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Introduction to the VET Quality Framework (VQF)

The VET Quality Framework (VQF) is the national framework which aims to ensure nationally consistent, high-quality training and assessment services for the Schools of Australia’s vocational education and training (VET) system. This framework is incorporated in the National Vocational Education and Training Regulator Act 2011 and Queensland transitioned to the National Regulator, the Australian Skills Quality Authority (ASQA), on 29 June 2012.

The VET Quality Framework comprises:

- the Standards for National VET Regulator (NVR) Registered Training Organisations
- the Fit and Proper Person Requirements
- the Financial Viability Risk Assessment Requirements
- the Data Provision Requirements, and
- the Australian Qualifications Framework.

Links to information relating to the VQF

Quality Indicators

- National Quality Indicators
- NSSC-SB-01 - QIs for RTOs – December 2011 - [426.0 KB]
- NSSC Quality Indicator Frequently Asked Questions (FAQs)

National Skills Standards Council (NSSC) Communications

2012

- NSSC-SB-03 - Standards for Training Packages - [224.1 KB]
- NSSC-SB-02 - Launch of review of standards – June 2012 - [307.9 KB]
- NSSC Communique 9 - December 2012 - [499.6 KB]
- NSSC Communique 8 - November 2012 - [324.0 KB]
- NSSC Communique 7 - September 2012 - [113.9 KB]
- NSSC Communique 6 - June 2012 - [412.6 KB]
- NSSC Communique 5 - April 2012 - [414.8 KB]
- NSSC Communique 4 - March 2012 - [81.3 KB]

2011

- NSSC-SB-01 - QIs for RTOs – December 2011 - [426.0 KB]
- NSSC Communique 3 - December 2011 - [453.2 KB]
- NSSC Communique 2 - November 2011 - [493.2 KB]
- NSSC Communique 1 - September 2011 - [480.4 KB]
National Quality Council (NQC) Bulletins

2011

- NQC Policy - Revised AQF
- AQTF Condition 5
- Consultation paper - Protecting student fees paid in advance
- The Future of National Training Packages is Here - New 21C Website Launched

Components of the VQF

Fit and Proper Person Requirements (FPPR)

This legislative instrument aims to ensure that key staff within the registered training organisation (RTO) have the characteristics and principles necessary to ensure integrity and quality of the outcomes for students. The FPPR are a legislative instrument made by the Federal Minister for Tertiary Education, Skills, Jobs and Workplace Relations under subsection 186(1) of the National Vocational Education and Training Regulator Act 2011.

The Principal and other high managerial staff employed by the RTO meet the Fit and Proper Person Requirements and this is demonstrated through the completion of the required documentation as set out on the Queensland Curriculum and Assessment Authority website. The required documentation is completed each time there is a change to staffing which impacts on the management of the RTO. The documentation is kept on file and produced at the request of the registering body.

Financial Viability Risk Assessment Requirements (FVRAR)

The aim of this legislative instrument is to ensure the RTO (or organisation applying to become an RTO) has the necessary financial resources to deliver quality VET outcomes on a long term basis. These requirements have been made a legislative instrument by the Chief Commissioner, ASQA, under subsection 158(1) of the National Vocational Education and Training Regulator Act 2011.

The RTO meets the requirements of this legislative instrument through the ongoing financial audit provisions as a registered Queensland school. "ASQA has waived the requirement for schools seeking registration and renewal of registration with QCAA as delegate of ASQA, to submit to an assessment of financial viability. The waiver is granted on the grounds that the financial viability risk for Queensland's secondary school is considered low."

Data Provision Requirements (DPR)

A range of data is to be provided to ASQA (or their delegate, i.e. Queensland Curriculum and Assessment Authority) as required. Some of this data is scheduled and should be submitted by due dates (e.g. Quality Indicator Data) and some is to be provided on request. The DPR legislative instrument, made by the Federal Minister for Tertiary Education, Skills, Jobs and Workplace Relations under subsection 187(1) of the National Vocational Education and Training Regulator Act 2011, outlines the data that the RTO is required to provide upon request. This data reflects a wide range of the RTO’s operations.
AVETMISS Compliance

NVR RTOs are required to provide AVETMISS compliant data regarding students, courses, units of activity and qualifications completed. The RTO uses the Student Data Capture System (SDCS) provided by QCAA which meets the requirements of AVETMISS compliant data provision. Data is uploaded at set times which are determined by QCAA and advertised on their website.

Registration Requirements

The following data must be provided as requested at the time of renewal of registration or at audit:

a. type of legal entity
b. copy of Certificate of Incorporation, Articles of Association or equivalent;
c. current financial viability risk assessment information including:
   1. strategic business plan;
   2. financial projections, including underlying assumptions;
   3. business plans, including forecast income stream and forecast expenditure;
   4. assets and liabilities;
   5. audited financial statements;
   6. financial records for the previous 12 months, including profit and loss balance sheets;
   7. cash flow and bank account details;
   8. short term budgets and forecasts, including assumptions;
   9. information on current and projected student enrolments, including assumptions;
   10. tax records;
   11. information about current debts and debtors, credits and creditors, loans and repayment details;
   12. plans and information on any legal disputes;
   13. inter-company dealings, transfers, ownerships and loans;
   14. contingent liabilities;
   15. ultimate ownership details; and
   16. post reporting activities.
d. Business Name Registration Certificate showing registered business (trading) name(s);
e. Australian Company Number (ACN);
f. Australian Business Number (ABN);
g. type of training organisation (for example, school, university, community-based adult education, other training provider);
h. address and contact details for:
   1. head office;
   2. Principal place of business; and
   3. permanent delivery sites or campuses.
i. name and contact details for:
   1. executive officers;
   2. high managerial agents; and
   3. any person or entity which exercises a degree of control or influence over the management or direction of the registered training organisation.
j. previous registration details;
k. whether or not the applicant, the NVR registered training organisation, an executive officer or higher managerial agent have any other application for registration currently lodged with any other registering body;

l. Fit and Proper Person information for each relevant person to include:

1. whether the person has been convicted of an offence against a law of the Commonwealth or of a State or Territory and if so, the seriousness of the offence;
2. whether the person has ever had his, her or its registration on the National Register cancelled or suspended;
3. whether the person has ever had a condition imposed on his, her or its registration on the National Register;
4. whether the person has ever breached a condition of registration in Subdivision B of Division 1 of Part 2 of the Act;
5. whether the person has ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors;
6. whether the person has ever been disqualified from managing corporations under Part 2D.6 of the \textit{Corporations Act 2001};
7. whether the person was involved in the business of the provision of VET courses by another provider who is covered by any of the above paragraphs at the time of any of the events that gave rise to the relevant prosecution or other action;
8. whether the person has ever provided a State or Territory registering body and/or the National VET Regulator with false or misleading information or made a false or misleading statement to a State or Territory registering body or the National VET Regulator, and whether the person knew that the statement made or information provided to the State or Territory registering body or National VET Regulator was false or misleading; and
9. whether the person has ever been found not to be a fit and proper person for the purposes of the \textit{Education Services for Overseas Students Act 2000};

ii. a list of the correct national code and title of the Training Package, VET qualifications, VET accredited courses, modules or units of competency that the applicant/NVR registered training organisation delivers, or intends to deliver, including:

1. a training and assessment strategy for each VET qualification, VET accredited course, module and unit of competency applied for;
2. evidence to demonstrate that each trainer and assessor has the necessary training and assessment competencies and the relevant vocational competency for each VET qualification, VET accredited course, module and unit of competency that they deliver and assess;
3. evidence to demonstrate that each trainer and assessor has current industry skills directly relevant to the training/assessment being undertaken
4. evidence of the supervisory arrangements for trainers who do not possess the required training competencies; and
5. evidence of ongoing access to staff, facilities, equipment and training and assessment materials, that are consistent with the
requirements of the Training Package or VET accredited course and
the RTO's own training and assessment strategy.
m. details of any license/regulatory outcomes of the VET qualification and VET course
applied for including details of the licensing body;
n. whether or not the applicant/NVR registered training organisation delivers, or
intends to deliver, any training online, interstate, or by distance, and if so, in
which jurisdictions;
o. whether or not the applicant/NVR registered training organisation delivers, or
intends to deliver, any training offshore (overseas);
p. whether or not the applicant/NVR registered training organisation offers, or
intends to offer, any training to international students, and if so, details of the
CRICOS approval;
q. whether or not the applicant/NVR registered training organisation intends to apply
for, or already receives, Commonwealth, State or Territory government funding
for training;
r. whether or not the applicant/NVR registered training organisation intends to enter
into, or is in, a partnership/sub-contracting arrangement for training;
s. whether or not the applicant/NVR registered training organisation collects, or
intends to collect, fees paid in advance from students for enrolment in training;
t. whether or not the applicant/NVR registered training organisation delivers, or
intends to deliver, training to students under the age of 18, and if so:
  1. Working With Children Checks for all relevant persons; and
  2. policies and procedures for managing these students.
u. evidence of appropriate finance and AVETMISS compliant VET student records
management systems; and
v. copy of public liability insurance cover.

