough consultation across the management team is undertaken prior to following through with any recommended changes to current strategies.

All stakeholders are encouraged to offer suggestions for the improvement of best practice methods within BEA. If a stakeholder who recognises an improvement opportunity is unable to attend the management meeting, a nominated proxy may make the presentation on the stakeholder's behalf.

Corrective Action Reports Template

Continuous Improvement Register

6.7 Stakeholder feedback

Course facilitators are encouraged to engage with industry stakeholders and, where practical, have the Stakeholder Feedback Form completed.

Stakeholders are not only students undertaking training and may include, but are not limited to:

employers, industry experts, trainers and assessors, BEA staff and management, industry associations and representatives from other registered training organisations.

The questions presented in the stakeholder feedback forms are directly aligned to the SNR and are designed to include quantitative ratings; formatted numerically from 1 to 5. A comparative review of satisfaction levels and relative performance can then be plotted using computer software such as MS Excel.

Administration staff of BEA will collect the feedback forms from the course facilitators and collate data for the purpose of monitoring the quality of training and assessment, client services and business operations. Senior management will use the collated data to identify trends, anomalies or 'spikes', and apply the appropriate improvement strategy.

Follow-up strategies may include emails, phone calls, discussions and meetings with stakeholders or members of BEA staff. Follow-up actions and details of actions taken are recorded and collated for presentation at management meetings.

Stakeholder Feedback Form

6.8 Student feedback

BEA acknowledges the value of student feedback in assisting the RTO in continuous improvement of best practice strategies. In order to gain the most from the feedback procedure, BEA endorses a 'progressive feedback' strategy, asking students to provide feedback at least three (3) times during training programs that extend for twelve (12) month or longer. This strategy seeks to gain data indicative of the entire program, contributing more specific feedback relevant to continuous improvement of the program. Student feedback is collected less frequently during training programs of a shorter duration.

The CEO considers this strategy more effective in gaining an accurate appraisal of the program while allowing students ample time and opportunity to voice concerns, and allowing corrective action to take place before the conclusion of a course when necessary. Student feedback will be accepted and encouraged through various means. The feedback forms will be the primary source of information; other forms such as emails, phone calls, discussion and meetings will also be recorded and presented at management meetings.

The questions presented in the student feedback forms are directly aligned to the SNR and are designed to include quantitative ratings; formatted numerically from 1 to 4. A comparative review of satisfaction levels and relative performance can then be plotted using computer software such as MS Excel.

Opportunities for improvement that are identified as a result of student feedback are assessed using the continuous improvement procedure.

Student Feedback Form

6.9   Focus of continuous improvement:

BEA collects information and data on a regular basis to improve the processes of:

- Compilation of RTO **Quality Indicators**
- Development of all aspects of training to link with industry
- Professional development of staff
- Improvements to, as well as, validation and moderation of assessment
- Development of quality training and support services to students
- Improvements to business operations and data management
- Consistency and integrity of training and assessment resources

Systematic collection and collation of data includes:

- National tools for the collection of data for the quality indicators
- Interviewing students regularly
- Obtaining written feedback from students
- Obtaining written feedback from trainers and assessors
- Obtaining feedback from industry stakeholders

- Obtaining feedback from employers

Strategic analysis of the complaints when they occur

Analysis of collected data

BEA is committed to utilising best practise data analysis processes to ensure informed decisions are made regarding the delivery of quality training services. These best practise data analysis processes include:

- Assessment processes and methodology
- Skills audit - evaluating competencies and qualifications of staff
- Evaluating the effectiveness of training methods
- Identifying areas for staff professional development

the collection and analysis of data pertaining to RTO operations can lead to the identification of further opportunities to improve practices. Improvements are designed and implemented based on these findings. Results are recorded and outcomes evaluated at internal audits.

Asset Register Template

Corrective Action Report Template

6.10   Internal Audit Policy

The purpose of this policy is to establish and maintain the RTO's processes for implementing the quality management system aligned with the Standards. The audit results should provide a positive and controlled means of identifying issues, non-compliances and opportunities for improvement to management, as well as being a platform for initiating appropriate action. Co-ordinated by the Compliance and/or RTO Manager, internal audits are a series of fluid processes that focus on different aspects of the RTO's operations and collate the findings from collected data.

Examples of sources of information which assist with the audit process and continuous improvement include:

- Feedback from students
- Feedback from stakeholders, such as employers
- Quality indicator data
- Conclusions arising from assessment validation
- Results of external audits
- Organisation self-assessment outcomes
- Records of complaints and appeals, and their resolution
- End of program evaluation

The internal audit schedule provides a guide and timeline to all stakeholders. The forum for the collated data, recommendations and identified opportunities for improvement to be communicated to RTO staff is during the management meetings.

Validation

Validation of Certificate III in Bricklaying and Blocklaying training units will be validated at least once every five years, with at least 50% of products validated within the first three years of each five-year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator. Six Bricklaying units will be validated each year and the White card course will be validated every 3 years.

Validation will be led by the CEO, who has the responsibility of documenting and acting on the outcomes.

6.11   Management Meetings

The regular and on-going collection of feedback data from stakeholders and students is collated, reviewed and actioned during these meetings. Business arising from the internal audit is included

as a regular agenda item at monthly management meetings. The management team, trainers and assessors utilise this data to develop and implement continuous improvement strategies. Possible actions may include but are not limited to improved training services, enhanced client services and more efficient business operations. Collection, analysis and action of feedback is coordinated by the compliance and/or RTO manager.

Each aspect of the BEA operations will be reviewed at least once each year via the internal audit process.

6.12   Internal Audit Procedure

The data collected will confirm good practice and highlight aspects of training and assessment that need to be improved. BEA RTO manager will explore with learners, trainers, assessors and employers what improvements need to be made and what actions might be taken. The RTO plans and makes improvements in response to the lessons learnt from this analysis.

Internal audit activities may include, but are not limited to:
- Examining documents and systems such as policy and procedures, student handbooks, relevant components of business plans, trainer / assessor qualifications
- Examining records of actual training conducted
- Examining samples of student files
- Analysing resources for delivery and assessment, required by the relevant training package or course, including assessment tools
- Questioning the stakeholder(s) to further explore evidence
- Interviewing with management, trainers, students, employers, stakeholders
- Observing processes such as assessment and learning activities
- Looking at facilities, and observing training and assessment activities

    Other, more strategic audit mechanisms may include, but are not limited to: Comparing data collection methods with high-achieving RTOs
- Conducting a SWOT analysis with a range of stakeholders
- Comparing data collection methods with high-achieving RTOs
- Identifying measurable objectives in relation to training and assessment, and monitoring these objectives in relation to specific qualifications

BEA management will review internal audit reports, and initiate the rectification of the identified issues and implementation of any opportunities for improvement. Entries are made in the relevant continuous improvement register, and relevant policies and procedures are modified.

6.13   Independent Audit

As well as the scheduled internal audit process, (where practical) the RTO may appoint an independent auditor to conduct an audit of all the RTO's operations at least annually. BEA's CEO is responsible for ensuring the audit conducted by the independent auditor is planned and that the

identified opportunities for improvement are actioned. (As the organisation expands this role may be delegated to the compliance and/or RTO manager).

6.14 Learning and Assessment Methodologies

In order to create an innovative organisation, overcome some unique recruiting and retention problems associated with a relatively small industry and a geographically isolated employee base, BEA must be flexible in its coordination, delivery and assessment of training. While concentrating on the use of the NVR Standards, the following additional methodologies have or will be utilised in the provision of learning and assessment:

•   Flexible learning

environment,

•   Study assistance.

6.15 Flexible Learning and Assessment

The uniqueness of BEA and the relative geographic isolation and disbursement of its workplace, require a flexible learning and assessment environment which allows for innovative methods of training and assessment. As such, during the development of learning and assessment material, BEA may consider the use of various delivery methodologies such as distance education, on-line learning, CBT, self-assessment, self-paced/directed learning, mentoring, log books, residential periods, etc. Learning and/or assessment may include one or more methodologies and may vary depending on the need of the customer, the site and/or the individual.

6.16 Study Assistance

Study assistance may be sought by employees wishing to undertaken additional study from an external provider such as TAFE or university. Provided that the study may be beneficial to BEA, BEA may offer employees financial assistance.

6.17 Training and Assessment Organisational Structure

The BEA has developed its own training and assessment organisational structure based on the total BEA organisation involved with the RTO. In doing so it has utilised existing lines of communication and responsibilities in order to provide a solid foundation for the learning and assessment of personnel while ensuring consistency within BEA in general. Annex A details the Training and Assessment organisation within BEA.

6.18 Competence of RTO Staff

Staff undertaking Workplace Assessor responsibilities within BEA must have completed the Cert IV in Training and Assessment (TAE10) including the unit TAELLN4ll Address Adult Language, Literacy and numeracy skills or equivalent and;

- **Bricklaying;** have completed a Certificate III in Bricklaying/Blocklaying so to demonstrate vocational competencies at least to the level being delivered and assessed; and have 5 years' minimum resent experience in the Masonry Trade so to maintaining their industry currency before being appointed as a Workplace Trainer and Assessor (WTA) within the BEA RTO.

- **WHS;** have completed a White Card course and/or Certificate IV in Occupational Health and Safety or equivalent/similar so to demonstrate vocational competencies at least to the level being delivered and assessed; and have 5 years' minimum resent experience in the Construction Industry so to maintaining their industry currency before being appointed as a Workplace Trainer and Assessor (WTA) within the BEA RTO.

Existing Qualifications. Staffs with existing qualifications in Training and Assessment are to present copies of the qualification to the RTO Management. The RTO Management is to review each staff member's qualification to determine the validity and applicability of the qualification to the RTO scope of training. The validation of the qualification is to include its compliance and confirmation of the issue of the qualification to the staff member from the registered training provider indicated on the qualification. Written confirmation of the issued qualification from the training provider is to be retained by the RTO unless the original is sighted by the RTO management in which case the copy retained by the RTO is to have this annotated on it and signed by the RTO Management.

WTA with existing BSZ98 or TAA04 qualifications may undertake learning and assessment activities in support of the RTO activities. The RTO is to coordinate the transition of existing staff qualifications to the TAE10 qualifications in accordance with organisational and staff development priorities.

New Appointments. BEA personnel wishing to obtain the Cert IV Training and Assessment (TAE10) qualification or any other course within the BEA scope, may nominate themselves at any time or in response to requests for nominations by the RTO Management. All nominations are to be submitted using the BEA Training/Seminar Request Form. Forms are submitted to the BEA management. The RTO Management will consider each application on its merit. Selection of suitable applicants will be based on an applicant's previous work performance, current employment and personnel development requirements.

Instruments of Appointment. Once the qualification has been achieved / validated, the RTO Management will issue an Instrument of Appointment authorising the member to undertake learning and/or assessment activities on behalf of the RTO.

RTO Qualification Responsibility

As a minimum 1 member of the BEA staff will have commenced/completed a TAE50111 Diploma of Vocational Education and Training or its successor; or TAE50211 Diploma of Training Design and Development or its successor before the commencement of 2017.

6.19 Learning and Assessment Resources and Support Material

The RTO Management is responsible for coordinating the development, acceptance, review and distribution of all learning and assessment materials included within the scope of the BEA. The development of all learning and assessment material will be controlled centrally by the RTO Management in accordance with the BEA controlled documents procedures. Material will be

disseminated to relevant personnel as appropriate to the conduct of learning and/or assessment activities.

The RTO Management will coordinate the development of learning and assessment material by tasking selected Workplace Assessors to write the material in accordance with the BEA format, the identified competencies and references. This may involve the drafting a complete or component of a training package. The RTO Management will undertake initial editorial duties and register the document. The material will then be put forward for comment to key stakeholders i.e. the Management to ensure the learning/assessment outcomes conform to BEA requirements. Once the review is complete the material will be authorised and dated before being disseminated to appropriate Workplace Assessors and/or trainees.

6.20　　Work, Health and Safety Policy

The Work Health and Safety Act 2011 outlines the requirements of an RTO in establishing and maintaining workplace health and safety standards. The requirements of an RTO as specified in the above mentioned Act are to:

- Secure the health, safety and welfare of employees and other persons at work
- Eliminate, at the source, risks to health, safety or welfare of employees and other persons at work
- Ensure that the health and safety of members of the public is not placed at risk by the conduct of undertakings by employers and self-employed persons
- Provide for the involvement of employees, employers, and organisations representing those persons, in the formulation and implementation of health, safety and welfare standards

In order to meet these requirements, BEA has initiated procedures, policies, guidelines and work instructions, practicing an on-going commitment to workplace health and safety.

The purpose of this section is to present a strategic overview of the BEA safety system and to provide guidance for meeting the requirements of the Work Health and Safety Act, ensuring a high standard of workplace health and safety at all times.

It is obligation under legislation that all BEA employees and management contribute to and assist in maintaining workplace health and safety and risk management operations as part of their role within the RTO. BEA management is responsible for providing the following standards as part of the RLO's commitment to employees and clients:

- A safe workplace, with a safe system of work
- Adequate workplace health and safety professional development for BEA students, employees, management and stakeholders
- Properly maintained facilities and equipment
- A clean, tidy, suitably designed workplace with the safe storage of goods such as chemicals (if relevant)

The following procedures and standards must be observed to achieve a safe working and learning environment:

- Maintain a safe, clean and efficient working environment
- Workplace Inspection Checklist Form
- Evacuation plan (fire, bomb, major incident)
- Emergency control
- Accident / Incident reporting
- Rehabilitation
- Risk identification reporting
- PPE / chemicals (storage)

- Manual handling techniques and training
- Store and dispose of waste according to WH&S regulations
- Equipment checks and maintenance
- Equipment safe storage
- Fire hazards identified and fire prevention
- Student safety
- Unsafe situations identified and reported
- First aid and safety procedures displayed, for all RTO staff and students to see

WTA's are responsible for the application of all WH&S precautions as appropriate to the learning/assessment they are coordinating and/or conducting.

All personnel involved in the development, delivery and participation of learning and assessment activities on behalf of BEA are to conform to the BEA Work Health and Safety Policy. All incidents are to be managed and reported IAW BEA procedures. The RTO Management is also to be notified.

6.21 Risk Management Policy

Risk management for registered training organisations involves the identification, analysis and evaluation of the RTO's potential of non-compliance with the SNR, as well as the development and implementation of cost effective contingencies to control risks.

Risk assessments are conducted by the RTO management annually, if not more frequently, with no longer than a twelve (12) month period between each assessment. Results of the assessment and risk rating are recorded in the risk assessment template. The RTO management is responsible for the assessment and management of risks associated with all aspects of RTO operations and activities. A risk identification register is developed and maintained by RTO management to assist in the identification and management of risks, measured against the training business' compliance with the SNR.

At the completion of each risk assessment, the RTO management will identify potential countermeasures to minimise the likelihood of the risks actually occurring. Identification and implementation of the counter-measure activities outlines the need for re-assessment, effectively reducing the risk rating.

Continual assessment of the identified risk(s) will be undertaken to ensure the correct risk management strategies and initiatives are being utilised with the intention of reducing risk rating.

In the event of a high or extreme risk being identified (as according to the risk matrix), immediate counter-measures will be actioned to minimise the risk. Risks of a lower rating will be monitored for potential changes on a continual basis and are to be addressed at the monthly management meetings.

A risk assessment for the compliance of the RTO has been developed and is attached as Annex B

The conduct of on –the-job training activities cannot ever be risk free. The risk associated with training unskilled personnel in these tasks can greatly increase depending on the abilities of the students. In order to ensure the provision of a safe training environment for both students and staff, risk assessments are included as part of each training package. These risk assessments detail specific elements of risk associated with the training package and the mitigation strategies to be implemented. The application of any risk management strategies should complement not conflict with existing emergency management plans or procedures already in place at the relevant job site.

6.22 Equal Employment Opportunity, Anti-Discrimination & Non-Harassment Policy

BEA is absolutely committed to providing a workplace and training environment free of all forms of discrimination, harassment and bullying for all existing and prospective employees, visitors and customers.

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all staff and students are treated fairly and have the opportunity to feel safe, valued and respected.

By definition, harassment includes any form of behaviour that is unwanted, unwelcome or unreciprocated by relevant persons. This may manifest as verbal or physical harassment, but includes any acts that may be perceived as humiliating, offensive, intimidating, threatening, discriminatory or otherwise contributing to an unpleasant workplace or experience for the persons.

In the event that a person considers that he or she has been or is being harassed, this person should be encouraged to inform the other party that their behaviour is objectionable and should not be continued, provided they are comfortable with confronting the offender. In instances where the person is not comfortable discussing matters with the offending party, a trainer or another BEA staff member should be informed of the situation. In this case it becomes the responsibility of the relevant staff to follow BEA policy and procedures to rectify the situation.

All students and staff working with BEA have the right to discuss matters of harassment with the relevant members of staff without making a formal complaint; all discussions are dealt with confidentiality. The right to lodge a formal complaint of misconduct against the offending party is available and will be actioned according to BEA policy and procedures.

BEA ensures that all staff are adequately trained in dealing with harassment and discrimination in order to fulfil their roles and responsibilities in creating and contributing to a harassment and discrimination free workplace. In addition to relevant training, BEA management provides

opportunities for communication and mentoring amongst staff to ensure that all employees understand and correctly apply the processes and procedures involved in identifying and addressing of all forms of harassment and discrimination.

BEA staff and students should be aware of the following definitions:

Racial harassment

Involves a person or persons being threatened, abused, insulted or taunted in relation to their race, descent, nationality, colour, language, ethnic origin or any other racial characteristic. It may include but is not limited to; derogatory remarks, innuendo or slur, gestures, intolerance, mockery, displays of material prejudice towards a race, racial jokes, discrimination, and exclusion, allocation of least favourable jobs or positions, or unfair treatment.

Sexual harassment

Involves any verbal or physical conduct of a sexual nature, which is inappropriate, unwelcome or uninvited. It may include but is not limited to; sexually related physical contact such as kissing, embracing, pinching or other suggestive gestures, intimidation, coercion, requests for or promising of sexual favours, questions about a person's private or sexual life, sexist or explicit jokes, unwelcome phone calls, emails or other forms of non-work related communication, offensive noises, or displays of sexually graphic or suggestive material.

Bullying

Involves any behaviour that suggests a real or perceived power over another party, or otherwise undermines a person or group, generally comprises of repeated, persistent acts over a period of time. It may include, but is not limited to; verbal abuse, physical assault, intimidation, humiliation, unjustified criticism, sarcasm, insults, false or malicious rumours, exclusion or isolation, inflicting unnecessary work stresses, or sabotage of a person's work or their ability to work by withholding resources or information.

Confidentiality

Relates to privacy of information, ensuring that the information is only accessible to those who have the authority to access it. Within an RTO this may refer to private verbal discussions, student assessments, managerial decisions and legal proceedings.

Discrimination

Involves the unfair or unequal treatment of another person based solely on class or category. Equal opportunity laws prohibit discrimination on the grounds of sex, marital status, pregnancy, family responsibility, family status, race, religious beliefs, political conviction, gender history, impairment, age or sexual orientation. All forms of victimisation are also treated as a type of discrimination.

Harassment

Involves any behaviour intended to disturb, offend or upset. It may include any unwelcome or uninvited verbal or physical action that results in a person feeling intimidated, offended, humiliated or embarrassed. Equal opportunity laws prohibit harassment on the grounds of sex and race.

Personnel

Refers to all employees and contractors of BEA.

Victimisation

Involves any process which results in the unfavourable treatment of a person on unjust terms. It may include, but is not limited to; unfair punishment, treating a person poorly 0r their involvement in a complaint, to swindle or defraud a person, adverse changes to another's work environment, or denial of access to work related resources.

