AQTF Quality Manual

St John’s College

Updated February 2011
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Preface

In general, the evidence to show compliance with the Australian Quality Training Framework (AQTF 2010) Essential Standards for Continuing Registration will be found in:

- student information guides, diaries
- AQTF Quality Manual
- School websites
- staff handbooks
- records of the implementation of the policies and procedures in this manual.

The Queensland Studies Authority (QSA) has a delegation under the Training and Employment Act (2000) to accredit courses and register Schools, generally to Australian Qualifications Framework (AQF) certificate II level.

Schools register with the QSA to offer VET as registered training organisations. References to QSA may also be read as references to the state training authority (the TERC) where appropriate.
Glossary

In this document:

**Accredited** course means a structured sequence of vocational education and training that has been accredited and leads to an Australian Qualifications Framework (AQF) qualification or Statement of Attainment.

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

**Audit** means a systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply, or continue to comply, with the Standards for Registered Training Organisations. Audits may be:
- **internal** — conducted by officers of the School annually; or
- **external** — conducted by auditors from other agencies, e.g. the state training authority or the QSA.

**Auditee** means the organisation that is the subject of the audit.

**Australian Quality Training Framework** (AQTF) means the nationally agreed quality framework for the vocational education and training system agreed to by the ministerial council.

**Conditions of Registration** are a set of nine (9) statements forming an agreement signed by the Principal that binds the School to operate in accordance with the AQTF 2007 Essential Standards for Registration.

**Essential Standards for Registration** (also AQTF 2010 Essential Standards for Continuing Registration) refers collectively to the three Standards, the Quality Indicators and the Conditions of Registration.

**Internal audit** (see Audit above).

**Internal review** is a quality improvement process undertaken by the School in each vocational training area to review and evaluate learning and assessment strategies and the related human and physical resources at least once per year.

**Quality Indicators** are a part of the Essential Standards for Registration. The three quality indicators measure employer satisfaction, learner satisfaction and competency completion rates.

**Recognition** applies nationally and means:

1. The acceptance of the decisions of the registering body that has registered a training organisation, or the course accrediting body that has accredited a course, by another registering/course accrediting body, without there being any further requirement, including:
   - the recognition by each registering body of the decisions of registering bodies in other States and Territories in relation to the registration of training organisations and the imposition of sanctions including cancellation of registration
   - the recognition by each course accrediting body of the decisions of course accrediting bodies in other States and Territories in relation to the accreditation of courses.

2. The recognition by all State and Territory registering/course accrediting bodies of the national endorsement of Training Packages as notified on the National Training Information Service.

3. The recognition and acceptance by a registered training organisation (RTO) of Australian Qualifications Framework qualifications and Statements of Attainment issued by other RTOs, enabling individuals to receive national recognition of their achievements.
Non-compliance means failure to comply with one or more parts of the Essential Standards for Registration.

Objective evidence means information relating to the products or services provided by the registered training organisation that can be verified or tested. Information can be in the form of documents, records, unbiased observations, or facts that can be measured or tested.

Observation means a statement of fact that can be verified by objective evidence.

Registered training organisation (RTO) means a training organisation registered by a registering body in accordance with the Australian Quality Training Framework within a defined scope of registration (see Scope of registration).

Registration means the formal approval and recognition of a training organisation, by a State or Territory registering body, in accordance with the Standards for Registered Training Organisations and the Standards for Registering/Course Accrediting Bodies.

Risk management means the systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk.

The School Executive Management Team consists of the senior administration of the School, usually led by the Principal.

Scope of registration means the defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. A registered training organisation may be registered to provide either:

a training delivery and assessment services and products and the issuance of Australian Qualifications Framework (AQF) qualifications and Statements of Attainment, or

b assessment services and products, and issue AQF qualifications and Statements of Attainment. The scope of registration is further defined by AQF qualifications and/or endorsed units of competency.

Standards means the three Standards for Training and Assessment (Standard 1), Client Services (Standard 2) and Management systems (Standard 3). The term does not include the other two parts of the Essential Standards for Registration (i.e. Quality Indicators and Conditions of Registration).