**Quality Indicators**

The Quality Indicators have been designed to help RTOs conduct evidence-based and outcomes-focused
continuous quality improvement, and assist a registering body to assess the risk of an RTO's operations.

Under the VQF, RTOs are required to collect and use data on three Quality Indicators which have been
endorsed by the National Skills Standards Council (NSSC)

- Learner Engagement,
- Employer Satisfaction, and
- Competency Completion.

**Australian Qualifications Framework (AQF)**

This framework is the national policy for regulated qualifications in Australia. The framework specifies
the learning outcomes associated with each level of qualification, as well as the specifications for the
development of qualifications and the issuing of AQF qualifications.

**Standards for VET Accredited Courses**

These standards formally identify the requirements for accrediting vocational education and training
courses.
Standards for NVR Registered Training Organisations 2011 (SNR)

These standards are national standards which RTOs (or applicants wishing to become RTOs) are assessed against. The standards are a legislative instrument under subsection 185(1) of the National Vocational Education and Training Regulator Act 2011.

Organisations applying to become RTOs are required to comply with SNR 4-14 to demonstrate how well prepared the organisation is in order to meet the standards to deliver and assess nationally recognised training and issue nationally recognised qualifications.

RTOs that are continuing registration are required to demonstrate compliance with SNR 15 – 25. ASQA has indicated that the AQTF Users’ Guide to the Essential Conditions and Standards for Continuing Registration may be of assistance to both potential and continuing RTOs, given the similarities between the SNR and the AQTF conditions and standards.

The following sections provide further detail about the application of the Standards for NVR Registered Training Organisations 2011 as they apply within this RTO.

**SNR15 Quality training and assessment**

**SNR15.1: Continuous improvement**

Note: This section also applies to SNR16.2 and SNR17.2.

*Data collection, analysis and actions procedure*

The RTO collects data on a regular basis in order to inform the processes of:

- compilation of the RTO’s quality indicators data
- improvements to all aspects of training
- professional development of staff
- improvements to assessment
- improvements to RTO services
- monitoring and improving RTO systems.

Data is collected systematically by:

- national tools for the collection of data for the Quality Indicators, using:
  - Learner Questionnaire
  - Employer Questionnaire
- interviewing learners regularly
- obtaining written feedback from learners (*VET questionnaire – students*) and/or through internal analysis and reporting on outcomes of the Quality Indicators Learner Engagement Survey)
- obtaining written feedback from trainers and assessors (*VET questionnaire – staff*)
 obtaining feedback from parents (VET questionnaire – parents)
 obtaining feedback from employers following work placements of learners (VET questionnaire – employer) – where applicable
 analysis of the root cause of complaints and appeals 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
- the need to improve RTO services and information
- appropriateness of RTO systems

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 reviews and audits.

**Designated Person – VET Coordinator**

The VET Coordinator will follow a VET continuous improvement schedule as a method of systematically continuously improving the training and assessment, client services provided as well as the management of RTO’s operations as an RTO.

The VET Coordinator is responsible for ensuring the internal audit is conducted and opportunities for improvement are acted upon. This position will also coordinate the annual collection and analysis of stakeholder and student feedback. This information will be used in the IR and internal audit processes. The VET Coordinator will use this data to inform its focus on continuous improvement and review of policies and procedures.

**Internal review (IR) procedure**

An IR will be conducted for each qualification/vocational area 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 RTO may utilise an IR ‘committee’ to review, compare and evaluate the assessment processes, tools and evidence contributing to judgments at least annually in each vocational training area (VTA).

The IR ‘committee’ will also review plans for the transition to new or revised Training package in accordance with ASQA’s General direction – Transition and teach out. The transition to the new Training package must be completed within twelve months.

The VET Coordinator recognises the need to maintain a balance of views and to gain advice from the following groups:

- VET teachers of the qualification or course in the vocational training area
- industry (advice from industry may be sought before, during or after the IR is conducted).

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

The chair (generally the VET Coordinator) will provide a written report to the Principal at a meeting immediately following the IR. Any recommendations will include a timeline for their implementation. The VET Coordinator will manage the ‘rectifications’ that arise after each IR, with the individual VTA.
**Moderation/validation procedure**

All VET teachers of a qualification or course will meet before the IR meeting to undertake systematic validation. They will review, compare and evaluate the assessment processes, tools and evidence contributing to their judgment. Where there is more than one assessor of any given qualification, ‘moderation’ of the judgements will occur regularly, to ensure consistency in these judgements. Minutes from this meeting will be presented to the IR for inclusion in the internal review report. The VET Coordinator can provide a format for the minutes if the teachers involved require guidance (Ref: Validation and moderation meeting form)

**Risk management policy**

Risk management involves the identification, analysis and evaluation of an RTO’s risk of compliance with the VET Quality Framework 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 RTO’s operations, including that as an RTO. The Principal may delegate the operational component of this responsibility to the VET Coordinator.

**Version control procedure**

The RTO’s method of version control is to use a page footer that includes the file location, version date, ownership, review date and approval, as per the footer of this document. The VET Coordinator is responsible for ensuring that all relevant VET staff are inducted on this version control method.

Assessment instruments, TAS documents, Staff profiles (or similar documents) and other “working” documents may include an abridged version control method that references the ‘pathway’ to the electronic version.

**Register of Documents**

The VET Coordinator will maintain the Register of documents which records all documents relevant to its operations as an RTO, e.g.

- the VET Quality Manual
- student information guides
- all other documents and templates used in the RTO’s activities as an RTO.

This register includes the version number and the date it was last reviewed. The VET Coordinator reviews all documents before adding them to the register (other than those specific to each subject area tab). All VET teachers have access to the materials related to their position and are required to update the Register of documents as directed by the VET Coordinator.

**SNR15.2: Strategies for training and assessment**

**Strategies for training and assessment policy**

VET teachers will develop a training and assessment strategy (TAS) for each method of delivery of a qualification. The RTO will ensure that the TAS (and training programs generally) provide sufficient information to guide VET teachers and ensure that students receive training and assessment that meets their needs as well as current industry requirements.

Each TAS will be developed in consultation with industry (Ref: Record of industry TAS & Assessment Consultation) and will be monitored and improved upon through effective consultation. Each TAS will be validated through the IR process and will be revised in response to industry input, outcomes of the IR,
records of staff meetings about the TAS, course progress and agreed actions. The strategies will reflect the requirements of the relevant Training package.

The RTO 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 student numbers, needs, delivery methods and assessment requirements.

**SNR15.3: Resources consistent with training package requirements and industry standards**

The RTO has access to all relevant physical resources as outlined in the relevant Training package or course. The Principal will ensure that VET staff are provided with the resources and time necessary to meet the human resource requirements of the relevant Training package or course.

If, for whatever reason, the RTO cannot maintain the relevant human and physical resources to deliver the qualification or accredited course, the RTO will provide students with alternative opportunities to complete the course and the related qualification.

Industry relationships are established for each vocational training area by the VET teacher to ensure effective validation and input in relation to the strategies for training and assessment, staff, facilities, equipment and training and assessment materials. The purpose of this is to ensure consistency with industry standards.

