

Policies and Procedures

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1. Governance and compliance

1.1. Responsibilities for compliance with the VET Quality Framework

As a Registered Training Organisation (RTO), the organisation has adequate governance arrangements in place to ensure compliance with all aspects of the Vocational Education and Training (VET) Quality Framework at all times.

Specifically, the Managing Director of the RTO is responsible for all functions of the RTO and is to be fully informed of all relevant matters concerning the RTO.

1.2. Interactions with the National VET Regulator

Interactions with the National VET Regulator will be managed by the Managing Director, including:

- providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's operations
- providing an annual declaration on compliance with the *Standards for Registered Training Organisations (RTOs) 2015* when and in the manner required by ASQA
- in the conduct of audits and the monitoring of its operations
- providing quality/performance indicator data
 - Quality Indicator data – by 30 June each year as relevant to the previous calendar year
 - Full AVETMISS data – by end February each year as relevant to the previous calendar year
- providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with the Standards within 90 calendar days of the change occurring
- providing accurate and timely data relevant to measures of its performance
- providing information about significant changes to its ownership within 90 calendar days of the change occurring
- in the retention, archiving, retrieval and transfer of records (in accordance with the requirements of [ASQA General Direction – Retention requirements for completed student assessment items](#))

The Managing Director will also ensure that, if the RTO enters into third party arrangements with any party for the provision of services, ASQA is notified:

- of any written agreement within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and
- within 30 calendar days of the agreement coming to an end.

1.3. Compliance with Legislation

As a RTO, the organisation will comply with all relevant legislative and regulatory requirements relevant to its operations. This includes, but is not limited to, compliance with:

- the *National Vocational Education and Training Regulator Act 2011* and the legislative instruments it enables
- legislation, regulations and standards related to delivery of training to overseas students (if applicable)
- workplace health and safety legislation and regulations
- anti-discrimination legislation and regulations, and
- consumer protection requirements.

1.4. Keeping staff and clients informed

The RTO will keep clients and staff informed about any changes to legislative and regulatory requirements that may affect the delivery of training and assessment.

Where there are any changes to the agreed services, affected clients will be advised as soon as practicable in writing. Such changes include a change in the ownership of the RTO or if the RTO enters into an agreement with another organisation to provide services on its behalf (or if there is a change to any of these agreements).

2. Employing skilled trainers and assessors

The RTO will employ appropriately qualified training and assessment staff who can provide positive training and current industry assessment for all training products on scope.

A *Trainer & Assessor Profile* will be started at the point of application/initial consideration for each individual and will be maintained throughout the course of their employment.

The Trainer & Assessor Profile record guides the collection and validation of evidence relating to the industry skills of trainers and assessors and ongoing professional development.

- All formal qualifications (qualifications and/statement of attainments) must be verified by, for example, contacting the provider named on each document to confirm that the document is genuine. A copy of each must be retained with this record.
- Vocational competencies, current industry skills and current knowledge and skills in VET be verified by, for example, conducting referee checks.

The Managing Director is responsible for ensuring that all trainers and assessors undertake and record ongoing professional development.

2.1. Trainers and assessors

Appropriately qualified trainers and assessors will have:

- vocational competencies at least to the level being delivered; and

- current relevant industry skills; and
- current knowledge and skills in VET; and
- certificate IV in Training and Assessment or a Diploma or higher-level qualification in adult education.

Trainers and assessors will undertake professional development in the fields of the knowledge and practice of vocational learning, training and assessment including competency based training and assessment.

2.2. Assessors

A person who conducts assessment only will have:

- vocational competencies at least to the level being delivered; and
- current relevant industry skills; and
- current knowledge and skills in VET; and
- certificate IV in Training and Assessment or a Diploma or higher-level qualification in adult education **or** Assessor Skill Set.

Assessors will undertake professional development in the fields of the knowledge and practice of vocational learning, training and assessment including competency based training and assessment.

2.3. Individuals who are not a trainer or assessor

If the RTO engages an individual who is not a trainer or assessor, that individual will:

- hold at least one of the following skill sets:
 - TAESS00007 Enterprise Trainer – Presenting Skill Set or its successor
 - TAESS00008 Enterprise Trainer – Mentoring Skill Set or its successor
 - TAESS00003 Enterprise Trainer and Assessor Skill Set or its successor
- vocational competencies at least to the level being delivered and assessed
- current relevant industry skills
- work under the supervision of a trainer and will not determine assessment outcomes.

The RTO will:

- determine and put into place:
 - the level of supervision required; and
 - any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence
- ensure that training and assessment complies with Standard 1

ensure that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

3. Assessment policy and procedures

3.1. Assessment policy

The RTO is committed to the delivery of quality assessment. Four (4) principles underpin this commitment:

1. *Assessment decisions are based on the assessment of skills and knowledge compared with units of competence drawn from industry training package.*

Units of competency are drawn from nationally endorsed industry Training Packages as a primary benchmark for assessment. Supporting this are industry standards or codes of practice. These and other industry specific publications and engagement inform the context and standard of performance during assessment.

In order to identify the precise assessment criteria, a methodology of unpacking a unit of competence is applied in order to assess the full scope of the unit including elements of competence and performance criteria, incorporating range statement information and the specific requirements of the evidence guide. This process ensures that our assessment strategies accurately reflect the requirements of the training package and specifically the required knowledge and skills.

Assessment resources also provide for standardised outcomes supported by model answers/performance benchmarks to guide assessors in their judgements.

2. *Assessment is conducted in accordance with the principles of assessment*

In the delivery of assessment, The RTO applies the principles of assessment. Assessment strategies have been designed to ensure:

- *Validity* - assessment is conducted against the broad range of skills and knowledge identified within each unit of competence and which is integrated with their practical application.
- *Reliability* - assessment is designed to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the candidate and for assessors. This is achieved by using assessors who have the required competencies in assessment and the relevant vocational competencies. Assessment resources also provide for standardised outcomes supported by model answers to guide assessors in their judgements.
- *Flexibility* - assessment opportunities that reflect learner needs are provided. The chosen assessment strategies provide for recognition of a learner's prior learning and current competence by offering recognition of prior learning and credit transfer to all learners.
- *Fairness* - the assessment approach encourages fairness in assessment through consideration of the learner's needs and characteristics and through making reasonable adjustments when it is required. Assessors achieve this through clear communication with the learner to ensure that they are fully informed about, understands and is able to participate in the assessment process.

Assessment may comprise any combination of assessment methods, including but not limited to one or more of the following:

- Questioning (verbal or written)
- Observation of performance in the workplace (or simulated environment)
- Written responses to questions, assignments and case studies.

While students must perform satisfactorily (against pre-determined benchmarks) for all parts of all assessments for a unit, in order to achieve an outcome of 'Competent', students are also given two (2) attempts to demonstrate satisfactory performance in each part of each question. If after two (2) attempts, a student has not demonstrated satisfactory performance, they will be deemed 'Not Yet Competent' in the unit/unit cluster and will have the option of re-enrolling in the unit.

3. *Evidence that meets the rules of evidence is gathered*

Assessment strategies have been designed to ensure:

- **Sufficiency** – the collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly.
- **Validity** – the collection of evidence that is specified in the benchmarks for assessment, with a significant emphasis on direct evidence that is gathered in a simulated fully equipped and operational environment through observation of performance and questioning related to underpinning knowledge.
- **Authenticity** – the collection of evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the candidate's own work. For all assessment, learners are required to state that the assessment is entirely their own work and has been completed according to the instructions provided.
- **Currency** – satisfaction that the learner currently holds the skills and knowledge relating to a particular assessment. This will mostly relate to recognition applications where a learner has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training.

4. *Assessment is validated and continuously improved*

Pre-assessment

To ensure that the assessment resources are consistent with the requirements of the Training Package or accredited course and that they maintain their validity, currency, sufficiency and effectiveness, assessment tools are reviewed prior to use.

All assessment tools are to be validated prior to being used for the first time. A checklist guides the validation process and exists as a record of the validation activity. Refer to *Developing assessment materials* and *Pre-assessment validation checklist*.

Post-assessment

Assessment judgements made by assessors over time are reviewed periodically and systematically with the purpose of ensuring the RTO's assessment system produces valid assessment judgements

and ensures graduates have the skills and knowledge required by industry, as expressed in the training package.