Specific principles:

- It is the right of all staff and students to work and study in an environment free of any form of harassment and discrimination

- All reports of harassment and discrimination will be treated seriously, in an unbiased, respectful and sensitive manner. Any form of harassment and discrimination is considered unacceptable behaviour and will not be tolerated by BEA

- When BEA management is informed of any event involving harassment or discrimination, it is their responsibility to take immediate and appropriate action to address it

- In dealing with all complaints, the rights of all individuals involved should be respected and confidentiality should be maintained

- All complaints presented to BEA should be resolved by a process of discussion, cooperation and conciliation wherever possible. The aim is to achieve an acceptable outcome for the involved parties while minimising any potential damage to the organisation

- Both the person making the complaint and the person against whom the complaint has been made will receive information, support and assistance in resolving the issue from BEA management

- Victimisation is unacceptable and will not be tolerated. No person making a complaint or assisting in the investigation of a complaint should be victimised

- Harassment or discrimination should not be confused with legitimate comment and advice (including constructive feedback) given appropriately by management or trainers. Managers and trainers should be conscious of how they present their feedback to ensure the message is not misinterpreted

Staff and students should not make any frivolous or malicious complaints. All staff and students are expected to participate in the complaint resolution process in confidence that the procedures are designed to ensure fair resolution.

All personnel involved in the development, delivery and participation of learning and assessment activities within the BEA RTO are to conform to the BEA Ethic Guideline Policy and Instruction.

BEA is committed to providing equitable access to employees and external clients to the learning and assessment services provided by BEA. The BEA is also committed to the equitable treatment of students and clients in the provision of learning and assessment services. Where a student or client does not believe that have had equitable access or treatment, they have the right to submit a complaint or grievance in accordance with Grievance/Complaint procedure outlined in Sect 6.24 of this document.

6.23   Disabilities/Learning Difficulties

BEA is obligated to make reasonable adjustments where necessary to ensure that students with disabilities/learning difficulties are able to participate in RTO training and assessment activities on the same basis as trainees without disabilities/learning difficulties.

This may include:

• The procurement of specialist equipment or support aids,

• Modification of the learning/assessment environment and/or material, and/or

• Use of third party support i.e. interpreter or independent reader for students with reading, numeracy or language difficulties.

In consultation with the student and/or their representative/s, the RTO Management and relevant WTA are to determine any reasonable adjustments which can be made to the training without compromising the integrity of the training or safety prior to the commencement of training. The RTO Management may seek from other agencies as appropriate.

Where the adjustments are considered to create unjustifiable hardships in the delivery of training and assessment for the RTO, the trainee will be notified in writing.

6.24   Grievances/Complaints

General Principles of Grievance Resolution

The prime objective of the BEA's Grievance Policy is to achieve a resolution of a grievance in the context of the following principles:

a) Grievances shall be handled within an appropriate time frame and will be treated sensitively and impartially, having due regard to procedural fairness;

b) Resolution of the grievance shall be as close as possible to the source, unless it is serious, unlawful or not practical;

c) It is expected that all parties involved will approach proceedings with a desire to resolve the grievance cooperatively and in good faith;

d) Individuals shall not victimize or harass other parties involved in the matter;

e) Confidentiality shall be strictly observed by all participants and at all stages of the grievance procedure; and

f) Complainants and respondents will be informed of the outcomes.

6.25   Principles of Procedural Fairness and Natural Justice

BEA recognizes that all those who study or work at BEA have the legal and ethical right to: •

raise any concern or complaint related to unfair treatment, discrimination, harassment,

vilification, bullying and other such issues;

- have that concern, problem, complaint or grievance dealt with confidentially, fairly, effectively and within an appropriate timeframe;
- have the support of another person throughout the grievance process:
  - o for students: a family member, another student or a staff member, student
    representative, or
  - o for staff: a family member, a staff member or staff representative; and
- make a request as to the gender of the investigator where appropriate.

Grievance investigators shall observe the rules of natural justice in any action taken in relation to a complaint. This includes:

- informing all parties of the procedure being followed and providing them with copies of relevant policies and guidelines;
- explaining to the complainant that the requirements of procedural fairness mean that their identity must be disclosed to the respondent;
- informing the respondent of any allegation made against them, and allowing time for a response;
- providing the respondent with the opportunity to state their case, providing an explanation or putting forward a defence;
- conducting a factual investigation of the allegation, interviewing all parties and considering all relevant information; and
- acting fairly, impartially and without bias by considering all relevant information and any mitigating factors.

6.26   Conflict of Interest

Where it can be demonstrated that there is a conflict of interest or the potential for a perceived conflict of interest:

- a grievance investigator should refer the matter immediately to an alternative investigator or the next level of management; and
- a complainant or respondent may request an alternate investigator.

Disciplinary and Performance Improvement Policy and Framework.

Students undertaking training within the BEA will be provided with a performance management environment that will enable students to achieve the required standards of conduct and performance. Monitoring of performance will be an ongoing feature of the training as a basis for identifying development needs, guiding improvement in work performance and correcting any areas where an employee does not meet the expected standards of performance through a constructive counselling and disciplinary process. Actions that may warrant disciplinary action include:

1. Unauthorized absence from training,

2. Fraud and / or plagiarism of another's work, and / or

3. Unacceptable behaviour or conduct, which may harm or discredit individuals, BEA.

Where a disciplinary issue arises, the relevant WTA is to contact the RTO Management. The RTO Management, in consultation with the WTA, will review all circumstances surrounding the incident

and it severity before deciding on an appropriate course of action. The disciplinary action may include one or a combination of the following actions:

a) Student/s are formal counselled,

b) The student/s is suspended from undertaking further learning or assessment,

c) The student/s results of learning and/or assessment are nullified,

d) The RTO notifies the supervisor / management of the student/s (who may decide to take further action), and / or

e) The RTO notifies the civil authorities.

Students will be notified both verbally and in writing of the outcomes of any disciplinary action.

The Chief Executive RTO is to be informed of all disciplinary matters within 24 hours of the incident occurring. The Chief Executive may determine the disciplinary action to be taken.

Discipline Appeals

Students wishing to appeal disciplinary action are to present their case in writing to the Chief Executive RTO within 3 days of the notification of the initial disciplinary action. The Chief Executive RTO will review all relevant information and make an appropriate determination. Students will be notified of this determination.

6.27   Grievance Policy Statement

BEA has a duty of care to staff and students to resolve grievances promptly and with the minimum of distress. BEA has a legal responsibility for resolving equity related grievances alleging unlawful behaviour.

For the purpose of managing grievances, complaints are distinguished by their level of seriousness. Where there is doubt as to the level of seriousness advice should be sought from the BEA's RTO management.

Less Serious Grievances

- Matters which are considered less serious are those which are not unlawful but should be addressed and resolved to avoid repetition or escalation.
- Wherever possible and practical the grievance should be handled as close as possible to the source.
- For students, the lowest appropriate level to deal with the complaint about a staff member is the RTO Manager.
- Strategies for staff to resolve less serious grievances without escalating the matter to a supervisor or RTO manager:
- It may be appropriate for the complainant and respondent to deal with the matter themselves;
- The complainant and respondent may seek advice and/or mediation from a nominated BEA representative;
- The complainant and respondent may request access to an external mediator.

- If the staff member is not comfortable dealing with the complaint themselves then it is usually referred to the RTO Manager, or if the grievance concerns them, the RTO Chief Executive Officer.

Serious Grievances including Unlawful Behaviour

- Matters which are considered serious or unlawful, may include but are not limited to, sexual harassment, all matters covered by the grounds of anti-discrimination laws, assault and those contrary to the BEA's policies and procedures.
- Grievances of a serious nature or those that allege unlawful behaviour must be referred directly to the RTO Manager
- Repetition of a less serious behaviour, dealt with by one or more investigators may lead to the matter being dealt with as a serious grievance.
- The BEA Management may report apparent or suspected unlawful behaviour to the Police.
- Grievances of a serious nature would normally be submitted in writing by the complainant.
- The CEO or RTO Manager will determine the most appropriate process in the specific circumstances, and may appoint one or more investigators to conduct a formal investigation and submit a report to the CEO.
- During the course of the investigation if the investigator is of the view that the grievance has substance, and circumstances warrant, they may result in disciplinary action against the respondent such as formal warnings or, in the most serious cases dismissal.

6.28   Grievance Roles & Responsibilities

The management of serious grievances has been delegated to the RTO manager for student matters and the RTO CEO for staff matters.

Student Grievances within the Scope of this Policy

All BEA personal are responsible for:

- resolving those grievances from students that fall into their area of responsibility and decision making authority;
- referring grievances to the next level of management if they have insufficient authority to implement a resolution; and
- assisting complainants to identify the most appropriate resolution mechanism and referring the grievance to that person or process.

Casual employees should direct students to the next level of authority when a grievance is brought to their attention.

Staff Grievances

Staff with supervisory responsibility are responsible for:

a) attempting to resolve grievances from their staff that fall into their area of responsibility and decision making authority;
b) referring grievances to the next level of management if they have insufficient authority to implement a resolution; and

c) identifying the appropriate resolution mechanism and, where necessary, referring grievances to that process.

6.29   Contracted Support

BEA may employ specialists in the conduct of training not part of the RTO scope. It is our intention that all contracted training providers should be a RTO under the NVR. These specialities may include first aid, firefighting, and risk management.

The RTO will develop, and comply with, a written agreement with each contracted training provider that provides training and/or assessment on behalf of the RTO. The agreement will specify how each party to the agreement will discharge its responsibilities for compliance with Standards for National VET Regulator (NVR) Registered Training Organisations 2015

A record of all such agreements is to be maintained in the RTO records. The records will detail:
- The responsible persons from each organisation,
- The duration of the agreement, and
- The qualifications or units of competency to be delivered by the partner organisation.

Trainees are to treat contracted training providers with the same level of respect as that shown to BEA personnel.

Any issue relating to the performance of the contractor is to be brought to the attention of the Workplace Assessor coordinating the activity. The Workplace Assessor is to liaise with the contractor. If the issue cannot be resolved it is to be directed to the RTO Management. Depending on the severity of the issue, the RTO Management may decide to amend or cancel the contracted arrangement.

6.30 Child Protection Policy

The BEA will require WTA to undertake a "Working with Children Check" checks in support of the NSW CHILD PROTECTION (WORKING WITH CHILDREN) ACT 2012.

Students under 18 years of age may enrol with BEA. According to the law, a child is considered any individual less than 18 years of age.

It is the responsibility of BEA to ensure that all students are protected from all forms of harm, including bullying, harassment, discrimination and intimidation. All staff are required to report to BEA any behaviour that can reasonably be considered harmful or potentially harmful to students, or where it is reasonable to believe that a student has been harmed or requires protection from harm.

In cases where allegations or information indicate it is reasonable to believe a student has suffered from or may require protection from harm, BEA must report to the Family & Community Services.

http://www.facs.nsw.gov.au/

The initial information that a child protection officer will require is:

- The name, age and address of the child or young person
- The reasons you suspect the child or young person may have experienced or is at risk of experiencing harm
- The immediate risk to the child or young person
- Contact details. You may remain anonymous; however, it is preferable to provide these details so that the officer can call you if further information is needed

If allegations may constitute child abuse by a person external to BEA, the RTO CEO must report the matter to the Police or Family & Community Services.

The RTO will comply with all relevant State and Federal legislation in the area of working with children.

6.31 Apprenticeships and Traineeships

Following approval, BEA may take part in a number of Federal and State funded initiatives. An example of funding and incentive opportunities include:

Accelerated Australian apprenticeships

Funding is available for industry-lead partnerships to develop and implement innovative models that further the reach of competency-based progression in Australian apprenticeships in their sector.

Australian government funding is available in the form of one-off grants to Industry Skills Councils (ISCs), peak industry bodies or other organisations, as agreed by the Department of Industry, Innovation, Science, Research and Tertiary Education, to lead projects under this initiative, working in partnership with employers, RTOs and other stakeholders.

Further information including program guidelines and an application form is available at
www.australianapprenticeships.gov.au/AAA/Home.asp

Funding can also be accessed through Australian Government Skills Connect. Australian Government Skills Connect is a new service designed to help link eligible Australian enterprises with a range of skills and workforce development programs and funding. It brings together funding from six (6) different training and workforce development programs to better target industry and worker training. Australian Government Skills Connect assists employers to address their overall workforce development needs.

Further information on Australian Government Skills Connect is available at
www.skills.gov.au/SkillsConnect

User Choice

User Choice is a national policy whereby State and Territory Governments fund RTOs to provide structured training to Australian Apprentices. These funds reduce the cost of the training that an Australian Apprentice or the employer will have to pay under an Australian Apprenticeship.

The amount of funding and training available under User Choice is different in each State and Territory, with each State and Territory having different priority areas to direct their User Choice funds.

Under User Choice arrangements, Australian Apprentices and their employers may be able to select the private or public training provider of their choice. This may allow:

- employers who operate in more than one State or Territory to choose one provider that can meet all of their training needs

- employers to negotiate with providers on aspects of the timing, location and the mode of delivery, and about the trainer/facilitator who conducts the assessment

- employers scope to negotiate aspects of the selection and sequencing of units of competence within a training package to provide tailored training that is more specific to their needs and

- employers to negotiate the purchase of flexible training over and above what is publicly funded through State or Territory User Choice arrangements

Australian Apprenticeships Support (AAS) Services is a Commonwealth funded initiative that provides a free service to employers and apprentices and trainees to assist with essential administration and advice on incentives.

State Training Services is an approved Australian Apprenticeships Centre and provides AAS services as part of a one-stop shop for all apprenticeship and traineeship services and broader vocational education and training advice.

Further information is available at:
> www.training.nsw.gov.au/programs_services/strategies_services/aass/index.html

Training Plan Template

7 RECORDS

The effective management of learning and assessment records and overarching training documentation is critical to the maintenance of an effective quality management system and compliance with the VQF. The BEA undertakes to conform to the requirements for VQF for records management.

7.1 Controlled Documents Policy

Authorised Business Systems for training, associated Work Instructions, Training Packages and associated lesson plans, learning material, risk assessments and evaluation tools will be controlled through BEA Management. This system allows for the management of version control, editorial rights and issue dates. RTO Management has editorial rights for all controlled training documents.

Assessment instruments are to be maintained by the RTO Management on Bea Wisenet main server. In this way access to the assessment instruments will be limited to RTO staff only.

7.2 Training Records

The effective management and retention of Training Records is a crucial requirement of the VQF. RTO Management is responsible for the management and storage of Training Records. Where possible electronic copies of all records should be retained.

The primary electronic training records management system is Wisenet. All procedures for the maintenance of records using this system are to be in accordance with the BEA policy. The types of records to be maintained include those listed in BEA_00_ Document Register. A full list of RTO documents and retention times are listed in BEA Documents as BEA_00_ Document Register

Types of hard copy records to be held and managed by BEA may include:

- Academic qualifications,

- Trade certificates,

- Statements of Attainment,

- Assessment Materials,

- Training Attendance Records,

- Grievance and Appeals applications and findings, and Licences

7.3   Privacy

All training records are to be held in the strictest confidentiality by all staff within BEA. BEA will not release any training records external unless a written request to release information is given to the RTO Management by the member detailed in the training records with the following exceptions listed below:

- Government departments requiring access for audit purposes, •   RTO Manager will have access to BEA personnel only for the purpose of performing their duties as outlined in paragraph 5.2.3.

- In all above cases no access will be granted to the personal information of the clients, only academic results.

8   ANCILLARY ISSUES

8.1   Compliance with Relevant Legislation

BEA policies, procedures and activities undertaken in the provision of learning and assessment services are to comply with all relevant state and federal legislation. These include:

- Work Health and Safety Act and Regulations,

- National Vocational Education and Training Regulator Act,

- Anti-Discrimination Act,

- Privacy and Personal Information Protection Act,

- Disability Discrimination Act, and •   Apprenticeship and Traineeship Act.

   See SNR for a comprehensive list of legislations

8.2   Insurance

The BEA will be insured by Hollard Insurance. The insurance covers all trainers and assessors within the RTO for professional indemnity, public liability, worker's compensation and building and contents insurance where applicable.

8.3   Financial Management

BEA financial management is to be in accordance with the policy and procedures of BEA with compliance with the Standards for NVR Registered Training Organisation in accordance with financial management for initial registration. The Executive Officer is responsible for ensuring compliance of the RTO to these policies and procedures

8.4   Compliance Audit

To ensure continued compliance with the Standards for NVR Registered Training Organisation, BEA is to undertake an internal compliance audit against the Standards at least annually. The RTO Compliance Risk Assessment is to be used as a basis for the conduct of the compliance audit. The

Executive Officer is responsible for the conduct of the compliance audits of the RTO. The conduct of the Compliance Audit is to be in accordance with the policies and procedures of the BEA.

The dates of the compliance audit of the BEA will be in accordance with the Executive Officer approval.

The Compliance Audit report is to be forwarded to the Chief Executive of the RTO for acceptance. The RTO Manager is responsible for the implementation of any recommendations from the audit report.

8.5   Marketing and Advertising

Any material developed by or on behalf of the BEA for the purpose of marketing or advertising is to comply with the policies and procedures of BEA.

As a guide to the development such material, all marketing and advertising material must comply with the following principles:

- BEA must accurately represent to prospective clients training products and services that lead to AQF qualifications or Statements of Attainment, and ensure that advertised outcomes are consistent with these qualifications.

- BEA must advertise AQF qualifications only if they are included in the RTO's scope of registration and must not state or imply that services are within that scope if they are not.

- BEA's services leading to AQF qualifications and/or Statements of Attainment separately from any other learning/assessment services.

- BEA's marketing material must be accurate and approved by a duly authorised member of the RTO's staff.

8.5.1   Approval of Marketing and Advertising Material

All marketing and advertising material developed by or on behalf of the BEA is to be reviewed by the Chief Executive Officer. The Chief Executive Officer is to ensure that the marketing and advertising material is compliant with the policies and procedures of BEA and the National Vocational Education and Training Regulator Act,

The Chief Executive Officer RTO is to review that the marketing and advertising material for compliance with the policies and procedures of BEA and provide final approval for its release and use. No marketing or advertising material used by the BEA is to be released / used without written approval by the Chief Executive Officer RTO.

8.6   Corrective Actions

The purpose of the corrective action procedure is to ensure the effective resolution of identified problems or opportunities for improvement separate from the Validation Phase of the Training Cycle. The BEA is to comply with the policies and procedures for corrective/preventative actions detailed. The outcomes of a corrective action may initiate the Identification or Validation Phase of the Training Cycle.

A Corrective/Preventive Action Request may be raised by any member of the BEA, students, customers or contracted training providers to address a range of issues that include but are not limited to the following:

Health or Safety issues or concerns;

Deviations from or changes to approved work practices as described in BEA Services that affect the quality of products or service in respect of either internal or external customers;

- Revisions of training packages by the Industry councils,

- Inadequate or unreliable processes;

- Inadequate or unreliable equipment or environmental conditions;

- Inadequate specifications or reference materials;

- An internal/external audit result;

- Customer feedback, and / or

- Student or WTA feedback

Corrective/preventative Action Requests may be sent in writing to the RTO Management in any appropriate format (corrective / preventive action form, emails, fax, memos, audit reports, etc.) The RTO Management is to forward all such requests to the Chief Executive Officer for registration.

9   RTO SCOPE AND QUALIFICATIONS

The RTO will only issue AQF qualifications and Statements of Attainment for training that is within its scope of registration and that certify the achievement of:

- qualifications or industry/enterprise competency standards from nationally endorsed Training Packages, and

- qualifications, competency standards or modules specified in accredited courses.

