NRT STUDENT Policies and Procedures

(Abbreviated version)

NATIONALLY RECOGNISED TRAINING

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V1_Student_Policies and Procedures.docx   Version 1   HOD Student Performance/RTO Manager
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Introduction

This documents the policies and procedures (PNP) that Maryborough State High School, as a Registered Training Organisation (RTO) follows. It only provides part of the PNP. It details the sections appropriate to students. However, access to the full PNP is available by contacting the schools RTO Manager, Senior School Administration Officer or asking your Trainer/Assessor.

The PNPs relate to all qualifications delivered at the school under its registration. It provides specific information about assessment, USI, student details, complaints and appeals, engagement and marketing. Other information can be located on the school website or on the drive at G:\Curriculum\Common\NRT\Handbook and PNPs. This information is:

1. Student Handbook *(which details the RPL/Credit Transfer and Access and Equity Policy and Procedures)*
2. RPL Application Form
3. RPL Appeals Form
4. Complaints and Appeals Application Form
5. Student Learning Options Guide (with all specific qualification information)

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AQF issuance and replacement

(Issuing qualifications and statements of attainment)

This policy and procedure addresses: (a) conditions for issuance of qualifications and statements of attainment; (b) templates to be used; (c) timeframes for issuance; (d) records to be kept; and (e) replacement of certification documents.

Relevant Standards: 3.1–3.6, 7.5, 8.1(f), Schedule 4.6, Schedule 5, AQF policy requirements

Issuance

Issuance policy and procedure				
Policy	**Qualification**	**Statement of Attainment (SoA)**	**Timeframe**	**Records**
A student is only issued with: • a **Qualification** when they meet the training package requirements • a **Statement of Attainment** when one or more units of competency are successfully completed.	Issue an AQF certificate and record of results if the qualification in which the student is enrolled is successfully completed.	Issue an SoA if the qualification in which the student is enrolled is partially completed.	Issue certification documentation to a student within **30 calendar days** of all conditions for issuance being met.	Maintain sufficiently detailed records capable of identifying the student, type of certification (Certificate or SoA), qualification, award/attainment date and issuance date.

Conditions for issuance		
Unique Student Identifier (USI)	**Fees and exemptions**	**Replacement**
• A USI must be held prior to issuance • The USI must be verified by the RTO using the USI Registry System website	• Any agreed student fees have been paid	A certification documentation replacement policy and procedure is in place and is publicly available.

Replacement

Replacement Policy and Procedure		
Policy	**Verification**	**Replacement**
On request the RTO permits replacement of AQF certification documentation it has issued in the previous 30 years. Fees may be charged.	Verify the identity of the applicant (name, address, date of birth) based on suitable proof of identity documents.	The replacement certification documentation shows the current Principal's signature and the original award/attainment date.

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Assessment System

This policy and procedure ensures that: (a) the RTO develops assessment tools, conducts assessment and gathers assessment evidence in accordance with the Principles of Assessment and Rules of Evidence; (b) all assessment meets the requirements of the relevant training package or accredited course; (c) all assessment meets the Standards' requirements for systematic monitoring; and (d) all assessment has been listed in the relevant training and assessment strategy (TAS) document.

Relevant Standards: 1.1, 1.4, 1.5, 1.8, 1.15, 2.1, 2.2, 5.2(d), (i)

Assessment

Assessment policy and procedure				
Policy	**Assessment tools**	**Judgments and outcomes**	**Continuous improvement**	**Appeals**

• The RTO's assessment system will ensure all assessment (including recognition of prior learning (RPL)) adheres to the Principles of Assessment and the Rules of Evidence, meets all current training package requirements and is monitored for compliance
• Every qualification on scope will have a current and complete Training and Assessment Strategy (TAS) – this can be requested
	• Assessment will be conducted using tools that have been:
	  – approved by the delegated officer
	  – mapped to the requirements of the units of competency
	  – recorded in the TAS document
	• Assessments are based on clearly explained assessment activities
	• Evidence-gathering tools will be based on clearly defined techniques applied during assessment activities
		• Assessment judgments will be based on decision-making rules that are clearly identified in evidence-gathering tools. Interim and final judgments must be recorded on assessment tools and student profiles.	• Assessment tools will include provision for feedback from students	Students will be informed of their right to appeal assessment decisions in accordance with the RTO's Complaints and appeals policy and procedure.

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Complaints and Appeals

This policy and procedure sets out how the RTO addresses a complaint or appeal it receives relating to its officers, students or third parties providing services on behalf of the school RTO.