The assessment system itself is also examined to ensure it has produced graduates with the required skills and knowledge. Refer *Validation of assessment practices* and judgements and *Post-assessment validation checklist*.

3.2. Assessment procedures

Assessors are responsible for ensuring the following procedures are followed. In addition, assessment materials, including student and assessor guides contain details about the assessment processes which must be followed.

Timing of assessment

Assessment will normally take place after delivery of a theory component and the opportunity to practice the skill and apply the acquired knowledge. Assessment should only occur if students feel ready to attempt the assessment activities/tasks. Students should be invited to contact their trainer/assessor to discuss the assistance that can be provided to them to prepare for the assessment stage of learning.

Assessment activities

Assessment for a unit of competency usually includes more than one component and usually each component has more than one task/activity. The tasks may include: observations of performance, questioning (verbal or written), projects and/or portfolios of evidence. Refer to *10248NAT Assessor guide* for the relevant unit of competency for further information about the nature and context of activities to be administered.

Determining competence

Performance in each of the components is to be considered together to make a judgement about a student's competence in the unit.

Students must perform satisfactorily in all parts of all components (against pre-determined benchmarks/model answers) in order to achieve an outcome of 'Competent' in the unit. Assessor/marking guides must be followed in assessing student performance.

If after the two (2) maximum number of allowable attempts, a student has not demonstrated satisfactory performance, they will be deemed 'Not Yet Competent' in the unit (meaning they have not yet met the requirements of the unit) and they will have the option of re-enrolling in the unit.

Students are to be given comprehensive instructions about the assessment activities and performance requirements.

Students must perform satisfactorily in all components of all assessment for every unit of competency that comprise the qualification in order to be eligible to be awarded a qualification.

Providing support to students

If students:

- do not understand how they will be assessed in a unit of competency

- do not understand a question asked by a trainer/assessor
- do not understand the tasks or the behaviours expected from them in the practical tasks

students are instructed to ask their trainer/assessor for further explanation.

Student right of appeal

Students have the right to appeal an assessment decision and/or lodge a complaint about any aspect of the assessment process. Refer to *Complaints and appeals policy & procedure*.

3.3. Monitoring of this policy and procedure

The policy and procedure is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement*.

4. Recognition of prior learning (RPL) procedure

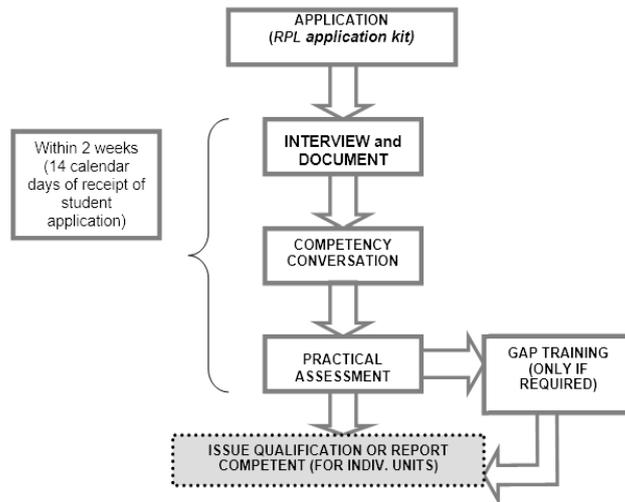
4.1. What is recognition of prior learning (RPL)?

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

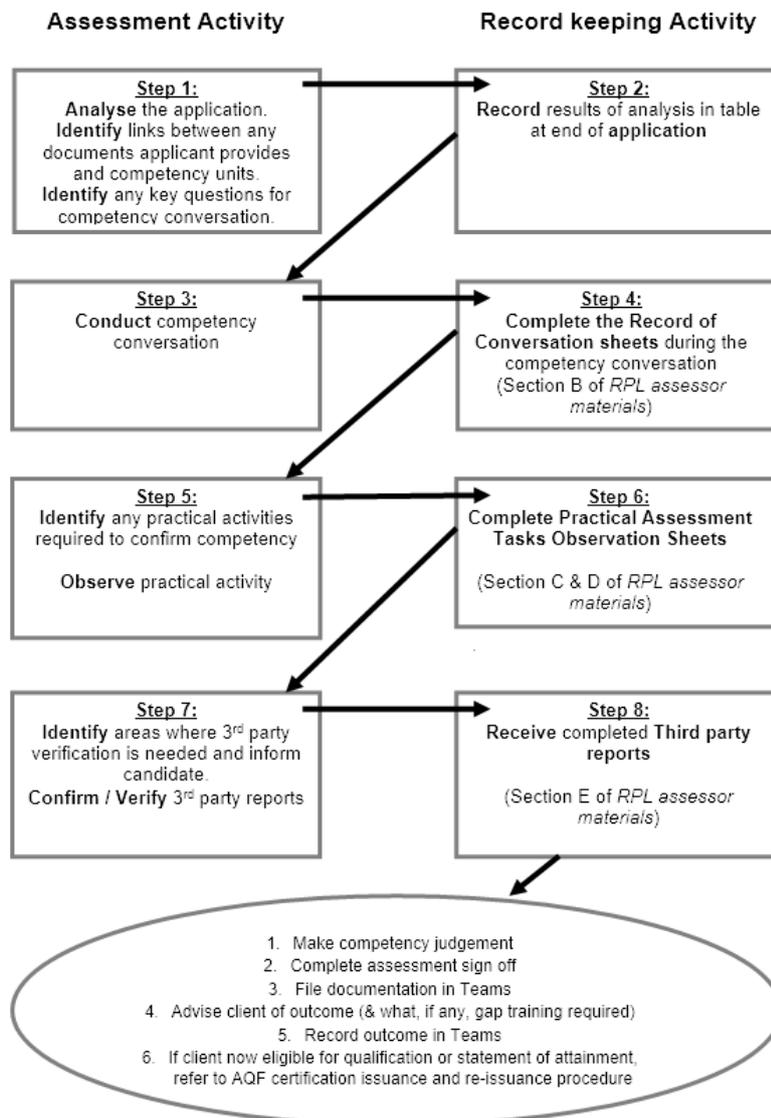
- (a) formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree)
- (b) non-formal learning refers to learning that takes place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

The RTO offers RPL to individual learners. If a client has indicated on their *Enrolment Form* that they have current and relevant skills and would like to be assessed to determine if they are eligible for recognition of that learning towards the course, a trainer and assessor will contact the client to discuss their situation and the recognition process.

4.2. Overview of recognition process



4.3. RPL assessment process



4.4. RPL assessor materials

The RPL Assessor Kit comprises six (6) sections and is to be used to guide the collection of evidence and record details of various stages of the process and judgements about competence:

SECTION A – Assessor Information

Assessors are to read this information before conducting an assessment. It outlines the intent and processes surrounding this RPL assessment and how it differs from assessment undertaken following formal training.

SECTION B – Competency Conversation

Assessors may use this section to determine and record candidate competence via a competency conversation. These questions guide the assessor's conversation with the applicant and assist in their assessment of their competence. The notes assessors take about the conversation are important evidence for assessment.

SECTION C – Practical Tasks and Observation Recording Sheets

Assessors may use this section to assess competencies through a practical demonstration of the candidate's skills. It contains practical tasks/scenarios on the outcomes required to determine competency and a place to record your observation. The notes taken are important evidence for assessment.

SECTION D – Resources for Practical Tasks

Assessors may use this section to access required resources for performing practical tasks and scenarios.

SECTION E – Third Party Verification

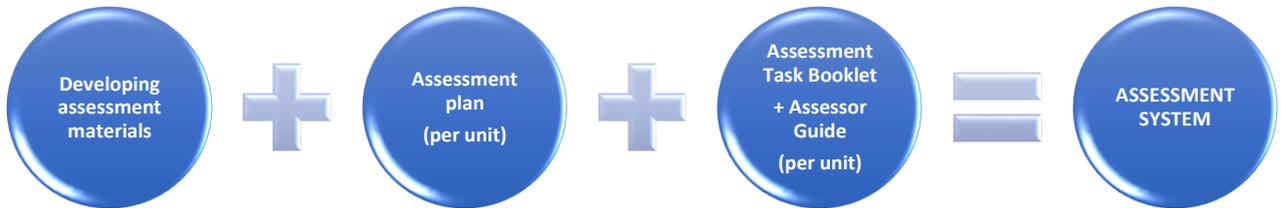
Assessors may use this section to communicate with referees to confirm the candidate's skills and experience in this qualification/occupation. The referees may fill out the appropriate form and return to the assessor to confirm their judgement. Assessors may be able to complete this part of evidence gathering in person while at the workplace.