Where the BEA has delivered and assessed entirely in a language other than English, the relevant language is to be noted on the subsequent qualifications and statements of attainment issued as a result of the above delivery and assessment.

The scope of the BEA is identified within Annex D. The RTO Management is to apply to the National registering body that has registered the RTO for any extension to scope of registration.

10   STARDARDS FOR NVR REGISTERED TRAINING ORGANISATIONS (SNR)

Purpose and operation

The objectives of the SNR are to ensure nationally consistent, high-quality training and assessment services for the clients of Australia's Vocational Education and Training (VET) system.

Compliance with the standards is a condition for all NVR registered training organisations and for applicants seeking registration under the Act.

A focus on outcomes

The standards and their elements specify the key requirements to be met by each RTO. The standards for NVR registered training organisations do not specify detailed processes but explain the outcomes to be achieved through the application of each standard. An RTO must be able to show, through systematic approaches to management and continuous improvement, that it is focused on improving its outcomes in relation to each standard.

The quality indicator and competency completion reports support the outcome's focus on the standards by giving an overall picture of how well an RTO is meeting client needs.

Standards for NVR RTOs 2015

ASQA and NVR STANDARDS 2015 Standards for Initial Registration Comparison

AQTF 2012 Essential Standards for Initial Registration User's Guide

A systematic approach

A systematic approach to the management and delivery of services helps an RTO to meet the registration requirements throughout the registration period. Systematic approaches are planned, purposeful and repeatable actions to improve products and services for clients.

Because RTOs vary in size and complexity, the processes they use to comply with the SNR will differ considerably. For example, the quality of outcomes to be achieved by a one-person RTO, a secondary school offering school-based apprenticeships, a community-based provider, an enterprise-based RTO and a TAFE institute may be the same, but the differences in the scale and operating context of these five organisations may lead to differences in the nature of their systematic approaches and the management systems they use.

Continuous improvement

Continuous improvement is an integral part of the SNR. Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance as such actions are considered rectifications.

An effective quality system includes processes that encourage and achieve continuous improvement. For RTOs this means developing a planned and on-going process to systematically review and improve policies, procedures, products and services through analysis of relevant information and collection of data from

clients and other interested parties, including staff. Data from the quality indicators provides a key tool for continuous improvement.

The value for RTOs of adopting a continuous improvement cycle is in its potential to create a stronger, more sustainable business that meets the needs of clients and stakeholders. Such a cycle also enables RTOs to adapt quickly to changing external environments, such as economic factors and skills needs. Types of continuous improvement processes and tools are not prescribed and RTOs have the flexibility to consider their own business context and make improvements based on feedback from their clients and stakeholders.

Access and equity

The National Skills Framework has a strong focus on providing opportunities for everyone to access and participate in learning, and to achieve their learning outcomes. An RTO needs to ensure that its practices are as inclusive as possible and do not unreasonably prevent any clients from accessing its services.

Governance

Registered Training Organisations are subject to legislation pertaining to training and assessment, as well as business practice. The legislation governs the RTO's obligations to clients and the industry relevant to the training being conducted. The legislation is continually being revised and amended as the industry changes, and all relevant staff members of the RTO will be made aware of any changes through memos and consultation at monthly meetings. Current legislation is available online at *www.austlii.edu.au*

Commonwealth legislation:

- Copyright Act 1968
- Commonwealth Privacy Act 1988 / *Privacy Amendment (Private Sector) Act 2000*
- Commonwealth Sex Discrimination Act 1984
- Racial Hatred Act 1995
- Commonwealth Racial Discrimination Act 1975
- Commonwealth Age Discrimination Act 2004
- Human Rights and Equal Opportunity Commission Act 1986
- Disability Standards for Education 2005
- Commonwealth Disability Discrimination Act 1992
- National Vocational Education and Training Regulator Act 2011
- National Vocational Education and Training (Consequential Amendments) Act 2011 •
  National Vocational Education and Training Regulator (Transitional Provisions) Act 2011.
- National Privacy Principles (2001)
- Skilling Australia's Workforce Bill 2005
- Skilling Australia's Workforce (Repeal and Transitional Provisions) Bill 2005.
- Work Health and Safety Act 2011
- Work Health and Safety Regulations 2011

Compliance with conditions of registration:

- Compliance with VET quality framework NVRA
- Fit and Proper Person Requirements 2011 (FPPR) NVRA
- Satisfying the financial viability and risk requirements NVRA
- Notifying NVR of material changes
- Providing information upon request
- Cooperation with NVR
- Compliance with directions from NVR

- Other conditions that NVR may impose

NSW legislation:

- Children and Young Persons (Care and Protection) Act 1998
- Disability Services Act 1993
- Anti-Discrimination Act 1977
- Fair Trading Act 1987
- Vocational Education and Training Act 2010
- WORKERS COMPENSATION ACT 1987
- Workers Compensation Regulation 2003
- Workplace Injury Management and Workers Compensation Regulation 2002
- Affirmative Action (Equal Employment Opportunity for Women) Act (1986)
- WorkCover Legislation Amendment Act (1996 No. 120)
- APPRENTICESHIP AND TRAINEESHIP ACT 2001

Training authorities / regulators:

- National VET Regulator (NVR)
- Department of Education,
- Australian Skills Quality Authority (ASQA)
- National Skills Standards Council (NSSC)

The applicant must have strategies in place to provide quality training and assessment across all of its operations as follows:

The applicant has a defined continuous improvement strategy that requires the collection and analysis of data. The strategy includes implementation of continuous improvement activities for training and assessment.

BEA has implemented processes for data collection and analysis within its operations that ensure the continuous improvement of training and assessment. Continuous improvement measures in this area respond to the results of data analysis and involve all internal and external stakeholder groups. The quality & continuous improvement policy and procedure define the methods of data collection and analysis.

Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

In order to satisfy the requirements of this element and provide high quality outcomes to their clients and students, BEA ensures that strategies for training and assessment are developed in consultation with industry and stakeholders. The training and assessment strategy policy is outlined below.

Training and Assessment Strategies

Training and assessment strategies policy

Training and assessment strategies developed by BEA will adhere to the following principles:
- Training and assessment strategies are developed for each qualification / unit of competency that will be delivered and assessed
- All training programs will require the development of a training and assessment strategy for full and partial completion of a qualification
- Each training and assessment strategy will be developed in consultation with industry representatives, trainers, assessors and key stakeholders
- Training and assessment strategies will reflect the requirements of the relevant training package and will identify target groups
- Training and assessment strategies will be validated annually through the internal review procedures

BEA has access to the staff, facilities, equipment, resources, and training and assessment materials required to provide training and or assessment services within its scope of registration. The scale of operations will be sufficient to accommodate client numbers and needs, delivery methods and assessment requirements.

Defer or Discontinue Training

At all times BEA will have an obligation to inform governing bodies of student's change of status in training?

Staff, facilities, equipment, and training and assessment materials to be used by the applicant meet the requirements of the Training Package or VET accredited course and

the applicant's own training and assessment strategies and are developed through effective consultation with industry.

In order to satisfy the requirements of SNR, BEA will ensure that the resources specified in each training and assessment strategy and training program are used consistently across their operations.

Resources Consistent with Industry Standards

BEA has access to all relevant physical resources as outlined in the relevant training package, qualification or course, and ensure that all staff members have access to resources required to meet the requirements and comply with industry standards.

In such circumstances where BEA cannot maintain access to the required resources to deliver the training package, qualification or course, BEA will endeavour to provide students with alternative opportunities to complete their training and achieve the relevant qualification.

The applicant has a defined strategy, procedures and measures to ensure training and assessment services are conducted by trainers and assessors who:

○ **have the necessary training and assessment competencies as determined by the National Quality Council or its successors and**

○ **have the relevant vocational competencies at least to the level being delivered or assessed and**

○ **can demonstrate current industry skills directly relevant to the training/assessment being undertaken and**

○ **continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

To meet the requirements and verify that all training and assessment staff have attained and continually improve the relevant vocational competencies, BEA has developed and will adhere to rigorous policy and procedures for recruitment, staff induction, performance appraisal, continuing professional development and human resources. These policies are detailed below.

Recruitment Policy

To establish and verify the competence of RTO staff, the recruitment policy of BEA is informed and supported by the following documents and procedures:

The position / job description

This document provides applicants with a clear outline of the position. The position description may include (but is not limited to) elements such as the purpose of the position, day-to-day duties,

reporting relationships and the organisational environment. Position descriptions will outline the mandatory requirements for the role; these are the minimum levels of qualification, experience and/ or training or certification that must be met by job applicants. If an applicant does not meet the mandatory requirements for the position the selection committee cannot consider the applicant for the position and they are immediately excluded from the recruitment process.

The position advertisement

This document provides a clear description of the position that is being advertised and the process by which applications will be received and assessed. It will include a closing date for applications and a contact person for enquiries. The position description will be made available to prospective applicants and any particular requirements for applications will be clearly articulated.

The selection committee

A selection committee, will consist at a minimum the RTO Manager and if required other workers of BEA, will be formed to assess applications. The selection committee will have adequate knowledge

of the requirements and outcomes of the job, and must select students on the basis of merit to ensure that the best possible student is selected for the job.

Applications

Applications will be assessed by the selection committee. Applicants who meet the mandatory requirements of the position and considered most suited will be short-listed and given the opportunity to be considered further. It is recommended that you include the below information in your written application.

Applicants for all positions at BEA are required to provide:

- A concise statement describing how they meet the mandatory requirements and the day-to-day duties of the role as specified in the position / job description
- A résumé or CV outlining a brief summary of work experience, including previous employers and the positions held; an outline of the duties performed is also expected
- The names and contact numbers of at least two referees who could provide an objective assessment of work performance
- Three copies of all material are required to be submitted with applications
- It will be made clear to applicants that certified copies are required of certificates and qualifications. Originals of certificates, etc. will not be accepted
- Written references included in applications must include current contact details so that the reference can be verified

  These requirements will be made clear to all prospective applicants in the job advertisement and application instructions.
  In recruiting applicants for trainer and assessor positions, BEA adheres to the determination of;

The National Skills Standards Council has determined that from 1 July 2013:

A - TRAINERS MUST:

i.   hold the *TAE40110 Certificate IV in Training and Assessment* from the TAE10 Training and Education Training Package as a minimum qualification or be able to demonstrate equivalence of competencies; and

ii. be able to demonstrate vocational competencies at least to the level being delivered and assessed; and

iii. be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence.

B - PERSONS DELIVERING TRAINING UNDER THE SUPERVISION OF A TRAINER MUST:

i. work under the supervision of a trainer with the *TAE40110 Certificate IV in Training and Assessment* or of a person who has demonstrated equivalence of competencies; and

ii. holds either the *TAESS00007 Enterprise Trainer – Presenting Skill Set* or be able to demonstrate equivalence of competencies, or the *TAESS00008 Enterprise Trainer – Mentoring Skill Set* or be able to demonstrate equivalence of competencies within two years of commencing to deliver training while under supervision; and

iii. be able to demonstrate vocational competencies at least to the level being delivered and assessed as well as maintaining their industry currency.

Notes:

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

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

C - ASSESSORS MUST:

i.   hold the *TAESS00001 Assessor Skill Set* or be able to demonstrate equivalence of competencies; and

ii. be able to demonstrate vocational competencies at least to the level being assessed; and

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

Note:

If a person does not have all the assessment competencies as defined in (i) ,(ii) and (iii) then one or more persons with the combined expertise in (i), (ii) and (iii) may work together to conduct the assessment.

- On-going Professional Development

BEA support and mentor all staff members in their own professional development to enhance staff performance within each role. Where opportunities for internal or external training arise, BEA will make arrangements to ensure staff members have the opportunity to participate when practical. Staff will be given the opportunity to identify and partake in internal and external training, which would contribute to their own professional development.

Training and assessment staff must maintain a current resume / CV which is kept on record with BEA management. It is the responsibility of training and assessment staff to notify management of updates to their details, including but not limited to; changes in personal circumstances, achievement of new qualifications, industry contact and attendance at industry seminars or training.

Understanding how much and how often on-going professional development, in relation to industry currency, must be undertaken is described by two key principles:

1. Professional development and engagement with industry are intended to ensure the latest industry trends, ideas and systems are made available to students.

2. The frequency of professional development and industry engagement is based on the dynamics of the industry.

Trainers and assessors must also demonstrate on-going professional development in vocational education and training (VET) knowledge and skills. A number of opportunities including seminars, webinars and formal training are available to support this requirement.

It is the responsibility of the trainer / assessor to:
- Undertake professional development
- Advise when professional development is complete
- Provide evidence of professional development

Induction Procedure

Each successful applicant will under-go an induction procedure that will (at a minimum) explain the roles and responsibilities of working within the Vocational Education and Training sector. The induction should take place prior to commencement with BEA.

All new BEA WTA will be provided with Instructors Handbook and attend an induction program. The induction program is designed to ensure the staff members' skills and knowledge

are at an acceptable level, and previous skills and knowledge are refreshed and developed upon.

All staff will be monitored in regard to their performance in delivering and assessing vocational education and training.

The induction procedure will include an introduction to the:

- Roles and responsibilities of an RTO under the SNR
- RTO VET quality systems and operations
- Qualifications and courses provided by BEA
- Human resource requirements for the VET sector
- Professional development roles and responsibilities for staff
- Relevant policies and procedures of BEA relating to VET
- The relevant training package(s)
- Competency-based training and assessment
- Requirements for apprenticeships
- Access and equity policy and staff responsibilities in regard to access and equity
- A copy of the SNR
- A copy of the Australian Qualification Framework (AQF) 2013
- Access to VET sector industry publications

Performance Appraisal Policy

To ensure that all staff maintains a high level of qualification and performance, an annual performance appraisal will be conducted with each member of staff. This annual process will also highlight opportunities for further professional development. Professional development is individually negotiated with each staff member and RTO management.

The annual performance review will utilise the staff performance appraisal form, which requires staff to complete a self-review before their supervisor completes a review of the staff member's performance. A review meeting will then be held and outcomes agreed and signed off. WTA are also given the opportunity to give the organisation feedback via the Trainer Feedback Form.

WTA Evaluation Tool

Trainer Feedback Form

Human Resources Policy

BEA will ensure that all staff delivering and / or assessing training will meet the requirements of the relevant training package, qualification or accredited course prior to commencing delivery and / or assessment.

Human Resources Procedure

BEA management will ensure that the staff matrix for each qualification delivered is accurate and current, reflecting which members of staff are qualified to deliver and assess particular units of competency.

Maintenance of staff matrix accuracy and currency depends on each staff member fulfilling their responsibility to ensure their staff profile kept on file is up-to-date. This includes ensuring all statements about relevant industry experience are current and all copies of qualifications obtained are verified by a Justice of the Peace or a Commissioner of Declarations.

The staff profile must reflect the trainer / assessor's skills, knowledge and currency as they relate to the delivery and assessment of the training they provide, ensuring they meet the requirements as per Standard 4.4.

These requirements include:
- Training and assessment competency
- Training and assessment currency
- Vocational competency
- Vocational currency

The staff profile will be updated each twelve (12) month period and no longer than twelve (12) months after the last update, and before internal reviews and internal audits.

The applicant has a defined strategy and procedures in place to ensure that assessment, including Recognition of Prior Learning (RPL):
○ will meet the requirements of the relevant Training Package or VET accredited course

○ will be conducted in accordance with the principles of assessment and the rules of evidence Standards for Initial Registration (SNR): Comparison Table

○ will meet workplace and, where relevant, regulatory requirements and

○ is systematically validated.

BEA acknowledges the critical role that assessment plays in determining the competency of students. In this section the following assessment related policies are outlined:
- Assessment policy
- Recognition of prior learning policy
- Credit transfer policy

So that all WTA have a thorough knowledge of the principles that support the delivery of quality assessment services to students, an outline of the principles of assessment and the rules of evidence

have been included in this document. The development process for all assessment will apply and satisfy these principles.

10.1   Assessment Policy

BEA will provide training services to students on a 'fee for service' basis.

In developing the assessment (including RPL) for each qualification and unit of competence, the CEO will ensure:

- Compliance with the assessment guidelines from the relevant training package, qualification and unit of competence of accredited course
- Assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
- Assessment complies with the principles of competency-based assessment and informs the student of the purpose and context of the assessment
- The rules of evidence guide the collection of evidence to support the principles of validity and reliability
- The application of knowledge and skills is relevant to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment
- Timely and appropriate feedback is given to students
- Assessment complies with the RTO's access and equity policy
- All students have access to re-assessment on appeal

10.2   Recognition of Prior Learning Policy

The recognition of prior learning (RPL) process will be offered to and explained to all relevant students. All students will have access to the BEA RPL policy, which is contained in the BEA Student Handbook and is available on request or for download from.

BEA appreciates the value of workplace and industry experience and recognises that students will acquire vocational skills and knowledge from a variety of sources other than formal training. These skills are legitimate irrespective of how they were acquired and the RPL process is designed to provide validation of such relevant skills.

Students who believe they have already obtained current skills and knowledge that would otherwise be covered in the qualification / unit of competence for which they intend to attain, should apply for RPL at the time of enrolment. The student's skills and knowledge will be assessed and validated, and where appropriate, units of competency acknowledged and face-to-face training reduced.

As part of the BEA enrolment policy, trainers will advise students of the availability of RPL policy, explain what the process involves and how it relates to the attainment of the qualification in some circumstances. Trainers will remind students of this option progressively throughout their time in training, in order to provide multiple opportunities for students to engage in the RPL process.

When approached by a student seeking RPL, trainers will:

- Provide the student with copies of an RPL application form
- Provide the student with information about the types of evidence that can be used to support an RPL application
- Assess the student's information and notify students of the outcome of the RPL process

Recognition of prior learning fee policy

The student will be charged 50% of the set scheduled course fee for White card courses. For Bricklaying courses, the State Training Service will stipulate the fee. All fees include the initial application, consultation either in person or via phone with the suitably qualified assessor, the RPL assessment and (if successful) certification.

Where the student is not able to achieve the full qualification through RPL and gap training is required, a training plan and costing structure will be mutually agreed upon. The basis of the cost structure will be pro-rata on a unit by unit basis based on the scheduled course fee.

Student Feedback Form

Application for Recognition of Prior Learning

Recognition of Prior Learning Portfolio of Evidence   **Recognition**

of Prior Learning Summary

10.3 Credit Transfer Policy

Credit transfer refers to the transferral of academic credit obtained by students through participation in courses or national training package qualifications with other RTOs, towards a qualification offered by BEA. Credit transfer is granted on the basis that the credit validates the student's competency within the relevant qualification / unit of competence. Credit transfer of a qualification / unit of competence is available to all students enrolling in any training program offered by BEA.

Quality Training and Assessment Principles

Throughout the policy and procedures of BEA and in particular within standard 4, the Principles of Assessment and the Rules of Evidence will be applied.

Principles of Assessment

To ensure quality outcomes, assessment should be:
- Fair
- Flexible

- •   Valid
- •   Reliable
- •   Sufficient   **Fair**

Fairness in assessment requires consideration of the individual student's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the student to ensure that the student is fully informed about, understands and is able to participate in the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be re-assessed if necessary.

Flexible

To be flexible, assessment should reflect the student's needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the student; and support continuous competency development.

Valid

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- • Assessment against the units of competency must cover the broad range of skills
- • Knowledge which is essential to competent performance
- • Assessment of knowledge and skills must be integrated with their practical application
- • Judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency

Reliable

Reliability refers to the degree to which evidence presented for assessment is consistently interpreted and results in consistent assessment outcomes. Reliability requires the assessor to have the essential competencies in assessment and relevant vocational competencies (or to assess in conjunction with someone who has the vocational competencies). It can only be achieved when assessors share a common interpretation of the assessment requirements of the unit(s) being assessed.