**SNR15.4: The competence and currency of RTO staff**

All trainers and assessors of nationally recognised training must meet nationally agreed competency requirements and continue to develop their competence (*Ref: NQC Special Bulletin and NSSC Communique 3 Appendix A [from 1 July 2013]).

**Human resources policy**

The RTO will establish the competence of a VET teacher prior to training and assessing a qualification/and or accredited course.

**Human resources procedure**

The RTO must establish staff competency by verifying that staff hold the required qualifications and experience. Trainers and assessors must:

- have the training and assessment competencies determined by the National Quality Council or its successors (*Ref: NQC Special Bulletin and NSSC Communique 3 Appendix A [from 1 July 2013]).

- have the **vocational competencies** they are training and/or assessing (or demonstrated equivalent competencies) (*Ref: NQC Special Bulletin and NSSC Communique 3 Appendix A [from 1 July 2013]). Where trainers and assessors demonstrate equivalent competency there must be a clear and verified relationship between the trainers’ and assessors’ formal and/or informal training and experience and each of the units/modules they are training/ assessing. All formal learning experiences and work activities in industry must be clearly documented against each unit of competency being delivered/assessed.

- be able to demonstrate that they hold the skills and knowledge required by industry, including recent work in industry (within approximately the last 12 - 18 months)
• continue to develop VET knowledge and skills and trainer/assessor competence through meetings, professional development, working in VET, accessing current information, etc.
• meet any additional competency requirements detailed in Training packages or determined by regulatory or licensing bodies.

The VET Coordinator will carry out referee checks, including confirming relevant and current industry experiences and vocational competencies by sighting qualifications (copies are acceptable) and confirming evidence of work history/experiences. Where teachers do not hold the competencies they are training and assessing they can demonstrate equivalent competency through their Staff profile (or similar documents). However, there must be a clear and verified relationship between the teacher’s experience and each of the competencies they are training/assessing.

If a teacher holds the relevant vocational competencies but does not have the appropriate assessor competencies (or demonstrated equivalent competencies) they may co-assess with an assessor who has these competencies. The teacher with the vocational competencies gathers evidence of the competence, which contributes to the assessment judgements by the assessor. The assessor’s role is to ensure that the assessment methodology used by the teacher is consistent with Training Package requirements. Together they make a decision that the principles of assessment and rules of evidence were met and together, will make a determination of competence. The responsibilities of the assessor and the teacher are clearly defined and co-assessment arrangements and implementation of these arrangements are recorded in both the TAS, and through documenting assessment processes, to demonstrate that requirements are met. The VET Coordinator will need to check for any additional conditions required by licensing authorities.

Where a teacher does not have the appropriate training competencies (or demonstrated equivalent competencies) determined by the NQC/NSSC, they must work under the direct supervision of someone who does.

The supervising teacher provides regular guidance, support and direction, and monitors the training. Although it is not necessary for the supervising teacher to be present during all training delivery, he or she is accountable for the training delivered by the supervised teacher. The supervising teacher and the VET teacher will complete the direct supervision form to establish a record of the level and type of supervision.

All teachers working under supervision prior to 1 July 2013 will need to attain or demonstrate equivalent competence in the Enterprise Trainer Skill Set which consists of two units of competency, TAEDEL301A Provide work skill instruction and BSBCMM401A Make a presentation. A Professional Development Plan will be developed for each trainer working under supervision to ensure they complete this skill set (or demonstrate equivalence) prior to 1 July 2013. All new trainers after 1 July 2013 will be given two years to demonstrate the skill set and a Professional Development Plan will be put into place to ensure this requirement is met.

The VET Coordinator, will ensure that the TAS contains information which shows which members of staff deliver and assess particular units of competency each year (or more often if there is a staffing change).

All VET teachers shown on the TAS will have an up-to-date Staff Profile (or similar documents) on file with the VET Coordinator, including statements about relevant industry relationship and currency (work in industry within the last 12 – 18 months) and verified copies of all qualifications held. The Principal will ensure verification of copies of qualifications, through delegation of this duty to the VET Coordinator.

VET teachers involved in training and assessing VET will be responsible for keeping an accurate and up-to-date record of currency activities on their Staff Profile (or similar documents) relating to the delivery...
and assessment they undertake in the VET system. This should include any activities that develop their VET knowledge or skills.

The Staff Profile (or similar documents) must illustrate how the VET teacher meets the requirements of SNR15.4 and NQC Special Bulletin and NSSC Communiqué 3 Appendix A [from 1 July 2013]. These requirements include:

Training and assessment at the RTO will be delivered by VET teachers who:

a) have the necessary training and assessment competencies as determined by the National Quality Council or its successor
b) have the relevant vocational competencies at least to the level being delivered or assessed
c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken
d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence

The Staff Profile (or similar documents) will be updated each semester and/or before IRs and internal audits and will be kept on file (via hard or electronic copy) by the VET Coordinator.

**Recruitment policy**

Recruitment of staff will be guided by the following principles:

- all prospective VET staff will be made aware during recruitment that they will undergo a VET induction process if employed by the RTO
- any VET teacher recruited to deliver and assess a particular qualification will either meet the requirements of the relevant Training Package or accredited course or have the ability to meet this standard before commencing the delivery and assessment of the qualification.
- any VET teacher recruited to train and assess a VET qualification must meet the nationally agreed competency requirements and continue to develop their competency
  - Supporting them in meaningful engagement with industry and relevant professional bodies
  - Supporting their professional development in teaching and learning methods and in understanding the requirements of the VET system
  - Fostering a culture of critical evaluation, innovation and continuous improvement.

All VET staff will undergo a VET induction procedure on employment by the RTO (or when they become involved with VET) and all VET teachers will be monitored in regards to their performance in training and assessing vocational education and training.

VET teachers will complete a VET teacher induction checklist, after this procedure has occurred. Copies will be submitted to the VET Coordinator and kept by the VET staff member.

The VET Coordinator will enter details of completion of this form on the Register of Staff Induction.

**VET induction procedure**

The induction procedure will include an introduction to the:

- VET Quality Framework including the Standards and a summary of the legislative instruments
- VET quality systems operating within the RTO
- VET courses available
• roles and responsibilities of an RTO under the VET Quality Framework
• human resource requirements for VET
• professional development roles and responsibilities for staff within the RTO
• relevant policies and procedures of the RTO relating to VET
• relevant Training Packages/accredited courses
• competency-based training and assessment
• requirements for apprenticeships/apprenticeships
• access and equity policy and staff responsibilities in regard to access and equity.

**Ongoing development and monitoring procedure**

The RTO must provide opportunities for VET teachers to continue to develop their vocational competencies at least to the level being delivered or assessed, demonstrate current industry skills directly relevant to the training/assessment being undertaken, and continue to develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence. *(Ref: Standards for NVR Registered Training Organisations, SNR15.4).*

VET teachers will follow the RTO’s policy for applying for professional development opportunities.

Annually, each VET teacher will submit an application for professional development/industry placement (staff could utilise a Plan for professional development and/or industry placement document as an option) to the VET Coordinator for endorsement.

Once endorsed by the VET Coordinator, the application will be formally forwarded to the Secondary Principal for final approval. All requests for professional development and/or industry placement should be detailed on this plan/application form.

Requests for professional development for any VET staff member may also be accompanied by a written analysis (no more than one A4 page) of how the activity will improve identified knowledge and/or skill deficiencies or currency requirements.

The Secondary Principal will have regard to the following priorities when allocating funds and other resources related to professional development for VET staff:

• the requirements of SNR15.4
• the written statements made by the teacher in support of their need for the professional development
• the need to up skill non-teaching members of staff involved in VET, e.g. guidance officers
• the strategic plan of the RTO with regard to VET
• other professional development initiatives.