SECTION F – Assessment Tables

Assessors may use this table as a reference tool to see at a glance how units/elements of competency are assessed within the tool. All the elements and performance criteria within the competency units are cross-matched in this table with a corresponding assessment question/task/scenario. This allows assessors to validate the assessment process against the qualification.

5. Validation of assessment practices and judgements

The RTO is committed to conducting effective assessment that complies with the assessment requirements in the relevant training package and is conducted in accordance with the principles of assessment and the rules of evidence. To ensure this happens, the RTO has, and implements, a plan for the ongoing systematic validation of its assessment system, including practices and judgements, that includes each training product on scope.



5.1. What is validation of assessment?

Validation is a review of assessment judgements made by an RTO conducted with the purpose of ensuring the RTO's assessment system produces valid assessment judgements and ensures graduates have the skills and knowledge required by industry, as expressed in the training package.

The assessment system itself is also examined to ensure it has produced graduates with the required skills and knowledge.

Each training product will be validated at least once every five years, with 50% of training products on scope to be validated within the first three years of the RTO's registration cycle, nominally in accordance with the RTO's *Assessment validation schedule*.

5.2. People involved in conducting assessment validation

The person/s who leads and/or participates in the validation activities will collectively have:

- vocational competence;
- current industry skills;
- current knowledge and skills in vocational teaching and learning; and
- TAE40110 or TAESS00001 (or successor).

(Note: A person or persons who were directly involved in instance of assessment that is being validated can participate in the validation activity but not make the decision about the competency judgements).

5.3. Procedures for conducting assessment validation

One person will lead the validation process and will have responsibility for facilitating the process and documenting the process and outcomes; this person will be the **Lead Validator**.

Selection of assessment sample size

Validation will be conducted on a statistically valid sample of assessments completed over the previous six months, determined by using [ASQA's validation sample size calculator](#).

Review of assessments

The sample of assessments are reviewed by one or more assessors who meet the requirements listed above at *People involved in conducting assessment validation*.

The *Post-assessment validation checklist* is used to guide the review.

Recording the outcome

The **Lead Validator** note their decision on the *Post-assessment validation checklist* as either 'confirmed' or 'not confirmed'.

Validators note their decision on the *Post-assessment validation checklist* as either 'confirmed' or 'not confirmed'.

Where assessment judgements are 'not confirmed', the improvements required to assessment processes and/or materials to eliminate or mitigate the likelihood of assessment being conducted in such a way that it fails to:

- comply with the requirements of the relevant training package; and/or
- meet the principles of assessment and the rules of evidence

and to inform the general continuous improvement of the assessment system are identified and recorded on the checklist.

The Managing Director reviews the *Post-assessment validation checklist* acknowledges the detailed outcomes and opportunities for improvement.

5.4. Use of outcomes of assessment validation activities to inform continuous improvement

The *Post-assessment validation checklist* ensures that the noted improvements are captured in the RTO's *Continuous Improvement Register* and the approach to *Monitoring compliance and continuous improvement* ensures the systematic consideration and actioning of the opportunities for improvement.

6. Managing marketing material

The RTO is committed to ensuring transparent, factual and accurate information about its services is accessible to prospective and current learners and clients so they can make informed decisions regarding their training and/or assessment needs. Such information is relevant and reflect the needs of the client.

Further, prior to enrolment or commencement of training and assessment, whichever comes first, the RTO provides current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO.

6.1. Requirements for materials

The creation, authorisation and control of all marketing material and information provided to prospective and current learners and clients must comply with the RTO's *Document Control Procedure*.

In addition, all:

- marketing material must meet the requirements of the *Marketing material checklist* - Part A prior to authorisation, publication and distribution.
- information provided to learners prior to enrolment or commencement of training and assessment, whichever comes first, must meet the requirements of the *Marketing material checklist* - Part B prior to authorisation, publication and distribution.

6.2. Monitoring the materials

Marketing material and information provided to a learner prior to enrolment or commencement is subject to systematic monitoring as per the RTO's approach to *Monitoring compliance and continuous improvement* and *Document control procedure*.

In addition, marketing material will be reviewed when the RTO's scope of registration changes to ensure it remains consistent.

7. Industry engagement

Training and assessment strategies are living documents and practices must be relevant to the needs of industry and informed by industry engagement.

7.1. Initial design and development of strategies and resources

Engagement with industry must be undertaken during the design and development of training and assessment strategies. Engagement activity is to be coordinated by the **person designing and developing the strategy** to ensure the industry relevance of:

- training and assessment strategies, practices:
 - selection of elective units (if relevant)
 - duration and scheduling
 - mode of delivery
 - training methods
 - assessment methods
- resources; and
- the current industry skills of trainers and assessors.

The **person designing and developing the strategy** must ensure that a record of the following details of engagement with industry is recorded in the Section 10 (*Engagement with industry/employers*) of the *Training and assessment strategy*:

- Date of engagement
- Name & contact details of person engaged with
- Approach used (e.g. phone discussion, email contact, face to face meeting etc.)
- What the engagement was about (e.g. certain aspects of the training and assessment strategy, resources and/or current industry skills of trainers and assessors); and

- Notes about the discussion that took place against the subject of the engagement

Once all engagement notes have been reviewed and considered and it has been agreed by the **Managing Director** how each aspect of the engagement will inform the training and assessment strategy, resources and industry skills required of trainers and assessors, a summary of how the outcome of consultation was used in the development of training and assessment strategies is to be documented in Section 10 of the *Training and assessment strategy at How outcome of consultation was used/considered*.

7.2. Review of strategies and resources

To ensure training and assessment practices and resources continue to meet the needs of industry, continued engagement with industry must be undertaken to seek feedback about how training and assessment has been provided, including feedback on the resources used for both training and assessment and to confirm industry's ongoing expectations for current industry skills and knowledge of trainers and assessors.

Twice a year, the Managing Director will nominate RTO personnel, such as trainers/assessors, to contact a selection of workplace supervisors, if relevant (both current and from the recent past) and relevant other industry representatives or bodies as appropriate, and, using the current training and assessment strategy for each qualification/course, will discuss and obtain feedback about the ongoing appropriateness of:

- training and assessment strategies, practices:
 - selection of elective units (if relevant)
 - duration and scheduling
 - mode of delivery
 - training methods
 - assessment methods
- resources; and
- the current industry skills of trainers and assessors.

7.3. Use of outcomes of industry engagement to inform continuous improvement

Opportunities for improvement identified out of industry consultation are to be captured in *the Continuous improvement register* and addressed in accordance with the requirements of *Monitoring compliance and continuous improvement*. A summary of how the outcome of consultation was used in the review of training and assessment strategies is to be documented in Section 10 of the training and assessment strategy for the relevant training product.

Also note that opportunities to improve the quality of training and assessment and employer satisfaction are also identified via the analysis of Quality Indicator Data.

7.4. Monitoring of this procedure

The procedure is subject to systematic monitoring and improvements as per the RTO's approach to *Monitoring compliance and continuous improvement*.

8. Enrolment procedure

8.1. Check for completeness

The RTO will confirm that the *Enrolment Form* has been properly completed and ask students for further information if required.

8.2. Verify Unique Student Identifier (USI)

The RTO will verify the provided USI included by a student on their Enrolment Form using the Australian Government's USI website.

Enrolment cannot proceed without the student supplying a valid USI that can be verified by the RTO.

8.3. Assessment of learning support needs

If a student has indicated on the Enrolment Form that they require support to successfully complete the course, where possible, Sprout Training will work with the student to identify and provide the type of support needed. Such support may include:

- providing extra time to complete written tasks;
- providing assistance with written tasks;
- providing extra time to read course material;
- offering large print material;
- offering extra help from the trainer;
- allowing additional time to move around the training rooms; and/or
- minimising how often and how far the student is required to move throughout the premises.

However, in some cases Sprout Training may not have the facilities and resources available to effectively help students. In such instance Sprout Training will discuss the student's support needs with them before they commence and if Sprout Training cannot provide the support required, Sprout Training and the student will together explore alternate options.