Relevant Standards: 2.2(b), 5.2(d), (i), 6.1–6.5

Complaints

Complaints policy and procedure			
Policy	**Inform**	**Act**	**Record and review**
• Complaints received by the RTO will be acknowledged in writing and finalised as soon as practicable • Complaints can involve the conduct of the RTO's officers, students or third-party service providers of the RTO • Any RTO officer may receive a complaint verbally, in writing or electronically • The RTO identifies two types of complaints: – Type 1: allegations of inappropriate behaviour and/or child protection. These allegations are processed according to the RTO's complaints policy and procedure – Type 2: all other complaints • Records of complaints are securely retained and registered in the RTO's *Complaints and appeals register*	• On receipt of a complaint, the delegated RTO Complaints officer: – provides written acknowledgment to the complainant – informs both the complainant and the respondent of their right to be assisted by a support person or representative throughout the complaint process – communicates on the progress of the proceedings to the complainant and the respondent throughout the complaint process • All communication by the RTO complies with the RTO's privacy policy and personal information management	• The RTO officer receiving the complaint forwards it to the RTO Complaints officer (The RTO Manager) (unless it relates to the Complaints officer, in which case it is forwarded to the Principal) • For type 1 complaints, the Complaints officer follows the school's complaints policy and procedure in accordance with the student protection policy • For type 2 complaints, the Complaints officer: – organises a mediation process that is non-threatening to the complainant – establishes a review by an appropriate party independent of the RTO if mediation has not resolved the complaint – refers the complainant to the QCAA website for further information about complaint processes if the complainant is still not satisfied • Students may lodge a complaint to QCAA only after exhausting this complaints and appeals policy and procedure	• The Complaints officer: – establishes a written record for each complaint received – updates the record throughout the complaint process • The RTO Manager: – registers the complaint in the RTO's *Complaints and appeals register* – securely retains all complaint records – reviews each complaint process to identify corrective action/s that eliminate or mitigate the likelihood of reoccurrence – ensures corrective actions are implemented including those actions impacting on any third-party arrangements

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Requirements for processing complaints			
Complaints	**Forwarding complaints**	**Timeframe**	**Impacting policies and procedures**
• The receiving RTO officer informs the complainant that an appropriate delegated RTO officer will contact them regarding the complaint	• For type 1 complaints, the receiving RTO officer immediately commences to implement the school's complaints or child protection policy • For all other complaints, the receiving officer forwards the complaint to the RTO's Complaints officer for processing (unless it relates to the Complaints officer, in which case it is forwarded to the Principal) • The Complaints officer is responsible for ensuring a written record is established for all complaints received (unless it relates to the Complaints officer, in which case the Principal is responsible)	• The Complaints officer finalises complaints within 60 calendar days • If more than 60 days are required, the complainant and respondent are informed in writing of the reasons for the need to extend the time required to finalise the complaint	Policies that must be considered in conjunction with this policy and procedure include the school's: • privacy policy • student protection policy

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Appeals

Appeals policy and procedure		
Policy	**Inform**	**Act**

• All appeals received by the RTO will be acknowledged in writing and finalised as soon as practicable
• Two types of appeal may be lodged:
  − appeal of final assessment decision
  − appeal of any other RTO decision
• This policy is publicly available and upholds the principles of natural justice and procedural fairness
• A record of each appeal process is reviewed to identify and implement corrective actions that aim to eliminate or mitigate the likelihood of reoccurrence
• Records of appeals are securely retained and registered in the RTO's *Complaints and appeals register*
	• The RTO Manager provides written acknowledgment to the appellant
	• The RTO Manager communicates the progression of the appeal to all parties throughout the appeals process
		• When appealing final assessment decisions, the RTO Manager actions the following process:
		  − appellant's trainer/assessor reviews the decision
		  − if the appellant is not satisfied, an independent trainer/assessor reviews the assessment decision
		  − if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure
		• For all other appeals:
		  − the RTO Manager reviews the original decision
		  − if the appellant is not satisfied, an appropriate independent party reviews the RTO's decision
		  − if the appellant is still not satisfied, the RTO Manager refers the appellant to the RTO's complaints policy and procedure

Requirements for processing appeals		
Appeals	**Forwarding appeals**	**Timeframe**
• The receiving RTO officer informs the complainant that an appropriate delegated RTO officer will contact them regarding the complaint	• If the appeal relates to a decision made by the RTO Manager, the appeal is forwarded to the Principal for actioning	• The RTO Manager finalises appeals within 60 calendar days • If more than 60 days are required, the appellant is informed in writing of the reasons for the need to extend the time required to finalise the appeal

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Data management and USI

(USI – Unique Student Identifier)

This RTO's policy and procedure relating to obtaining, recording and reporting compliant Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data.