The Secondary Principal will approve professional development only when the recipient agrees to complete the Staff Profile form (or similar documents) on completion of the activity. The Staff Profile (or similar document) is to focus on the benefit of the professional development to the teacher, specifically the skills identified by the teacher before the activity and how they relate to further development of their VET knowledge and skills, training and assessment and vocational competencies and industry skills and currency.
All staff of the RTO involved in VET will undergo an annual refresher course on the RTO’s policies and procedures relating to VET. Participation at the refresher course will be recorded in the Register of Staff Induction by the VET Coordinator.

**SNR15.5: RTO assessments**

**Assessment policy**

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

- compliance with the assessment guidelines from the relevant Training Package or accredited course
- assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
- assessment complies with the principles of competency-based assessment (i.e. assessment is valid, reliable, flexible and fair) and informs the student of the context and purpose of the assessment
- the rules of evidence (valid, sufficient, current and authentic) guide the collection of evidence to support the principles of validity and reliability.
- 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.)
- timely and appropriate feedback is given to students
- assessment complies with the RTO’s access and equity policy
- systematic validation occurs
- all students have access to reassessment on appeal.

**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 at the VET student induction, the VET Coordinator and the associated VET teachers shall make students aware of the RTO’s RPL policy via the VET student handbook. VET teachers will remind students of this policy at the beginning of each year and will provide opportunities to engage in the RPL process.

VET students seeking RPL, will be:

- provided with a copy of a RPL application form by their relevant VET teacher
- provided information about the types of evidence that can be used to support an RPL application by the VET teacher from their qualification
- required to provide a completed RPL application form and associated evidence to support the application
- able to appeal an RPL decision via the RPL student appeals form if unsuccessful

The VET teacher will:

- notify the student of their outcomes from the RPL process
- develop and assess any alternative methods of assessment required as a result of an RPL application
• notify the student of any gap training required as a result of the review of their application
• update the student’s records if RPL is granted upon consulting with the VET Coordinator.

Credit Transfer policy
All students shall have access to the Credit Transfer Outcome (CRDT).

Credit Transfer Procedure
• Each year at the VET student induction, the VET Coordinator and the associated VET teachers shall make students aware of the RTO’s CRDT policy via the VET student handbook. VET teachers will remind students of this policy at the beginning of each year and will provide opportunities to engage in the RPL process.
• VET students seeking RPL, will be:
  • provided with a copy of a RPL application form by their relevant VET teacher
  • provided information about the types of evidence that can be used to support an RPL application by the VET teacher from their qualification
  • required to provide a completed RPL application form and associated evidence to support the application
  • able to appeal an RPL decision via the RPL student appeals form if unsuccessful
• The VET teacher will:
  • notify the student of their outcomes from the RPL process
  • develop and assess any alternative methods of assessment required as a result of an RPL application
  • notify the student of any gap training required as a result of the review of their application
  • update the student’s records if RPL is granted upon consulting with the VET Coordinator

SNR16 Client Services

SNR16.1: Student needs
The RTO identifies the services required by its students through the Senior Subject Selection Handbook (or similar) and the SET Planning process. Through these processes, the RTO ensures that students have been provided with appropriate and accurate information regarding the services available. Further information is contained in the VET student handbook.

The VET Coordinator will monitor these services by collecting feedback from student’s annually through the use of Quality Indicator reports and/or the internal questionnaire reports to make improvements or recommendations if required.

SNR16.2: Continuous improvement
See Continuous Improvement section under SNR15.1.

The RTO will ensure that the RTO’s continuous improvement approach is systematic.
Data on the effectiveness of services provided to clients is collected and analysed systematically. Data that is collected and analysed is relevant and sufficient to allow judgements to be made about the quality of client services across the RTO’s scope of registration and operations. Improvements to client services will be demonstrated.

Client services are continuously improved in accordance with data collected about their effectiveness. Continuous improvement processes refer to the continual enhancement of an RTO's performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance, such actions are considered rectifications.

**SNR16.3: Student information policy**

The RTO will provide student information and induction that informs them about the training, assessment and support services that are to be provided, and about their rights and obligations.

This will include:

- 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
- relevant legislation
- staff responsibilities for access and equity
- recognition arrangements
- recognition of AQF qualifications and statements of attainment issued by other RTOs
- VET Student Agreement Form

This information is most likely to be found in the VET student handbook, information guide or Senior Subject Selection Handbook (or similar). The RTO will ensure that all topics are covered in their documentation provided to VET students prior to enrolment. (Ref: SNR16.2 and SNR17.1 for further information).

The RTO will utilise a VET Student Agreement Form (found in the VET student handbook) as the method of recording the training, assessment and client services to be provided by the RTO. This form, along with information in the handbook, guides and defines the commitments made by the RTO. Students will read and sign the written agreement to confirm The RTO has provided this information to the student. (Ref: VET student handbook).
SNR16.4: Employers contributing to student training and assessment

The RTO attempts to place students in workplaces that provide experience in the competencies included in their VET qualifications where applicable. Students on work placements may record their activities in a Workplace Experience Log book (or similar).

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 as supplementary evidence, and activities recorded will be verified with the workplace supervisor.

SNR16.5: Access and equity policy

The RTO ensures that all students have every reasonable opportunity to complete their course.

The RTO 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 RTO has written access and equity policies and all staff are provided with copies which they must adhere to. Staff and students, in their induction are made aware of the RTO’s access and equity policy and that they may contact the access and equity officer for information and/or support and the RTO’s access and equity policy.

SNR16.6: Student access to accurate records

Accuracy of records

VET 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 SDCS prior to each of QCAA’s advertised collection dates for data. The data recorded on the SDCS will be printed out and returned to the VET teacher for checking. Once approved as accurate, the SDCS officer is notified to this effect.

When the student nears completion for the full qualification, the VET teacher then checks student achievements against the qualification packaging rules. When the student has achieved the requirements for completion of the qualification, the V 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 VET teacher and for checking. Once approved as accurate, the SDCS officer is notified to this effect.

Student access to records

VET teachers will provide access to a student’s own records at least once each semester, or on request by the student. Students may also be given access to “for checking” SDCS printouts from the SDCS officer. Students will also have access to information regarding any unit achieved through their own online learning account.
SNR16.7: Complaints policy

Complaints and appeals are managed by the RTO in a fair, efficient and effective manner. The RTO will create an environment where student's views are valued.

Any student wishing to make a complaint against the RTO 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 RTO.

The VET Coordinator will keep a Register of complaints and appeals which documents all formal complaints and their resolution.

Any substantiated complaints or appeals will be reviewed as part of the continuous improvement procedure and action taken accordingly.

Complaints and appeals procedure

Students with a complaint or appeal have access to both informal and formal procedures.

Informal complaint

- the initial stage of any complaint shall be for the complainant to communicate directly with the operational representative of the RTO, e.g. the VET teacher, who will make a decision and record the outcome of the complaint
- person(s) dissatisfied with the outcome of the complaint to the teacher may then communicate the complaint to the Secondary Principal, who will make a decision in regards to proceeding with a formal complaint or appeal process
- person(s) dissatisfied with the outcome of the complaint may initiate a ‘formal complaint’ with the VET Coordinator

Formal complaint or appeal

- formal complaints may only proceed after the informal complaint procedure has been finalised
- all formal complaints or appeals will go to the VET Coordinator
- the complaint or appeal and its outcome shall be recorded in writing through a Complaints and appeals record form
- on receipt of a formal complaint or appeal the Principal shall convene an independent panel to hear the complaint; this shall be the complaint and appeal “complaint committee”
- the complaint and appeal committee shall not have had previous involvement with the complaint or appeal, should include representatives of: the Principal, teaching staff and an independent person
- the student shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
- the relevant staff member shall be given an opportunity to present their case to the committee and may be accompanied by one other person as support or as representation
- the complaint and appeal committee will make a decision on the complaint
- the complaint and appeal committee will communicate its decision on the complaint to all parties in writing within five working days of making its decision.
- If a student is still not satisfied, the VET Coordinator will refer them to the Queensland Curriculum and Assessment Authority appeals and complaint process www.QCAA.qld.edu.au/3141.html
SNR17 Management systems

SNR17.1: Student agreement

Agreement Policy

The VET Coordinator will ensure an agreement between the student and the RTO regarding the training, assessment and services that a student is to receive is documented in the VET student handbook through the VET Student Agreement Form and that this form is signed by the student. The VET student handbook (and/or a copy of the VET Student Agreement Form) will be provided to students before enrolment and a record of signed agreement will be kept in the ‘Register of VET Student agreements’.