8.4. Determination of eligibility for credit transfer or Recognised Prior Learning (RPL)

If a student has indicated on the *Enrolment Form* that they have current and relevant skills, knowledge and/or experience and would like to be assessed to determine if they are eligible for recognition of that learning towards the course, a trainer or assessor will contact the student to discuss their situation, the recognition process and the impact on the amount of training they will need to undertake.

Credit transfer

Credit transfer will be granted if a student already holds relevant competencies (that can be authenticated) and can present:

- the original or certified copy of a relevant qualification or statement of attainment issued by another RTO; or
- the original or certified copy of a VET transcript issued by the USI Registrar.

Recognition of prior learning (RPL)

Recognition of prior learning will be given to students for competencies they may have acquired through formal, non-formal and informal learning if an assessment process determines they meet the requirements specified in the relevant training package or accredited course. A trainer and assessor will advise a student of the RPL process, application and evidence requirements, possible outcomes and indicative timeframes.

8.5. Decision about enrolment

Sprout Training will advise the student if their enrolment is accepted or declined.

Enrolment may be declined where extensive support would be required for the student to be able to participate appropriately in the training or where deficiency will clearly inhibit achievement of learning outcomes. As noted above, in such cases, students will be counselled about their options.

If, at any time, places are limited in a course, places will be filled in the order in which complete enrolment forms and full payment were received.

9. Certification issuance procedure

Sprout Training is responsible for the issuance of certification documentation.

9.1. Manual confirmation of entitlement

The RTO issues AQF certification documentation **only** to a learner whom:

- it has assessed as meeting the requirements of the training product as specified in the relevant VET accredited course, and
- has paid all agreed fees they owe to the RTO.

Prior to the generation and issuance of a statement of attainment, the Managing Director must manually confirm the following:

- the learner is competent in all required units
- all agreed fees the learner owes to the RTO have been paid, and
- the learner's USI has been recorded.

9.2. Timing of issuance

Certification documentation will be issued within 30 calendar days of the learner being assessed as meeting all of the requirements of the training product in which they are enrolled provided all agreed fees the learner owes to the RTO have been paid.

9.3. Generation of certification documentation

The creation, authorisation and control of all AQF certification documentation must comply with the RTO's *Document Control Procedure*.

In addition, certification must be printed using the current version of the Statement of Attainment template.

The statement of attainment template meets the requirements of Schedule 5 of the *Standards for RTOs 2015*.

9.4. Mechanisms to reduce fraudulent reproduction

The following measures are in place to reduce fraudulent reproduction of AQF certification documentation issued by Sprout Training:

Documentation includes:	Document		
	Qualification testamur	Statement of Attainment	Record of Results
RTO name	RTO does not currently issue qualifications	X	RTO does not currently issue records of results
RTO code		X	
RTO logo		X	
Unique student ID		X	
Signature of authorised person		X	
Unique 4-digit sequence number		X	
Printed on other than ordinary white copy paper*		X	

All certification documentation issued by Sprout Training includes the statement:

The RTO has mechanisms in place to reduce fraudulent reproduction of this certification.

Refer to www.sprout.edu.au or details.

Information about the mechanisms to reduce fraudulent reproduction of certification issued by the RTO is included on the RTO's website for anyone who may be unsure if they have been presented with authentic certification documentation from the RTO to reference, along with the advice that they should contact the RTO if, after considering the information, they have un-resolved doubts about the authenticity of certification documentation presented to them.

9.5. Certification re-issuance

If a qualification testamur, statement of attainment or academic transcript is misplaced or damaged, the learner or past learner may request the re-issuance of the misplaced or damaged document by accessing, completing and submitting the *Request for re-issuance of documentation* on the RTO's website.

For privacy reasons, the request must be made by the client (or past client) and the original or a certified copy of one of the following identification documents must be sighted by the Managing Director:

- Driver's licence; or
- Australian Passport; or
- Australian Birth Certificate;

or if the client (or past learner) doesn't have any of the above, the following will be accepted:

- Naturalisation Certificate (Australian Citizenship); and a Current Green Medicare Card

A fee applies for the re-issuance of documentation and is located in the information about requesting the re-issuance of documentation at www.sprout.edu.au for the applicable fees.

Certification documentation will be issued within 21 calendar days of a complete request being submitted provided:

- payment has been received, and
- entitlement to the documentation has been confirmed - the learner (or past learner) requesting the documentation is the learner (or past learner) to whom the documentation was originally issued.

9.6. Records of AQF certification documentation

The RTO:

- retains a register of AQF qualifications and statements of attainment issued:
 - initial issue is recorded in the *Learner record system*
 - reissue is recorded in the *Learner record system*
- retains records of AQF certification documentation issued for a period of 30 years. Refer to the *Document control procedure*

- provides current and past learners with access to records and certification issued to them. Refer to the *Document control procedure* and the *Student Handbook*.

9.7. Monitoring of this procedure

The management of records is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement* and *Document control procedure*.

10. Monitoring compliance and continuous improvement

The RTO is committed to providing high quality training and assessment services and to ensuring that all aspects of its operations comply with the *Standards for RTOs 2015* at all times.

The below table identifies the sources of information that are used to inform gaps in compliance and opportunities for the continuous improvement of operations.

10.1. Sources of information

Source	Description
Analysis of Quality Indicator data	Refer to <i>Collecting and reporting Quality Indicator Data</i> for details. Opportunities to improve the quality of training and assessment and the learner experience identified from the summary of an analysis of Quality Indicator Data as generated by the <i>Quality Indicator Data Register</i> on an annual basis and captured in the <i>Continuous Improvement Register</i> (refer below).
Outcomes of the investigations of complaints and appeals	Refer to <i>Complaints and appeals policy & procedure</i> . The procedure requires that the causes of complaints and appeals are identified and corrective action is taken to eliminate or mitigate the likelihood of reoccurrence and to inform the continuous improvement of operations. The <i>Complaint and Appeal Form</i> ensures that such causes and opportunities are captured in the <i>Continuous Improvement Register</i> and the approach to <i>Monitoring compliance and continuous improvement</i> ensures the systematic consideration of these causes and opportunities for improvement.
Trainer and assessor feedback	Trainers and assessors are encouraged to provide feedback to the Managing Director about gaps in compliance or general opportunities for improving operations – this is ongoing. Such gaps or opportunities are to be captured in the <i>Continuous Improvement Register</i> (refer below) as they are raised.
Learner feedback	Learners are invited to provide feedback about their training and assessment experience and general interactions with the RTO at the end of their enrolment. Refer to <i>Collecting and reporting learner feedback</i> . Should suggestions be received related to the provision of client services or the quality of the training and assessment experience be raised, the Managing Director is to capture these in the <i>Continuous Improvement Register</i> (refer below) as they are raised.
Outcomes of the validation of assessment practices and judgements	The RTO has, and implements, a plan for the ongoing systematic validation of its assessment system, including practices and judgements, that includes each training product on scope. Refer to <i>Validation of assessment practices and judgements</i> . The <i>Post-assessment validation checklist</i> ensures that such improvements and general opportunities for improvement are captured in the <i>Continuous Improvement Register</i> (refer below) to ensure the systematic consideration and actioning of these improvements and opportunities for improvement. Improvements are also recorded in the relevant <i>Training and assessment strategy</i> itself.

Results of industry engagement activities	Consultation with industry is undertaken during the design and review of training and assessment strategies and to determine the expected (and ongoing) industry skills of trainers and assessors. Opportunities for improvements are captured in the <i>Continuous Improvement Register</i> (refer below). Improvements are also recorded in the relevant <i>Training and assessment strategy</i> itself.
Findings of independent quality review	An independent review of operations to monitor and test compliance with the Standards for RTOs 2015 is conducted every two (2) years. Gaps in compliance and general opportunities for improvement are captured in the RTO's <i>Continuous Improvement Register</i> (refer below).
Analysis of AVETMISS data	AVETMISS data will be reviewed annually to identify any trends (e.g. attrition/completion rates) that may inform opportunities for the continuous improvement of operations. Such opportunities gaps or opportunities are to be captured in the <i>Continuous Improvement Register</i> (refer below) as they are raised.