Training Package means an integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.
Acronyms and abbreviations

**AQF**  Australian Qualifications Framework

**AQTF**  Australian Quality Training Framework

**AVETMISS**  Australian Vocational Education and Training Management Information Statistical Standard

**CRICOS**  Commonwealth Register of Institutions and Courses for Overseas Students

**ITAB**  Industry Training Advisory Body

**NTF**  National Training Framework

**NQC**  National Quality Council

**NTIS**  National Training Information Service

**RCC**  Recognition of Current Competency

**RPL**  Recognition of Prior Learning

**RTO**  Registered training organisation

**VET**  Vocational education and training

**HOD**  Head of Department

**SDCS**  Student Data Capture System

**VTA**  Vocational Training Area
Systems for quality training and assessment

Policies and procedures

St John’s College has policies and procedures covering (but not limited to) the following topics:

- continuous improvement
- risk identification and management
- staff recruitment, induction, and ongoing development
- competency in delivery and assessment
- strategies for learning and assessment
- access and equity
- client selection, enrolment and induction/orientation
- client complaints and appeals
- administrative and records management
- financial management, including refund policies, systems to protect fees paid in advance and guarantee given to students to complete their training/assessment once they’ve commenced study in their chosen qualification
- recognition of qualifications issued by other RTOs

Continuous Improvement (Standards 1.1, 2.1, 3.1)

Data collection, analysis and actions

St John’s College collects data on a regular basis in order to inform the processes of:

- Compilation of the School’s Quality Indicators
- Improvements to all aspects of training
- Professional development of staff
- Improvements to assessment

Data is collected systematically by:

- National tools for the collection of data for the Quality Indicators
- Interviewing learners regularly
- Obtaining written feedback from learners (Ref: VET Questionnaire – Students)
- Obtaining written feedback from trainers and assessors (Ref: VET Questionnaire – Staff)
- Obtaining feedback from employers following work placements of learners (Ref: VET Questionnaire – Employer) – where applicable
- Analysis of the root cause of complaints should they occur

The data is analysed for relevance to possible improvements to:

- Assessment items and methodology
- Selection of competencies in qualifications
- Appropriateness of training methods
- The need for staff professional development

Improvements are made to relevant areas of the RTO operations on the basis of the data collected. Records are kept of changes made. These records are reviewed at Internal Audits.
VET Coordinator

The VET Coordinator is responsible for ensuring that an internal audit is conducted and opportunities for improvement are acted upon.

The School will collect and analyse stakeholder and VET student feedback annually, to be coordinated by the VET Coordinator. This information will be used in the Internal Review and Internal Audit processes. The School and the VET Coordinator will use this data to inform its focus on continuous improvement and review of policies and procedures.

Internal review procedure

An Internal Review (IR) will be conducted for each qualification/vocational training area (VTA) at least once each year. The IR is different and separate from the internal audit process but may be used to inform internal audits. The IR committee reviews, compares and evaluates the assessment processes, tools and evidence contributing to judgments, at least annually, in each VTA. The IR committee will also review plans for the transition to a new or revised Training Package in accordance with DET's Transition Requirements and Maintaining Scope of Registration Policy. The transition to the new Training Package must be completed within 12 months.

The VET Coordinator appoints members of each vocational internal review committee and acts as the chair at each Internal Review. The VET Coordinator recognises the need to maintain a balance of views and may gain advice from the following groups:

- HOD of the vocational training area
- teachers of the qualification or course in the vocational training area
- clients from a qualification or course in the vocational training area
- industry (if indicated in the VTA’s Training and Assessment Strategy)

The VET Coordinator will provide a written report to the Principal at a meeting immediately following the IR. Any recommendations should include a timeline for their implementation.

The VET Coordinator will manage the ‘Rectifications’ that arise after each Internal Review, with the individual VTA.

The School reserves the right to appoint a consultant to manage this process on its behalf.

Moderation procedure

All teachers of a qualification or course will meet before the Internal Review meeting to review, compare and evaluate the assessment processes, tools and evidence contributing to their judgments. A report/minutes from this meeting will be presented to the Internal Review for inclusion in the report of the Internal Review. The VET Coordinator can provide a format for the report if the teachers require guidance. (Ref – Validation & Moderation Meeting Form)

Risk management policy

Risk management involves the identification, analysis and evaluation of an RTO’s risk of compliance with the AQTF standards and the development of cost effective strategies to treat those risks. The Principal is responsible for assessing and managing risks associated with all aspects of the School’s operations, including that as an RTO. The VET Coordinator will develop a Risk Identification Register to manage risks against the School’s compliance with the AQTF standards.

Version control procedure

The School’s method of version control is to use a page footer that includes the document name & location, version number and a date last reviewed, revision date and position title of who is authorised to make changes to the document.
Register of Documents

The VET Coordinator maintains the Register of Documents which records all documents, e.g.