Sufficient

Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

Rules of Evidence

These are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is:

- Valid
- Sufficient
- Authentic
- Current

Valid

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- Assessment against the units of competency must cover the broad range of skills
- Knowledge which is essential to competent performance
- Assessment of knowledge and skills must be integrated with their practical application
- Judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency

Sufficient

Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

Authentic

To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the student's own work.

Current

In assessment, currency relates to the age of the evidence presented by a student to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.

CLIENT SERVICES

The applicant must have strategies in place to adhere to the principles of access and equity and to maximise outcomes for its clients, as follows:

BEA is committed to delivering high quality services that support students throughout their training and assessment. This commitment maintains a client-focused operation that produces the best

possible outcome for students. The following section outlines the policy and procedures of the RTO as they relate to and comply with each element of Standard 5.

The applicant has a strategy in place detailing how it will establish and meet the needs of clients.

Students who undertake training with BEA will receive every opportunity to successfully complete their chosen training program. The RTO demonstrates compliance to Standards by taking a systematic approach to establish and recognise the needs of each client. It is a requirement that all staff members do their utmost to meet the needs of students in accordance with company policy. Where a student's need is outside the scope or skill of the organisation they will be referred to an appropriate service or an alternate training organisation. This section details the access and equity policy of BEA and the associated support services.

Enrolment

The enrolment procedure commences when a student contacts BEA expressing interest in a training program(s). BEA staff will respond by dispatching by suitable means an enrolment form, student handbook, literature on the program(s) being considered and any other documentation which may be relevant.

Notification of Registration

As an additional support to enrolling students, BEA will send a Notification of Registration to the students prior to the commencement of training. Information includes the UNITS to be undertaken and student's log-in name to BEA's E-learning Moodle site.

Induction

On successful completion of the enrolment process, all students will under-go an induction program including:
•   Introduction to BEA training staff
•   Confirmation of the course being delivered
•   The training and assessment procedures including method, format and purpose of assessment
•   Qualifications to be issued

In summary, BEA will provide:
•   Training programs and services that promote inclusion and are free from discrimination
•   Support services, training, assessment and training materials to meet the needs of a variety of individual students

- Consideration of each individuals needs to provide the best opportunity for skill development and attainment of qualifications that can lead to further training or employment
- Opportunity for consultation between staff and students so that all aspects of individual circumstances can be taken into consideration when planning training programs
- Consideration of the views of students' community, government agencies and organisations, and industry when planning training programs
- Access to information and course materials in a readily available, easily understood format

If a student identifies with one or more of the following priority groups, they may be able to receive additional assistance:
- Aboriginal and / or Torres Strait Islander people
- Carers of people who are ill, aged or who have a disability
- People with a disability
- Women and girls who are returning to education and training
- Women and girls who are seeking training opportunities in non-traditional roles
- Young people aged 15 to 25
- Australian South Sea Islanders
- Parental job seekers
- People with English language, literacy and numeracy needs
- Mature aged workers who require up-skilling
- Long-term unemployed and disadvantaged jobseekers
- People from different cultural and ethnic backgrounds
- People who speak a language other than English

The applicant has a strategy in place for the implementation of continuous improvement of client services informed by the analysis of relevant data.

In order to deliver and maintain a high quality of client service, BEA utilises the data collection and analysis process outlined in the Quality and Continuous Improvement policy and procedure. This ensures that services are meeting the needs of student and that improvements to services are implemented where needed.

Refer to the Quality and Continuous Improvement section of this policy and procedures manual.

The applicant has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.

BEA delivers specialised training and assessment services. As such, it is vital that all students are informed of and understand the extent of the training course that they are enrolling in, as well as their rights and obligations as a student. To satisfy Standard 5.3 and ensure this information is clear and

readily available, the following section outlines policies that relate to the Students Handbook and the creation of, storage of and access to students training records.

The Students Handbook can be accessed by potential students on BEA's Moodle site

Student Information Policy

BEA will provide all relevant information and directions to each student prior to enrolment as part of student's induction. This will include details required to source the BEA's Student Handbook.

The BEA Student Handbook will include, but is not limited to:
- Introduction
- Purpose
- Scope
- Duties and Responsibilities
- Training Philosophy
- BEA Policies and Procedure
- Enrolments
- Legislation
- Work, Health and Safety
- Equity and diversity
- Child Protection
- Disabilities/learning difficulties
- Access and Equity Policy
- Discipline
- Grievances/Complaints
- Recognition of Qualification and Prior Learning
- Recognition Process • Appeals Procedure
- Assessment appeals
- Fees and Charges

Student Training Records Policy

Upon enrolment, student's details will be entered into the BEA's database system. This process initiates the establishment of the student's individual file, which is then used to record all future details pertaining to the client. BEA retains the file and management of the file will be in accordance with BEA's training records policy.

BEA is committed to maintaining the accuracy, integrity and currency of all student's files, as well as ensuring appropriate security of all records to uphold confidentiality and protect student's privacy.

BEA management will undertake a validation of the training records of approximately 5% of registered students and report the findings at the monthly management meeting. Annually an external source will undertake a validation of the training records of approximately 5% of registered students and report the findings at the monthly management meeting

When in paper format, student's work will be filed according to student' names. Individual student's records will be stored in a lockable steel filing cabinet in a locked secure office area. If the files are stored in a location where students or public access is possible, the cabinets should remain locked.

For ease of application and consistency, a similar filing process will be used for electronic files. The electronic records are stored utilising AVETMISS compliant software and are protected by password access.

Completed assessments
Each and every assessment submitted by every student will be retained for a minimum period of six (6) months.

At the expiration of six (6) months period, the student's assessments will be scanned and stored electronically for thirty (30) years.

Results of assessment records
Student's assessment results will be recorded electronically within the BEA's database system. This information may be used to provide annual competency completion reports and / or AVETMISS reports, as required.

- Sufficient information to re-issue the testamur, if required, will be retained

- Results of assessment will be retained for thirty (30) years

Security
Further security of records is ensured by complying with the storage requirements detailed in ASQA's general directive: Retention requirements for completed student assessment items dated 22 June 2012. This directive states; 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. BEA adds to this directive by protecting electronic files with up to date virus protection, firewall and spyware protection software. Electronic records are stored in Google Drive.

BEA's software and hard-copy systems will retain student's results for a period of not less than thirty (30) years. If requested, enrolment information, training and assessment information or results of assessment will be provided in electronic format wherever possible.

Paper-based records will be scanned and saved in Adobe PDF format. Paper records will be securely shredded every twelve (12) months in accordance with the BEAs CEO's directions.

A copy of each testamur issued is scanned and retained in Adobe PDF format. If requested, the testamur may be re-printed at any time within the thirty (30) period after issue. This method

ensures the original format, design, signature, date and units of competency are re-printed accurately and with a minimum of effort and expense.

The database system is used and data / files / records are converted and saved in Adobe PDF format. BEA has chosen Adobe PDF because research indicates this software will be able to be opened and read for up to thirty (30) years.

Ceasing operation

In the event that BEA ceases to operate, the BEA's records will be transferred to ASQA in the appropriate format and detail as specified by the Department at the time of ceasing BEA's operations.

All other records including training records, taxation records, business and commercial records will be retained for a period of at least seven (7) years.

BEA will ensure that any confidential information acquired by the business, individuals or committees or organisations' acting on behalf of BEA is securely stored.

Access to individual student training records will be limited to those required by the SNR, such as: • Trainers and assessors to access and update the records of the students whom they are working with
- Management staff as required to ensure the smooth and efficient operation of the business
    - Officers of ASQA or their representatives for activities required under the standards for registered training organisations

Or those required by law such as:
- People as are permitted by law to access these records (e.g. Subpoena, search warrants, social service benefits, evidence Act)
Or
- Students authorising releases of specific information to third parties in writing
- The students themselves, after making application in writing

Where identified in the learning and assessment strategy, the applicant has engaged or has a defined strategy in place to engage with employers or other parties who contribute to each learner's training and assessment on the development, delivery and monitoring of training and assessment.

To maximise the outcomes for students, BEA ensures that every opportunity to connect training and assessment with the workplace is utilised. Opportunities will be developed in consultation with the relevant workplace personnel and responsibilities clearly communicated to all involved. The RTO's

compliance is outlined in the following section which details the contribution employers make to their student's training and assessment.

Employer Contribution to Student's Training and Assessment

Students enrolled in an apprenticeship program will normally be working for an employer within the industry.

BEA will:

- Involve workplace personnel/employer in planning workplace programs, where they are relevant to the training and assessment program
- Ensure that the training and assessment program makes full use of opportunities at the workplace
- Monitor each student's progress and the support provided to them by workplace personnel
- Consult with workplace personnel/employer in the development of workplace training and assessment processes
- Inform workplace personnel/employer of their training and assessment roles and responsibilities, and accept these responsibilities, where relevant to the training and assessment program
- Monitor support provided to each student by workplace personnel
- Monitor the student's progress

Employers/supervisors will have access to BEA's E-learning Moodle site as to have a clear understanding of the requirements for the students training and assessment. This access will also allow the employers/supervisors the tools required to gather third party reports and give feedback to BEA on the student and the processes of BEA's training and assessment. Data from feedback forms will be collected and presented at the monthly management meetings as part of BEA's continuous improvement policies and procedures.

All BEA's WTA will have contact with each student's employers/supervisors on a regular basis (preferably fortnightly) by site visits, emails or phone calls. These contacts are designed to engage with the employers in the development, delivery and monitoring of training and assessment of the student/s. This access will allow BEA to data on the student and the processes of development, delivery and monitoring of training and assessment. From this data and consultation with the employer/supervisor the WTA can adjust the student's training/assessment program to 'best fit' the students learning environment. The Data will also be collected and presented at the monthly management meetings as part of BEA's continuous improvement policies and procedures.

Information from workplace personnel/employer is used to continuously improve training and assessment. A number of programs that engage employers or other parties who contribute to each learner's training, assessment and support services to meet their individual needs are available. Examples of programs, government initiatives and opportunities for employers to be engaged with training and assessment include, but are not limited to:

Accelerated Australian apprenticeships

Accelerated Australian apprenticeships and industry-lead partnerships to develop and implement innovative models that further the reach of competency-based progression in Australian apprenticeships in their sector.

The Australian Apprenticeships Incentives Program provides a number of incentives to assist employers who take on an Australian Apprentice, particularly where the Australian Apprenticeship is in a trade experiencing a skills shortage.

Australian government funding is available in the form of one-off grants to Industry Skills Councils (ISCs), peak industry bodies or other organisations, as agreed by the Department of Industry, Innovation, Science, Research and Tertiary Education, to lead projects under this initiative, working in partnership with employers, registered training organisations (RTOs) and other stakeholders.

Further information including program guidelines and an application form is available at
www.australianapprenticeships.gov.au/AAA/Home.asp

Australian Brick and Blocklaying Training Foundation ABBTF

•Currently the Federal Government is offering $5,000 in support to employers of new apprentices.
•On top of that, ABBTF is providing an additional $3,000 Brickstart Subsidy - specifically for employers of bricklaying apprentices.

In addition, ABBTF provides the employer with a $2,000 Support for Adult Apprentices when employing a 21-24-year-old apprentice.

What's more, if you choose to employ a bricklaying apprentice through a registered GTO, you will still qualify for ABBTF's Brickstart Subsidy. Additional incentives could also be available depending on your State!

Further information including program guidelines and an application form is available at
http://www.abbtf.com.au/

User Choice
The User Choice program provides public funding for the delivery of accredited, entry level training to apprentices and trainees.

The program works in conjunction with the Commonwealth Australian Apprenticeships System, under which apprentices and trainees (also known in some jurisdictions as "Australian Apprentices") enter into legally binding training contracts with their employers and receive structured training to achieve a nationally recognised qualification.

The applicant has a defined process and mechanism in place to ensure learners receive training, assessment and support services that meet their individual needs.

Students that undertake training with BEA receive every opportunity to successfully complete their chosen training program. BEA demonstrates compliance by taking a client focused approach to training and assessment that ensures individual needs are recognised. It is a requirement that all staff members do their utmost to meet the needs of students in accordance with company policy. Where a student's need is outside the scope or skill of the organisation, they will be referred to an appropriate service or an alternate training organisation. This section details the access and equity policy of BEA and the associated support services.

Access and Equity Policy

BEA is committed to practicing fairness and equal opportunity for all students, regardless of sex, race, impairment or any other perceived difference in class or category. BEA will address access and equity matters as a nominated part of operational duties.

Access and Equity Procedure

BEA has developed policies and procedures to guide and inform all staff and students in their obligations regarding access and equity. Upon induction into BEA, all staff are provided with copies of the policies which they must adhere to throughout all their operations as a BEA staff member. Students are made aware of the access and equity policy via the BEA Student Handbook, and informed of their rights to receive access and equity support and to request further information.

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

If any student or staff member has issues or questions regarding access and equity, or believes they have been treated unfairly, they will be directed to BEA's management for consultation.

Enrolment

The enrolment procedure commences when a student contacts BEA expressing interested in a training program(s). BEA staff will respond by dispatching by suitable means an enrolment form, Student Handbook, literature on the program(s) being considered and any other documentation which may be relevant.

Students will be informed of successful enrolment and sent information on the course and their course induction.

Induction

On successful completion of the enrolment process, all students will under-go an induction program including:
•   Introduction to BEA training staff
•   Confirmation of the course being delivered

- The training and assessment procedures including method, format and purpose of assessment
- Qualifications to be issued
- Complete two online indicator tools. These tools will indicate students Learning Style and LLN ability

Language, Literacy and Numeracy (LLN) Assistance

BEA course information and learning materials contain written documentation and limited numerical calculations.

BEA recognises that not all students will have the same level of ability in relation to reading, writing and performing calculations.

BEA will endeavour to provide assistance to students having difficulty with language, literacy or numeracy to accommodate their needs. In the event that a student's needs exceed the ability of BEA staff to assist, the student will be referred to an external support agency so they have the opportunity to obtain the skills required to complete the training program.

Student Support, Welfare and Guidance

BEA will assist all students in their efforts to complete training programs by all methods available and reasonable.

BEA recognises that all students have prefers learning styles and techniques. To help assist BEA in training each student will be asked to complete an online learning style evaluation. This will allow Workplace Trainers/Assessors to focus on that students learning style when being training.

Workplace Trainers/Assessors are responsible for ensuring that all students are aware they can contact their Workplace Trainers/Assessors or other BEA staff members in the event that they are experiencing difficulties with any aspect of their studies. Staff will ensure students have access to the full resources of BEA to assist them in achieving the required level of competency in all nationally recognised qualifications.

In the event that a student is experiencing personal difficulties, training staff will encourage the student to contact BEA who will provide discreet, personalised and confidential assistance as according to the nature of the difficulties.

In the event that a student's needs exceed the capacity of the support services BEA can offer, they will be referred to an appropriate external agency. Extensive information regarding support agencies, resources and services may be sourced online. BEA staff members will assist students to source appropriate support.

Flexible Delivery and Assessment Procedures

The staff and management of BEA respect these differences among students and will endeavour to make any necessary adjustments to their methods in order to meet the needs of a variety of students. For example, the inability to complete a written assessment will not be interpreted as a sign of incompetence, provided the student can verbally demonstrate competency.

Acceptable adjustments to teaching and assessment methods may include but are not limited to; having a trainer read assessment materials to students, having a student's spoken responses to assessment questions recorded.

BEA staff will pursue any reasonable means within their ability to assist students in achieving the required competency standards. In the event that a student's needs exceed the capacity of the support services BEA can offer, they will be referred to an appropriate external agency.

Student's Rights:

Have access to this document before enrolment, via BEA's E-Learning Moodle site, Email or on request in a hard format.

You have a right to receive the services for which you have paid for; which BEA has an obligation to provide.

Students have the right to expect that the assessment requirements in their courses will be linked to the objectives for that course, and these objectives should be clearly laid down at the beginning of each Assessment Task.

Be provided a safe and healthy work environment which encourages learning.

Students have the right to know in advance the nature and extent of the assessment, the marking criteria for each assessment. The assessment criteria can be found on all Assessment Tasks Guides on BEA's E-learning Moodle

Be treated with respect, which prohibits any aggressive behaviour and unwanted interference in the private life of any individual.

Students have a right to know who assessed their work in order to facilitate questions or comments that they may have. All assessment will be carried out by your allocated Workplace Trainer/Assessor.

You have the right to access your own records and approach your trainer.

Students have a right to receive adequate feedback on their work which relates to the assessment criteria mentioned above. All students will receive verbal and/or written feedback on all Assessment Tasks from their WTA

Students have the right to appeal a mark. There are certain steps you can take if you believe that you have a case for your result to be reviewed. The appeals process is laid out in the Assessment Appeals Process transcribed in the Students Handbook.

You have a right to expect that the requirements that we make of you are clear, concise and easily understood, we have an obligation to maintain these requirements as clear instructions and also to ensure that they are relevant to the requirements of the qualification being undertaken.

Students have the right to be assessed free from harassment of any kind from other students or staff. BEA has a discrimination and harassment policy, and students should direct any such concerns to the appropriate place. Information about this policy can be located in the Students Handbook.

Student's Obligations:

Provide their own original work when required.

Students are expected to familiarise themselves with all the relevant policies and procedures within the Students Handbook.

You have an obligation to provide feedback on our assessment and on the Client Services BEA have provided.

Students are expected to prepare for and participate in tutorials and workshops. Competence in verbal communications is seen as a key skill of the curriculum and is a core skill of practice.

When undertaking group work, students are expected to treat their student colleagues and any facilitators with the same courtesy they would expect in return.

Applicants should notify the BEA / WTA of any disabilities / learning difficulties prior to the commencement of training.

Have access to the internet to complete on-line theory assessments.

Discipline

BEA make every effort to practice co-operation and mutual respect in all internal and external dealings to uphold high quality, professional training and assessment services. The same disciplined behaviour is expected of students as a contribution to a functional learning environment, and as a sign of respect to staff and fellow students.

Any Workplace Trainers/Assessors or staff members who is dissatisfied with the behaviour or performance of a student has the authority to:
• Warn the student that their behaviour is unsuitable, or
• Ask a student to leave the class, without refund or acceptance into another course, or
• Immediately cancel the class.

If a student wishes to object or lodge an appeal against the disciplinary action taken, they have the right and opportunity to follow the BEA complaint procedure.

BEA staff are expected to maintain a professional and ethical working relationship with all other staff members, management and students. Breaches of the disciplinary standards will result in discussion between the relevant staff member and BEA, and appropriate action will be taken.

In summary, BEA will provide:
• Training programs and services that promote inclusion and are free from discrimination

- Support services, training, assessment and training materials to meet the needs of a variety of individual students
- Consideration of each individuals needs to provide the best opportunity for skill development and attainment of qualifications that can lead to further training or employment
- Opportunity for consultation between staff and students so that all aspects of individual circumstances can be taken into consideration when planning training programs
- Consideration of the views of students' community, government agencies and organisations, and industry when planning training programs
- Access to information and course materials in a readily available, easily understood format

If a student identifies with one or more of the following priority groups, they may be able to receive additional assistance:
- Aboriginal and / or Torres Strait Islander people
- Carers of people who are ill, aged or who have a disability
- People with a disability
- Women and girls who are returning to education and training
- Women and girls who are seeking training opportunities in non-traditional roles
- Young people aged 15 to 25
- Australian South Sea Islanders
- Parental job seekers
- People with English language, literacy and numeracy needs
- Mature aged workers who require up-skilling
- Long-term unemployed and disadvantaged jobseekers
- People from different cultural and ethnic backgrounds
- People who speak a language other than English

Harassment and Discrimination Policy

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all BEA staff and students are treated fairly and have the opportunity to feel safe, valued and respected. For more details, see Equal Employment Opportunity, Anti-Discrimination & Non-Harassment Policy in this document.