10.2. Capturing and tracking opportunities for improvement

The central repository for capturing all identified gaps in compliance or general opportunities for improving operations is the *Continuous Improvement Register* (extract below). The register captures information such as:

- date on which the issue/opportunity for improvement was identified;
- clause(s) of the Standards to which the issue/opportunity for improvement relates;
- description and source of the issue/opportunity for improvement;
- details of action to be taken or alternatively, justification as to why no action was considered necessary;
- documents and resources impacted by the planned action;
- progress;
- person responsible;
- planned completion date;
- actual completion date; and
- list of evidence to demonstrate that action what action has been taken.

Continuous Improvement Register

Item	Date	Clause	Description: Issue (use ALT+Enter to start new line within cell)	Source/How identified?	Description: Required Actions (use ALT+Enter to start new line within cell)	If Required Actions is considered to be 'Nil' or 'NA', justification as to why no action is considered necessary
1						
2						
3						

Relevant documents/resources	Progress	Person Responsible	Planned Completion Date	Actual Completion Date	Evidence (e.g. document name, register type, resource description/version) (use ALT+Enter to start new line within cell)

10.3. Actioning opportunities for improvement

- At least twice a year the Managing Director, alone or with other relevant staff, reviews the un-actioned entries in the *Continuous Improvement Register* as stand-alone items and combined in case the same or similar issues are raised a number of times and/or from a variety of sources and a systemic issue is likely.
- The un-actioned entries will also be compared to actioned and completed entries, again, in case the same or similar issues have been raised a number of times and the action that was taken in the past did not have the effect (or enough of an effect) of reducing reoccurrence,

The un-actioned items are reviewed for currency to confirm that the documented action is still appropriate as it is possible that an immediate and/or informal response either at the time the issue was raised or in implementing a resolution to a specific problem (such as a complaint or appeal) may have been actioned (outside of the twice per year cycle).

- A person responsible for effecting the described required actions is nominated by the Managing Director, who also identifies a planned completion date for the action, and records these details in the register.
- The progress column of respective entries is updated by the nominated responsible person to show whether the response action is 'Not started', 'In progress' or 'Completed' and when complete, the actual completion date is entered along with details of the evidence that can be produced to demonstrate that the specified action was taken.
- Improvements specific to strategies for training and assessment are also recorded in the relevant *Training and assessment strategy* itself as demonstrated in this extract of sections of the *Training and Assessment Strategy* template:

Consultation with Industry

Date:	Name & contact details:	Approach:	Engagement about:	How outcome of consultation was used/considered:
			<input type="checkbox"/> Training and assessment strategy (inc. selection of elective units)	
			<input type="checkbox"/> Resources (learning and assessment)	
			<input type="checkbox"/> Current industry skills of trainers and assessors	
			<input type="checkbox"/> Training and assessment strategy	

Monitoring and Improvement of Training and Assessment Strategy

The RTO takes a systematic approach to monitoring the RTO's training and assessment strategies and practices to ensure ongoing compliance and to continually improve the RTO's training and assessment practices. This approach, which is informed by performance indicator data, validation outcomes and client, trainer and assessor feedback and complaints and appeals is described in the organisation's Approach to monitoring compliance and continuous improvement.

Version	Date	Summary of amendments	Trigger	Summary of the feedback/matter that led to amendment
			<input type="checkbox"/> Performance indicator data <input type="checkbox"/> Validation outcomes <input type="checkbox"/> Client feedback <input type="checkbox"/> Trainer/assessor feedback <input type="checkbox"/> Complaints/appeals <input type="checkbox"/> AVETMISS data	
			<input type="checkbox"/> Performance indicator data <input type="checkbox"/> Validation outcomes <input type="checkbox"/> Client feedback <input type="checkbox"/> Trainer/assessor feedback	

11. Complaints and appeals policy & procedure

The RTO is committed to providing a fair complaints and appeals process and respects the right of stakeholders to lodge complaints and requests for appeals about decisions. The principles of natural justice and procedural fairness will be adopted at each stage of the complaint and appeal process and all people involved will be treated with courtesy and respect. The lodgement of a complaint or a request for an appeal will not disadvantage any stakeholder in their dealings with the RTO.

The policy is made publicly available by including it here, in the Student Handbook, which is available from the RTO's website.

11.1. What is a complaint?

A complaint is an expression of dissatisfaction with a specific action or service of the RTO or an allegation involving the conduct of:

- the RTO, its trainers, assessors or other staff;
- a third party providing services on behalf of the RTO, its trainers, assessors or other staff; or
- a student of the RTO

11.2. What is an appeal?

An appeal is a request for a review of a decision made by the RTO or a third party providing services on the RTO's behalf), including decisions about assessment.

11.3. Value of complaints and appeals

The RTO values complaints and requests for appeals as opportunities to identify operational improvements to quickly and appropriately respond to changes in the marketplace or stakeholder expectations. The subject of complaints and requests for appeals and outcomes are recorded on a register to allow analysis of matters over time and identify any common factors that may need action.

It is preferable, to all parties, that matters are resolved as quickly and effectively as possible and stakeholders, including students, are encouraged to raise issues of concern directly with their trainer and assessor or the Managing Director at the earliest opportunity with the view to addressing the matter in an informal but effective matter.

11.4. Procedures for making a complaint or lodging an appeal

If a stakeholder, including a student, is unable to raise issues of concern directly with their trainer and assessor or the Managing Director with the view to addressing the matter in an informal manner, or if the stakeholder, including the student, is not satisfied with the outcome of the informal approach, a formal complaint or request for appeal may be lodged.

A complaint or request for appeal:

- must be made within 15 calendar days of the event, circumstance or decision that is the subject of the complaint or request for appeal;
- must be made in writing using the Complaint & Appeals Form available from the RTO's website or otherwise in writing including the following information:
 - whether you are lodging a complaint or requesting an appeal;
 - your name, home phone number, mobile number and email address;
 - the date of the event, circumstance or decision that is the subject of the complaint or request for appeal;
 - details of the complaint or appeal (you may attach supporting documentation if required);
 - any steps you may have taken to resolve the issue;
 - what outcome would you like to see from raising this complaint/appeal;

- a statement that the information provided is, to the best of your knowledge, true and correct, that you acknowledge that the RTO may use the information provided to investigate the complaint and that you understand that this information may also be used for the continuous improvement of the RTO's operations; and
- your signature and the date of submission
- will be acknowledged in writing within seven (7) calendar days of receipt of a complaint or request for appeal.

11.5. Procedures for investigating a complaint or appeal

Complaints and requests for appeals will be investigated by a person or persons who was/were not involved in the event, circumstance or decision that is the subject of the complaint or request for appeal.

Details of complaints and requests for appeals will only be made known by those directly concerned.

The person or persons conducting the investigation will interview the person making the complaint and, if the complaint was about a person, will separately interview the person the complaint is about. They may also review documentation, including RTO policies and procedures and may, if relevant, interview other stakeholders and staff.

In the case of an appeal against an assessment or other decision, the person or persons conducting the investigation will review the decision and the evidence used to make the decision. If it is an assessment decision being appealed, the assessor and student will be interviewed separately to find out whether there is any relevant information not contained in the learner's file.

A complainant or appellant may be accompanied by and/or assisted by a support person at any time.

Regardless of the outcome, and while complaints and appeals will be finalised as soon as practicable, the complainant or appellant will be notified of the outcome, and reasons for the outcome, in writing within 30 calendar days of the complaint or appeal being lodged.

Where the RTO considers more than 30 calendar days are required to process and finalise a complaint or appeal, the complainant or appellant will be:

- informed in writing of the reasons why more than 30 calendar days are required; and
- regularly updated on the progress of the matter.

11.6. Review by a third party

If the complaints and appeals process fails to resolve a complaint or appeal, the complainant or appellant may request a review by a party independent of themselves and the RTO. A mediator can be provided by the [Australian Mediation Association](#); however, the complainant or appellant must organise the mediation and meet all costs of engaging a mediator. The RTO will reasonably cooperate in any organised mediation session/activity.

11.7. Use of complaints and appeals to inform continuous improvement

The causes of complaints and appeals are identified and corrective action is taken to eliminate or mitigate the likelihood of reoccurrence and to inform the continuous improvement of RTO operations. The *Complaint and Appeal Form* ensures that such causes and opportunities are captured in the RTO's *Continuous Improvement Register* and the RTO's procedures for monitoring compliance and continuous improvement ensure the systematic consideration of these causes as opportunities for improvement.