- St John’s College AQTF Quality Manual
- student information guides
- all other documents used in the School’s activities as an RTO.

The VET Coordinator reviews all documents before adding them to the register. All staff have access to the materials related to their position. VET staff are required to update the Register of Documents as directed by the VET Coordinator.

Standard 1 Quality training and assessment

Element 1.1: Continuous Improvement

Refer to Continuous Improvement section and the Schools VET Continuous Improvement Schedule.

Element 1.2: Training and Assessment Strategies

Training and assessment strategies policy

Training and assessment strategies will be developed for each qualification that is delivered and assessed. These strategies will be developed in consultation with industry (Ref - Record of TAS Consultation with Enterprise/Industry and will be validated through the Internal Review procedures. These strategies will reflect the requirements of the relevant Training Package.

These strategies will identify target groups.

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

Element 1.3: Resources consistent with industry standards

The School has access to all relevant physical resources as outlined in the relevant Training Package or course. The School will ensure that Staff are provided with the resources necessary to meet the human resource requirements of the relevant Training Package or course.

If, for whatever reason, the School cannot maintain the relevant resources to deliver the Training Package or course, the School will attempt to provide students with alternative opportunities to complete the course and the related qualification. The School retains the right to cancel the course if it is unable to meet requirements.
Element 1.4: The competence of RTO staff

Recruitment policy

Recruitment of staff will be guided by the following principles:

a. all prospective staff will be made aware during recruitment that they will undergo a VET induction process if employed by the School
b. any teacher recruited to deliver and assess a particular qualification will either meet the requirements of the relevant Training Package or course, or have the ability to meet this standard before commencing the delivery and assessment of the qualification.

All staff will undergo a VET induction procedure upon employment by the School, or when they become involved with VET, and all staff will be monitored in regard to their performance in delivering and assessing vocational education and training. All VET Staff must complete a VET Teacher Induction Checklist after this procedure has occurred. A VET Staff Acknowledgement Form must also be completed by all VET Staff. Once both forms have been completed, copies must be submitted to the VET Coordinator and kept by the VET Staff member.

The VET Coordinator will enter all details on the Register of Staff Acknowledgement and Induction.

VET induction procedure

The induction procedure will include an introduction to the following:

a. VET quality systems operating within the School
b. VET courses in the School
c. roles and responsibilities of an RTO under the AQTF
d. human resource requirements for VET
e. professional development roles and responsibilities for staff and the School
f. relevant policies and procedures of the School relating to VET
g. relevant Training Packages
h. competency-based training and assessment
i. requirements for Apprenticeships/Traineeships
j. access and equity policy and staff responsibilities in regard to access and equity.

Information in relation to VET Staff responsibilities is clearly outlined in St John's College AQTF Quality Manual and will be reiterated to VET Staff through an annual refresher course on the School's policies and procedures relating to VET.

Establishing and verifying competence

The school establishes staff competence by verifying that staff hold the required qualifications and experience. The original documentation is sighted, copied and held by the Principal.

Trainers must have/ or be enrolled in:

- the training and assessment competencies determined by the National Quality Council or its successor(s).
- The vocational competencies they are delivering with equivalent or higher competence to the level being assessed.
If a person holds the relevant vocational competencies but not the training and assessment competencies, they may co-assess with an assessor who has these competencies. This is monitored by the **Assistant Principal Administration**.

### Ongoing development and monitoring procedure

The RTO (School) must provide opportunities for VET staff to continue to develop their vocational and training and assessment competencies to support continuous improvements in delivery of the RTOs services as outlined in the **AQTF 2010 Essential Standards for Continuing Registration** (Standard 1, Element 1.4).

VET Staff must follow the School’s Policy for applying for professional development opportunities. Annually, each VET staff member must submit a **Plan for Professional Development and/or Industry Placement** to the VET Coordinator for endorsement and **Assistant Principal Administration** for approval.

All requests for professional development and or industry placement must be detailed on this plan.

The School will have regard to the following priorities when allocating funds and other resources related to professional development:

- a. the submission of the plan made by the teacher in support of their need for the professional development
- b. the need to up-skill non-teaching members of staff involved in VET, e.g. SDCS Records Officer
- c. the strategic plan of the School with regard to VET
- d. other professional development initiatives.

The School will approve professional development only when the recipient agrees to update their **Staff Profile** on completion of the activity. The Staff Profile is to focus on the benefit of the professional development to the teacher, specifically the skills obtained by the teacher and the relevance to the vocational and training and assessment competencies.