Relevant Standards: 1.26, 2.1, 2.2(b), 3.4–3.6(a), 3.6(d) and Schedule 5, 5.2(c), 7.5, 8.1(a, c, f), Australian Qualifications Framework (AQF), Student Identifiers Act 2014, Data Provision Requirements 2012, AVETMISS and National VET Data Policy 2017.

Data Management

Recording student data policy and procedure			
Policy	**Enrolment**	**Management**	**Records and Retention**

• Students will only be enrolled in qualifications that are on the RTO's current scope of registration
• Final student outcomes for units of competency and qualifications will be quality assured by RTO management prior to being recorded in the SMSS
• Final outcomes will be recorded soon after a student has been assessed and RTO management approves the assessment decision
• If a student exits a program or leaves the RTO, records must be updated immediately and any certification issued within 30 days
	• Prior to commencement of training and assessment, student data will include:
	  – enrolment in at least the minimum number of units of competency required by the qualification or accredited course
	  – proposed start and end dates for each unit of competency
	  – the duration (difference between start and end dates) of the learning program aligns with the TAS document
	• QCAA expects students to be enrolled in all required units of competency. QCAA only requires outcome data to be recorded when it occurs or by the end-of-year reporting date, whichever comes first
		• Assessor's outcome decisions will be recorded in a student profile
		• The student profile document is approved by RTO management as part of the assessment system
		• The profile data will be used to enter student unit of competency outcomes as they become available or by the end-of-year reporting date, whichever comes first
		• When a qualification or unit is superseded, the affected students will be transitioned within the required transition timeframe or complete the qualification before the expiry of the transition or end of the 'teach out' period
			The RTO will ensure that:
			• records of final student outcomes are accessible and retained for a period of 30 years
			• students are informed that personal information will be collected and reported on their behalf
			• records are securely held and only accessible by authorised RTO officers

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Unique Student Identifier (USI)

USI policy and procedure			
Policy	**Verification**	**Records**	**Reporting**
- Prior to enrolment in a NRT course, students are informed: - of the USI requirements and the National VET USI Register - that AQF certification will only be issued to students who are entitled to receive it and have provided the RTO with a verifiable USI - The RTO will advise students of the consequences of not providing a verifiable USI - The RTO advises students that nationally recognised NRT transcripts will be available to students who have provided a verifiable USI through the national USI transcript service	- If a USI is acquired on behalf of a student by the RTO: - the sector representative is consulted - consent from parent/carers is acquired - records are kept that the RTO verified the USI	- USIs are securely held and reported using the QCAA-approved SMSS - USI information is securely retained by the RTO, and its access is restricted to authorised RTO delegated officers only	- QCAA reports all student outcomes and relevant enrolment data to NCVER (National Centre for Vocational Education Research), including USI codes - National VET reporting is done through the services of the Queensland Department of Employment, Small Business and Training - NCVER provides the student data in various forms to the: - national USI transcript service - Australian Bureau of Statistics

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Industry Engagement

This outlines the policy and procedure for ensuring the industry relevance of the: (a) RTO's training and assessment strategies and practices (TAS); (b) assessment practices; (c) trainers and assessors; and (d) resources.

Relevant Standards: 1.5, 1.6, 1.8, 1.13(b), (c), 1.17, 2.1

Industry Engagement

Industry engagement policy and procedure			
Policy	**Engagement**	**Verifiable record**	**Outcome**

• The RTO ensures that all training and assessment delivered to its students reflects current industry practices
• A clearly defined industry engagement process that includes all the *Requirements of engagement* outlined in the table below is implemented whenever:
  – proposing to add a new qualification to scope
  – substantially redeveloping a TAS
  – a qualification is being superseded by a non-equivalent qualification
	• The Principal allocates sufficient time for delegated officers to engage with industry when developing a TAS
	• Delegated officers are required to engage with a minimum of two industry representatives who have current skills relevant to the qualification using any of the following methods: email, telephone or face-to-face communication.
	  – Minimum three industry representatives for Certificate III level and above
		• Each TAS must have:
		  – verifiable records identifying the representatives and engagement dates
		  – RTO officers' summaries of representatives' comments and recommendations on each of the *Requirements of engagement* outlined below
		• Each industry-endorsed TAS is reviewed, approved and filed by the RTO Manager
			• Verify the relevance of the engagement process by providing:
			  – a summary of actions that were or will be taken to implement appropriate recommendations
			  – details of the officer approving the actions
			  – the date actions were finalised