12. Collecting and reporting student feedback

12.1. Collecting

- As well as collecting Quality Indicator data as learners complete their studies, students are invited to complete a *Student Survey* upon completion of the course. The Student Survey collects feedback on different aspects of the student experience not captured via the QI Learner Questionnaire.
- As the trainer concludes the final day of a course, students will be asked to complete the survey (along with the QI Learner Questionnaire).
- Students may choose whether or not they consent to being contacted about their responses.

12.2. Recording

- The RTO uses a spreadsheet: *Student Survey Data Register* – a protected spreadsheet with built in formulae.
- Original completed *Student Surveys* provide the source data to complete the register and generate statistics.
- Within a month after a course has completed, the Managing Director or delegated officer will collect completed Student Surveys for the course, access the Student Survey Data Register and enter the required data – simply by working through each completed questionnaire and entering the **code of each student's response to each question**.
- Four **response categories** for each item as strongly disagree (0), disagree (33), agree (67) and strongly agree (100).

Student Survey Data Register		0 = Strongly disagree 33 = Disagree 67 = Agree 100 = Strongly agree		
Label	Item	1	2	3
1	The information I received and accessed prior to enrolment was easy to find and understand.			
2	I understood the length of the course, study requirements and assessment (test) methods before I enrolled.			
3	The payment terms and conditions were clear to me before I enrolled.			
4	I was aware of sprout training's refund policy when I enrolled.			
5	sprout considered my relevant skills, knowledge and experience.			

12.3. Analysis & interpretation

- The *Student Survey Data Register* includes a range of formulae which will auto-calculate to analyse the data. No manual calculation or manipulation of data is required.

Class/group ID:	1234
Issued Date:	14/07/17
No:	17
Total =	17
No. responses =	14
Response rate =	82%
Item average	
33	1
100	2
67	3
67	4
100	5
67	6
33	7
100	8
100	9
100	10

- Scores are reported on a 0 to 100-point metric. For example, a survey score of 53 for question 1 indicates that average responses lie between disagree and agree.
- In general, differences of around 10 points may represent a 'meaningful educational effect' when comparing one period's data to the previous period's data.
- The Managing Director or delegated officer (and others as nominated e.g. the relevant trainer) will meet to discuss the survey responses, focusing on:

- expected and unexpected findings of the surveys;
- what the findings indicate about learner satisfaction with their training to date;
- how the findings compare with previous findings;
- reasons for why findings may be different;
- preventive or corrective actions to be implemented in response to the feedback; and
- how the effectiveness of these actions will be monitored.

12.4. Recording

- The *Student survey summary* will be completed using the above discussion as the basis for responses
- The completed summary will be provided to the **Managing Director** for review and approval.

12.5. Use of student survey data to inform continuous improvement

- The RTO uses the feedback it receives from learners as part of its continuous improvement processes to ensure it provides quality training and assessment.
- Issues or opportunities for improvement identified out of the analysis of learner survey data will be fed through the RTO's approach to *Monitoring compliance and continuous improvement*.

12.6. Monitoring of this procedure

The procedure is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement*.

13. Collecting and reporting AVETMISS data

13.1. Collecting

- The RTO's Enrolment Form incorporates the [standard enrolment questions](#) published by NCVET for the RTO to collect the minimum required information for AVETMISS reporting.
- The RTO maintains a Learner Record System (a spreadsheet) for recording the training products in which each student is enrolled and their commencement and completion date for each unit of competency, as well as the outcome of each unit of competency.
- Prompts are included in relevant documents, such as the Enrolment Form and the assessment booklets to ensure the Learner Record System is updated with student outcomes and relevant dates.

13.2. Reporting

- The RTO uses the free online AVETMISS data entry tool available from NCVER's website.
- Original student Enrolment Forms and the Learner Record System provide the source data used to complete the data entry tool.
- The Managing Director is responsible for ensuring that a valid data submission for the previous calendar year is made to NCVER by the end of February.
- In January each year, the Managing Director or delegated officer who is registered to use the data entry tool will collect Enrolment forms for the previous year and sign in to the Learner Record System and, following the instructions in the AVETMISS Data Entry Tool Guide (available here: <https://www.ncver.edu.au/data-entry-tool>) will **enter** the required data.
- Once all data has been entered, a different officer will **check** the entries to confirm they are correct.
- Once the data has been confirmed correct the data files will be **exported** for validation.
- The exported files from the Data Entry Tool can be **validated** using NCVER's AVETMISS Validation Software.
- Errors will be rectified and files will be re-exported and re-validated.
- Once the files have been successfully validated (without errors), and by the end of February, they will be **submitted** to the NCVER.

14. Collecting and reporting Quality Indicator data

14.1. Collecting

Learner Engagement

- When a learner becomes eligible to complete their enrolment and to be issued with AQF certification documentation, they are invited to complete the *Quality Indicator Learner Questionnaire*.
- A cover letter (template: *QI Learner Survey Cover Letter Template*) to the questionnaire explains the purpose of conducting the survey and the role of learner feedback in the continuous improvement of the training and assessment services provided by the RTO.
- The number of survey invitations issued throughout the calendar year must be recorded in the *Quality Indicator Data Register* for the relevant year in order to facilitate the reporting of a survey response rate. Each worksheet is for a different year.

Training	Effectiveness	9	Overall, I am satisfied with
		10	I would recommend the
		11	Training organisation sta
			Employer 2017

- Record the **date of issue** of a batch
- Record the **number** of questionnaires in the batch

Issued	Date:				
	No:				
Total =		0			
No. responses =		0			

- While learner participation is encouraged and the aim is to collect feedback from each learner, it is not compulsory for a learner to participate.
- Completed surveys are collected and securely stored (refer *Records Management Procedure*).

Employer satisfaction

- Employers of learners who are enrolled in nationally recognised training are the target population for the employer survey.
- When learners whose training has been arranged through their employer become eligible to complete their enrolment and to be issued with AQF certification documentation, the employer is invited to complete the Quality Indicator *Employer Questionnaire*.
- A cover letter (template: *QI Employer Survey Cover Letter Template*) to the questionnaire explains the purpose of conducting the survey and the role of employer feedback in the continuous improvement of the training and assessment services provided by the RTO.
- The number of survey invitations issued throughout the calendar year must be recorded in the *Quality Indicator Data Register* for the relevant year in order to facilitate the reporting of a survey response rate. Each worksheet is for a different year.

Training	Effectiveness	3	The training organisation
		2	The training organisation
		8	The training organisation
			Learner 2017
			Employer 2017

- Record the **date of issue** of a batch
- Record the **number** of questionnaires in the batch

Issued	Date:				
	No:				
Total =		0			
No. responses =		0			

- While employer participation is encouraged and the aim is to collect feedback from each employer, it is not compulsory for an employer to participate.
- Completed surveys are collected and securely stored (refer *Records Management Procedure*).

14.2. Recording

Learner Engagement & Employer Satisfaction

- The RTO uses a spreadsheet: *Quality Indicator Data Register* – a protected spreadsheet with built in formulae.
- Original completed Learner Questionnaires and Employer Questionnaires provide the source data to complete the register and generate statistics.
- In January - May each year, the Managing Director or delegated officer will collect completed Learner Questionnaires and Employer Questionnaires for the previous year, access the Quality Indicator Data Register and enter the required data – simply by working through each completed questionnaire and entering the **code of each learner's and employer's response to each question**.
- Four **response categories** for each item as strongly disagree (0), disagree (33), agree (67) and strongly agree (100).

Quality Indicator Data Register Year 2015						
Domain	Scale	Label	Item	1	2	3
Trainer quality		1	I developed the skills expected from this training.			
		2	I identified ways to build on my current knowledge and skills.			
		3	The training focused on relevant skills.			
		4	I developed the knowledge expected from this training.			

0 = Strongly disagree
 33 = Disagree
 67 = Agree
 100 = Strongly agree

The above is an extract from the Learner worksheets. However, the Employer worksheets work in the same way.

- Once all data has been entered, a different officer will **check** the entries to confirm they are correct.

14.3. Analysis & interpretation

Learner Engagement & Employer Satisfaction

- The *Quality Indicator Data Register* includes a range of formulae which will auto-calculate to analyse the data. No manual calculation or manipulation of data is required.