All staff of the School involved in VET will undergo an annual refresher course on the School’s policies and procedures relating to VET which will be conducted by the VET Coordinator. Participation at this refresher course will be recorded in the **Register of Staff Acknowledgement and Induction** by the VET Coordinator.

### Human resources policy

The School will ensure that all staff delivering and/or assessing VET will meet the requirements (of the relevant Training Package or course) before beginning delivery and/or assessment; or be mentored by a staff member with those qualifications until requirements are met.
Human resources procedure

Heads of department (HOD) of each department delivering and assessing VET will ensure that there is a Staff Matrix or similar document (ie. outlined appropriately in the TAS) for each qualification delivered, showing which members of staff deliver and assess particular units of competency. All teachers shown on the Staff Matrix/TAS must have an up-to-date staff profile on file with the HOD of their VTA and a copy with the VET Coordinator of the School, including statements about relevant industry relationship and currency and verified copies of all qualifications. The Principal, a Justice of the Peace, or a Commissioner for Declarations or any other relevant witness will verify copies of qualifications.

Teachers involved in delivering and assessing VET will be responsible for keeping an accurate and up-to-date record of currency activities on their staff profile, relating to the delivery and assessment they undertake in the VET system.

The staff profile must illustrate how the teacher meets the requirements of Standard 1.4 and Appendix 3 of AQTF 2010 Essential Conditions and Standards for Continuing Registration.

For the requirements after the 17th June 2012 see Appendix 2 of User’s Guide to the Essential Conditions and Standards for Continuing Registration. After the 17th June 2012, all trainers and assessors must have a TAE40110 or equivalent (TAA40104).

These requirements include:

- training and assessment competency;
- training and assessment currency;
- vocational competency; and
- vocational currency.

The staff profile will be updated each semester and before Internal Reviews and Internal Audits. A copy of the updated staff profile must be kept by the HOD of the VTA and a copy given to the VET Coordinator for filing.

Element 1.5: RTO assessments

Assessment policy

In developing the assessment (including RPL) for each qualification, the School will ensure:

a. compliance with the assessment guidelines from the relevant Training Package or accredited course;

b. assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF);

c. assessment complies with the principles of competency-based assessment (ie. assessment is valid, reliable, flexible and fair) and informs the student of the context and purpose of the assessment;

d. the rules of evidence (valid, sufficient, current and authentic) guide the collection of evidence to support the principles of validity and reliability;

e. there is a focus on the application of knowledge and skills to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment (e.g. dress, communicating with supervisors, etc.);

f. timely and appropriate feedback is given to students; and

g. assessment complies with the School’s access and equity policy.
All students have access to reassessment on appeal.

Assessment is systematically validated in two possible ways:

- VET Assessment Validation Day annually (Sunshine Coast Senior Phase Network)
- Ongoing validation with industry on an individual basis

Information from this validation activity will then be used for continuous improvement of assessment tools.

**Recognition of Prior Learning policy**

All students shall have access to, and will be offered, Recognition of Prior Learning (RPL).

**Recognition of Prior Learning procedure**

Each year, the teacher will make students aware of the School’s RPL policy via the VET Student Handbook. Teachers will remind students of this policy at the beginning of each new term and provide opportunities to engage in the RPL process.

When approached by a student seeking RPL, teachers will:

a. provide the student with copies of an RPL Student Application Form
b. provide the student with information about the types of evidence that can be used to support an RPL application
c. make a prompt decision and notify students of the outcome of the RPL process
d. update the student’s records, if RPL is granted
e. students can appeal a decision via the RPL Student Appeals Form
Standard 2: Client Services

Element 2.1: Establishing the Needs of the Client

Student needs are assessed in a variety of ways:

- Career discussions in class/interviews with VET Coordinator
- Special needs are flagged at Enrolment interviews
- Subject selection questionnaires
- Market research on skill shortage areas
- Meetings with stakeholders (community representatives)

Element 2.2: Continuous Improvement

Refer to Continuous Improvement section.

Element 2.3: Student information policy

The School will provide VET student information and induct each VET student before enrolment on the Student Data Capture System (SDCS), for a course.