The applicant has a defined process and mechanism in place to ensure learners have timely access to current and accurate records of their participation.

To address these requirements, BEA has implemented a record management system that ensures that all students have access to accurate information regarding their learning in a timely fashion. To ensure this, employees are informed of their responsibilities for record-keeping and the process is monitored through the continuous improvement process and improved where necessary. This section outlines the data management policies and procedures that support this records management system.

Accuracy of Records

BEA trainers and assessors will maintain accurate and current records of each student's progress and achievement of competencies in the area of their study. These records will be entered on the BEA database system during training and assessment or immediately at the completion of training and assessment.

As students complete each competency, the trainer or assessor will check the achievements against the relevant qualification packaging rules and sign off successfully completed competencies. All details of full or partially completed competencies will be recorded and stored on the students' file.

Upon completion of all relevant competencies within a qualification, the student will be entitled to receive the full qualification. The certificate and academic record and / or statement of attainment will be produced and signed by BEA CEO, and presented to the student.

A scanned electronic copy of all signed qualifications issued will be secured in the student's file.

Students Access to Records

Students have the right to request information about or have access to their own individual records. BEA Workplace Trainers/Assessors will provide the requested information or access. Students also have the right to request a hard-copy of their own individual file which can be supplied as a print-out from records retained within the data management system.

Privacy

BEA considers student's privacy to be of upmost importance and will practice a high standard of care and concern in regards to maintaining student privacy in all aspects of business operations. BEA will comply with all legislative requirements including the Privacy Act 1988 (Commonwealth) and National Privacy Principles (2001). *www.privacy.gov.au*

In some circumstances, BEA may be required by law or in adherence with the SNR to make student details available to other parties. In all other circumstances, BEA will ensure that written permission is obtained from the student before releasing any details.

Privacy Principles

Collection
BEA will only collect necessary information pertaining to one or more specific operations. The student will be informed as to the purpose for which details are being collected.

Use and disclosure
BEA will ensure student personal information is not used or disclosed for secondary purposes without obtaining explicit consent from the student, unless a prescribed exception applies.

Data quality

BEA will take all reasonable measures to ensure that all student personal information that is collected, used or disclosed is accurate, current and complete.

Data security

BEA will take all reasonable measures to ensure all collected student personal information is protected from misuse, loss or damage, and that all data and record storage is secure from unauthorised access, modification or disclosure.

Openness

BEA will maintain documentation which detail how student personal information is collected, managed and used. When a student makes an enquiry in relation to information collected, BEA will explain what information is held, for what purpose it is held, and what procedures outline the collection and use of information.

Access and correction

BEA will allow student access to personal information held in all circumstances unless prescribed exceptions apply. If the student identifies errors within the information, BEA will correct and update to file.

Unique identifiers

BEA will not assign students unique identifiers except when it is necessary for efficiency of operations. Commonwealth Government identifiers, such as Medicare numbers or Tax File Numbers, will only be used for the purposes of which they were issued.

Anonymity

BEA will provide students the opportunity to interact with the business without requiring the student to make their identity known in any circumstances it is practical and possible to do so.

Trans-border data flows

BEA privacy protection principles apply to the transfer of data throughout Australia.

Sensitive information

BEA will request specific consent from a student in circumstances where it is necessary to collect sensitive information. Sensitive information may include, but is not limited to; information relating to a student's health, criminal record, racial or ethnic background.

The applicant has a defined complaints and appeals process that will ensure learners' complaints and appeals are addressed effectively and efficiently.

BEA strives to ensure that each student is satisfied with his or her learning experience and outcome. In the unlikely event that this is not the case, all students have access to rigorous, fair and timely complaint and appeal processes which are outlined in this section of the policy and procedures document. Any complaints or appeals will be reviewed as part of the continuous improvement process and where corrective action has been highlighted, it will be implemented as a priority.

Complaints

A complaints procedure is available to all persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of BEA. The complaints procedure will address both formal and informal complaints. All formal complaints will be submitted in writing to BEA management, and will be heard and addressed within fifteen (15) working days of receipt.

BEA management will maintain a complaints register to document the course of action and resolution of all formal complaints. All complaints substantiated by the complaints procedure will be reviewed as part of the BEA continuous improvement procedure.

It is the responsibility of BEA management to ensure adherence to the complaint procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting students with the complaints procedure.

If the student is still not satisfied with the resolution of the complaint after following and exhausting the complaints procedure, the student may contact ASQA.

http://www.asqa.gov.au/complaints/making-a-complaint.html

Appeals

The BEA appeals process is concerned with a student's right to request change to decisions or processes of an official nature, usually in relation to academic or procedural matters.

In the case of a student's appeal against specific assessment decisions, the student should first discuss the decision(s) with the relevant Workplace Trainer/Assessor and request re-evaluation. The Workplace Trainer/Assessor will hear the student's appeal, make fair judgement to the best of their ability as to whether change(s) are required and then discuss their final decision with the student.

If the student is still dissatisfied with the Workplace Trainer/Assessor's decision, they have the right to take the appeal to the BEA management team.

It is the responsibility of BEA management to ensure adherence to the appeal procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting students with the appeal procedure and supply of appeal forms.

Grievance/Complaint or Appeal Form

All appeals will be reviewed at the monthly management meeting and, if appropriate, result in a continuous improvements process.

If the student is still not satisfied with the resolution of the complaint after following and exhausting the appeals procedure, the student may contact ASQA and lodge a written complaint.

Complaints / Appeals Procedure

All persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of BEA have access to the following procedure:

Informal complaint / appeal:
- An initial complaint or appeal will involve the student communicating directly with BEA verbally or by other appropriate means. BEA will make a decision, discuss their judgement with the student and record the outcome of the complaint or appeal
- Students dissatisfied with the outcome of BEA's decision may initiate the formal complaint procedure

Formal complaint / appeal:
- It is normal procedure that all formal complaints proceed only after the initial informal complaint or appeal procedure has been finalised
- The formal complaint or appeal is to be submitted in writing, and the procedure and outcome recorded by BEA management
- On receipt of a formal complaint, the BEA's CEO will convene the management committee to hear the complaint
- The management committee will consist of a panel of members with no previous involvement or vested interest in the outcome of the particular complaint or appeal. Members of the committee should include:
-
    - A representative of BEA management o A BEA staff member
    - A person independent of BEA

- The complainant / appellant shall be given an opportunity to present the case to the committee and may be accompanied by one other person as support or as representation
- Staff member(s) involved shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
- The committee will reach a decision on the complaint or appeal after consideration of each case presented
- The committee will inform all parties involved of the outcome in writing within five (5) working days of making the decision

All complaints and appeals will be reviewed at BEA monthly management meetings. Continuous improvement procedures may be actioned when the complaint procedure results in identification of factors appropriate for improvement to internal operations. When the initial causative factor of the complaint identifies a problem with current BEA policies and / or procedures, the continuous improvement procedure will ensure changes are made to prevent reoccurrence of the problem.

Where BEA considers more than 60 calendar days are required to process and finalise the complaint or appeal, BEA will:

- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- regularly updates the complainant or appellant on the progress of the matter.

The applicant must have in place management systems that will be responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO will operate, as follows:

In order to maintain optimal training outcomes for students and their employers, BEA operates high quality management systems that meet the needs of all who are involved in the operation.

Through rigorous analysis, the management of BEA have ensured that all management systems are appropriate for the organisation, that they are documented and that they are responsive to the needs of staff and students.

The following section outlines the policies and procedures of the RTO as they relate to and comply with each element.

The applicant has a strategy in place detailing how the management of its operations will ensure clients receive the services detailed in their agreement with the applicant.

Contractual agreement

Students who enrol in a training program with BEA should be aware that they are entering into a contractual agreement. With a view to ensuring all student are fully aware of their rights and obligations, BEA will design agreements, enrolment forms, service agreements or similar using a logical format and simple English. This may include, but is not limited to:
- Wording that allows the perspective students to know what he / she is agreeing to
- Clearly explained disclaimers
- No misleading or deceptive behaviour
- No actions, omissions or dialogue (written or verbal) that may force or coerce the student
- Fair dealings for disadvantaged students

The contractual agreement consists of the Enrolment Form and the Training Proposal and Plan.

Consumer protection

Australian Competition and Consumer Commission (ACCC)

The Australian Competition and Consumer Commission is an independent Australian Government statutory authority. It was formed in 1995 to administer the Trade Practices Act 1974 and the Prices Surveillance Act 1983. The ACCC promotes competition and fair trade in the market place to benefit consumers, business and the community. It also regulates national infrastructure services. Its primary responsibility is to ensure that individuals and businesses comply with the Commonwealth competition, fair-trading and consumer protection laws. In fair-trading and consumer protection, its

role compliments that of the state and territory consumer affairs agencies which administer the mirror legislation of their jurisdictions, and the Competition and Consumer Policy Division of the Commonwealth Treasury.

www.accc.gov

On 1 January 2011, the Australian Consumer Law commenced and the Trade Practices Act 1974 was renamed the Competition and Consumer Act 2010.

The Australian Consumer Law provides for:
• National consumer protection and fair trading laws
• Enhanced enforcement powers and redress mechanisms
• A national unfair contract terms law
• A new national product safety regime and
• A new national consumer guarantees law

For more information, refer to:
www.treasury.gov.au/Policy-Topics/Consumer and www.consumerlaw.gov.au

The applicant has a defined strategy for the implementation of a systematic continuous improvement approach to the management of operations.

All management systems are subject to the continuous improvement process of the organisation. This approach ensures that all systems continue to be appropriate and support the operational goals and requirements of the business.

Refer to the Quality and Continuous Improvement policy and procedure of this manual.

Where applicable, the applicant has a defined process and mechanism to monitor training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Where BEA enters into a partnership with another training organisation to provide training and / or assessment services on its behalf, the policies and procedures outlined below will be implemented to ensure that all the requirements are met.

Where such a partnership is implemented, BEA will ensure that the essential standards of registration are met and a high quality of client satisfaction is maintained through systematic documentation and monitoring of third party activities.

Partnerships Policy

It is the business policy and practice of BEA to refrain from entering into or planning partnerships with other organisations. In some instances, it may be appropriate for BEA to engage in an agreement (that constitutes a partnership with another organisation for the purposes of VET assessment, training and / or certification services), in which case a written agreement will be

drafted in co-operation with the other organisation, and a copy forwarded to and filed by both parties. BEA will maintain a register of partnerships to document details of all such agreements.

Partnership Procedure

Written agreements with other organisations will include the following:

• The name and address of both organisations
• The name of the CEO / Managing Director / authorised person of both organisations
• Signatures of the CEO / Managing Director / authorised persons of both organisations
• Dates for the period of the agreement
• The name and contact details of the primary contact at the other organisation
• The program offered, including the relevant training package, qualification or accredited course, including code and the units of competency or modules, including the code and title
• A list of services offered by the other organisation, e.g. Training and / or assessment
• A statement outlining the level of service offered e.g. 'BEA as the supervising registered training organisation (SRTO) will provide all training and assessment staff'
• A statement acknowledging that BEA is always responsible for training, assessment and certificates issued in its name
• A verified copy of the BEA's Certificate of Registration and Scope Certificate
• Fees related to the agreement

The CEO and / or the RTO Manager will enter the details of the agreement on the register of partnerships (if and when this is applicable) and ensure the other organisation has a copy of the agreement and understands its responsibilities.

(BEA has no intentions of creating or entering into a partnership with another training organisation to provide training and / or assessment services on its behalf until BEA has established a firm foothold in the intended market. BEA estimates this will take two years.)

The applicant has a defined strategy and process to manage records to ensure their accuracy and integrity.

It is an essential part of the operations of BEA to ensure that operational data is collected as per the policy and procedures outlined in this document. This data is collected and stored in accordance with the record management policies. These policies ensure that timely and accurate records inform the continuous improvement processes of the organisation. In addition, these records management policies ensure that all documentation that provides evidence of compliance to the essential standards of registration is accurately maintained.

BEA is committed to maintaining the accuracy, integrity and currency of all student files and data entry, as well as ensuring appropriate security of all records to uphold confidentiality and protect student privacy. BEA management will undertake a validation of the training records and data entry of approximately 5% of registered students and report the findings at the monthly management meeting. Annually an external source will undertake a validation of the training records and data entry of approximately 5% of registered students and report the findings at the monthly management meeting.

The applicant has adequate governance arrangements, as follows:

The applicant must demonstrate to the National VET Regulator;

a)   What its intended objectives as an RTO are;

b)   That it has undertaken business planning, and

c)   The continuing viability, including financial viability, of its proposed operations.

Governance

BEA is responsible for ensuring that all business operations comply with the standards. The CEO will take the following actions as part of his or her duty to realise compliance at all levels of operation:

- Delegating responsibility for daily operations as appropriate for the size and scope of the business. Managerial roles may be appointed, if not already, to govern specific sections of business operations, i.e. RTO manager or Administrative manager
- Organising regular meetings with and encouraging opportunities for contribution from BEA stakeholders, including but not limited to; trainers, administration officer, consultants, industry representatives and employers
- Being available to sign documentation and report data as required

The BEA CEO and / or RTO manager is responsible for and has authority over maintenance of the quality training and assessment system. Responsibilities within this role will include:

- Supervise and manage operations, ensuring compliance with standards relevant to maintenance of RTO status
- Liaise with relevant authorities concerning all aspects of RTO status maintenance, including but not limited to; DEEWR, Office of Fair Trading, Justice Department, and State or Territory Police Service
- Keep all BEA stakeholders informed of all matters relating to RTO status via monthly management meetings
- Supervise and manage the continuous improvement process, including internal audit and review procedures
- Develop the BEA business plan and monitor operations to ensure consistency
- Conduct a full risk assessment annually, if not more frequently
- The continuing viability, including financial viability, of its proposed operations.

The applicant must also demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.

Organisational Chart and Duty Statements

BEA's organisational chart and position descriptions for all staff involved in its operation as an RTO show the relevant lines of authority.

Organisational Chart
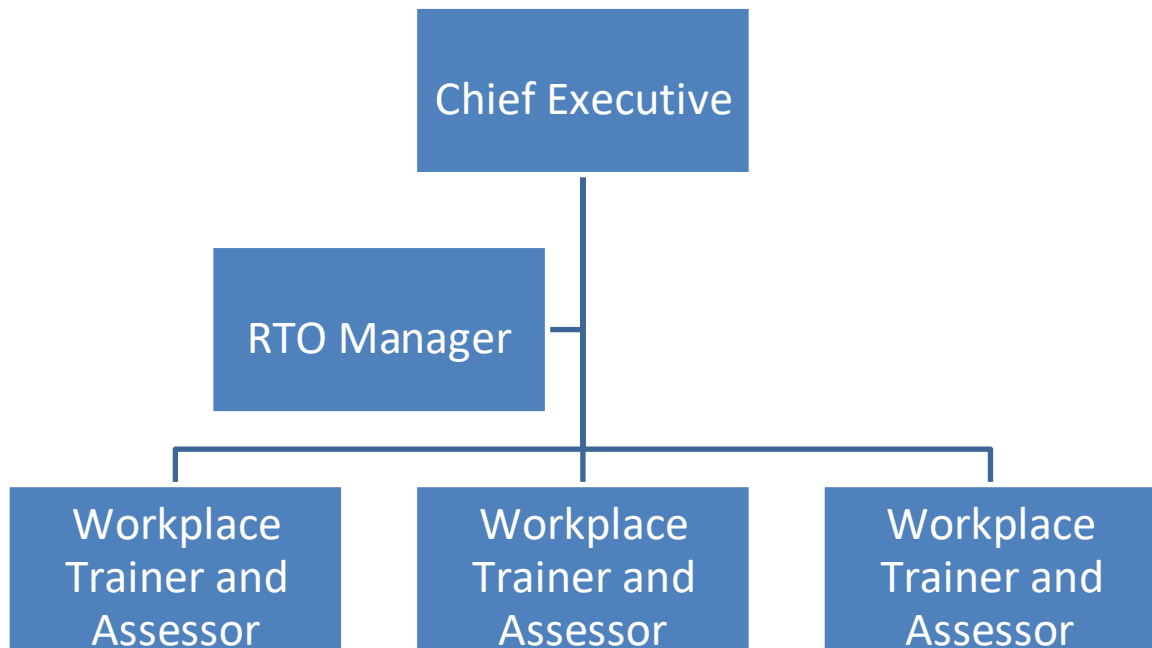
Figure 2 Training and Assessment Organisation

The CEO will take the following actions as part of their duty to realise compliance at all levels of operation in regards to being informed by the experiences of its trainers and assessors. This will be achieved by organising regular meetings with and encouraging opportunities for contribution from BEA stakeholders, including but not limited to; trainers, administration officer, consultants, industry representatives and employers

WTA will complete WORKPLACE TRAINER & ASSESSOR FEEDBACK FORM on each unit completed by student/s. The data will be compiled by BEA management and presented at monthly management meetings as part of BEA's ongoing process of continuous improvement policies and procedures.

The applicant's Chief Executive Officer must identify how he or she will ensure that it will comply with the VET Quality Framework and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the applicant's intended scope of operation.

Internal Audit Policy

The purpose of this policy is to establish and maintain the RTO's system for implementing the quality management system aligned with the standards. The audit results should provide a positive and controlled means of identifying issues, non-compliances and opportunities for improvement to management, as well as being a platform for initiating appropriate action. Co-ordinated by the compliance and/or RTO manager, internal audits are a series of fluid processes that focus on different aspects of the RTO's operations and collate the findings from collected data.

Examples of sources of information to assist with the audit process and continuous improvement include:

- Feedback from students

- Feedback for stakeholders such as employers
- Quality indicator data (As listed on ASQA website)
- Conclusions arising from assessment validation
- Results of external audits
- Organisation self-assessment outcomes
- Records of complaints and appeals, and their resolution
- End of program evaluation

The internal audit schedule provides a guide and timeline to all stakeholders. The forum for the collated data, recommendations and identified opportunities for improvement to be communicated to RTO staff in the management meetings.

Management Meetings

The regular and on-going collection of feedback data from stakeholders and students is collated, reviewed and actioned during these meetings. Business arising from the internal audit is included as a regular agenda item at monthly management meetings. The management team, trainers and assessors utilise this data to develop and implement continuous improvement strategies. Possible actions may include, but are not limited to improved training services, enhanced client services and more efficient business operations. Collection, analysis and action of feedback is co-ordinated by the compliance and/or RTO manager.

Each aspect of the BEA operations will be reviewed at least once each year via the internal audit process.

Internal Audit Procedure

The data collected will confirm good practice and highlight aspects of training and assessment that need to be improved. BEA's RTO manager will explore with learners, trainers, assessors and employers what improvements need to be made and what actions might be taken. The RTO plans and makes improvements in response to the lessons learnt from this analysis.

Internal audit activities include but are not limited to:
- Examining documents and systems such as policies and procedures, student handbooks, relevant components of business plans, trainer / assessor qualifications
- Examining records of actual training conducted
- Examining samples of student files
- Analysing resources for delivery and assessment required by the relevant training package or course, including assessment tools
- Questioning the stakeholder to further explore evidence
- Interviewing with management, trainers, students, employers, stakeholders
- Observing processes such as assessment and learning activities
- Looking at facilities and observing training and assessment activities

Other, more strategic audit mechanisms include, but are not limited to:

- Comparing data collection methods with high achieving RTOs
- Conducting a SWOT analysis with a range of stakeholders

- Identifying measurable objectives in relation to training and assessment and monitoring these objectives in relation to specific qualifications

BEA management will review internal audit reports, initiate the implementation of the identified issues and any opportunities for improvement. Entries are made in the relevant continuous improvement register and relevant policies and procedures are modified.