Issued	Date:	12/06/14	13/08/14	
	No:	45	23	
Total =		68		
No. responses =		7		
Response rate =		10%		
Item average		Scale average		Domain average
67	1	33	Trainer quality	53 Training quality
33	2			
33	3			
0	4			
100	5	67	Overall satisfaction	
33	6			
67	7			
67	8	33	Effective assessment	
33	9			
33	10			
0	11			
100	12	67	ear tations	
33				

The above is an extract from the Learner worksheets. However, the Employer worksheets work in the same way.

- Learner and employer survey scale scores are reported on a 0 to 100 point metric. For example, a learner survey score of 53 for Trainer Quality indicates that average responses lie between disagree and agree.
- In general, differences of around 10 scale points may represent a 'meaningful educational effect' when comparing one year's data to the last year's data.
- Comparisons should not be made across scales as doing so may be misleading because the scales measure different phenomena, and certain phenomena may simply be easier or harder to agree with than others.

14.4. Actioning

Learner Engagement & Employer Satisfaction

- The RTO uses the feedback it receives from learners and employers as part of its continuous improvement processes to ensure it provides quality training and assessment.

- Issues or opportunities for improvement identified out of the analysis of Quality Indicator data will be fed through the RTO's approach to *Monitoring compliance and continuous improvement* and reported as prescribed by that approach. At minimum:
 - an average response of 'Strongly disagree' or 'Disagree' in any scale must be identified and investigated
 - differences of greater than 10 scale points (when comparing one year's data to the last year's data) must be identified and investigated

14.5. Reporting

Learner Engagement & Employer Satisfaction

- The RTO will meet its obligation to report Quality Indicator summary data to ASQA on an annual basis. The Managing Director is responsible for ensuring that a valid summary report is submitted for the previous calendar year by the end of June.
- The data for the previous calendar year will be reported on [ASQA's Quality Indicator annual summary report template](#) and the report will be submitted to Qidata@asqa.gov.au by 30 June each year.

15. Fees, cancellations & refund policy

15.1. Fees

Information about course fees is included on our website at www.sprout.edu.au.

Full payment is due upon submission of the Enrolment form.

Other fees

Re-issue Qualification	\$45
Re-issue Statement of Attainment	\$45
Re-issue Record of Results	\$45

All fees can be paid by:

- Credit Card;
- Electronic Funds Transfer (account details available on request); or
- Cash.

Any change to fees will be published to Sprout Training's website at www.sprout.edu.au.

15.2. Student cancellation & refund

Students who given notice to cancel their enrolment:

- within four (4) weeks of the course commencement date are not entitled to receive a refund, transfer or credit note.
- between four (4) and twelve (12) weeks prior to the course commencement date are not entitled to a refund. They can, however, transfer their enrolment to a later course, provided the course is within 12months of initial course.
- twelve (12) or more weeks before the course commencement date are entitled to a full refund or they may transfer their enrolment to a later course, provided the course is within 12 months of the initial course.

Notification of cancellation of enrolment must be received by in writing by post or emailing training@sprout.edu.au and, if the timing of the notification allows for transfer to a later course, a representative of the RTO will contact the cancelling student to arrange the transfer. Eligible students may only transfer their enrolment once.

15.3. Cancellation by the RTO

If a payment has been made by a student and received by Sprout Training and the Sprout Training:

- terminates the training and assessment arrangement early*;
- is forced to reschedule the training course; or
- fails to provide the agreed services*

a student will be entitled to a full refund of the fee paid if the training to which the payment relates has not yet commenced or a proportionate refund if it has commenced.

The refund will be made within four weeks (28 calendar days) and will be transferred into the student's nominated bank account.

* A student is not entitled to a refund if the student is suspended from attending or has had their enrolment cancelled in accordance with the circumstances explained in section 4: *Student obligations & disciplinary procedures* in the Student Handbook.

16. Transition policy and procedure

The RTO acknowledges that students are entitled to graduate with the qualification that most closely represents the current skill needs of industry and that this is the most recent version of the qualification.

16.1. What is transition?

Transition involves ensuring that students graduate with the most recent version of a qualification. This is achieved by either transferring students to a new qualification where the one they are enrolled in is superseded or completing their studies prior to expiry of the original qualification.

The process of transition involves three steps:

- Managing the scope of registration of the RTO to ensure current training products are offered
- Ensuring all resources, including training and assessment resources and pre-enrolment information, are relevant to the scope of registration
- Managing any transfer of students to ensure the best outcomes for each student.

16.2. Procedures for managing transition

Managing scope of registration

The RTO will maintain an account on the National Register, along with suitable notifications to ensure the RTO is aware of any changes to training products on scope as early as possible. Suitable notifications include, as a minimum, notification of change to the RTO's record and of any change to training products on scope.

When notified of a change to one or more training products, check the National Register to ascertain the nature of the change. Where the change necessitates the scope of registration being amended, confirm that an 'automatic' update has been applied by ASQA and, if not, submit the required 'Amendment RTO application' via ASQAnet. Where an application is required, it is to be submitted to ASQA within 6 weeks of the notification of a change.

Relevant links	
National Register	http://training.gov.au/Home/Tga
Account registration	https://training.gov.au/Account/Register
Manage notifications	https://training.gov.au/ChangeNotification
ASQAnet	https://asqanet.asqa.gov.au/Account/Login?ReturnUrl=%2F

Ensuring resources are relevant

When notified of a change to one or more training products, The RTO will conduct an analysis of the change to ascertain whether any amendments are required to training, assessment and/or pre-enrolment resources. This analysis is to be completed within 10 working days of the notification of a change and prior to any application to amend the scope of registration being submitted.

Where changes to pre-enrolment resources are required, the controlled documents register will be checked to identify all resources requiring change. All required changes are to be made and obsolete resources withdrawn from publication and archived within 20 working days of the notification of a change or, where an application to amend the scope of registration is submitted, immediately following the application being approved by ASQA.

Where changes to training and/or assessment resources are required, the controlled documents register will be checked to identify all resources requiring change. All required changes are to be made and obsolete resources identified as such and then withdrawn from use in accordance with the transition timetable established when planning any transfer of students.

Managing transfer of students

In conjunction with any required changes to training and/or assessment resources, an analysis will be conducted of each student's progress in relevant training product/s to determine the most suitable approach to transitioning the student. Where a student is scheduled to complete their training prior to the expiry of the training product/s they are enrolled in, the student may complete their training in the original training product/s. Where a student is not scheduled to complete their training until after the expiry of the relevant training products, they must be transferred to the replacement at the earliest possible opportunity.

In all cases, the overriding principle is that students graduate with the most recent training product where practical.

On completion of the analysis, the student will be notified in writing of any proposed changes to their enrolment, training and/or assessment schedule and advised of the appeal mechanisms available to them if they do not agree to the proposed changes (refer *Complaints and appeals policy & procedure*).

16.3. Monitoring of this procedure

This procedure is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement* and *Document control procedure*.

17. Document control procedure

The RTO manages a wide range of documentation essential to its operations. To ensure the use of the correct version of documentation, all documentation is version controlled and recorded in a *Controlled Documents Register*.

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s).

The authority to approve amendments and revisions of documentation rests with the Managing Director. Generally, amendments and revisions will be considered in consultation with relevant parties, where appropriate.

17.1. Document control procedures

Version numbering and tracking

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

- All draft documents will initially be numbered DV1. 'DV' documents are not approved and are not in circulation.
- When a document is created, it is to be added to the *Controlled Documents Register*.
- After each revision of a draft document, the number to the right of the dot point increases by 1 (Version DV2, DV3 etc.) and the *Controlled Documents Register* is updated to increment the version number.

- When the document is authorised, the number converts to Version 1, the Controlled Documents Register is updated to include the version number, status of 'current', date and authorised persons and the document is published or distributed.
- Once published the number to the right will increase with each amendment approved (Version 2, 3, 4 etc.) and the *Controlled Documents Register* is updated to include not only the version number, status, date and authorised person, but a summary of the amendment/s made.
- When a version is superseded, the status of the document in the *Controlled Documents Register* is to be amended to 'Non-current'.
- When a document is no longer in use at all, the *Controlled Documents Register* is to show the status of the document as 'No longer in use'.