This will include:

Code of Practice/Introduction to VET

a. student selection, enrolment and induction/orientation procedures
b. course information, including content and vocational outcomes
c. fees and charges, including refund policy and exemptions (where applicable)
d. provision for language, literacy and numeracy assistance
e. student support, welfare and guidance services
f. flexible learning and assessment procedures
g. appeals and complaints procedures
h. disciplinary procedures
i. staff responsibilities for access and equity
j. Recognition of Prior Learning (RPL) arrangements
k. Recognition of AQF qualifications and statements of attainment issued by other RTOs.

This information is most likely to be found in the VET Student Handbook, or Senior Subject Handbook.
A written agreement between the school and the student is signed by students and parents and held by the school for the duration of the training. A Register of Agreements is part of the school’s Management systems under Standard 3.4. A copy of the St John’s College VET Consent and Agreement Form can be found in the VET student Handbook.

Element 2.4: Employers contributing to the learner’s training and assessment

This School places/attempts to place students in workplaces that provide experience in the competencies included in their VET Qualifications. This School does not use assessment by work placement supervisors. Students on work placements may record their activities in a Workplace Experience Log book. The work placement organiser/teacher will seek the cooperation of the workplace supervisor in the sign off on the accuracy of the student’s entries in the log. This log may be used by the assessor to support judgements of competency.

Element 2.5: Access and equity policy

The School is inclusive of all students regardless of sex, race, impairment, or any other factor. The access and equity officer (VET Coordinator) has access and equity as a nominated part of their duties.

Access and equity procedure

The School has written access and equity policies and all staff are provided with copies which they must adhere to. Staff and students, upon their induction to the School, are made aware of the School’s access and equity policy. They are also advised that they may contact the access and equity officer (VET Coordinator) for information and/or support and for details about the School’s access and equity policy.

Element 2.6: Student access to accurate records

Accuracy of Records Procedure

Class teachers maintain accurate and current records of each student’s progress towards and achievement of, competencies. These records will be forwarded for entry on the School’s Student Data Capture System (SDCS) prior to each of QSA’s advertised collection dates for data. The data recorded on SDCS will be printed out and returned to the class teacher/HOD for checking. Once approved as accurate, the School’s Assistant Principal Administration (APA) (SDCS Records Manager) is notified to this effect.

When the student nears achievement of sufficient competencies for the awarding of the full qualification, the class teacher will check student achievements against the qualification packaging rules. When the student has achieved the requirements for completion of the qualification, the Assistant Principal Administration (APA) is notified to check the “Qualification Complete” button for that student, in that qualification. The data recorded on SDCS will be printed out and returned to the class teacher/HOD for checking. Once approved as accurate, the Assistant Principal Administration (APA) is notified to this effect.

Student access to records

Class teachers will provide access to a student’s own records on request by the student. Students may also be given access “for checking” to SDCS printouts from the Assistant Principal Administration (APA).
Element 2.7: Complaints policy

Any person wishing to make a complaint against the School concerning its conduct as an RTO, whether a complaint, appeal or other matter, shall have access to the complaints procedure. All formal complaints will be heard and decided within 15 working days of the receipt of the written complaint by the School. The VET Coordinator will keep a Register of Complaints which documents all formal complaints and their resolution. Any substantiated complaints will be reviewed as part of the continuous improvement procedure.

This policy will be reviewed to align with the national guidelines for complaints when available.

Complaints procedure

Persons with a complaint concerning the manner that the School conducts its responsibilities as an RTO, have access to the following procedure:

Informal complaint:

a. the initial stage of any complaint shall be for the complainant to communicate directly with the operational representative of the School, e.g. the teacher, who will make a decision and record the outcome of the complaint
b. person(s) dissatisfied with the outcome of the complaint to the teacher may then complain to the relevant Head of Department (HOD) or equivalent, who will make a decision and record the outcome of the complaint
c. person(s) dissatisfied with the outcome of the complaint to the relevant HOD may initiate a ‘formal complaint’.

Formal complaint:

a. formal complaints may only proceed after the informal complaint procedure has been finalised
b. the complaint and its outcome shall be recorded in writing on the Complaints and Appeals Record Form
c. on receipt of a formal complaint the Principal shall convene an independent panel to hear the complaint; this shall be the ‘complaint committee’
d. the complaint committee shall not have had previous involvement with the complainant and should include representatives of:
   1. the Principal
   2. the teaching staff
   3. an independent person
e. the complainant shall be given an opportunity to present his/her case to the committee and may be accompanied by one other person as support or as representation
f. the relevant staff member shall be given an opportunity to present his/her case to the committee and may be accompanied by one other person as support or as representation
g. the complaint committee will make a decision on the complaint
h. the complaint committee will communicate its decision on the complaint to all parties in writing within 5 working days of making its decision via the Complaints and Appeals Record Form.