The RTO ensures that the student’s rights as consumers are protected and will make certain that the RTO systems are sufficient to support the provision of quality training, assessment and student services.

The agreement explains that the RTO will ensure that students who are enrolled in a training package qualification, unit of competency, or an accredited course will complete the training and assessment as agreed. If circumstances arise, e.g. loss of a teacher and unable to obtain suitable replacement, the RTO must arrange for training and assessment to be completed by another suitable training organisation. Prior to the transfer to another RTO, affected students must be formally notified of the arrangements and an agreement to those arrangements, including any refund or fees associated, must be obtained. (Ref: SNR24)

Students who enter a course after the start date have the opportunity to negotiate a package of units that will lead to a statement of attainment/s. This adjustment will be reflected in the VET Student Agreement form which will be signed by both the student and parent/guardian.

The RTO (through the VET Coordinator) will monitor and review the provision of services to clients and act on any improvements required through the continuous improvement schedule, internal review and internal auditing, conducted annually.

SNR17.2: Systematic and continuous improvement approach to the management of operations

See Continuous improvement section under SNR15.1.

The Principal will ensure that the management systems are

- appropriate for the size and scope of the RTO’s operations
- focused on provided quality training, assessment and support services
- consistently implemented across all of the RTO’s operations
- systematically monitored and improved

The RTO will ensure that the RTO’s continuous improvement approach is systematic.

The RTO will ensure that it will meet:

- the VET Quality Framework
  - Standards for National VET Regulator (NVR) Registered Training Organisations
Fit and Proper Person Requirements
Financial Viability Risk Assessment Requirements
Data Provision Requirements, and
Australian Qualifications Framework.

- legislation and regulations under which it is registered

The VET Coordinator will also ensure that the RTO’s policies and procedures are understood by VET staff and implemented consistently across the RTO. Data on the effectiveness of the management of operations will be collected annually (through the tasks outlined in the Continuous improvement schedule), analysed and reported on. Outcomes of this data analysis will inform the continuous improvement process of the RTO.

**SNR17.3: Partnerships policy**

The RTO manages training and assessment provided on its behalf by documenting or recording agreements that cover the responsibilities of both parties, quality assuring the agreements, monitoring the implementation of these agreements, and making improvements where required. A record of any partnership arrangements will be recorded in the Register of partnerships.

Where the RTO engages or is engaged by another organisation for VET assessment, training and/or certification services, it has a **written agreement** with the other organisation.

**Partnership procedure**

Written agreements with other organisations will include the following:

- the name and address of both organisations
- the name of the **chief executive officer** (CEO) of both organisations
- the name and contact details of the primary contact at the other organisation
- the program offered, including the relevant Training Package qualification or accredited course including code and the units of competency or modules, including the code and title
- a list of services offered by the other organisation, e.g. training and/or assessment
- a statement outlining the level of service offered, e.g. “the RTO, will provide all training and assessment staff”
- a statement acknowledging that the RTO is always responsible for training, assessment and certificates issued in its name
- a verified copy of the RTO’s Certificate of Registration and Scope Certificate
- signatures of the CEOs of both organisations
- dates for the period of the agreement
- fees related to the agreement.

It is essential that the agreement or its supporting documentation describes the processes to be used for monitoring the implementation of the agreement. The agreement will also include the timeframe of the agreement, a review process as well as grounds for terminating the agreement, and any sanctions to be applied to either party if the terms of the agreement are not met.
Once agreements have been established they are monitored by the VET Coordinator on an annual basis to ensure that both parties are meeting their obligations and that the services being provided meet the VET Quality Framework including the Standards for NVR RTOs. Any documentation of this monitoring is kept on file with the VET Coordinator.

The VET Coordinator will enter the details of the agreement on the Register of partnerships and ensure the other organisation has a copy of the agreement and understands its responsibilities. Agreements do not have to be in place in relation to this standard when the RTO is engaging contract trainers/assessors. Contractors are included under SNR15.3 and SNR15.4.

**SNR17.4: Version control and records management policy**

The records maintained by the RTO will support the continuous improvement of its operations and provide evidence of compliance with the VET Quality Framework.

The VET Coordinator will use a systematic approach to maintain all records relevant to its operations as an RTO, including the continuous improvement of its operations through the utilisation of a Register of documents (or similar) system.

All VET staff will meet their responsibilities for records management.

The effectiveness of records management is monitored and reviewed by the VET Coordinator and any activities that may highlight changes will be acted upon to improvement records management processes.

**Record-keeping procedures**

**Record keeping**

Records are maintained of:

- student enrolments
- fees paid and refunds given
- management of continuous improvement activities
- documented training and assessment strategies
- establishment and verification of trainer and assessors’ competency and currency through Staff Profile’s (or similar documents) detailing qualifications and industry experience
- assessment and assessment validation and/or moderation processes
- management and responses to concerns, complaints and appeals
- management of the training provided on the RTO’s behalf
- issuance of appropriate certification. Qualifications or statements of attainment (where an agreement with QCAA does not exist)
- compliance with legislative instruments:
  - the Standards for National VET Regulator (NVR) Registered Training Organisations
  - the Fit and Proper Person Requirements
  - the Financial Viability Risk Assessment Requirements
  - the Data Provision Requirements, and
- the Australian Qualifications Framework.

- compliance with legislative requirements

- collection and responses to feedback from clients and other stakeholders

- any other documentation necessary to develop, implement and maintain the RTO’s quality system.

The RTO’s Register of complaints, Register of qualifications issued, Register of documents, Register of VET Student Agreements and the Register of partnerships” are held at a central location and are maintained by the VET Coordinator.

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 VET teacher. Electronic files (e.g. SDCS) are kept up to date and backed up regularly, with the backup copy being kept securely in another place or in a fireproof and flood proof safe.

All records are stored for retention, archiving and retrieval by VET teachers and the VET Coordinator in accordance with ASQA’s General direction: Retention of completed student assessments. All completed student assessments are kept for a minimum of 6 months after graduation. Assessment masters and benchmark material are kept for a minimum of 2 years after last use.

**AVETMISS**

The RTO has a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data. *(Ref: SNR23).*

**Confidentiality procedure**

Information about a student, except as required by law or as required under the [VET Quality Framework](#), 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 arrange completion of a VET Student Agreement Form. Where a student consents to disclosure of information, this consent is kept on the Register of VET Student Agreement Forms.

Students have access to their personal records at any time.

**SNR18 Governance arrangements**

**SNR18.1: Governance**

The Principal must ensure that the RTO complies with the [VET Quality Framework](#) and any other national legislation and guidelines approved by the NSSC.

This applies to all of the operations within the organisations **scope of registration**, as listed on Training.gov.au (TGA) - the database on Vocational Education and Training in Australia.

**SNR18.2: Decision making**

The organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its VET teachers.