Controlled documents register											
All documents											
TITLE	DOCUMENT TYPE	FILING CABINET LOCATION	INITIAL VERSION				AMENDMENTS				Summary of changes
			Version	Status	Approved		Version	Status	Approved		
					Date	Authority			Date	Authority	

Extract of Controlled Documents Register

Document Footer – (internal documents only)

In all internal documents:

- the statement (shown below) that the document is controlled is to be included in the left-hand side of the footer.
- the version date and number are to be indicated in the left-hand side of the footer. The version date and number are to be updated after each approved amendment.
- the page number and total number of pages are to be included in the right-hand side of the footer.

This is a controlled document and becomes uncontrolled when downloaded or reproduced.
 © [RTO name], [year]
 Date: [date] v# Page 1 of 3

Sample of required footer content

Document location and protection

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

Generally, where documents are used for print purposes, these are available in PDF format only. Where documents are required to be populated with data electronically, these can be available in Word format.

Document use

The end user of a document must confirm the status of a document immediately before each use. All hard copies of superseded versions must be removed from circulation and confidentially disposed of (e.g. shredded).

17.2. Monitoring of this procedure

The procedure is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement*.

18. Records management procedure

The RTO is committed to meeting its obligation to manage and ensure the accuracy and integrity of certain records relevant to the operations of the RTO and respects that individuals have the right to keep their personal information private.

18.1. Range of records

The types of records created, collected, maintained and retained, their location/format and minimum retention period includes:

Record type	Content	Location/format	Minimum retention period
Learner records	<ul style="list-style-type: none"> • Enrolment information • Name and contact details • Unique Student Identifier (USI) • Record of progress • Certification issue and re-issue dates & details 	• Learner Record System	30 years
	<ul style="list-style-type: none"> • Completed enrolment forms • Any hard copy documentation submitted in support of the enrolment form • Record of interview – current skills and knowledge if relevant 	• Learner file/locked filing cabinet/hard copy record	30 years
Strategies for training and assessment	• Training and Assessment Strategy (versions of)	• Electronic filing system/Word document	12 months from the date it ceases to be relevant
Stakeholder/ employer consultation	<ul style="list-style-type: none"> • Stakeholder consultation questions – training and assessment • (Above – Training and Assessment Strategy) 	• Locked filing cabinet/hard copy	12 months
Assessment validation records	• Completed Post-assessment validation checklists	• Locked filing cabinet/hard copy	12 months
Master assessment tools	<ul style="list-style-type: none"> • Assessment Plans • Assessment Task Booklets • Assessor Guides 	• Electronic filing system/Word document	30 years
Master learning materials	<ul style="list-style-type: none"> • Text books • Handouts • Supplementary learning resources 	• Electronic filing system/Word document	12 months

Record type	Content	Location/format	Minimum retention period
Trainer and assessor	<ul style="list-style-type: none"> Trainer and assessor profiles 	<ul style="list-style-type: none"> Electronic filing system/Word document 	2 years after trainer and assessor ceases to deliver training and assessment for the RTO
Completed student assessment items	<ul style="list-style-type: none"> Actual Assessment Task Booklets Evidence collected for an RPL process Assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work Assessment administration, recording and reporting requirements 	<ul style="list-style-type: none"> Learner Record System Learner file/locked filing cabinet/hard copy record 	Six (6) months from the date on which the judgement of competence for the student was made
Controlled documents - master policies, procedures, templates, checklists and other general operational documentation	<ul style="list-style-type: none"> RTO policies, procedures, templates, checklists and approaches to required activities 	<ul style="list-style-type: none"> Electronic filing system 	30 years
	<ul style="list-style-type: none"> Version control details 	<ul style="list-style-type: none"> Controlled Documents Register/Excel Spreadsheet 	30 years
Completed QI Questionnaires	<ul style="list-style-type: none"> Completed QI Learner Questionnaires Completed QI Employer Questionnaires 	<ul style="list-style-type: none"> Locked filing cabinet/hard copy 	Six (6) months from the date the Annual summary report in which the questionnaire responses were included is submitted to ASQA
Complaints and appeals	<ul style="list-style-type: none"> Complaints and appeals forms 	<ul style="list-style-type: none"> Complaints & appeals file/locked filing cabinet/hard copy record 	Six (6) months from the date of finalisation of the complaint or appeal
	<ul style="list-style-type: none"> Information from complaints and appeals forms received Progress of investigation and timeframe Outcomes of complaints and appeals 	<ul style="list-style-type: none"> Complaints and Appeals Register/Excel Spreadsheet 	30 years
Financial records	<ul style="list-style-type: none"> Fees and payments received Refunds made 	<ul style="list-style-type: none"> XERO through NAB payment portal 	Seven (7) years

18.2. Record management procedures

Storage and maintenance of records

- The RTO retains a combination of electronic and hard copy records. In general, registers and master versions of controlled documents are retained and maintained electronically while documents that have been printed e.g. enrolment forms and assessment materials are retained in hard copy but also scanned and saved electronically.

- Electronic records are stored centrally in a secure password protected company shared drive. Files stored in the shared drive are only accessible by those who have been given access to the storage location. Access is limited to those who need the information/record in the course of providing training and assessment services or in administering the RTO.
- Hard copy records are stored in a locked filing cabinet on the premises. Relevant details from Enrolment forms are entered onto the *Learner Record System* as detailed within the Enrolment procedure and the *Enrolment form* is inserted into a physical file created for the student which is maintained throughout the duration of their enrolment.
- Assessment outcomes are entered onto the electronic *Learner Record System* and hard copy completed assessment items are inserted into the physical student file.
- Relevant details from complaint and appeal forms are entered onto the electronic *Complaints and Appeals Register* as detailed within the *Complaints and appeals policy & procedure* and the form and any materials generated or collected during the investigation of a complaint or appeal is stored in a locked filing cabinet.

Access to records, privacy & accuracy

- The RTO is required to collect certain information for national database and tracking purposes, to assist in ongoing qualification issuance as required and to contact and communicate with learners during the period of a learner's enrolment. As an example, the *Enrolment Form* collects information about a learner, some of which is used by the RTO during the period of enrolment (e.g. contact details and details about work experience and qualifications achieved), some of which is collected to contribute to national records of VET activity (e.g. reason for study, employment status and level of schooling).
- In recognition of a learner's right to keep their personal information private, the RTO is committed to protecting and maintaining privacy, accuracy and security of your training records. All data is confidential and is not forwarded to any other party unless the RTO is legally obligated to do so as a condition of its registration or a learner has given written consent for the data to be released to a third party. Some data must be provided to the national statistical database to comply with the Total Vet Activity reporting requirements for RTOs.
- Records about progress, competency achievement, qualification issuance are updated periodically by the Managing Director or Trainers and Assessors.
- Learners can confirm and update and/or correct their personal and sensitive information during their enrolment period by contacting the Managing Director.
- Access to electronic records is password controlled via employee login to a secure company shared drive and access is limited to those who need the information/record in the course of providing training and assessment services or in administering the RTO. The Managing Director has access to all records and will provide access to essential others as the need arises. Access to hard copy records is also controlled by the Managing Director.
- Certain information about learners, including information related to enrolment, progress and attainment must be retained by the RTO for 30 years. Learners may have access to their records, including records of progress, records of certification issued to them at a mutually convenient time agreed with the Managing Director. Learners may be required to provide photo ID for this access.

Treatment of records on ceasing operation

The RTO acknowledges that it has a responsibility to transfer records to ASQA should the RTO cease to operate. Student records of achievement are retained by the RTO in its Learner Record System and will be forwarded to ASQA within 30 days of the organisation effectively ceasing to operate as an RTO.

Student records of achievement will include the following information for each student:

- family name, first name
- residential post code
- date of birth
- student ID number
- enrolment and commencement dates
- code and title of qualification, course or program student enrolled in
- codes and titles of units of competency completed and results (if applicable)
- date the Certificate or Statement of Attainment was issued

Destruction of Records

The Managing Director is the only person who can authorise the destruction of physical/hard copy records. Records are only to be authorised for destruction after the retention period (itemised in the above table) has lapsed.

Documents identified for destruction are to be securely destroyed e.g. shredded.

18.3. Monitoring of this procedure

The management of records is subject to systematic monitoring and improvement as per the RTO's approach to *Monitoring compliance and continuous improvement* and *Document control procedure*.