The root cause of the complaint will be included in the continuous improvement cycle of the relevant standard/s.
Standard 3: Management systems

Element 3.1: Client Services

Students receive services detailed below in either the VET Consent and Agreement Form or VET Student Handbook.

- Student selection, enrolment and induction/orientation procedures
- Course information, including content and vocational outcomes
- Fees and charges, including refund policy and exemptions (where applicable)
- Provision for language, literacy and numeracy assistance
- Student support, welfare and guidance services
- Flexible learning and assessment procedures
- Appeals and complaints procedures
- Disciplinary procedures
- Staff responsibilities for access and equity
- Recognition of Prior Learning (RPL) arrangements
- Recognition of AQF qualifications and statements of attainment issued by other RTO's

This guarantee is listed in the Junior and Senior Subject Selection Handbooks and VET Student Handbook.

"The College must have certain teachers and equipment to run this course. If the College loses access to these resources, it will provide students with alternative opportunities to complete the course and the related qualification.

Element 3.2: Continuous Improvement

Refer to Continuous Improvement section.

Element 3.3: Partnerships policy

Where the School engages or is engaged by another organisation for VET assessment, training and/or certification services, it has a written agreement with the other organisation. The School will monitor training and/or assessment services to make sure they comply with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration. The School shall keep a Register of Partnerships and Agreements of all such agreements and shall forward a copy of the agreement to the other organisation.

Partnership procedure

Written agreements with other organisations will include the following:

a. the name and address of both organisations
b. the name of the chief executive officer of both organisations
c. the name and contact details of the primary contact at the other organisation
d. 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
e. a list of services offered by the other organisation, e.g. training and/or assessment
f. a statement outlining the level of service offered, e.g. ‘the School as RTO, will provide all training and assessment staff’
g. a statement acknowledging that the RTO is always responsible for training, assessment and certificates issued in its name
h. a verified copy of the RTO’s Certificate of Registration and Scope Certificate
i. signatures of the CEOs of both organisations
j. dates for the period of the agreement
k. fees related to the agreement.

The VET Coordinator will enter the details of the agreement on the Register of Partnerships and Agreements and ensure the other organisation has a copy of the agreement and understands its responsibilities. QSA has developed a Partnership Agreement Template that might be used for these arrangements.

**Element 3.4: Version control and records management policy**

The School has effective administrative and records management systems in place to secure the accuracy, integrity and currency of records, to keep documentation up to date, and to safeguard any confidential information obtained by the School and committees, individuals or organisations acting on its behalf.

**Record-keeping procedures**

**Record keeping**

Records are maintained of:

- student enrolments
- staff profiles detailing qualifications and industry experience
- fees paid and refunds given
- all documentation necessary to develop, implement and maintain the School’s quality system.

The Register of Complaints and Appeals, Register of Documents, Register of Consent and the Register of Partnerships and Agreements are held at a central location.

Records of results, qualifications and Statements of Attainment for students currently enrolled are stored in individual student files at a central location and with their current teacher. Electronic files, (e.g. SDCS) are kept up to date and backed up regularly, with the backup copy being kept in another place or in a fireproof and flood-proof safe.

All records are stored for retention, archiving and retrieval in accordance with DET’s Retention of Student Results and Assessment Records Framework (version 14 dated April 2009)

All records are stored for retention, archiving and retrieval in accordance with DET’s Retention of Student Results and Assessment Records Framework (version 14 dated 24th April 2009)

**AVETMISS**

All VET results are recorded and kept up to date in the QSA Student Data Capture System (SDCS).

**Confidentiality procedure**

Information about a student, except as required by law or as required under the Standards for Registered Training Organisations, is not disclosed without the student’s written permission and that of their parent or guardian if the student is under 18 years of age. The VET Coordinator will get all VET students to complete a VET Student/Parent Consent Form upon enrolment. Where a student consents to disclosure of information, this consent is kept on the Register of Consent.

Students have access to their personal records.