The Principal ensures that the RTO operations complies with the [VET Quality Framework](#) and any other national legislation and guidelines approved by the NSSC by:
• complying with the *Standards for NVR RTOs* and any related national legislation (and legislative instruments) and guidelines approved by the NSSC, including all of the operations within the RTO’s scope of registration, as listed on Training.gov.au (TGA) - the database on Vocational Education and Training in Australia

• ensuring that individuals who are in a position of financial management are in direct communication with the Principal about the financial standing of the RTO and meet the *Financial Viability Risk Assessment Requirements*

• ensuring that senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy *Fit and Proper Person Requirements*

• ensuring that any decision making of senior management is informed by the experiences of its trainers and assessors (i.e. review of annual internal review (IR), internal audit reports, risk assessments and outcomes of VET staff feedback/VET staff meetings)

• delegating responsibility for day to day operations to the VET Coordinator

• ensuring, through delegation to the VET Coordinator, that the qualifications issued are in accordance with the requirements of the *Australian Qualifications Framework*

• meeting regularly with the VET Coordinator to keep informed of those operations, and enduring minutes of those meetings are taken

• signing appropriate documentation and report data as required (i.e. audit reports and quality indicator data) in line with the *Data Provision Requirements*

The VET Coordinator has responsibility and authority for the quality **training** and **assessment** system in the RTO. They have responsibility to:

• communicate with all RTO staff regarding requirements to maintain compliance with the **VET Quality Framework** and other relevant guidelines

• oversee operation of RTO status

• liaise with the Queensland Curriculum and Assessment Authority (QCAA) concerning all aspects of the RTO status

• keep the Principal informed of all matters regarding the RTO status

• manage the **continuous improvement** process including the internal audit and review **process**

• complete the annual QCAA Action List to provide the QCAA with accurate and timely information regarding registration and compliance

**Organisational chart and duty statements**

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

**Internal audits policy**

All aspects of the RTO’s operation as an RTO will be reviewed at least once each year through an internal audit process. This process contributes to the RTO’s compliance to SNR15.1, SNR16.2 and SNR17.2.
**Internal audit procedure**

An audit team may consist 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 an Internal Audit annually by collecting objective evidence.

The VET Coordinator will use the following processes to ensure that the stated policies and procedures of the RTO are being circulated, understood and implemented consistently throughout the RTO and that these procedures are compliant with the VQF:

- examining documents and systems such as policies and procedures, student handbooks, relevant components of business plans, trainer/assessor qualifications
- examining records of actual training conducted
- perusing a sample of student files
- analysing resources for delivery and assessment required by the relevant Training package or course, including assessment tools
- collecting, analysing and reporting on feedback from various stakeholders
- observing processes such as assessment and learning activities
- looking at facilities and observing training and assessment activities; and
- questioning the VET staff to further explore evidence

The VET Coordinator and the executive management team (or equivalent) will review internal review and audit reports, continuous improvement reports, progress on any rectification and ongoing compliance with the VQF. The RTO will act on any opportunities for improvement.

**SNR19 Interactions with the National VET Regulator**

Interactions with the National VET Regulator (delegated to QCAA for Queensland schools) are managed by the Principal through delegation to the VET Coordinator.

The RTO has stated the organisation will remain compliant with the VET Quality Framework during the RTOs registration.

The RTO will cooperate with QCAA or ASQA (if applicable):

- in the conduct of audits and the monitoring of its operations
- by providing accurate and timely data relevant to measures of its performance (including quality indicator data) in line with the Data Provision Requirements
- by providing information about significant changes to its operations
- by providing information about significant changes to its ownership
- in the retention, archiving, retrieval and transfer of records consistent with ASQA’s General direction: Retention of completed student assessments
- by providing information demonstrating its financial viability, and/or its annual financial statements, and/or a business plan on request of the registering body to meet the Financial Viability Risk Assessment Requirements.
The RTO is a part of a system that requires them to be accountable for the management of their operations.

Accountability is tested, in part by the RTO's participation in external audits, through the data it reports and through the confirmation that the RTO remains financially viable.

It is the RTO’s responsibility to ensure that the registering body is made aware of changes to its operations, for example, significant changes in management, change of address or company structure.

When the RTO ceases to operate, the registering body must be provided with records of all students in the format required by the registering body.

These changes must be reported when they happen (generally by the VET Coordinator).

The Principal must be able to demonstrate at the request of the registering body, that it has the financial capacity to deliver quality training and assessment outcomes at the time of request and into the future.

The RTO may be asked to provide an independent assessment of a Financial Viability Risk Assessment, or its annual financial statements, or business plans so that the registering body can complete an assessment of financial viability risk. This RTO is covered by the requirements of Education Queensland and/or the Non-State School Accreditation Board.

**SNR20 Compliance with legislation**

**SNR20.1: Comply with relevant legislation**

The RTO complies with relevant Commonwealth, state or territory legislation and regulatory requirements that are relevant to its operations and its scope of registration.

The RTO ensures that all VET staff and students are fully informed of these requirements that affect their duties or participation in vocational education and training.

Commonwealth legislation available at www.comlaw.gov.au

- National Vocational Education and Training Regulator Act 2011 (and associated legislative instruments)
- Copyright Act 1968
- Privacy Act 1988 (2001)


- Anti-Discrimination Act 1991
- Child Protection Act 1999
- Vocational Education, Training and Employment Act 2000, Chapter 4: Vocational placement
- Vocational Education, Training (Commonwealth Powers) Bill 2012

The RTO must systematically identify the legislation that relates to its operations; ensure that it is complying with this legislation; and, that it continues to comply with it.
SNR20.2: Inform staff and students of legislation

When VET staff commence working for the RTO (and on an ongoing basis as required) they are informed of the impact the legislation has on the way in which they carry out their duties. Legislation requirements that pertain to its operations as an RTO are explained to staff at the VET teacher induction.

VET teachers are required to sign that they have been given this information via the VET teacher induction checklist.

Students are provided with information about relevant legislation and their related rights and responsibilities in the VET student handbook.

SNR21 Insurance

The RTO will maintain a Certificate of currency for public liability insurance throughout its registration period. This RTO is covered by the requirements of Education Queensland and/or the Non-State School Accreditation Board.

SNR22 Financial management

SNR22.1: Financial viability

The RTO is able to demonstrate to the registering bodies, on request, that it is financially viable at all times during the period of its registration, as this is a requirement of Education Queensland and/or the Non-State School Accreditation Board.

SNR22.2: Fee information

The RTO will provide the following fee information to each student:

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

*Students will receive an original version of their Certificate via the post or given by hand (please let the VET Coordinator know if you have a preference). The VET department will keep a copy of the original on file for no less than 12 months. Should this original Certificate be lost or damaged and require re-issue then the student will need to cover all costs involved. Please contact the VET Coordinator for assistance regarding applications for re-issue.
SNR22.3: Fees in advance

Where the RTO collects student fees in advance it complies with Option 1 – the NVR RTO is administered by a state, territory or Commonwealth government agency. This is covered by the requirements of Education Queensland and/or the Non-State School Accreditation Board.

The RTO’s Business Services Manager will be responsible for ensuring the RTO complies with its financial policies, as outlined their duty statement.

Fees and Charges, including Refund policy

The RTO does not charge students fees for VET services. Fees are only collected for consumable costs as part of the RTO’s Annual Resource Levy.

The RTO will refund on a pro-rata basis any fees collected for consumable costs to students who leave before completion of the VET service.

Matters regarding payment of fees or refund of fees will be managed by the RTO’s Business Services Manager in accordance with the principles contained in the RTO’s Fee Policy.

SNR23 Certification, issuing and recognition of qualifications & statements of attainment

SNR23.1: Certification and issuing qualifications

The RTO must issue to students whom it has assessed as competent in accordance with the requirements of the Training package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:

- Meets the Australian Qualifications Framework (AQF) requirements
- Identifies the RTO by its national provider number
- Includes the Nationally recognised training (NRT) logo in accordance with the current conditions of use.

The RTO ensures the authenticity of the documents by including the corporate identifier (e.g. RTO logo) or unique watermark.

SNR23.2: Recognition of qualifications

The RTO recognises all AQF and VET qualifications and VET statements of attainment issued by any other RTO. The RTO will seek verification of the certification from the relevant RTO where there is some ambiguity.
Recognition of qualifications procedure

The RTO recognises all AQF and VET qualifications and VET statements of attainment issued by any other RTO. The RTO will seek verification of the certification from the relevant RTO where there is some ambiguity.

- The VET teachers and the VET Coordinator will make students aware that any existing AQF qualifications or statements of attainment they possess will be recognised by the RTO during the VET student induction at the beginning of the year.
- VET teachers will remind students of this policy at the beginning of each new term.
- If a student presents an AQF qualification or statement of attainment to a VET teacher, the teacher will take a copy and bring it to the attention of the VET Coordinator.
- The VET teacher in consultation with the VET Coordinator will verify the authenticity of the qualification or statement of attainment.
- The verified copy of the qualification or statement of attainment is placed in the student’s file.
- Once the qualification or statement of attainment is verified, the VET teacher will give the student exemption for the units of competency identified in the qualification or statement of attainment and update the student’s records accordingly. Information will then be entered in SDCS using the ‘credit transfer’ option.