Requirements for engagement			
Training and assessment strategies	**Assessment practices**	**Trainer and assessors**	**Resources**
The proposed TAS is suitable for students and identifies: • time allocated to delivery of a qualification • work experience where applicable • appropriateness of the clustering of units selected to reflect the needs or trends within industry	• Assessment activities are appropriate for gaining competence in current industry skills and knowledge • Evidence-gathering techniques are appropriate for assessment and conditions that reflect current industry practices	Industry skills and experience are current and relevant to the units being delivered	• Resources are sufficient for the number of students • Resources are industry standard and current • The workplace environment being used reflects current industry practice

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Marketing

This policy and procedure addresses: (a) conditions for issuance of qualifications and statements of attainment; (b) templates to be used; (c) timeframes for issuance; (d) records to be kept; and (e) replacement of certification documents.

Relevant Standards: 3.1–3.6, 7.5, 8.1(f), Schedule 4.6, Schedule 5, AQF policy requirements

Student Information

Student information policy and procedure				
Policy	**Transparent**	**Accurate**	**Accessible**	**Relevant**

• The RTO ensures that the marketing of its services and training products to prospective and current students is transparent, accurate and accessible, regardless of the way this information is distributed
• The information provided by the RTO must be relevant to the students' needs, and allow students, parents and carers to make informed decisions about their training and assessment needs
	• The RTO will only advertise NRT qualifications, accredited courses, or units of competency that are listed on the RTO's current scope of registration and are consistent with the transition timelines	• The RTO will provide current and accurate details regarding qualifications and accredited courses offered, avoiding misleading or ambiguous statements
		• The Principal and RTO Manager approve all marketing materials prior to them being made public
		  – Gives final approval to all NRT marketing and advertising material
		• Marketing material does not guarantee:
		  – successful completion
		  – completion in a manner contrary to the Standards
		  – employment outcomes
			The RTO will ensure the information is readily available to prospective and current students, parents and carers using electronic and/or print means, such as:
			• school website
			• social media
			• subject selection handbook
			• school prospectus
				The RTO will ensure that the information provided is sufficient to enable the students to determine if the training product or service is relevant to meeting their needs

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Student Information

This policy and procedure addresses: (a) the minimum information requirements provided to students; (b) obligations of the RTO; (c) rights and obligations of the student; (d) accessibility of information; and (e) related policies and procedures.

Relevant Standards: 1.7, 5.1, 5.2, 5.3, 5.4

Student Information

Student information Policy and Procedure		
Policy	**Publicly accessible information**	**Obligations**

• Prospective students are adequately informed about the services they are to receive, their rights and obligations, and the RTO's responsibilities prior to enrolment or on commencement of training
• Provision of information enables students to make informed decisions about the appropriateness of the training, taking into account their existing skills and competencies
• Students can be informed through referral to electronic and/or print copies in addition to the senior education and training (SET) plan process
	The RTO will:
	• provide current and accurate information to prospective students about the NRT qualifications it offers, outlining details of the training and assessment as outlined in the relevant TAS
	• ensure that student information is readily available using one or more sources (either electronically or in print), for example:
	  – school website
	  – student handbook
	  – enrolment form
	  – induction information
		• The RTO will commit to:
		  – training and assessment as outlined in the relevant TAS
		  – informing students of any changes to agreed services
		  – secure retention of personal information and records for verification and reporting reasons
		• The student will commit to:
		  – providing any materials and equipment requested by the RTO
		  – abiding by any specified requirements of the RTO to enter and successfully complete their chosen qualification
		  – payment of fees (if applicable)

Student information Policy and Procedure		
Minimum requirements	**Appropriateness**	**Related policies and procedures**
The minimum information to be provided: • full course code and title • delivery locations • duration of course • modes of delivery and assessment • entry requirements • support services • USI information • recognition of prior learning • credit transfer arrangements • work placement arrangements • RTO obligations and communication process to be followed if changes occur to agreed services • student's rights and obligations • third party arrangements (if applicable) • fee information (if applicable)	The RTO will ensure that students' selections are appropriate in meeting their needs through any of the following: • interview with the student • SET planning process • enrolment process • subject selection interviews • subject selection handbooks • student handbooks for vocational training areas (VTAs)	The following policies and procedures must be read in conjunction with this document: • Marketing • Complaints and appeals • Data management and USI • Third party arrangements • Training and assessment strategy • AQF issuance and replacement

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