People external to the School who act on its behalf, e.g. on complaints committees or technical experts in internal audits, are made aware of these procedures before they begin work in the School.
Conditions of Registration

Condition 1: Governance

The Principal of this School ensures that the RTO operation complies with the AQTF 2010 Essential Standards for Registration by:
- delegating responsibility for day to day operations to the School VET Coordinator.
- meeting regularly with the VET Coordinator to keep informed of those operations
- signing documentation and report data as required

The VET Coordinator has responsibility and authority for the quality training and assessment system in the Schools. S/He has responsibility to:

a. oversee operation of the School’s registered training organisation (RTO) status
b. liaise with the QSA concerning all aspects of the School’s RTO status
c. keep the Principal informed of all matters regarding the School’s RTO status
d. manage the continuous improvement process including the Internal Audit process.
e. complete the School AQTF Annual Report (formerly QSA Action List) to provide the QSA with accurate and timely information regarding registration and compliance.

Organisational chart & duty statements

The School’s VET organisational chart and duty statements for all staff involved in its operation as an RTO show the relevant lines of authority and responsibilities. A copy of the Schools VET organisation chart and related duty statements are maintained by the VET Coordinator and kept on the Register of Documents.

Internal audits policy

All aspects of the School’s operation as an RTO will be reviewed at least once each year through an internal audit process. This process contributes to this School’s compliance to AQTF 2010 Standards 1.1, 2.2 and 3.2.

Internal audit procedure

An audit team consists of one or more people with the necessary skills and knowledge to carry out the audit.

When conducting internal audits, the VET Coordinator will complete the internal audit checklist and report by collecting objective evidence. They will use the following processes to ensure that the stated policies and procedures of the School are being circulated, understood and implemented consistently throughout the School and that these procedures are compliant with the AQTF:

a. examining documents and systems such as policies and procedures, student handbooks, relevant components of business plans, trainer/assessor qualifications
b. examining records of actual training conducted
c. perusing a sample of student files
d. analysing resources for delivery and assessment required by the relevant Training Package or course, including assessment tools
e. questioning the auditee to further explore evidence
f. holding interviews with management, teachers/trainers, learners, employers
g. observing processes such as assessment and learning activities; and
h. looking at facilities and observing training and assessment activities.
The VET Coordinator with the school’s Senior Administration Leadership Team for the RTO review internal audit reports, progress on any rectification and ongoing compliance with the AQTF. The Senior Administration Leadership Team will act on any opportunities for improvement.

The Senior Administration Leadership Team for the RTO satisfy the ‘fit and proper person’ requirements as stated by Independent Schools Queensland, Catholic Education Queensland, Education Queensland and the Queensland College of Teachers.

**Condition 2: Interactions with the registering body**

Interactions with the registering body are managed by the Principal and VET Coordinator.

The School has agreed to the “Conditions of Registration” contractual agreement which has been signed by the Principal. The School will cooperate with the Queensland Studies Authority (and DET if applicable) in:

- The conduct of audits by the QSA
- Providing accurate and timely data for compilation of the Quality Indicators for the School
- Providing data about significant changes to the School including the loss of key teachers in particular vocational areas
- Retention, retrieval, transfer and archiving of records pertinent to its RTO function.

Data collection methods are outlined in “Continuous Improvement” above.

- The RTO will provide, on request by QSA, an independent assessment of its ‘financial viability risk’ and/or its financial statements and/or business plan.

**Condition 3: Legislation policy**

The School complies with the relevant requirements of the following acts:

- Training and Employment Act (2000), e.g. vocational placement
- Anti-discrimination Act (1991)
- Privacy Act (2001)
- Child Protection (1999)
- Copyright

The relevant teachers and other staff members are informed by the VET Coordinator if the above legislation affects their job. Legislation requirements are included in the VET Teacher Induction Checklist and a VET Legislation Handout is given to all VET staff.

**Condition 4: Insurance policy**

This School will maintain public liability insurance.

**Condition 5: Financial management policy**

*The School complies with the provisions of the Financial Management Standard (1997).*

Non-government schools operating as corporations under the Australian Securities and Investment Commission Act 2001 are financially audited as part of their compliance for this Act. The compliance with these Acts will satisfy the requirements of the AQTF. Non-government schools not covered by the Australian Securities and Investment Commission Act 2001 are required to have an annual financial audit.
The School's financial accounts will be certified, annually by a qualified accountant to Australian Accounting Standards. As such, upon request by the state registering body (Queensland Studies Authority), a report will be made available.

A full audit report by a qualified independent accountant may also be made available if requested by the state registering body (QSA).

The School's Business Manager will be responsible for ensuring the School complies with its financial policies as outlined in the full Duty Statement.

St John’s College charges students fees for VET services via the school’s subject levies. Students will be made aware of any fees associated with their VET service prior to enrolment. This is outlined in the Year 11 & 12 Senior Handbook which is available from the Assistant Principal Administration.