Internal recognition of qualifications procedure

- The RTO will complete a comprehensive mapping exercise (where relevant) to identify common units of competency across qualifications on the scope of registration.
- At the beginning of each year, those students who are enrolled in courses where there are common units of competency, or who have progressed from Certificate I to Certificate II (where applicable) are identified.
- The VET Coordinator and VET teachers will meet to establish the processes for delivery and assessment ensuring accurate data is recorded.
- This process is repeated throughout the year for students who change subjects.
- The information is entered into SDCS using the ‘credit transfer’ option in all instances where the student has already gained the unit of competency (i.e. the student may only once be deemed as competent).

SNR23.3: Retention of client records

The RTO has an agreement with QCAA to print all qualifications and statements of attainment. A copy of this agreement is kept on file with the VET Coordinator. The RTO will retain the client records of attainment of units of competency and qualification in an accessible format for 30 years. All qualifications and statements of attainment issued by the RTO are also recorded in the Register of Qualifications Issued. The record will contain enough information to reproduce the qualification or statement of attainment if required.
Replacement of certification documentation policy

Requests for a replacement qualifications or statements of attainment (within a 30 year period) are handled in a timely manner.

Replacement of certification documentation procedure

The following procedure is to be followed:

- All requests for a replacement qualification or statement of attainment must be in writing (email is acceptable) from the student to the RTO
- The request will be forwarded to the VET Coordinator to coordinate
- The RTO will access the archived records/Register of Qualifications Issued to access the required information for the replacement document (this is done by contacting QCAA for an replacement)
- The replacement will identify that it is a re-issued version as well as follow all requirements for printing and issuing qualifications and statements of attainment as outlined in the NQC Bulletin on Protocal for testamurs and Statements of Attainments.
- The replacement will be issued within 15 working days of receipt of the written request

SNR23.4: Provide details of client records

The RTO has a student records management system in place that has the capacity to provide the registering body with AVETMISS compliant data (Using SDCS covers this requirement)

The RTO provides returns of its student records of attainment of units of competency and qualifications to its registering body on a regular basis, as determined by the registering body according to dates published on the QCAA website for data submission (and communication via QCAA memorandums).

SNR23.5: Unique student identifier

The RTO will meet the requirements for implementation of a national unique student identifier when the national system is in place.

SNR24 Accuracy and integrity of marketing

SNR24.1: Marketing and advertising

The RTO must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration. The RTO must not advertise or market in any way accredited courses, qualifications or units of competency that are not on the scope of registration.

The RTO will include a statement in the VET Student Handbook explaining that if the RTO loses access to human or physical resources that impact the ability to deliver and assess the qualification, “students will be provided with alternative opportunities to complete the course and the related qualification.”
Advertising and marketing procedure

The VET Coordinator and associated VET teachers will collaboratively prepare all advertising and marketing material referencing VET, prior to being sent to the Deputy Principal who will approve final copies with particular regard to:

- the content of courses that include VET qualifications, clearly identifying the VET qualification and including the NRT logo
- if another RTO provides a qualification for the organisation, the RTO is identified (and appropriate permission has been documented for the referencing/advertising of the partnering RTO)
- all VET qualifications advertised are within the RTO’s scope of registration
- if the RTO offers any VET accredited courses the RTO will ensure that it has written permission to offer the course from the course owner
- ensuring that, where any information regarding the written agreement between the client and the RTO that describes the training, assessment and client services to be provided is used on marketing and advertising material, this is provided prior to student enrolment.

24.2: Use of logos

The RTO uses the NRT logo in accordance with the NRT Logo specifications on all AQF qualifications and Statements of attainment issued within the RTO’s scope of registration. Where the NRT logo is used in advertising or other materials, it is also used in accordance with specifications.

SNR25 Transition to Training Packages/expiry of VET accredited courses

SNR25.1: Transition from Training Packages

The RTO must manage the transition from superseded Training packages within 12 months of their publication on Training.gov.au (TGA) - the database on Vocational Education and Training in Australia.

It is the responsibility of each vocational area within the RTO to plan for the transition to new/revised Training packages as they are endorsed. Each vocational training area must complete the associated application forms (provided by the Registering Body) for new qualifications and units, where required, and provide that to the VET Coordinator to approve and send to the registering body.

Where possible, students in existing/expiring 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 six month “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 will also review plans for the transition to new or revised Training package in accordance with the ASQA General direction: Transition and teach out. The transition to the new Training package must be completed within 12 months.
SNR25.2: Expiry of VET accredited courses

The RTO must manage the transition from superseded VET accredited courses so that it delivers only currently accredited VET courses. It is the responsibility of each vocational area within the RTO to plan for the transition to new/revised VET accredited courses as they are accredited. Each vocational training area must complete the associated application forms (provided by the Registering Body) for new courses and units, where required, and provide that to the VET Coordinator to approve and send to the registering body.

Plans should be in place for students to complete the qualification prior to the expiry date of the VET accredited course, or to transition to a new version of the VET accredited course.

The IR will also review plans for the transition to new or revised VET accredited course in accordance with the ASQA General direction: Transition and teach out. The transition to the new Training package must be completed within 12 months.
Glossary

The following terms are common to the VET sector and are used in the VQF documents. Each term is followed by a definition and, where appropriate, further explanation. If the definition of a word or phrase listed below is inconsistent with the definition of the same word or phrase used in particular legislation, the definition provided in that legislation takes precedence.

Access and equity
Policies and approaches aimed at ensuring that vocational education and training are responsive to the individual needs of clients whose age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location may present a barrier to access, participation and the achievement of suitable outcomes. Access and equity principles do not mean that an RTO has to accept anyone as a client.

Accredited course
A structured sequence of vocational education and training that has been accredited by a state or territory course accrediting body and leads to an Australian Qualifications Framework (AQF) qualification or statement of attainment.

Appeal
An appeal is where a client of an RTO, or other interested party, may dispute a decision made by the RTO. The decision made by the RTO may be an assessment decision or may be about any other aspect of the RTO’s operations.

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

Audit
A planned, systematic and documented process used to assess an applicant’s or an RTO’s compliance with the VET Quality Framework.

The National VET Regulator (or its delegate) conduct audits as a condition of registration. RTOs can conduct internal audits to assess their compliance with the VQF and their own policies and procedures as part of their continuous improvement process.

Audits may be:
- internal — conducted by officers of the RTO (or consultants) annually
- external — conducted by auditors from the National VET Regulator or the QCAA.

Australian Qualifications Framework (AQF)
The policy framework that defines all qualifications recognised nationally in post-compulsory education and training in Australia. The AQF comprises titles and guidelines that define each qualification, as well as the principles and protocols covering cross-sectoral qualification links and the issuing of qualifications and statements of attainment.
**AVETMISS**
The Australian Vocational Education Training Management Information Statistical Standard (AVETMISS) for VET Providers is a national data standard that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.

**Chief Executive Officer**
The most senior executive of an RTO.

**Complaint**
A complaint is any expression of dissatisfaction with an action product or service of an education and training provider (or of the registering body) made to the registering body.

**Compliance**
The requirements of the *VET Quality Framework* have been met, based on the evidence reviewed.

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

**Continuous improvement**
A planned and ongoing process that enables an RTO to systematically review and improve its policies, procedures, products and services in order to generate better outcomes for clients and to meet changing needs. It allows an RTO to constantly review its performance against the *VET Quality Framework* and to plan ongoing improvements to its performance.

Continuous improvement involves collecting, analysing and acting on relevant information collected from clients and other interested parties, including the RTO’s staff.

**Data**
The information collected about aspects of an RTO’s operations and performance.

**Director**
The director of an RTO is a person who controls or governs the affairs of the RTO. A director may be appointed to the position of director or an alternate director and is acting in that capacity, regardless of the name that is given to their position. It also includes those who may not have been validly appointed as a director but act in the position of a director.

**Financial Viability Risk Assessment Requirements**
The *Financial Viability Risk Assessment Requirements 2011* aim to ensure that an applicant or RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

**Fit and Proper Person Requirements**
Individual characteristics or past behaviour standards that must be met by individuals who are in a position to influence the management of an RTO. Failure to meet the requirements may impact on the
suitability of the individual to contribute to the delivery of education and training. A test of whether an individual satisfies fit and proper person requirements may consider past criminal convictions, any record of registration cancellations or conditions on registration, a history of personal bankruptcy or insolvency, disqualifications under the Corporations Act 2001 and other relevant matters.

Industry
Representative bodies that have a stake in the training, assessment and client services provided by RTOs. These representative bodies could include industry skills councils, industry associations, unions, regulatory bodies, licensing bodies and group training companies (not an exhaustive list).

Internal audit (see Audit above).

Internal Review
IR is a quality improvement process undertaken by the RTO 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.

Moderation
The process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements.

Module
A group of learning outcomes in an accredited course where the copyright owner can establish that it is not possible to develop an appropriate unit of competency.

National Recognition
Recognition by an RTO of the AQF qualifications and statements of attainment issued by all other RTOs, thereby enabling national recognition of the qualifications and statements of attainment issued to any person. Recognition by each state and territory’s registering body of the training organisations registered by any other state or territory’s registering body and of its registration decisions. Recognition by all state and territory course-accrediting bodies and registering bodies of each other’s accredited courses and accreditation decisions.

Nationally Recognised Training (NRT) logo
The logo used nationally to signify that training and assessment products and services meet the requirements agreed under the National Skills Framework.

National VET Regulator (NVR)
The Australian Skills Quality Authority (ASQA) is the national regulator for Australia’s vocational education and training sector. ASQA regulates courses and training providers to ensure nationally approved quality standards are met.

Principles of assessment
To ensure quality outcomes, assessment should be fair, flexible, valid, and reliable.
Procedure
A documented method or set of instructions that describes how a process is carried out.

Process
The systematic actions, people and resources required to achieve an outcome.

Qualification
is defined as follows: formal certification, issued by a relevant approved body, in recognition that a person has achieved learning outcomes or competencies relevant to identified individual, professional, industry or community needs.

Quality Indicators
Quality Indicators are a set of three indicators which are part of the VET Quality Framework. When considered in the context of the RTO’s business, data against the Quality Indicators provides a measure of the RTO’s performance and the quality of outcomes it is achieving for students. Three Quality Indicators have been identified as being useful for the purpose of continuous improvement within RTOs and to inform the risk profile of RTOs as established by the National VET Regulator. The quality indicators are:

- Employer satisfaction (including satisfaction with competency development and the quality of training and assessment). This indicator focuses on employers’ evaluations of learners’ competency development, its relevance to work and further training, and the overall quality of training and assessment.
- Learner engagement (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in the types of activity that are likely to promote high-quality skills, as well as on learners’ perceptions of the quality of their competency development and the support they receive from the RTO.
- Competency completion rate. This will be calculated for qualifications and units of competency or modules delivered, based on data provided by RTOs about:
  - the number of enrolments in the previous calendar year, and
  - the number of qualifications completed and/or units of competency or modules awarded in the previous calendar year.

Recognition of Prior Learning (RPL)
An assessment process that assesses an individual’s non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of, a qualification.

Registration
Formal recognition by the National VET Regulator, in accordance with the National Vocational Education and Training Regulator Act 2011. A training organisation must be registered in order to deliver and assess nationally recognised training and issue nationally recognised qualifications.

- Initial registration is when a training organisation meets the requirements of the VET Quality Framework, particularly Standards for NVR RTOs SNR4-14.
- Continuing registration is when a registered training organisation continues to meet the requirements of the VET Quality Framework and in particular Standards for NVR RTOs SNR15-25.
• **Renewal of registration** refers to the process of seeking another registration period as a registered training organisation.

**Registered training organisation (RTO)**
A training organisation registered by a state or territory registering body in accordance with the *VET Quality Framework* within a defined scope of registration. See also Scope of registration.

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

**Rules of evidence**
These are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is valid, sufficient, authentic and current.

**Scope of registration**
The particular services and products that an RTO is registered to provide. The RTO’s scope defines the specific AQF qualifications, units of competency and accredited courses it is registered to provide, and whether it is registered to provide:

- Both training delivery and assessment services, and to issue the relevant AQF and VET qualifications and VET statements of attainment, or
- Only assessment services, and to issue AQF and VET qualifications and VET statements of attainment.

**Senior officer**
A senior officer includes directors, secretaries and other people who manage an RTO. A senior officer of an RTO that is neither an individual nor a corporation means a partner in the partnership if the entity is a partnership or an office holder of the unincorporated association if the entity is an unincorporated association. It can also include a person who makes, or participates in making, decisions that affect the whole, or a substantial part, of the business of the entity or who has the capacity to affect significantly the entity’s operations or financial standing.

**Staff**
Individuals working for the RTO, including contractors.

**Stakeholders**
Individuals or organisations affected by, or who may influence, the RTO’s services but who are not directly involved in purchasing or using the RTO’s services.

**Training**
The process used by an RTO to facilitate learning.

**Training and assessment strategy**
A plan that guides the learning requirements and the teaching, training and assessment arrangements of a vocational education and training qualification. It is the document that outlines the macro-level requirements of the learning and assessment process, usually at the qualification level.
Training Package
A nationally endorsed, integrated set of competency standards, assessment guidelines and AQF qualifications for a specific industry, industry sector or enterprise.

Unique student identifier
A unique national VET student number for all nationally recognised training. The system and details are yet to be implemented. However, some jurisdictions have a state VET student number. If RTOs are required to submit data as part of funding arrangements then this will be part of the reporting requirements. RTOs will need to contact the appropriate jurisdiction which will advise on collection requirements.

Unit of competency
Specification of industry knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

Validation
Validation is a quality review process. It involves checking that the assessment tool produced valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course have been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes.

VET Quality Framework (VQF)
The VET Quality Framework is aimed at achieving greater national consistency in the way providers are registered and monitored and in how standards in the vocational education and training (VET) sector are enforced. The VET Quality Framework comprises:

- the Standards for National VET Regulator (NVR) Registered Training Organisations
- the Fit and Proper Person Requirements
- the Financial Viability Risk Assessment Requirements
- the Data Provision Requirements, and
- the Australian Qualifications Framework.

Vocational competency
Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to the guidance provided in the Assessment Guidelines of the relevant Training Package.
### Acronyms and abbreviations

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<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>AQF</td>
<td>Australian Qualifications Framework</td>
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<td>ASQA</td>
<td>Australian Skills Quality Authority</td>
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<tr>
<td>AVETMISS</td>
<td>Australian vocational education and training management information statistical standard</td>
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<tr>
<td>CCOS</td>
<td>Competency completion online system</td>
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<td>DPR</td>
<td>Data Provision Requirements</td>
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<td>FPPR</td>
<td>Fit and Proper Person Requirements</td>
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<td>FVRAR</td>
<td>Financial Viability Risk Assessment Requirements</td>
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<td>HOD</td>
<td>Head of Department</td>
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<td>IR</td>
<td>Internal review</td>
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<td>NQC</td>
<td>National Quality Council</td>
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<td>NVR</td>
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<td>QI</td>
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<td>QCAA</td>
<td>Queensland Curriculum and Assessment Authority</td>
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<td>RPL</td>
<td>Recognition of prior learning</td>
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<td>RTO</td>
<td>Registered training organisation</td>
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<td>SDCS</td>
<td>Student Data Capture System</td>
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<td>SMART</td>
<td>Survey management, analysis and reporting tool</td>
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<td>SNR</td>
<td>Standards for NVR Registered Training Organisations</td>
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<td>TAS</td>
<td>Training and assessment strategy</td>
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<td>VET</td>
<td>Vocational education and training</td>
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<td>VTA</td>
<td>Vocational training area</td>
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<td>VQF</td>
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