Independent Audit

As well as the scheduled internal audit process (where practical) the RTO may appoint an independent auditor to conduct an audit of all the RTO's operations. BEA's CEO is responsible for ensuring the audit conducted by the independent auditor is planned and that the identified opportunities for improvement are actioned. (As the organisation expands this role may be delegated to the RTO manager).

Steering Committee (SC)

One of the intent of a Steering Committee (SC) is to manage and address issues that relate to different qualification and vocational areas separately. Senior team members and / or managers of BEA will be invited to join the SC. Their relevant expertise and industry knowledge is an indispensable contribution when providing balanced, clear views and advice to:

- Trainers and assessors from the appropriate SC
- Employers / clients who have business with the stakeholders in the SC area
- Relevant industry sector representatives

It is the role of the SC to:

- Compare and evaluate the assessment processes
- Compare and evaluate assessment tools and assessment data for the relevant qualification in each SC
- Develop and evaluate strategies that may lead to improved training services; enhanced client services and more efficient business operations

Examples of how improvements to training and assessment could be demonstrated include but are not limited to:

- Changes to training and assessment resources and processes, including adaptations made for specific groups of learners or students for assessment
- Re-development or review of strategies for training and assessment
- Changed processes for the validation and moderation of assessment
- Professional development of staff
- Higher levels of client satisfaction with training and assessment

The SC is also responsible for implementing an accurate transition from expiring training packages and / or accredited courses to new or revised training packages and / or accredited courses, ensuring accordance with ASQA's transition requirements. Recommendations to the management team and CEO will be made in writing and will include a schedule or timeline for their implementation.

The internal review process does not involve assessment moderation. The information collected from assessment moderation is to be utilised during the internal review process.

Fit and Proper Person

Each member of senior management and any people who are in a position to influence the direction of BEA agree to abide by the standards expected of a 'fit and proper person'. This may include an evaluation by the registering body of the individual characteristics and / or past behaviour standards of individuals who are in a position to influence the management of an RTO.

A test to evaluate who may be considered to be a 'fit and proper person may include, but is not limited to:

- Past criminal convictions
- Any record of registration cancellations or conditions on registration
- A history of personal bankruptcy or insolvency
- Disqualifications under the Corporations Act 2001
- Other relevant matters

Failure to meet the requirements may impact on the suitability of the individual to contribute to the delivery of education and training.

All components of the initial application form, particularly in relation to directors and associated persons, will be completed accurately.

Interactions with the National VET Regulator

The RTO's initial registration application must be accompanied by a self-assessment report of the applicant's compliance with the VET Quality Framework.

The applicant's Chief Executive must identify how it will ensure that the applicant will co-operate with the National VET Regulator:

- in the conduct of audits and the monitoring of its operations;
- by providing accurate and timely data relevant to measures of its performance;
- by providing information about significant changes to its operations;
- by providing information's about significant changes to its ownership; and
- in the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements.

Interactions with the Registering Body

Communications with the registering body are managed by the RTO Chief Executive Officer and the RTO Manager (when applicable).

BEA has agreed to the contractual agreement, which has been signed by the CEO. The RTO will co-operate with ASQA in:

- The conduct of audits by ASQA
- Providing accurate and timely data for compilation of the Quality Indicators for the RTO
- Providing data about significant changes to the RTO including the loss of key trainers in particular Skills Groups

- Providing data about significant changes to the RTO including change of ownership of the RTO

Retention, retrieval, transfer and archiving of records pertinent to its RTO function The
provision, upon request of statement(s) demonstrating the RTO's:

- Financial viability and / or
- Financial projections and / or
- Financial statements and / or
- A business plan on request of the registering body

Financial Management Policy

Business financial viability

BEA will have all accounts certified by a qualified CPA accountant to Australian Accounting Standards on an
annual basis. Upon ASQA's request, BEA will provide the certificate of accounts for review.

If deemed necessary by the registering body, BEA will present a full audit report of the financial accounts
as provided by a qualified and independent CPA accountant.

Business activity statement

Business Activity Statements (BAS) will be lodged according to the policy and procedures of the Australian
Taxation Office (ATO) submissions and company policy.

Taxation returns

Taxation returns will be lodged according to the policy and procedures of the Australian Taxation Office
(ATO) submissions and company policy.

GST

As the courses BEA offer are **nationally accredited training**, there is **no GST collected**. GST is collected
however, on merchandise, services, manuals etc.

Financial viability risk assessment

The CEO of BEA will ensure the RTO demonstrates financial viability in accordance with ASQA's financial
viability risk assessment. The requirement for providers to have a financial viability risk assessment is
detailed in the legislative instrument Financial Viability Risk Assessment Requirements 2011. Assessments
are generally required when an organisation seeks initial registration with ASQA and at such other times as
ASQA deems necessary (for example, following a complaint or prior to ASQA agreeing to renew
registration).

ASQA considers **common indicators of financial performance and position** to determine:

- An organisation's likely business continuity, and • Its financial capacity to deliver quality outcomes.

These common indicators of financial performance and position are listed in Part 4 of the Financial Viability Risk Assessment Requirements 2011.

Specific measures used by ASQA to assess financial viability **net tangible assets** (total assets, less intangible assets, less total liabilities) are required to be greater or equal to 2% of the forecast revenue (or revenue for the current year if forecast revenue is not available).

- **Working capital ratio** (current assets less current liabilities) are required to be greater or equal to 2.5% of forecast revenue for the next year (or revenue for the current year, if forecast revenue is not available).
- **Current ratio** (current assets divided by current liabilities) are required to be greater than or equal to 1.0.
- **Debt ratio** (total liabilities divided by total assets) a debt ratio of less or equal to 1.0 is desirable.
- **Profitability** (net profit after tax) positive outcomes are well regarded, however, losses will not necessarily disqualify applicants, unless net tangible assets are insufficient to support ongoing operations.

Self-Assessment Report

At initial registration, BEA complete a self-assessment report utilising the self-assessment report form provided by ASQA. This report will be included with the initial application.

A copy of the report will be kept on file and may be used as part of BEA's continuous improvement processes.

Compliance with legislation

The applicant must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its intended operations and its intended scope of registration.

The applicant must identify how it will inform staff and clients of the legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Legislative Requirements

Registered Training Organisations are subject to legislation pertaining to training and assessment, as well as business practice. The legislation governs the RTO's obligations to clients and the industry relevant to the training being conducted. The legislation is continually being revised and amended as the industry changes, and all relevant staff members of the RTO will be made aware of any changes through memos and consultation at monthly meetings. Current legislation is available online at *www.austlii.edu.au*

Commonwealth legislation:

- Copyright Act 1968

- Commonwealth Privacy Act 1988 / Privacy Amendment (Private Sector) Act 2000
- Commonwealth Sex Discrimination Act 1984
- Racial Hatred Act 1995
- Commonwealth Racial Discrimination Act 1975
- Commonwealth Age Discrimination Act 2004
- Human Rights and Equal Opportunity Commission Act 1986

- Disability Standards for Education 2005
- Commonwealth Disability Discrimination Act 1992
- National Vocational Education and Training Regulator Act 2011
- National Vocational Education and Training (Consequential Amendments) Act 2011
- National Vocational Education and Training Regulator (Transitional Provisions) Act 2011.
- National Privacy Principles (2001)
- Skilling Australia's Workforce Bill 2005
- Skilling Australia's Workforce (Repeal and Transitional Provisions) Bill 2005.
- Work Health and Safety Act 2011
- Work Health and Safety Regulations 2011

Compliance with conditions of registration:

- Compliance with VET quality framework NVRA
- Fit and Proper Person Requirements 2011 (FPPR) NVRA
- Satisfying the financial viability and risk requirements NVRA
- Notifying NVR of material changes
- Providing information upon request
- Cooperation with NVR
- Compliance with directions from NVR
- Other conditions that NVR may impose

NSW legislation:

- Children and Young Persons (Care and Protection) Act 1998
- Disability Services Act 1993

- Anti-Discrimination Act 1977
- Fair Trading Act 1987
- Vocational Education and Training Act 2010
- WORKERS COMPENSATION ACT 1987
- Workers Compensation Regulation 2003
- Workplace Injury Management and Workers Compensation Regulation 2002

- Affirmative Action (Equal Employment Opportunity for Women) Act (1986)
- WorkCover Legislation Amendment Act (1996 No. 120)
- APPRENTICESHIP AND TRAINEESHIP ACT 2001

Training authorities / regulators:

- National VET Regulator (NVR)
- Department of Education,
- Australian Skills Quality Authority (ASQA)
- National Skills Standards Council (NSSC)

Health and safety requirements for educational premises

"RTOs and CRICOS providers are responsible for ensuring that educational premises (i.e. delivery sites) comply with health and safety requirements."

Fact sheet—Health and safety requirements for educational premises, updated 6 June 2013 Page 1

The Copyright Act 1968

"Provisions under Part VB of The Copyright Act 1968 allow all educational institutions to copy and communicate third party material to distribute to students, within the limitations of the Statutory Education licence. The Copyright Agency Ltd (CAL) administers the Statutory Education licence on behalf of the Attorney General's Department.

Any RTO electing to rely on this licence is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner. It facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

Without this licence an educational institution is generally not allowed to reproduce any third party material from any source, other than where there is a direct licence/subscription in place, or permission has been granted by the creator of the work."

ASQA Compliance with legislation www.asqa.gov.au

Insurance

The applicant must hold public liability insurance.

Insurance Policy

The RTO will maintain public liability insurance that includes a provision for 'errors and omissions'. If required, BEA will either include sub-contractors on the company policy or ensure that sub-contractors carry their own public liability insurance.

 BEA may also carry suitable worker's compensation insurance.

 Where applicable, building and contents insurance will be carried.

 All insurances will be appropriately 'risk rated' to the industry and the training activities of BEA.

 As a further measure of risk reduction, BEA's CEO may evaluate the addition of Professional Indemnity insurance.

Financial management for initial registration

The applicant must be able to demonstrate to the National VET Regulator, on request, that it will be financially viable at all times during the period of its registration.

The applicant must identify how it will provide the following fee information necessary for continuing registration, to each client:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- the nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course
- the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment and
- the applicant's refund policy.

Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration:

- (Option 1) the RTO is administered by a State, Territory or Commonwealth government agency
- (Option 2) the RTO holds current membership of an approved Tuition Assurance Scheme
- (Option 3) the RTO may accept payment of no more than $1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the

total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed $1,500

- (Option 4) the RTO holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the RTO which are prepayments from students (or future students) for tuition to be provided by the RTO to those students or

- (Option 5) the RTO has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Financial Management Policy

Business financial viability

BEA will have all accounts certified by a qualified CPA accountant to Australian Accounting Standards on an annual basis. Upon ASQA's request, BEA will provide the certificate of accounts for review. If deemed necessary by the registering body, BEA will present a full audit report of the financial accounts as provided by a qualified and independent CPA accountant.

Business activity statement

Business Activity Statements (BAS) will be lodged according to the Australian Taxation Office (ATO) submissions and company policies and procedures.

Taxation returns

Taxation returns will be lodged according to the Australian Taxation Office (ATO) submissions and company policies and procedures.

GST

As the courses BEA offer are **nationally accredited training**, there is **no GST collected**. GST is collected, however, on merchandise, services, manuals, etc.

Receiving Payments

Fees paid in advance

BEA operates under Option 3.

No more than $1,000 will be collected from an individual student prior to the commencement of the training. At the commencement of training an additional payment of up to $1,500 will be collected from the student. Where the total course fee exceeds $2,500, the remaining fees will be collected on a pro-rata basis to ensure that the costs associated with the training delivery are met and the student is not disadvantaged by safe-guarding their fees.

Program payments

A BEA receipt will be written and issued for all payments received. The CEO may authorise RTO staff to write and issue receipts.

A deposit register is utilised to record deposits, administration payments and course payments.

BEA will utilise an external Direct Deposit Provider for all payments.

Methods of Payment

Cash payment

On receipt of cash payment, a receipt will be written and issued. The receipt will include, but is not limited to the amount, the date of receipt and the purpose of receipt generation. This payment is then to be entered into deposit books and the cash banked immediately.

In the event of a payment being made prior to the commencement of the course, the deposit register is used to record the payment and a receipt written and issued. This payment is then to be entered into deposit books and the cash banked immediately.

Cheque or money order

On receipt of a cheque or money order, a receipt will be written and issued. The receipt will include, but is not limited to the amount, the date of receipt and the purpose of receipt generation. The person writing the receipt should include the word 'cheque' or 'money order' as applicable on the receipt.

In the event of a payment being made prior to the commencement of the course, the deposit register is used to record the payment and a receipt written and issued. This payment is then to be entered into deposit books and banked immediately.

Direct Deposit

Direct debit is a system whereby funds are withdrawn electronically by an external Direct Deposit Provider from a customer's bank account or credit card on the date(s) nominated by the Biller (customer). This is achieved by the customer completes a Direct Debit Request Form. This is done by physically signing an authority or completing an electronic authority online (available to authorised billers only). The Direct Deposit provider commences debiting payments on the start date at the selected frequency. This facility will collect payments and then direct payment to the BEA's account. All payments will be registered along with payment details for future reconciliation. Payments will cease once the customer has paid the full amount.

BEA will utilise appropriate accounting software.

Fees and Refund Policy

The RTO must protect fees paid in advance and have a fair and reasonable refund policy.

BEA operates predominately on a 'fee for service' training business. This means all training programs attract fees. These fees are paid by / charged to the student, a government agency or the student's employer. Fee information is available via:

- BEA's website
- BEA's brochures
- BEA's promotional material
- Direct email
- Student Guide

Each of these information streams will be updated regularly.

All administration fees (if any) will be paid at or prior to the commencement of training unless prior arrangements are made with the RTO management.

Refund Policy

Enrolment fees are non-refundable if the student has commenced/attended any training ever by the trainer or on-line

When a refund may be given

A refund of all or part of the BEA's Fee may be given in the following exceptional circumstances:

- You have overpaid the BEA's Fee.
- You have deferred or discontinued training and have overpaid for units you have not attempted/been trained on or have completed.
- You enrolled in a course that has been cancelled by BEA.
- You enrol in a course only to repeat a failed unit/module but are then granted a pass in that unit/module by an Assessment Review Committee.
- You formally advise BEA, before classes commence and with no attendance or participation in training, that you are withdrawing from the course.
- You made a payment and withdrew with no attendance or participation in training.

BEA is of the opinion that you would be unreasonably disadvantaged if you were not granted a refund, for example if you meet with a serious misadventure and you were unable to continue your enrolment. **When a refund is not given**

Circumstances not usually regarded as grounds for a refund include:

- job change
- change in work hours
- inconvenience of travel to the learning environment
- moving interstate
- redundancy/retrenchment

Fee Structure

Total course fee

Each course offered by BEA has a specific course fee. Each course can encompass one unit or several units of competencies. The course fee is the maximum fee that may be charged to the student for their selected training program.

It is BEA's policy that the course fee will be all-inclusive. Students will not be 'surprised' by unexpected requirements, fees or expenses. Inclusions:

- All tuition
- Support and coaching
- Specified course handouts
- Access to BEA's E-learning

Where additional resources normally associated with a program of study are required (reference material, research documents, own computer for example), the student will be clearly advised of exactly what is required in the student study guide for that program. **Program fees are:**

No Program fee applies.

Administration fee
No Administration fee applies.

Enrolment fee

No Enrolment Fee

Early Withdrawal fee

No Early Withdrawal fee applies.

Re-submit fee

No re-submit fee applies.

Re-assessment fee

No re-assessment fee applies.

Produce partial completion statement of attainment

No fee applies to produce a statement of attainment when the student has partially completed the training program and must withdraw.

Re-print certification

Where the student requests a new copy of his / her certification, the following fees apply:
- Statement of attainment $50.00 + GST
- Qualification (with academic transcript) $100.00 + GST
- Details of BEA's fee structure are included in the student's handbook.

Training Guarantee

It is the intention of the CEO of BEA that all students will receive the full training services paid for at all times, including but not limited to: training and assessment; assessment only; recognition of prior learning or short courses. The corporate structure, governance and financial management systems and processes

guarantee the training for students enrolled with BEA. Specifically, the integrity, business experience and training expertise of the CEO ensure continuity of training and completion of training is guaranteed for all students. The continuous improvement and quality management practices employed by BEA's CEO and staff are designed to pro-actively identify any anomaly that might cause a business interruption or training failure, and address this situation before any students are affected. Training continuity and completion is also guaranteed by the policy and procedure system developed by BEA. For example; the recruitment, induction and staff professional development policies and procedures ensure best practice and minimise the potential for business interruption or training failure.

In the event the Workplace Trainer and Assessor (WTA) cannot deliver the services paid for by a student due to unforeseen circumstances to the WTA i.e. sickness, injury or accident etc. The students planned training/assessment will be re-scheduled to another date as negotiated with BEA, employer and student. Due to the flexible nature of BEA's delivery the training/assessment will be as soon as possible. If the WTA is unable to deliver for an extended period of time (over three months) due to unforeseen circumstances, BEA will allocate a new/substitute WTA to continue the delivery of services.

In the extremely unlikely event of a business interruption or training failure, students' training is guaranteed by the financial management policy and procedure of BEA. This means that in the unlikely event of a business interruption or training failure, BEA can issue a statement of attainment for the training completed and refund the remaining funds held.

Strategy for Certification, Issuing and Recognition of Qualifications & Statements of Attainment

The applicant must identify how it will issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- meets the Australian Qualifications Framework requirements
- identifies the RTO by its national provider number from the National Register and
- includes the Nationally Recognised Training (NRT) logo, in accordance with the current conditions of use.

The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years

The applicant must identify how it will provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

The applicant must meet the requirements for implementation of a national unique student identifier.

Issuing Qualifications and Statements of Attainment

Issuing, recording and reporting qualifications and statements of attainment

BEA will issue qualifications, academic records and statements of attainment in accordance with the AQF within 21 days of program completion. All qualifications, academic transcripts and statements of attainment issued by BEA will comply with:

The requirements included in the Version 1 - March 2013 NSSC Policy:

- Application of the AQF Qualifications Issuance Policy within the VET Sector

The requirements described on the ASQA website relating to Testamurs:

- *http://www.asqa.gov.au/qualifications/issuing-qualifications.html*

- The guidelines described in the Australian Qualifications Framework (AQF) 2013. *Certification Documentation: An Explanation* available at *www.aqf.edu.au* and as a PDF document download.

BEA can and will only issue AQF qualifications, academic transcripts and statements of attainment within its scope of registration that certifies the achievement of qualifications or industry / enterprise competency standards from nationally endorsed training packages or qualifications, competency standards or selected units of competency from accredited VET programs.

BEAs national provider number from the National Register will be displayed on All BEAs issued AQF qualifications, academic transcripts and statements of attainment within its scope of registration.

Where the language used to deliver the training and assessment for the qualification or statement of attainment is other than English, that language is noted on the qualification or statement of attainment.

A record of qualifications and statements of attainment issued is maintained within the RTO computer data management system in the Register of Awards Issued.

Integrity and Security of Testamurs

As a mechanism to address the potential for fraudulent duplication and / or use of testamurs issued by BEA, the CEO will research and conduct a feasibility project to determine the most suitable means of protection, based on the size and scope of the RTO. Security and integrity measures may include, but are not limited to:

- Sequential numbering of each of the testamur documents / templates
- Unique logo
- Unique logo or mark that replicate a (raised) seal
- Border and / or unique logo and / or mark in foil
- Unique logo as a watermark
- Have BEAs national provider number from the National Register

Use of National and State Logos

BEA will use the nationally recognised training logo in accordance with the nationally recognised training logo specifications on all AQF qualifications, academic records and statements of attainment issued within BEA's scope of registration. Where the nationally recognised training logo is used in advertising or other materials, it is also used in accordance with specifications.

Record-Keeping Procedures

BEA has a quality administrative and records management system in place to secure the accuracy, integrity and currency of records, to keep documentation up to date, and to secure any confidential information obtained by BEA and committees, individuals or organisations acting on its behalf.

Records include:

- Student enrolments
- Staff profiles detailing qualifications and industry experience
- Fees paid and refunds given
- All documentation necessary to develop, implement and maintain BEA's quality system

Documents, which should be stored at a secure, central location, accessible to BEA management, include:

- Complaints register
- Register of qualifications issued
- Register of documents

Documents pertaining to students currently enrolled are stored in secure, individual student files, which are managed by BEA staff. These include:

- Records of assessment results
- Records of qualifications obtained

- Copies of certificates and statements of attainment
- Records of enrolments and fees

Upon enrolment, student's details will be entered into the RTO database system. This process initiates the establishment of the student's individual file, which is then used to record all future details pertaining to the client. BEA retains the file and management of the file will be in accordance with the RTO training records policy.

BEA is committed to maintaining the accuracy, integrity and currency of all student files and data entry, as well as ensuring appropriate security of all records to uphold confidentiality and protect student privacy. BEA management will undertake a validation of the training records and data entry of approximately 5% of registered students and report the findings at the monthly management meeting. Annually an external source will undertake a validation of the training records and data entry of approximately 5% of registered students and report the findings at the monthly management meeting

When in paper format, student's work will be filed alphabetically according to the students' names. Individual student records will be stored in a lockable steel filing cabinet in a locked secure office area. If the files are stored in a location where student or public access is possible, the cabinets should remain locked.

For ease of application and consistency, a similar filing process will be used for electronic files. The electronic records are stored utilising AVETMISS compliant software and are protected by password access.

Completed assessments

Each and every paper based assessment submitted by every student will be retained for a minimum period of six (6) months.

At the expiration of six (6) months period, the student's assessments will be scanned and stored electronically for thirty (30) years.

Results of assessment records

Student assessment results will be recorded electronically within the RTO's database system. This information may be used to provide annual competency completion reports and / or AVETMISS reports, as required:

- Sufficient information to re-issue the testamur if required will be retained
- Results of assessment will be retained for thirty (30) years

Security

Further security of records is ensured by complying with the storage requirements detailed in ASQA's

General directive: Retention requirements for completed student assessment items.

This directive includes requirements for storage including: safeguards against unauthorised access, fire, flood, termites or any other pests, and to ensure that copies of records can be produced if the originals are destroyed or inaccessible. BEA adds to this directive by protecting electronic files with up to date virus protection, firewall and spy ware protection software. Electronic records are copied to a portable hard drive, every four (4) week period. The portable hard drive is stored off site in a secure location.

BEA software and hard-copy systems will retain student's results for a period of not less than thirty (30) years. If requested, enrolment information, training and assessment information or results of assessment will be provided in electronic format wherever possible.

Paper-based records will be scanned and saved in Adobe PDF format. Paper records will be securely shredded every twelve (12) months in accordance with the RTO CEO's directions.

A copy of each testamur issued is scanned and retained in Adobe PDF format. If requested, the testamur may be re-printed at any time within the thirty (30) year period after issue. This method ensures the original format, design, signature, date and units of competency are re-printed accurately and with a minimum of effort and expense.

The database system is used and data / files / records are converted and saved in Adobe PDF format. BEA has chosen Adobe PDF because research indicates this software will be able to be opened and read for up to thirty (30) years.

Ceasing operation

In the event that BEA ceases to operate, the RTO's records will be transferred to ASQA in the appropriate format and detail as specified by the Department at the time of ceasing RTO operations.

All other records including training records, taxation records, business and commercial records will be retained for a period of at least seven (7) years.

The RTO will ensure that any confidential information acquired by the business, individuals or committees or organisations acting on behalf of RTO are securely stored.

Access to individual student training records will be limited to those required by the SNR, such as:

- Trainers and assessors to access and update the records of the students whom they are working with
- Management staff as required to ensure the smooth and efficient operation of the business
- Officers of ASQA or their representatives for activities required under the standards for registered training organisations

Confidentiality Procedure

BEA ensures all student information is not disclosed without the student's consent, except as required by law or in adherence to ASQAs requirements. Student consent must be obtained in writing from the student, unless the student is under the age of 18 years, in which case written consent from their parent or guardian must be obtained. Consent to disclosure of information forms and / or letters will be recorded.

All students have the right to access or ask for information relating to their own individual records.

Any persons external to the organisation acting on behalf of BEA are made aware of the confidentiality procedures and privacy policies prior to commencing work with BEA to ensure protection of student information.

AVETMISS Reporting

The first step to successfully reporting AVETMISS data is to download the AVETMISS Validation Software. This is available at no cost from the National Centre for Vocational Education research (NCVER) *www.ncver.edu.au* *www.ncver.edu.au/statistics/avetmiss60/patch.htm* A User's Guide / instruction booklet may also be downloaded.

Two options are available to RTO's when preparing AVETMISS data:

- Purchase and utilise a data management system that automatically collects, collates and assembles data in preparation to be uploaded to the registering body automatically.
- Utilise a data management system that records all relevant data without automatic preparation to be uploaded. Then manually enter the collected data into a suitable software package.

BEA will use Option 1 and has purchased Wisenet software.

As a requirement of ASQA, BEA's CEO will ensure data is reported to the registering body as required.

Unique Student Identifier (USI)

A Unique Student Identifier (USI) system is currently being developed at a national level. BEA will comply with USI requirements as the system is implemented.

In April 2012, the Council of Australian Governments (COAG) agreed to the implementation of a specially designed tool called the Unique Student Identifier (USI). COAG also agreed that the Standing Council on Tertiary Education, Skills and Employment (SCOTESE) take forward the implementation of the USI. *The Student Identifiers Bill 2013* was listed for debate in the Winter Sittings 2013. Due to a full legislative program in the Winter Sittings of Parliament, and the federal election being called, the Bill was unable to be considered by the Parliament. As a result, implementation of the Unique Student Identifier scheme will not commence on 1 January 2014.

Registered Training Organisations (RTOs) are required to report data about the training, each record of nationally recognised training that is provided to the national centre for vocational education research (NCVER) national VET provider collection will have a USI attached. This USI will be able to be used to draw down on this data collection in real-time. This means that, in the future, students will be able to draw down a record of their VET achievements from one place. They can view this online or they can use the data to develop a transcript that they can use, for example – by attaching it to a job application.

The USI will also be useful for RTOs. As the data builds, RTOs (with the student's permission) will be able to draw down information about that student's previous VET attainments from across Australia. This will assist with assessing students for admission to courses, for credit transfer and in some circumstances, their eligibility for funding.

More information is available from: *www.innovation.gov.au/usi*

The applicant must confirm that it will recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Recognition of Qualifications Policy

BEA will recognise all AQF qualifications and statements of attainment issued by any other RTO. If any ambiguity is detected when validating a student's certification, BEA will seek verification from the relevant RTO before recognising the qualification or statement of attainment.

Recognition of Qualifications Procedure

- Students enrolling with BEA will be made aware of the recognition of qualifications policy by RTO staff at the time of enrolment to offer the opportunity of recognition of relevant qualifications or statements of attainment prior to the commencement of training

- BEA trainers will remind students of the policy progressively throughout the duration of their course

- When a student presents an AQF qualification or statement of attainment to a trainer or staff member, a copy of the certificates will be taken and submitted to BEA for verification

- BEA will verify the authenticity of the qualification or statement of attainment. The verified copy of the qualification or statement of attainment is placed in the student's file

- Once verification of the qualification or statement of attainment has been established, BEA staff will inform the student and offer exemption from the relevant unit(s) of competency. Staff will ensure the student is aware of and understands what component(s) of their training and assessment are affected

BEA staff will update the student's records accordingly

Strategy for accuracy and integrity of marketing

The applicant must demonstrate that its proposed marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use.

(Note: this refers to the logo conditions in place at the commencement of this instrument.)

Advertising and Marketing Procedure

BEA's CEO is responsible for approval of all advertising and marketing materials that make reference to nationally recognised vocational education and training (VET). In consideration of advertising and marketing, the RTO must clearly distinguish between VET qualifications or units of competency and nonaccredited or non-nationally recognised training. BEA will use the NRT logo only in accordance with its conditions of use.

- The following areas are worthy of particular consideration throughout the advertising and marketing procedure to ensure accurate implementation:
- When working in conjunction with another RTO that is providing a training program on behalf of BEA, the RTO registered to provide that training must be clearly identified in all advertising material
- Any training programs offered by BEA that include VET qualifications or units of competency, clearly identify which components are VET qualifications or units of competency and the nationally recognised training logo is included clearly in the advertising material
- Any VET qualifications advertised by BEA are within the RTO's scope of registration

VET qualifications that require particular trainers, resources and / or equipment for correct implementation that may be subject to availability at time of commencement, must state the relevant conditions as a disclaimer in the advertising material. Conditions may vary as per the nature of the training program; examples include:

- Where access to required resources is not available, BEA will attempt to provide alternate opportunities for students to complete the qualification
- BEA reserves the right to cancel the course if unable to source required equipment
- BEA reserves the right to postpone a course if the required trainer is unavailable at time of commencement

Strategy for Transition to Training Packages/Expiry of VET Accredited Course

The applicant must identify how it will manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.

The applicant must identify how it will manage the transition from superseded VET Accredited courses so that it will deliver only currently endorsed Training Packages or current VET accredited courses.

Transition to Training Packages / Expiry of VET Accredited Courses

In order to demonstrate compliance BEA will observe the overarching principle that it must deliver the current (endorsed or accredited) training product to a student, unless the student would be genuinely disadvantaged by undertaking that training product. Confirmation of correct transition and teach out requirements is ensured by complying with ASQA's General directive: Transition and Teach Out dated April 2012.

BEA's CEO is responsible for planning and supervising transitions between old and new training packages and / or accredited courses as they are endorsed and within the required time frame. The CEO is also responsible for managing the transition from superseded units of competency and from deleted training package qualifications and expired accredited courses, as well as describing arrangements to teach-out students enrolled in superseded / deleted qualifications or superseded / expired accredited courses.

BEA will ensure that students are not enrolled in qualifications / courses that adversely affect their opportunities for employment, residency status and / or future study pathways.

Timely and adequate advice and guidance will be provided to students if the qualification or course in which they are enrolled is superseded / deleted / expired to ensure students are given the opportunity to transfer to replacement training package qualifications and accredited courses or other currently endorsed training packages or accredited courses.

Transfer of students will be undertaken in collaboration between the student and the RTO. Students will not be required to transfer to new training package qualifications or new accredited courses where the genuine disadvantage to them in doing so outweighs the benefits of continuing training in and being issued with a qualification or statement of attainment for a superseded or deleted training package qualification or superseded / expired accredited courses.

Transition arrangements

1. Training package qualifications - Superseded training package qualifications

RTO Registration

Where BEA has a training package qualification on its scope which has been superseded by a new training package qualification, the CE will apply to have the replacement training package qualification added to its scope of registration **as soon as practicable** but no later than twelve (12) months from the date of publication of the replacement qualification on the national register: *www.training.gov.au*. Naturally, this is not required if there is no intention to deliver the replacement qualification.

It is expected that ASQA will change a superseded training package qualification on BEA's scope of registration on the national register to a "non-current" status upon expiry of the twelve (12) month period following publication of its replacement.

Continuing students

Students continuing beyond the superseded qualification will be transferred from the superseded qualification into the replacement qualification **as soon as practicable** but no later than twelve (12)

months from the date of publication of the replacement qualification on the national register, unless they will be genuinely disadvantaged.

A testamur for a superseded qualification may be issued to an eligible student until expiry of the teach-out period applicable to the qualification. Upon expiry of the teach-out period, BEA will only issue a testamur for a superseded qualification as a replacement of a version previously issued.

New students

Once a replacement qualification is published on the national register, BEA may commence training or assessment of the superseded qualification to a new student, for a period of twelve (12) months or until being registered for the replacement qualification (whichever occurs first).

BEA will commence enrolments in the replacement qualification **as soon as practicable** but no later than twelve (12) months from the date of publication of the replacement qualification on the national register.

Teach-out provisions

Training and assessment services and issue of awards may continue to be provided to **current** students of the superseded qualification who would be genuinely disadvantaged if required to transfer to the replacement qualification, for up to six (6) months after the expiry of the transition period for its replacement. Students who have not completed the superseded qualification during this timeframe must be transferred to the new qualification.

If the CEO believes exceptional circumstances apply that require the continued delivery of a superseded qualification to one or more students beyond this designated teach-out period, the RTO must be prepared to demonstrate, **if requested by ASQA**, the reasons for continuing and identify the students affected and the planned delivery timeframe completion.

During the teach-out period, BEA will not enrol students and / or commence delivery in the superseded qualification.

2. Training package qualifications - Deleted training package qualification

RTO registration

In circumstances where BEA has a training package qualification on its scope and that qualification is deleted from a newly endorsed training package, there is no qualification to transition its registration to.

ASQA will change a deleted training package qualification on BEA's scope of registration to a "noncurrent" status following publication on the national register of its deletion. The qualification will then only appear in the "Display History" section of BEA's scope on the national register.

Continuing students

There is no replacement qualification for students of the deleted qualification to transition to. Nonetheless, the student will be provided with timely and adequate advice and guidance if the qualification in which they are enrolled is deleted, with the view to transferring the student to an alternative endorsed training package qualification or accredited course.

A testamur for a deleted qualification may be issued to an eligible student until expiry of the teach-out period applicable to the qualification. Upon expiry of the teach-out period, BEA will only issue a testamur for a deleted qualification as a replacement of a version previously issued.

New students

Once the national register publishes that a training package qualification has been deleted, BEA will not commence any training or assessment of the deleted qualification to any new student.

Teach-out provisions

BEA may continue to deliver training and assessment services and issue awards to **current** students of the deleted qualification for up to eighteen (18) months after publication of the version of the training package from which the qualification was deleted.

If the CEO believes exceptional circumstances apply that require the continued delivery of a deleted qualification to one or more students beyond this designated teach-out period, the RTO must be prepared to demonstrate, **if requested by ASQA**, the reasons for continuing and identify the students affected and the planned delivery timeframe completion.

During the teach-out period, BEA will not enrol students and / or commence delivery in the deleted qualification.

3. Accredited courses - Superseded accredited course

Where BEA has an accredited course on its scope and that accredited course has been superseded by a new training package qualification or accredited course, the CEO will apply to have the replacement qualification or accredited course added to its scope of registration **as soon as practicable** but no later than twelve (12) months[2] from the date of publication of the replacement training package qualification or accredited course on the national register. Naturally, this is not required if there is no intention to deliver the replacement qualification or accredited course.

 It is expected that ASQA will change a superseded accredited course on BEA's scope of registration on the national register to a "non-current" status following publication of its replacement.

Continuing students

Students continuing beyond the superseded accredited course will be transferred from the superseded accredited course[3] into the replacement training package qualification or accredited course **as soon as practicable** after gaining registration for the replacement training package qualification or accredited course.

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[2] Note: if the accreditation of the superseded course is due to expire / or is cancelled prior to the expiration of the transition period, the RTO must transition to the replacement training package qualification or accredited course prior to the accreditation of the superseded course expiring / immediately upon cancellation of accreditation.

[3] Note: RTOs need to ensure when enrolling candidates in a new accredited course that they abide by any transition requirements within the accredited course document.

A testamur for a superseded accredited course may be issued to an eligible student until expiry of the teach-out period applicable to the course. Upon expiry of the teach-out period, BEA will only issue a testamur for a superseded course as a replacement of a version previously issued.

New students

Once a replacement accredited course is published on the national register, BEA may not commence training or assessment of the superseded course to a new student.

BEA will commence enrolments in the replacement qualification or accredited course **as soon as practicable** after gaining registration.

Teach-out provisions

Training and assessment services and awards may continue to be provided to **current** students of the superseded course for up to eighteen (18) months after publication of the endorsement or accreditation of its replacement.

Students who have not completed the superseded course during this timeframe must be transferred to the new qualification or course.

If the CEO believes exceptional circumstances apply that require the continued delivery of a superseded course to one or more students beyond this designated teach-out period, the RTO must be prepared to demonstrate, **if requested by ASQA**, the reasons for continuing and identify the students affected and the planned delivery timeframe completion.

During the teach-out period, the BEA will enrol students and / or commence delivery in the superseded course.

4. Accredited courses – Expired accredited course

In circumstances where BEA has an accredited course on its scope that expires, there is no qualification or course to transition to.

ASQA will change a deleted accredited course on the on BEA's scope of registration to a "non-current" status following publication on the national register of its deletion.[4]

Continuing students

There is no replacement qualification or course for students of the expired accredited course to transition to. Nonetheless, the student will be provided with timely and adequate advice and guidance if the accredited course in which they are enrolled expires, with the view to transferring the student to an alternative endorsed training package qualification or accredited course.

A testamur for an expired accredited course may be issued to an eligible student until expiry of the teach out period applicable to the qualification. Upon expiry of the teach-out period, BEA will only issue a testamur for a deleted qualification as a replacement of a version previously issued.

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[4] Note: An accredited course will expire if the course proponent elects not to apply for its reaccreditation or replacement. It is the obligation of the course proponent to inform all RTOs

New students

Once the national register publishes that an accredited course has expired, BEA will not commence any training or assessment of the expired course to any new student.

Teach-out provisions

BEA may continue to deliver training and assessment services and issue awards to **current** students of the expired accredited course for up to eighteen (18) months after publication of its expiry.

If the CEO believes exceptional circumstances apply that require the continued delivery of an expired accredited course to one or more students beyond this designated teach-out period, the RTO must be prepared to demonstrate, **if requested by ASQA**, the reasons for continuing and identify the students affected and the planned delivery timeframe completion.

During the teach-out period, BEA will not enrol students and / or commence delivery in the expired course.

5. Accredited courses – Cancelled accredited course   No transition arrangements apply.

The nature of a teach-out provision in respect of a cancelled accredited course, if any, will be advised to each RTO with the accredited course on its scope of registration at the time of cancellation of accreditation of the course.

6. Units of competency – Superseded units of competency

Where BEA has a unit of competency explicitly listed on its scope which has been superseded by a new unit (excluding version upgrade), the CEO will apply to have the replacement unit added to the RTO's scope of registration **as soon as practicable** but no later than twelve (12) months from the date of publication of the replacement unit on the national register. Naturally, this is not required if there is no intention to deliver the replacement unit.

In a circumstance where BEA has a unit of competency explicitly listed on its scope and the unit has been superseded by a new version of the same unit (e.g. version "B"), an application to ASQA for transition is not required.

registered for the course about its intention not to seek reaccreditation, **prior to expiry of the course**.

The option is available however, to apply for the change to be referenced on the national register.

It is expected that ASQA will change a superseded unit of competency on BEA's scope of registration on the national register to a "non-current" status upon expiry of the twelve (12) month period following publication of its replacement.

Continuing students

A student that has commenced a unit but not completed it by the time it is superseded **must not** be required to transition to its replacement unit, however is entitled to a period up to twelve (12) months to complete the unit and receive a statement of attainment.

New students

Once a unit is superseded on the national register, BEA may train, assess and issue a statement of attainment in the superseded unit to a student, for a period of up to twelve (12) months.

Teach-out provisions

No further teach-out provisions apply.

A student who has not completed a superseded unit by twelve (12) months following the publication of its replacement must be immediately transferred to the replacement unit(s), if BEA has registration for that unit.

If the CEO believes exceptional circumstances apply that require the continued delivery of the superseded unit to one or more students beyond this designated teach-out period, the RTO must be prepared to demonstrate, **if requested by ASQA**, the reasons for continuing and identify the students affected and the planned delivery timeframe completion.

Training and Assessment

ANNEX A
Training and Assessment
Organisation

BEA WORKPLACE ASSESSOR ORGANISATION
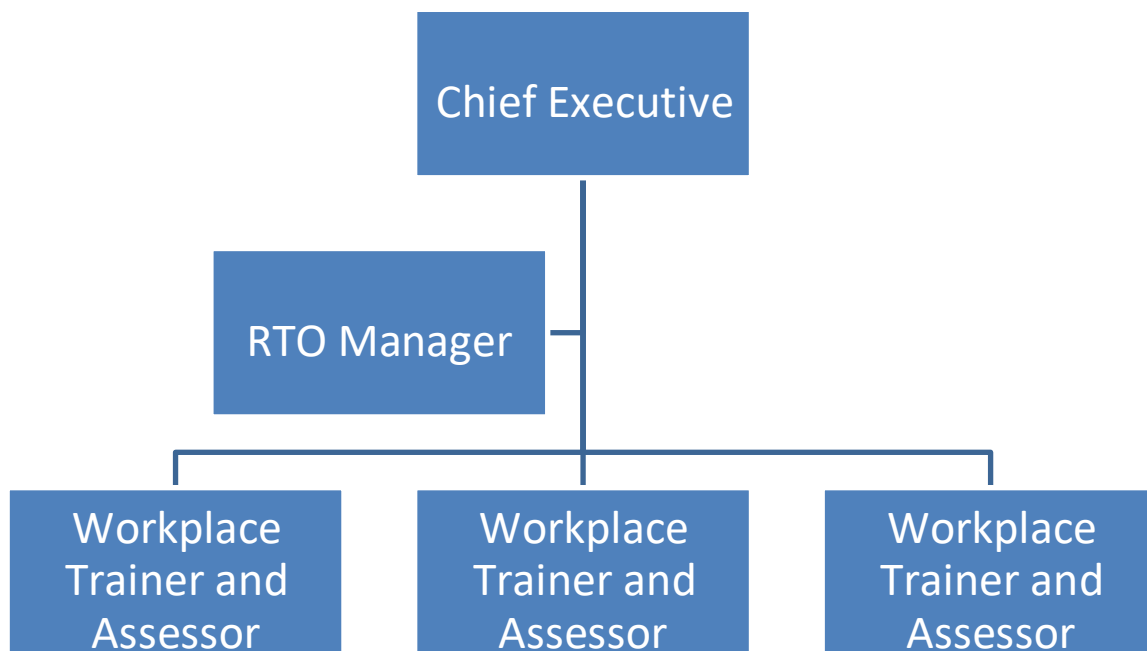
Figure 2: Training and Assessment Organisation

Training and Assessment

ANNEX B
RTO Compliance and Risk Assessment

RTO COMPLIANCE RISK ASSESSMENT

Standard	Cause	Mitigation/Controls	Rating
The applicant has adequate governance arrangements, as follows:			
The applicant must demonstrate to the National VET Regulator;			
what its intended objectives as an RTO are,	No objectives written or are incomplete/outdated Person unaware of requirements	RTO Policies and procedures managed through BEA policies and procedures	Low
that it has undertaken business planning, and	No business plan written or are incomplete/outdated Person unaware of requirements	RTO Policies and procedures managed through BEA policies and procedures	Low
the continuing viability, including financial viability, of its proposed operations.	No Projected Profit and Loss written or are incomplete/outdated No RTO Five Year Financial Forecast written or are incomplete/outdated No BEA Delivery/Income Calendar written or are incomplete/outdated Person unaware of requirements	RTO Policies and procedures managed through BEA policies and procedures. Material included in Internal Quality Audit activities. Compliance audit undertaken annually by CEO.	High

The applicant must also demonstrate how it will ensure the decision making of senior management is informed by the experiences of its trainers and assessors.	No mechanism for feedback from WTA's No opportunity for improvement mechanisms	WTA's required to complete course feedback forms which are consolidated and reported to steering committee	High
The applicant's Chief Executive Officer must identify how he or she will ensure that it will comply with the	No copy of the standard available No procedures written or are incomplete/outdated	RTO Policies and procedures managed through BEA policies and procedures. Material included in Internal Quality	High

Standard	Cause	Mitigation/Controls	Rating
VET Quality Framework and any national guidelines approved by the National Quality Council or its successors. This applies to all of the operations within the applicant's intended scope of operation.	Person unaware of requirements Person inexperienced in quality systems CEO does not accept direct input	Audit activities. Compliance audit undertaken annually by CEO. CEO to signed an acknowledgement of obligations Internal Quality Audit of RTO activities RTO Induction program to Trainers and Assessors Policies and procedures circulated through controlled documents procedures and acknowledgement of receipt obtained Development training Duty statement signed by CEO Standards regularly monitored by Quality Audit activities and spot checks	
Interactions with the National VET Regulator			

Standard	Cause	Mitigation/Controls	Rating
The application for initial registration must be accompanied by a selfassessment report of the applicant's compliance with the VET Quality Framework.	No self-assessment report completed or are incomplete Person unaware of requirements	CEO to complete CEO to signed an acknowledgement of obligations	Low
The applicant's Chief Executive Officer must identify how it will ensure that the applicant will co-operate with the National VET Regulator:			

Standard	Cause	Mitigation/Controls	Rating
in the conduct of audits and the monitoring of its operations by providing accurate and timely data relevant to measures of its performance	Auditor not defined Process not defined Outcome not recorded Person unaware of requirement No data base Inaccurate data entry	Internal audits to be included as part of CEO Service Internal Quality Audit schedule. Auditor to be trained and assessment done. Formal reports to be produced at the end of each audit.	Medium
by providing information about significant changes to its operations	Person unaware of requirement Process not documented	Development training	
by providing information about significant changes to its ownership and	System not robust enough to ensure 30 year survival Records not consistent with registering bodies requirements	Data base accurate & up to date during compliance audit Duty statement signed by CEO and Designated person	

		Development training and verified during compliance audit	
		Duty statement signed by CEO and Designated person	
		File management undertaken in accordance with BEA records management policies and procedures	
		Annual cross check of archive storage	
		Liaison with ASQA to confirm requirements	

Compliance with legislation

The applicant must identify how it will comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to	Copy of Legislation not available	Maintain web address of State Legislation site	High
	Legislation not understood	Seek legal advice/support as required and verified during compliance audit	
	Legislation is not identified		

Standard	Cause	Mitigation/Controls	Rating
its intended operations and its intended scope of registration.			
The applicant **must identify how** it will inform staff and clients of the legislative and regulatory requirements that affect their duties or participation in vocational education and training.	No communication system	Regular weekly meetings	High
	No trainer network	Yearly industry development	
	No external resources for information	Information networks established	
	No development in VET	List of news outlets provided to all WTA's	

Insurance

The applicant must hold **public liability insurance.**	Ignorance Insufficient cover	Up to date & sufficient insurance policies	Medium
Financial management for initial registration			
The applicant must be able to demonstrate to the **National VET Regulator**, on request, that it will be financially viable at all times during the period of its registration.	Procedure not documented Account monies mixed in with general revenues Not documented Not agreed Not distributed Monies not available	Corporate governance and documented financial policies & procedures Requirements detailed in the contracted requirements with client organisations Corporate governance and documented financial policies & procedures Requirements detailed in the contracted requirements with client organisations	Low
The applicant must identify how it will provide the following fee information necessary for continuing registration, to each client:			

Standard	Cause	Mitigation/Controls	Rating

the total amount of all fees including course fees, administration fees, materials fees and any other charges payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee the nature of the guarantee given by the RTO to complete the training and/or assessment once the student has commenced study in their chosen qualification or course the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment and the applicant's refund policy.	No cost information provided to clients No payment information or policy in place at time of business	All associated costs and payment policy advised at the time of enrolment or contract signature.	Low
Where the applicant intends collecting student fees in advance it must ensure it will comply with one of the following acceptable options for continuing registration			

(Option 3) the RTO may accept payment of no more than	No cost information provided to clients	Policies and individual contracts to outline payment options and requirements.	Low

Standard	Cause	Mitigation/Controls	Rating
$1000 from each individual student prior to the commencement of the course. Following course commencement, the RTO may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed $1,500	No payment information or policy in place at time of business		
Strategy for Certification, Issuing and Recognition of Qualifications & Statements of Attainment			
The applicant must identify how it will issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or **VET** accredited course, a **VET** qualification or **VET** statement of attainment (as appropriate) that:			

Standard	Cause	Mitigation/Controls	Rating
meets the Australian Qualifications Framework requirements identifies the RTO by its national provider number from the National Register and includes the Nationally Recognised Training (NRT) logo, in accordance with the current conditions of use.	Lack of integrity Lack of knowledge regarding laid out requirements Lack of assigned responsibility Lack of awareness Ignorance Lack of integrity Lack of awareness of usage specifications	Qualifications & SOA to be ratified by the RTO Management and approved by the CEO Documents to be cross-checked as part of compliance audit for proper us of logos	Medium
The applicant must confirm that it will recognise the AQF and VET	Lack of awareness	Documented and signed policies & procedures	Low

Standard	Cause	Mitigation/Controls	Rating
qualifications and VET statements of attainment issued by any other RTO.	Lack of disclosure Failure to publish appropriate requirements	Mutual recognition obligations are communicated to clients in handbooks and contracted agreements Requirements for mutual recognition to be documented and distributed to all staff in Instructor handbooks and staff induction program	
The applicant must retain client records of attainment of units of competency and qualifications for a period of 30 years	System not robust enough to ensure 30 year survival Records not consistent with registering bodies requirements	File management undertaken in accordance with BEA records management policies and procedures Annual cross check of archive storage Liaison with ASQA to confirm requirements	Medium

Standard	Cause	Mitigation/Controls	Rating
The applicant must identify how it will provide returns of its client records of attainment of units of competence and qualifications to the **National VET Regulator** on a regular basis, as determined by the **National VET Regulator**.	No Learning Management System (LMS) in place to meet the requirements Lack of knowledge of the requirements when it comes into place	WISENET system used for LMS	Low
The applicant must meet the requirements for implementation of a national unique student identifier.	No Learning Management System (LMS) in place to meet the requirements Lack of knowledge of the requirements when it comes into place	WISENET system used for LMS Several newsletter and mailing systems in place to ensure up to date knowledge of policy changes	Low

Strategy for accuracy and integrity of marketing

Standard	Cause	Mitigation/Controls	Rating
The applicant must demonstrate that its proposed marketing and advertising of AQF **and VET** qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.	Lack of assigned responsibility Lack of policy Scope of accreditation not defined	Advertising material to comply with BEA policies and procedures Controlled by RTO Management and approved by the CEO	Medium

The applicant demonstrates that it will use the NRT logo only in accordance with its conditions of use. **(Note: this refers to the logo conditions in place at the commencement of this instrument.)**	Lack of knowledge of requirements	Advertising material to be ratified by the RTO Management and approved by the CE Development of training staff	Low

Strategy for Transition to Training Packages/Expiry of VET Accredited Course

The applicant must identify how it will manage the transition from superseded Training Packages within 12 months of their publication on the **National Register** so that it delivers only currently endorsed Training Packages.	Lack of awareness of requirements Training packages not maintained Lack or awareness of procedures	Training packages currency reviewed with compliance audit Reviewed and endorsed by RTO Manager as part of the identification/development procedures Development training of staff	High
The applicant must identify how it will manage the transition from superseded **VET** Accredited courses so that it will deliver only currently endorsed Training Packages or current **VET** accredited courses.	Lack of awareness of requirements Training packages not maintained Lack or awareness of procedures	Training packages currency reviewed with compliance audit Reviewed and endorsed by RTO Manager as part of the identification/development procedures Development training of staff	High

	Minor (5)	Serious (4)	Major (3)	Critical (2)	Catastrophic (1)
Almost Certain (A)	High	High	Very High	Extreme	Extreme
Likely (B)	Medium	High	High	Very High	Extreme
Possible (C)	Medium	Medium	High	High	Very High
Unlikely (D)	Low	Medium	Medium	High	High
Rare (E)	Low	Low	Medium	Medium	Medium

TRAINING AND ASSESSMENT

ANNEX C
BEA RTO Grievance Process

RTO GRIEVANCE PROCESS

```
                    ┌──────────────────────┐
                    │  A grievance / complaint │
                    │      identified          │
                    └──────────────────────┘
                               │
                               ▼
                    ┌──────────────────────┐
                    │   Notification of        │
                    │ grievance/complaint      │
                    │    made to RTO           │
                    └──────────────────────┘
                               │
                               ▼
   ┌──────────────┐    No   ◇──────────────◇
   │ Refer to relevant │◀────────│  Related to a RTO  │
   │   authority       │         │  training activity ? │
   └──────────────┘         ◇──────────────◇
                               │ Yes
                               ▼
                    ┌──────────────────────┐
                    │       Notify             │
                    │     RTO Manager          │
                    └──────────────────────┘
                               │
                               ▼
                    ┌──────────────────────┐
                    │     Refer to BEA         │
                    │  Policies/Procedures     │
                    └──────────────────────┘
                               │
                               ▼
                      ◇──────────────◇   No    ┌──────────────┐
                      │  Resolved within │────────▶│ Seek External  │
                      │      RTO?        │         │   Support      │
                      ◇──────────────◇         └──────────────┘
                               │ Yes                    │
                               ▼                        │
                    ┌──────────────────────┐           │
                    │  Complaint/Grievance     │◀──────────┘
                    │    investigated          │
                    └──────────────────────┘
                               │
                               ▼
                    ┌──────────────────────┐
                    │ Recomendations made      │
                    │ to resolve complaint/    │
                    │     grievance            │
                    └──────────────────────┘
                               │
                               ▼
   ◇──────────────◇   No   ◇──────────────◇
   │ Refer to RTO Chief │◀──────│  Recommendations   │
   │   Executive?       │        │    accepted?       │
   ◇──────────────◇        ◇──────────────◇
         │ Yes                       │ Yes
         │                           ▼
         │                ┌──────────────────────┐
         │                │   Recommendations        │
         │                │    Implemented           │
         │                └──────────────────────┘
```

TRAINING AND ASSESSMENT

ANNEX D
RTO Scope

A.1   The BEA RTO Scope includes the delivery of training and assessment services for the following qualifications and competency standards:

- Certificate III in Bricklaying and Blocklaying
- CPCCWHS1001 Prepare to work safely in the construction industry

TRAINING AND ASSESSMENT

ANNEX E
Administration Process Flowcharts

Client change of status

Employee/WTA Application Form

What is the report for?

Finishing

Change of details

New Employee

Finishing branch
- Remove name from excel spreadsheet
- Fill in termination date on Wisenet
- Remove unit expiry dates
- Print Statement of Attainments for completed courses
- Give SoA's to RTO manager for review
- RTO CE to sign SoA's
- SoA's handed to management for mailing to ex-staff
- Place report in personnel file and tag with resignation date
- END

New Employee branch
- Add Name to Excel Spreadsheet
- Add details to Wisenet
- Enrol into Site Induction
- Raise personnel file and place in MIMS report
- END

Change of details branch
- Change details in excel spreadsheet
- Change details in Wisenet
- Place report into personal file
- END

Pre-Course Administration

```
┌─────────────┐        ┌─────────────┐        ┌─────────────┐
│ Student to  │        │ File students│       │ Enrol into  │
│ complete BEA│───────▶│ BEA Enrolment│──────▶│ Wisenet     │
│ Enrolment form│      │ form        │        │             │
│ and payment │        │             │        │             │
│ scheme      │        └─────────────┘        └─────────────┘
└─────────────┘
      │
      ▼
┌─────────────┐        ┌─────────────┐        ┌─────────────┐
│ Student to  │        │ File students│       │ Register    │
│ complete BEA│        │ BEA Training│   ┌───▶│ student with│
│ Training Plan│──────▶│ Plan. Review│───┤    │ ASQA        │
│ within 12   │        │ every 6months│   │   └─────────────┘
│ weeks of    │        │             │   │   ┌─────────────┐
│ enrolment   │        └─────────────┘   │   │ Register student│
└─────────────┘                          └──▶│ with STS within 21│
      │                                       │ days        │
      ▼                                       └─────────────┘
┌─────────────┐        ┌─────────────┐        ┌─────────────┐
│ Does the    │        │ Enrol student│       │ Set up RPL date│
│ student need│───────▶│ into restricted│ ┌──▶│             │
│ RPLing?     │        │ RPL Moodle   │  │   └─────────────┘
└─────────────┘        │ area. Inform │──┤   ┌─────────────┐
      │                │ student of   │  │   │ RPL student │
      ▼                │ student Guide│  └──▶│             │
┌─────────────┐        └─────────────┘      └─────────────┘
│ Enrol student│
│ into Moodle. │
│ Inform student│
│ of student  │
│ Guide       │
└─────────────┘
      │
      ▼
┌─────────────┐
│ Set up training│
│ date        │
└─────────────┘
      │
      ▼
┌─────────────┐        ┌─────────────┐        ┌─────────────┐
│ Training    │        │ Enter student's│      │ Inform STS at│
│ commences   │───────▶│ marks       │──────▶│ midpoint of │
│             │        │ periodically│        │ training    │
└─────────────┘        │ into Wisenet│        │             │
      │                └─────────────┘        └─────────────┘
      ▼
    ( A )
```

Post Course Administration

```
        ┌───┐
        │ A │
        └─┬─┘
          │
   ┌──────▼──────┐
   │  Training   │
   │  complete   │
   └──────┬──────┘
          │
   ┌──────▼──────┐
   │  Inform RTO │
   │ manager for │
   │ review and  │
   │ acceptance  │
   └──────┬──────┘
          │
```

Is course admin accepted by RTO Manager? → **No** → WTA contacted by RTO Manager. WTA to provide correct/sufficient information

Yes

Successful trainee personal files updated on Wisenet

↓

Individual competency report sent to individual → Inform STS and ASQA

↓

Sot's and/or Certificate produced and sent → END

Acknowledgment of Induction

```
┌─────────────────────────┐
│   Employee/WTA          │
│   acknowledgment of     │
│   induction received,   │
│   read and understood   │
└───────────┬─────────────┘
            │
            ▼
┌─────────────────────────┐
│   Employee/WTA          │
│   to sign               │
│   acknowledgment        │
└───────────┬─────────────┘
            │
            ▼
┌─────────────────────────┐
│                         │
│        End              │
│                         │
└─────────────────────────┘
```

Annex F
Document Register

See: BEA_00_Document Register found at C:\Users\Dean\Desktop\BEA\Admin\BEA Documents

ANNEX G Duty Statement

Chief Executive Officer

The Chief Executive Officer (CEO) is responsible for the conduit of BRICKLAYING EDUCATION AUSTRALIA (BEA) overall business and operations.

The CEO shall be the keeper of all general records of BEA and be the main point of contact for dealing with the public such as telephone, email and web site.

The Chief Executive Officer is a contracted position.

Current Issue:	Issue Date:	Signed by CEO:	Signature:	Date Signed:
Version 11	24th July 2024	Dean Michael Kenny	D. Kenny	24th July 2024