The School will also refund on a pro-rata basis any fees collected via the levies, to students who exit the course before completion of the VET service.

**Condition 6: Issuing AQF qualifications and Statements of Attainment**

**Certification procedure**

*Issuing, recording and reporting qualifications and Statements of Attainment*

This School has an agreement with the Queensland Studies Authority (QSA) to print and archive qualifications and Statements of Attainment.

The School will issue AQF qualifications and Statements of Attainment within 21 days of course completion. All qualifications and Statements of Attainment issued by the School will comply with standards outlined in the Australian Qualifications Framework (AQF) Handbook 2007, Fourth Edition.

The School will only issue AQF qualifications and Statements of Attainment within its scope of registration that certify the achievement of qualifications or industry/enterprise competency standards from nationally endorsed Training Packages or qualifications, competency standards or modules from accredited VET courses.

The School will ensure that, where the language used for delivery and assessment of the qualification is other than English, that language is noted on the qualification or statement of attainment.

All qualifications and statements of attainment issued by the school will be recorded in the Register of Qualifications Issued. This register will be electronically backed up and kept for the required timeframe. Copies of the certificates and Statements of Attainment will be kept in hardcopy for the required 30 year period.

**Use of national and State logos**

The School uses the Nationally Recognised Training logo in accordance with the Nationally Recognised Training Logo Specifications on all AQF qualifications and Statements of Attainment issued within the School’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.
AVETMISS compliance of Data

Current procedures for entering data into the Student Data Capture System (SDCS) and/or RABS are outlined by Queensland Studies Authority (QSA) and the Department of Education and Training (DET) as being AVETMISS compliant.

Condition 7: Recognition of qualifications policy
The School will recognise all AQF qualifications issued by any other RTO. The School will seek verification of the certification from the relevant RTO where there is some ambiguity.

Recognition of qualifications procedure
a. Each year, the teacher shall make students aware that any existing AQF qualifications or statements of attainment they possess will be recognised by the School. Teachers will remind students of this policy at the beginning of each new term.
b. If a student presents an AQF qualification or statement to the teacher, the teacher will take a copy and bring it to the attention of the relevant head of department.
c. The head of department will verify the authenticity of the qualification or statement. The verified copy of the qualification or statement is placed in the student’s file.
d. Once the qualification or statement is verified, the teacher will give the student exemption for the units of competency or modules identified in the qualification or statement and update the student’s records accordingly.

Condition 8: Accuracy and integrity of marketing

Advertising and marketing procedure
The Assistant Principal Administration will approve all advertising and marketing material referencing VET, with particular regard to:
a. the content of courses that include VET qualifications, clearly identifying the VET qualification and including the Nationally Recognised Training logo
b. if another RTO provides a course for the School, the RTO is identified
c. all VET qualifications advertised are within the School’s scope of registration
d. if the School offers any accredited VET courses the School will ensure that it has written permission to offer the course from the course owner
e. if the School advertises VET qualifications that it is seeking registration for, it clearly identifies that in the advertising, e.g. through a disclaimer ‘… this course is subject to registration and will only proceed once the School is registered’
f. information about the requirements to assess VET qualifications, e.g. through a statement at the beginning of the advertising: ‘The School must have certain teachers and equipment to run this course. If the School loses access to these resources, the School will attempt to provide students with alternative opportunities to complete the course and the related qualification. The School retains the right to cancel the course if it is unable to meet requirements.’

Condition 9: Transition to Training Packages / expiry of accredited courses
It is the responsibility of each vocational training area within the School to plan for the transition to new/revised Training Packages as they are endorsed.

End dates on expiring qualifications within the Schools scope of registration are adjusted by QSA.
Where possible, students in existing/expiring courses/qualifications will be “transitioned” to the new versions of those qualifications.

When this is not possible, no new students will be enrolled in the expiring qualification after 12 months from the publication date of the new training package. A 2 year “teach out” for expiring qualifications is available for continuing students.

Generally, the next cohort of students enrolling in the qualification after the Training package publication date will enrol in the new Training Package qualifications.

The IR committee will also review plans for the transition to new or revised Training Package in accordance with DET’s Transition Requirements and Maintaining Scope of Registration Policy. The transition to the new Training Package must be completed within 12 months.

The school will manage the transitions from superseded qualifications and accredited courses according to the Department of Education and Training’s (DET) policy: