



**MOTOR TRADERS'
ASSOCIATION OF NSW**

**MTA NSW
Registered Training Organisation
(MTA NSW RTO)
Policies and Procedures**

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Australian Skills Quality Authority (ASQA)

Policy

MTA NSW will adhere to the VET Quality Framework as required by ASQA. The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector it is responsible for registering training organisations and accrediting courses in Australia. ASQA regulates courses and training providers to ensure nationally approved quality standards are met. MTA NSW will also ensure ASQA are notified of material changes that occur to its management or operations, or events that would significantly affect its ability to comply with the VET Quality Framework within a timely manner. Material change includes changes to;

- chief executive officer/principal executive officer/executive officer/high managerial agent
- financial administration status
- legal name or type of legal entity
- ownership, directorship and/or control (including sale of RTO business).

An event that may significantly affect the RTO's ability to comply with the VET Quality Framework would include events such as:

- information arising that may impact on the 'Fit and Proper Person' status of an influential representative of the RTO or CRICOS provider
- commencing or dissolving an arrangement with another organisation to conduct training and/or assessment on the RTO's behalf
- significant change to a fundamental funding/revenue source of the RTO (eg. Government funding contract allocation)
- significant change to the RTO's business strategy driven by a change to Government policy
- commencing delivery to apprentices or trainees employed under a training contract, or
- another significant event not classified elsewhere.

Procedure

MTA NSW will adhere to the VET Quality Framework as detailed below in the five conditions of registration. Any material changes will be advised to ASQA as soon as possible by completing the "Notification of material change or event" form as found on the ASQA website: www.asqa.gov.au

Responsibility

It is the ultimate responsibility of the CEO to ensure registration and compliance with the VET Quality Framework conditions of registration as set out by ASQA.

It is the responsibility of the Compliance and Customer Relations Manager to monitor MTA NSW RTO's compliance with the VET Quality Framework, the requests and updates of ASQA. They must also advise the CEO and Learning & Development Manager of relevant changes and areas of non-compliance identified during review, risk management or internal auditing.

It is the responsibility of the Learning & Development Manager to ensure Training Officers and other staff are made aware of the VET Quality Framework conditions of registration as set out by ASQA and how their role at MTA NSW is affected at induction and on an ongoing regular basis.

It is the responsibility of Training Officers and other staff to acknowledge and understand the VET Quality Framework conditions of registration as set out by ASQA and how their role is affected by the standards as detailed by the Learning & Development Manager.

Training Officers are also responsible for advising clients of how the VET Quality Framework conditions of registration affect their participation in vocational education during the clients induction visit. Training officers must also advise learners of the role of ASQA and the services available to them through ASQA.

It is the responsibility of the Compliance and Customer Relations Manager to complete the "Notification of material change or event" form and forward this to ASQA as soon as they are aware of a relevant change.

VET Quality Framework

The VET quality Framework is the framework within which Registered Training Organisations (RTO's) must operate and adhere to as conditions of registration. The framework includes; The Standards for NVR Registered Training Organisations, The Data Provision Requirements, The Financial Viability Risk Assessment Requirements, The Fit and Proper Person Requirements and the Australian Qualifications Framework.

The Standards for NVR Registered Training Organisations

Policy

All operations conducted by MTA NSW will comply with the Essential Standards for Continuing Registration of the Standards for NVR Registered Training Organisations. This will ensure MTA NSW operations are of a nationally consistent standard and that high quality training and assessment services are provided to our clients, whilst ensuring we are meeting the conditions of registration as an RTO.

Procedure

MTA NSW will on an ongoing and regular basis operate a continuous improvement system, risk management and internal auditing processes to review compliance with the Standards for NVR Registered Training Organisations. Identified improvements and risks will be acted upon to ensure compliance is maintained.

All staff will be provided with information upon induction and at regular intervals throughout their employment regarding the Standards for NVR Registered Training Organisations and how it affects their role within MTA NSW.

All clients will be given information upon enrolment as to how MTA NSW operates in compliance with the Standards for NVR Registered Training Organisations and on how these standards affect their participation in Vocational Education.

Responsibilities

It is the ultimate responsibility of the CEO to ensure compliance with the Standards for NVR Registered Training Organisations.

It is the responsibility of the Compliance and Customer Relations Manager to monitor MTA NSW RTO's compliance with the Standards for NVR Registered Training Organisations. They must also advise the CEO and Learning & Development Manager of relevant changes and areas of non-compliance identified during review, risk management, internal auditing or continuous improvement.

It is the responsibility of the Learning & Development Manager to ensure Training Officers and other staff are made aware of Standards for NVR Registered Training Organisations and how their role at MTA NSW is affected at induction and on an ongoing regular basis.

It is the responsibility of Training Officers and other staff to acknowledge and understand the Standards for NVR Registered Training Organisations and how their role is affected by the standards as detailed by the Learning & Development Manager.

Training Officers are also responsible for advising clients of how the Standards for NVR Registered Training Organisations affect their participation in vocational education during the clients induction visit.

Australian Qualifications Framework (AQF)

Policy

MTA NSW will adhere to the Australian Qualifications Framework (AQF) at all times throughout its operations relating to qualification levels, qualification types, issuance of qualifications, education pathway provision, training and assessment.

Procedure

The Learning & Development Manager will provide training and information to all MTA NSW RTO Training Officers on the requirements of AQF upon induction and throughout employment.

Activities relating to AQF will be incorporated into MTA NSW RTO validation to ensure that Training Officers understand the requirements of AQF.

AQF requirements are incorporated into the checklists used for the development of assessment tools and material to ensure that the resources used by MTA NSW RTO as part of its training continue to meet the requirements as outlined in the AQF 2011 handbook.

The requirements of the AQF is incorporated into the MTA NSW policy on the issuance of qualifications and statements of attainment.

The Compliance and Customer Relations Manager will remain up to date with the requirements of AQF and notify staff via email and training meetings of any changes and their impact on training offered by MTA NSW.

Responsibilities

It is the ultimate responsibility of the CEO to ensure compliance with the AQF.

It is the responsibility of the Compliance and Customer Relations Manager to monitor MTA NSW RTO's compliance with the AQF and to implement required changes. They must also advise the CEO and Learning & Development Manager of relevant changes and areas of non-compliance identified during review, risk management, internal auditing or continuous improvement.

It is the responsibility of the Learning & Development Manager to ensure Training Officers and other staff are made aware of AQF and how their role at MTA NSW is affected at induction and on an ongoing regular basis.

It is the responsibility of Training officers and other staff to acknowledge and understand the AQF and how their role is affected by the AQF as detailed by the Learning & Development Manager.

Training Officers are also responsible for advising clients of how the AQF affects their participation in vocational education during the clients induction visit.

The Data Provision Requirements

Policy

MTA NSW will provide data regarding registration, renewal of registration and auditing purposes required by the National Regulator upon request. Quality Indicators will also be reported on as required by the National Regulator.

Procedure

MTA NSW will collect and report on Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) Compliant Data from learners and will utilise an AVETMISS compliant student records management system to ensure accurate and compliant reporting.

MTA NSW will also supply information relevant to registration or renewal of registration or audit to the National Regulator upon request.

MTA NSW will collect data against the Quality Indicators on an annual basis and report on this data to the National Regulator before June 30 each year for the previous calendar year's activities.

Responsibility

It is the responsibility of the Compliance and Customer Relations Manager to ensure enrolment documents accurately capture the required AVETMISS data.

It is the responsibility of the Training Officers to ensure the AVETMISS requirements are completed by learners upon induction.

It is the responsibility of the Data Processing Staff to ensure AVETMISS data is entered into the student records management system.

It is the responsibility of the Compliance and Customer Relations Manager to provide the National Regulator with information in a timely and accurate format upon request.

It is the responsibility of the Compliance and Customer Relations Manager to instigate the collection of Quality Indicator data by the Training Officers from learners. The Records Management Officer will then enter the data into the appropriate database. It is then the responsibility of the Compliance and Customer Relations Manager to extract the data and provide it in a report to the National Regulator within the required time frame.

Fit and Proper Person Requirements

Policy

All persons who exercise a degree of control or influence over the operation of MTA NSW RTO will complete, meet and lodge a Fit and Proper Person Requirement Form with the National Regulator. This will ensure that these persons are people in whom the public are likely to have confidence in their suitability to manage, or be involved with MTA NSW RTO who provides and assesses national qualifications.

Procedure

MTA NSW CEO, Learning & Development Manager and Compliance and Customer Relations Manager will complete a Fit and Proper Person Requirement Form, these forms will then be lodged with the National Regulator for review. Any changes to these people will result in the new staff member completing and lodging a form.

Responsibility

It is the responsibility of the Compliance and Customer Relations Manager to ensure the Fit and Proper Person Requirement Forms are provided to the relevant staff members, completed and lodged with the National Regulator.

It is also the responsibility of the Compliance and Customer Relations Manager to ensure that forms are completed by any appropriate new staff and to advise the National Regulator of these relevant staff changes.

It is the responsibility of the Fit and Proper Persons to advise the National Regulator should their status as a Fit and Proper Person change.

Financial Viability Risk Assessment Requirements

Policy

MTA NSW will demonstrate financial viability at any given time throughout registration to the National Regulator as requested.

Procedure

Upon request MTA NSW will provide to the National Regulator evidence of financial viability including demonstration of business continuity and capacity to achieve quality outcomes. This will also include evidence of adequate financial resources to acquire requisite assets and physical resources to deliver all qualification on our scope of registration, employ sufficient appropriately qualified staff to cover courses for which we take enrolments, provide appropriate levels of student services to students, remain in business to ensure that each student can achieve completion and to be able to meet these requirements even in an unsure environment.

MTA NSW will submit to an assessment of financial viability at any time as requested by the National Regulator; this assessment will be carried out by a qualified independent financial auditor nominated by the National Regulator. This assessment also applies to any parent organisation, affiliated company or organisation which has a vested interest in MTA NSW.

MTA NSW will provide requested information in a format that is in accordance with Australian Accounting Standards.

Responsibility

It is the responsibility of the Chief Financial Officer in conjunction with the Learning & Development Manager to provide the required evidence to the National Regulator as requested.

It is the responsibility of the Learning & Development and Manager to ensure the management operations of MTA NSW are financially viable and sustainable.

Australian Skills Qualification Authority (ASQA) Audits

Policy

MTA NSW will take part in desktop research or site audits by ASQA at registration renewal, application to increase scope of registration or at any other time decided by ASQA. During these audits ASQA identifies, analyses and evaluates key risks to maintaining quality in accordance with the VET Quality Framework. MTA NSW acknowledges information may be sourced from the RTO itself, students, industry organisations, ASQA's compliance system (such as the complaints register) and other risk analysis systems.

Procedure

MTA NSW will make available relevant staff and documentation to auditors assigned by ASQA.

Responsibility

It is the responsibility of the Compliance and Customer Service Manager to maintain compliance against ASQA's registration requirements. They are also responsible for advising the CEO and Learning & Development Manager of the audit and collating and providing information required by the assigned auditor.

It is the responsibility of the Learning & Development Manager to inform all staff of the upcoming audit and to ensure they are available to speak with auditors if required.

NSW Approved Provider List Funding and APL Contract

Policy

MTA NSW will tender when required to be listed on the Department of Education and Communities NSW (DEC NSW) Approved Provider List under the NSW Approved Provider List Apprenticeships and Traineeship Training Program (ATTP).

MTA NSW RTO will incorporate the additional guidelines and requirements outlined in the APL contract into its operations. Including notifying DEC NSW of any material changes to the RTO operations and any non-compliance with the APL Contract.

Procedure

The Compliance and Customer Relations Manager is to maintain currency on the guidelines and requirements as outlined in APL contracts.

The Compliance and Customer Relations Manager and the Learning & Development Manager will review the guidelines and requirements outlined in each APL Contract to determine the impact and areas of improvement for MTA NSW.

The Compliance and Customer Relations Manager will submit MTA NSW RTO's electronic tender for the APL Contract via the designated methods as detailed on the DEC NSW website.

All staff are provided with information upon induction by the Learning & Development Manager about APL Contract requirements and how they affect their role with MTA NSW.

Further information including changes to the guidelines and requirements as outlined in the APL Contract will be communicated to MTA NSW staff by the Learning & Development Manager via training meetings.

Any changes to these guidelines and requirements will also be communicated to MTA NSW staff via an email from the Compliance and Customer Relations Manager.

Changes to the APL Contract guidelines and requirements will be incorporated into MTA NSW operations by way of its continuous improvement system, as detailed below.

The Compliance and Customer Relations Manager will advise DEC NSW in writing of any material changes to the RTO within 21 days of the change. These material changes can include; changes to management, ownership, contact details. MTA NSW will also advise DEC NSW of any non-compliance with the APL Contract including; fraud, dishonesty, recklessness or gross negligence relating to the operations and provision of funded training and/or assessment.

Responsibilities

The Learning & Development Manager is responsible for communicating information on the requirements of the APL Contract to all MTA NSW staff upon induction and continually via training meetings.

It is the responsibility of the Compliance and Customer Relations Manager to email MTA NSW staff with any changes to APL Contract requirements.

It is the responsibility of the Compliance and Customer Relations Manager to enact any changes in consultation with the Learning & Development Manager to MTA NSW operations via its continuous improvement process.

The Learning & Development Manager is responsible for ensuring that MTA NSW operations meet the requirements outlined in each APL Contract.

It is the responsibility of the Compliance and Customer Relations Manager to advise DEC NSW in writing of any material changes to the RTO and any non-compliance with the APL Contract should it occur.

DEC NSW Audits

Policy

All MTA NSW staff and applicable RTO information will be made available for DEC NSW APL Contract site and desk audits when they occur.

Procedure

For any DEC NSW APL Contract audit the Compliance and Customer Relations Manager will email all MTA NSW staff to ensure that they make themselves available to the appointed auditor. This email will be sent as soon as an audit date is scheduled.

The Learning & Development Manager and Compliance and Customer Relations Manager will make themselves available to the DEC NSW appointed auditor and provide them with any information they require.

In the case of a desk audit, the Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager will gather all required documentation and supply this to the appointed auditor when required.

Responsibilities

It is the responsibility of the Compliance and Customer Relations Manager to inform the MTA NSW staff via email when the audit will be taking place.

It is the responsibility of the Learning & Development Manager to ensure that all staff are available in the day of the audit and provide all necessary information to the appointed auditor.

It is the responsibility of the Compliance and Customer Relations Manager and the Learning and Development Manager to compile evidence for audit and supply this to DEC NSW.

Continuous Improvement

Policy

MTA NSW operates a systematic continuous improvement process. This process isolates work practices by internally auditing and self-assessing systems against VET Quality Framework, APL Contract Requirements, legislative and regulatory requirements.

The continuous improvement process identifies potential negative events or risks which are required to be mitigated or minimized to remove the likelihood of non-compliance.

MTA NSW strongly encourages all staff, learners and stakeholders to actively participate in the quality improvement of its training and assessment services by evaluating the effectiveness and efficiency of work practices.

MTA NSW will obtain feedback to ensure its existing policies, procedures and system requirements meet the needs of all stakeholders.

MTA NSW will establish the needs of its clients and deliver services to meet these needs and continuously improve client services by collecting, analysing and acting on relevant data.

Feedback received from stakeholders will be evaluated and where possible incorporated into MTA NSW training delivery and systems.

By gaining feedback from all stakeholders MTA NSW will continually improve its internal procedures and hence improve the quality of training that MTA NSW provides.

Procedure

The Learning & Development Manager in conjunction with the Compliance and Customer Relations Manager will carry out a review of its systems and processes to ensure compliance with VET Quality Framework, APL Contract Requirements, regulations and legislation.

The review process will be carried out on a yearly cycle, with a least one component of MTA NSW reviewed each month. The order and areas for review are determined by the Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager at the end of each calendar year for the following year. The main components of the RTO to be reviewed include:

- Continuous improvement and feedback
- Assessment validation
- Assessment tools
- Records management & administration
- Training and assessment strategies
- Management and Compliance
- Finance and Insurance
- APL Contract Compliance

The component to be reviewed during the month will also be tabled for discussion during monthly Training Department meetings to allow for feedback, comment and further understanding of this process by all staff within MTA NSW.

This cycle will also be monitored by the Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager to ensure that RTO's systems and processes are being reviewed in an effective manner.

Any improvements that need to be made as a result of the review will be allocated to the relevant staff, by the Compliance and Customer Relations Manager.

As well as systematic internal reviews, MTA NSW encourages all staff, learners and stakeholders to provide feedback to MTA NSW on its training and assessment services. This feedback is gained through a number of sources including (but not limited to):

- Workbook feedback forms,
- Assessment feedback forms,
- Induction feedback forms,
- Supervisor feedback on enrolment contract,
- Quality Indicator Surveys,
- Training meetings, and
- Meetings with industry stakeholders and employers.

Each form of feedback received by MTA NSW includes an opportunity for improvement (OI) component to allow OI's to be clearly identified and actioned by MTA NSW staff.

All feedback responses are recorded by administration staff into Excel spreadsheets for review at training meetings on a monthly basis for identification of trends, patterns and areas of improvement.

When an OI is identified from a feedback form, it will be forwarded to the Compliance and Customer Relations Manager for processing. This will be in the form of a scanned copy of the relevant documentation and a completed Improvement Request Form.

Any staff member who identifies an OI that does not present on a feedback form is to inform the Compliance and Customer Relations Manager, as soon as possible, via completion of Improvement Request form.

If the improvement requires feedback/input from another staff member the Compliance and Customer Relations Manager will arrange for this. The improvement is then made and a new version of the document/procedure is saved according to the version control policy detailed below.

Before the document is made available for use by MTA NSW staff the improvement is to be authorised by the Learning & Development Manager.

The improvement is lodged in the MTA NSW RTO Improvements database and provided a designated improvement identification number.

The Improvement Request form and any supporting documents are then filed in the continuous improvement history folder in order of identification number.

Once the document has been authorised an email will be sent to all staff to inform them of the changes and the new document version.

All staff are given information upon induction by the Learning & Development Manager about the continuous improvement system and how it affects their role with MTA NSW.

Responsibilities

It is the responsibility of the designated Data Processing Team to maintain an Excel spreadsheet of feedback received from stakeholders.

It is the responsibility of all staff to provide feedback through meetings, email or by completing Improvement Request forms and to inform the Compliance and Customer Relations Manager.

It is the responsibility of the Compliance and Customer Relations Manager to keep records of the OI and file them appropriately when completed.

It is the responsibility of the Learning & Development Manager to authorise all improvements to any RTO documents/procedures.

It is the responsibility of the Learning & Development Manager to ensure that upon induction all staff are provided with information regarding the continuous improvement system and how it operates.

It is also the responsibility of the Learning & Development Manager to ensure that the continuous improvement system meets the requirements of VET Quality Framework and that MTA NSW remains compliant to these requirements.

Developing Learning and Assessment Resources

Policy

MTA NSW will develop necessary learning and assessment resources for the qualifications and units of competence within its scope of registration. The resources will meet the requirements of the relevant training package and AQF, will be developed in consultation with industry and will meet MTA NSW own training and assessment strategies.

Procedure

Development of new resources and revision of current resources is prompted by the continuous improvement process. The task of development/revision is allocated to the appropriately skilled and qualified Training Officer. The Training Officer then develops the resources consulting the relevant training package, other appropriate resources and the improvement request. The principles of both contextualisation and customisation are applied to this process. The resource will then be mapped to the relevant unit of competency within the training package.

Once this process is complete the Training Officer supplies the Compliance and Customer Relations Manager with the completed resources and an improvement request. The Compliance and Customer Relations Manager will then format the resource and apply version control and add the improvement request to the database. They will then advise staff via email that a new or revised resource is available for use.

Responsibilities

It is the responsibility of the Training Officer to develop the resources and ensure they meet the requirements of the training package, MTA NSW training and assessment strategies and the VET Quality Framework.

It is the responsibility of the Compliance and Customer Relations Manager to ensure the resource is formatted and that version control is applied and the resource is available for use.

Validation

Policy

As part of its continuous improvement system, MTA NSW will carry out systematic validation of its assessment tools, methods and processes, at least annually, to maintain a high level of quality in the delivery of training and assessment as per its scope of registration. Internally validated assessments will be reviewed by the members of the Independent Validation panel to ensure that the assessments meet industry needs and packaging rules.

Procedure

As part of the continuous improvement system, all training delivered by MTA NSW (including content, delivery options and assessment arrangements) will be monitored in an ongoing method (in particular against industry standards), however they will also be formally reviewed in validation exercises.

This review will involve meetings with attendance by all MTA NSW Training Officers in order to validate MTA NSW assessment tools, methods and processes used in the delivery of its training and assessment and to ensure that they are meeting the requirements of AQF.

As well as this, learner and employer feedback will be used to assist in developing and updating assessment tools, methods and processes used by MTA NSW, to ensure training and assessment delivered continues to meet their needs.

MTA NSW Training Officers are also encouraged to participate in assessor networks where possible, to improve their knowledge and understanding of assessment in order to inform their professional judgments.

Responsibilities

The Learning & Development Manager is responsible for informing the Training Officers of their responsibilities in regard to validation during induction and information is also provided to them in their Trainer/Admin handbook.

The Learning & Development Manager will monitor the assessment techniques of all Training Officers during their initial employment by attending their assessment visits to ensure that they are operating within the requirements of VET Quality Framework.

MTA NSW Training Officers are responsible for attending validation meetings scheduled by the Compliance and Customer Relations Manager.

The Compliance and Customer Relations Manager is responsible for the organisation, record keeping and action of any improvements of relevant material of such validation meetings.

Version Control

Policy

As part of its continuous improvement system, MTA NSW has in place a system of version control in order to maintain effective administration and management of its documentation and records.

Procedure

All documents used by MTA NSW are to have their version control recorded in the footer and saved in the title of the document.

The version control information should contain:

- Document name, version number & date

Document name

The document name should clearly identify the function of the document and a unique identifier, eg, unit of competence code.

Version

Version is the process of assigning and recognising each adaptation of a document. Version follows the principles outlined below:

- The original document produced will be assigned as version 1.0
- If the document version 1.0 is varied slightly the version will change to indicate 1.1. Similarly if the document is changed slightly again the version will change to 1.2 and so on.
- If document 1.0 undergoes a significant change the version will indicate this change by representing the documents as 2.0. Again if another significant change is made to the document the version will be changed accordingly to 3.0.

Date

The date that the version was created will be added to aid in the tracking of documents and version number.

Example

A workplace visit form would be represented as; Workplace and assessment Visit Form Generic v7.1_12Aug11

When a document is created or updated the 'save as' option should be utilised and the document will be saved with the new name which includes the version control information. The version control information within that document is to reflect the current date and note the version.

The older version of the document should then be moved to the electronic version control folder for storage.

Responsibilities

All MTA NSW staff will be responsible for using version control correctly on all documentation they use in their delivery of training and assessment and ensure they are using the most current version.

It is the responsibility of the Learning & Development Manager to ensure that all staff utilise the version control policies and procedures correctly and that all RTO staff are provided with adequate information on the version control policy upon induction.

It is the responsibility of the Compliance and Customer Relations Manager to ensure that all documents that are created and updated follow the version control policy as detailed here. It is also their responsibility to ensure that all MTA NSW staff are informed of changes to documents via email.

Risk Management

Policy

MTA NSW is committed to implementing appropriate strategies and processes that identify, analyse and manage the risks associated with all aspects of our operations as a means of minimising the impact of undesired and unexpected events. MTA NSW Risk Management Policy involves the identification, analysis and evaluation of risk of compliance with the VET Quality Framework and NSW Approved Provider List Contract requirements. Development of appropriate, relevant and effective strategies to mitigate those risks is then undertaken.

Procedure

MTA NSW follows a quality management plan to ensure risks are identified, analysed, managed or mitigated. MTA NSW also collects and analyses feedback from all stakeholders throughout the entire training and assessment process. Continuous improvements of MTA NSW operations will be made through consultation with stakeholders. Internal audits will be conducted regularly. Reviews and training meetings will also be conducted to ensure risk is minimised or negated in all current and future operations of MTA NSW.

Responsibilities

It is the responsibility of the CEO in conjunction with the Learning & Development Manager to ensure that risk management policies and procedures are enacted within MTA NSW.

It is the responsibility of the Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager to carry out a risk assessment of the RTO components as outlined in the quality management plan.

It is the responsibility of the Learning & Development Manager and Compliance and Customer Relations Manager to develop and implement effective control measures via action plans based on the outcomes of risk assessments and communicate this to MTA NSW staff.

It is the responsibility of all MTA NSW staff to notify the Compliance and Customer Relations Manager should they identify an area of risk. It is also the responsibility of all MTA NSW staff to adopt new practices as they are advised by the Learning & Development Manager and/or Compliance and Customer Relations Manager.

MTA NSW Scope of Registration

Policy

MTA NSW will only deliver Qualifications and units of competence towards a Statements of Attainment as listed within its scope of registration as determined by ASQA.

Procedure

The Learning & Development Manager will:

- Keep up to date records of MTA NSW current scope or registration at all times.
- Inform all relevant staff of any changes to the scope of registration and the actions to be taken as a result of the changes.
- Action all relevant documentation and marketing material to be updated in the event of a change to the scope of registration.
- Ensure that MTA NSW current scope of registration is displayed within the Training Department. This will remain the most current version as provided by ASQA.

Responsibilities

It is the responsibility of the Learning & Development Manager to:

- ensure that MTA NSW remains compliant with VET Quality Framework and provides training and assessment services only within its scope of registration.
- oversee any actions implemented in the event of a change to its scope of registration.
- distribute information to all relevant staff in the event of a change to its scope of registration.

It is the responsibility of the Compliance and Customer Relations Manager to ensure that all relevant documents and marketing material are updated in the event of a change to MTA NSW current scope of registration.

Implementation of a New Training Package

Policy

Should a Training Package be revised, for which MTA NSW delivers qualifications, a timely change over to the new Training Package will be completed, ensuring minimal disruption to stakeholders.

Procedure

When a new Training Package is implemented the Learning & Development Manager, working with the Compliance and Customer Relations Manager will:

- Review the new Training Package and map qualifications, and where necessary units of competence, to the superseded ones to determine the improvements and updating to be made.
- Review all current resources to ensure they match the new Training Package requirements and action any necessary changes, including Training Plans, Elective lists and the online learning management system (Wisenet).
- Assess MTA NSW scope of registration to determine which qualifications will continue to be delivered, added, removed and action the necessary application to ASQA to complete this.
- Review current training and assessment strategies and amend or develop new strategies for the new qualifications which will be delivered by MTA NSW if applicable.

- Inform all relevant staff and clients about the changes made as a result of the implementation of the new Training Package.

When a new Training Package has been endorsed by DEC NSW, MTA NSW will cease to enroll Learners into the superseded qualifications from that date.

MTA NSW will continue to deliver the superseded qualifications until all learners enrolled up until the endorsement date, have completed the superseded qualifications.

Once all learners enrolled in the superseded qualifications have completed/cancelled, MTA NSW will apply to remove these qualifications from its scope of registration with ASQA.

The Compliance and Customer Relations Manager will action the updating of all marketing material to reflect the new Training Package requirements.

Responsibilities

The Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager is responsible for the transition of Training Packages into MTA NSW delivery.

The Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager is responsible for ensuring that all relevant staff are made aware of the changes to be made as a result of the implementation of a new Training Package.

The Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager is responsible for an application to ASQA for variation in scope of registration as a result of the implementation of the new Training Package.

The Compliance and Customer Relations Manager in conjunction with the Learning & Development Manager is responsible for facilitating any updating and improvements to RTO resources and materials after reviewing the new Training Package.

The Enrolment Process

Policy

MTA NSW will follow an enrolment process for all new learners.

Procedure

MTA NSW will be notified by either an employer or Australian Apprenticeship Centre (AAC) of a new learner who is to commence training. This learner will have a training contract signed in conjunction with an ACC. MTA NSW will then receive a copy of the Training Plan Proposal (TPP). This will be checked for accuracy then the employer will be contacted to advise of any costs associated with the training. Once the employer has agreed to the supplied cost information the TPP is signed and returned to the AAC.

The TPP is scanned and saved in the relevant electronic folder, the assigned Training Officer is sent a copy and the hard copy is given to the administration assistant who will create a Wisenet and hard copy file for the new learner. Once this is complete the Training Officer will be advised that the file is ready for learner induction. Whilst this file is made the Training Officer will contact the employer and learner to schedule an induction visit.

The enrolment contract and training plan are signed by the learner and employer at this induction visit. The enrolment contract details the service MTA NSW will provide to the learner and employer. It is also a tool for collection of information relating to the learner and as a means of determining and verifying their eligibility or illegibility for APL Contract Funding. The learner must sign this document to ensure the information they have supplied is true and correct, including their current citizenship details.

Responsibilities

It is the responsibility of the Compliance and Customer Relations Manager to contact the employer to advise of costs associated with training, they are also responsible for checking, signing, scanning and

returning the TPP to the ACC. The Compliance and Customer Relations Manager is responsible also for giving the completed TPP to the Records Management Officer and advising the Training Officer of the new learner.

It is the responsibility of the Records Management Officer to create the Wisenet and hard copy file and notify the Training Officer of completion of the file.

It is the responsibility of the Training Officer to contact the employer and learner to schedule an induction visit. The Training Officer must also provide the enrolment contract and training plan to the learner and employer, ensuring both complete, read and sign these documents. The Training Officer will then return the completed documents to the MTA NSW office for processing.

Training and Assessment Strategies

Policy

MTA NSW aims to provide the highest possible quality training to all learners. In order to do this MTA NSW uses Training and Assessment strategies for delivery of qualifications and statement of attainment courses.

These strategies outline the proposed training and assessment methods, resources and timeframes for each qualification and statement of attainment course delivered by MTA NSW.

In order to ensure that these Training and Assessment Strategies meet the needs of industry, MTA NSW partakes in industry consultation on an on-going basis.

Procedure

The Learning & Development and the Compliance and Customer Relations Manager in consultation with the relevant vocational Training Officer will develop and document a Training and Assessment Strategy for traineeships, apprenticeships and any statement of attainment course it delivers.

The information within the Training and Assessment strategy is then used to develop the relevant assessment tools and administrative documentation for that course.

The Learning & Development Manager will communicate information to Training Officers on MTA NSW Training and Assessment strategies upon induction and on on-going basis via training meetings.

Changes to Training and Assessment Strategies will be updated by the Compliance and Customer Relations Manager following the version control policy outlined below.

Responsibilities

It is the responsibility of the Learning & Development Manager to ensure that Training and Assessment Strategies are developed for each qualification and statement of attainment course MTA NSW offers.

It is the responsibility of the Compliance and Customer Relations Manager to ensure that these strategies remain up to date.

The Learning & Development Manager is responsible for communicating information regarding its Training and Assessment Strategies to all MTA NSW staff upon induction and continually via training meetings.

Employability Skills

Policy

MTA NSW references and utilises employability skills in qualifications delivered from the Business Services Training Package BSB07 and the Automotive Retail, Service and Repair Training Package AUR05 Version 4.0.

Procedure

Employability skills are noted in the back section of all relevant workbooks, they are also referenced on the Certificates issued by MTA NSW.

Responsibilities

It is the responsibility of the Records Management Officer to ensure employability skills are referenced on certificates issued for Qualifications.

It is the Compliance and Customer Relations Managers responsibility to ensure where appropriate, all Learning and Assessment Guides include employability skills.

It is the responsibility of the Training Officers to ensure learners and employers are advised of employability skills and that learners complete them.

Training Plans

Policy

As per the Apprenticeship and Traineeship Act 2001 MTA NSW will develop an individual training plan based on the guidelines provided by DEC NSW and in a format approved by the Commissioner of Vocational Training. This is achieved by utilising the DEC NSW Training Plan Proforma, for each learner enrolled, this training plan will also align to MTA NSW Training and Assessment Strategies.

Procedure

After enrolment either via Australian Apprenticeship pathways or directly via Fee for Service pathways an individual training plan will be developed for each learner.

The information contained within the full training plan will meet the requirements of the DEC NSW APL Contract as a minimum.

The units of competence to be completed by the learner will be selected from the relevant elective list for the qualification at the learner's induction in conjunction with the learners employer or employer representative.

Each training plan is to be signed by the learner, their legal employer, and MTA NSW and filed accordingly. MTA NSW will also keep an electronic copy of the training plan that is updated throughout the training process.

This training plan will be provided to the learner and the employer after each update as per the DEC NSW requirements.

Responsibilities

It is the responsibility of the Learning & Development Manager to ensure that a Training Plan is developed for each individual learner.

The relevant appointed MTA NSW Training Officer is responsible for ensuring the training plan explained, completed and signed by the relevant parties during workplace visits.

Data Processing Staff will ensure a current copy of the training plan is provided to the learner and employer via email after each processing update.

Access and Equity

Policy

MTA NSW will ensure that its training and assessment services are available to learners and others, including those who are traditionally underrepresented in vocational education and training and are seeking to participate in training.

Procedure

All learners will be provided with a Training Plan outlining the course delivery structure and are encouraged to raise issues relating to access and equity at their induction.

Learners needing preliminary vocational education and training as determined by the appointed Training Officer will be progressed into such necessary programs (for example, numeracy and literacy) to assist in ensuring that access to MTA NSW provided programs is as varied as possible.

All learners are to be treated equally with regard to each learner's individual needs in order to provide reasonable opportunity for each learner to acquire the competencies for the qualification they are undertaking.

Early identification of any physical or learning disability likely to hinder reasonable access to training venues or knowledge is to be dealt with in a way to facilitate the achievement of client desired learning outcomes. To this end the Induction Checklist and Enrolment Contract provides opportunity for details to be provided to assist in indicating such special needs.

Should a learner enrolled with MTA NSW require additional assistance with literacy the appointed Training Officer is to notify the Learning & Development Manager, the Training Officer will then liaise with the Literacy Trainer and a plan forward will be established and implemented.

Both the appointed Training Officer and the Literacy Trainer will attend the literacy trainers' first visit together to ensure the learner integrates smoothly into the literacy training.

During this time the appointed Training Officer and the designated Literacy Trainer are to remain in contact via email or phone to ensure the training is meeting the needs of the individual. During this contact the Training Officer will advise the Literacy Trainer of progress and relevant information or changes to the learner's circumstances. The Training Officer will also advise the Literacy Trainer of the dates for their scheduled visits so as the Literacy Trainer can schedule visits which align to these so that consistency and cohesion of the training process is maintain.

All Training Officers are trained in relation to MTA NSW policies and are issued a handbook containing all relevant information.

Learners and Employers are informed during induction of MTA NSW access and equity principles and receive information in their Learner or Employer handbook.

Responsibilities

The appointed Training Officer is responsible for identifying the needs of any Learner at induction and notifying the Learning & Development Manager of this need. The Training Officer is also responsible for liaising with the Literacy Trainer and ensuring literacy support is implemented to meet the learner's needs.

The appointed Training Officer is responsible for monitoring the progress of the learner and their where possible their literacy training.

The Literacy Training Officer is responsible for providing literacy support training to the learner and also responsible for communicating with the MTA NSW Training Officer in relation to the learners progress.

The Learning & Development Manager is responsible for providing information to Training Officers upon induction of MTA NSW policies and procedures for access and equity.

Staff Requirements

Policy

MTA NSW will have appropriately qualified and trained staff working within its operations to ensure that services delivered by MTA NSW are of a high quality, whilst meeting clients and industry's needs.

All staff operating within MTA NSW are encouraged to undertake training and to participate in professional development opportunities on a regular basis to ensure their knowledge and skills are current.

In particular any person working for MTA NSW who trains and/or assesses will:

- Have the necessary training and assessment competencies as determined by the National Quality Council or its successors: a Certificate IV in Training and Assessment TAE40110, or will work under the supervision of someone who has this qualification until such time that they are able to obtain this qualification.
- Have the relevant vocational competencies at least to the level being trained or assessed, and
- Continue developing their vocational training and assessment competencies to support continuous improvements in the delivery of training and assessment.
- Can demonstrate current industry skills directly relevant to the training/assessment being undertaken.
- Continue to develop their VET knowledge and skills as well as their industry currency and Training Officer competence.

Procedure

All MTA NSW Training Officers within MTA NSW scope of registration are required to complete a detailed competency mapping document (skills matrix). This skills matrix will be stored electronically and in hard copy along with copies of any qualifications, vocational experience, professional development activities and training & assessment Knowledge. This information is stored with the Compliance and Customer Relations Manager.

Data Processing Team members are to complete a skills matrix identifying their capabilities across all administration procedures. This will be updated annually to include new procedures and upgrades to Data Processing Team skill levels.

Any staff member employed within MTA NSW wishing to undertake further training or professional development is to discuss this with the Learning & Development Manager or within training meetings.

If a staff member participates in further training and professional development they are to inform the Compliance and Customer Relations Manager via email, in order for their skills matrix to be appropriately updated. They are also required to provide a copy of the qualification and/or certificate of participation to the Compliance and Customer Relations Manager to be stored with their updated skills matrix. See Staff Professional Development Policy for more information.

Responsibilities

The Compliance and Customer Relations Manager will retain up to date records of all staff that currently train and/or assess including copies of qualification as outlined above.

The Learning & Development Manager is responsible for ensuring that all staff operating within MTA NSW are appropriately qualified and have the relevant vocational competencies and are given opportunities for further professional development where required.

It is the responsibility of all staff to inform the Compliance and Customer Relations Manager via email about any further participation in training and professional development activities.

It is the responsibility of the Compliance and Customer Relations Manager to update the administration skills matrix as required.

It is the responsibility the Data Processing Team to complete the administration staff matrix and update it as their skills progress.

Staff Professional Development

Policy

MTA NSW supports and encourages professional development for all staff members. Opportunities are provided to staff on a regular basis for the undertaking of professional development whether vocational, VET or other appropriate learning.

Procedure

All Training Officers will have a list of professional development to undertake each calendar year noted in their skills matrices. As additional opportunities arise throughout the year these will be added to the skills matrices. Opportunities for professional development will also be discussed at each MTA NSW training meeting. Once undertaken the completed course will be added to the Training Officers Skills Matrix education and professional development section.

All MTA NSW Administrative and Management staff will have professional development opportunities presented to them as they become available throughout the year or if required the opportunities will be sought out should staff require professional development in a particular area.

Professional development may be an internal event or an external event for all staff.

Responsibility

It is the responsibility of all staff to bring any appropriate professional development opportunities to the attention of either the Compliance and Customer Relations Manager or the Learning and Development Manager.

It is the responsibility of the Compliance and Customer Relations Manager to schedule and book all professional development opportunities for staff. It is also their responsibility to note these opportunities and completed courses in the Training Officer Matrices.

It is the responsibility of all staff to attend and take relevant notes at these professional development events and to share with other staff their experiences.

It is the responsibility of the Learning and Development Manager to oversee that activities are scheduled and completed throughout the year.

Sub-Contractor and Partnership Records

Policy

Any training and/or assessment carried out, by a third party, on behalf of MTA NSW will have an appropriate agreement in place that is approved by the CEO and the Learning & Development Manager. Any sub-contracting arrangement will also comply with the conditions as stated in the current APL Contract.

Procedure

MTA NSW will request evidence from any sub-contractor or partner demonstrating their capacity to comply with the current APL Contract obligations, their solvency including providing evidence of sound financial standing, that they have not had any APL Contract or similar terminated or had registration revoked under relevant legislation and that they have prepared and provided an application form and relevant statutory declarations to State Training Services.

Once this has been verified the Learning & Development Manager will securely store this and any other information relating to third party contractor agreements to carry out training and/or assessment on behalf of MTA NSW within the Learning & Development Manager's office.

Responsibilities

The Learning & Development Manager is responsible for requesting evidence from the sub-contractor or third party. They are also responsible for the development and storage of all third party contractor agreements and maintaining accurate and up to date information on all contractors and the training and/or assessment activities they are to carry out.

The Learning & Development Manager is responsible for ensuring that any third party contractor that carries out training and/or assessment on behalf of MTA NSW is given appropriate training and information on MTA NSW policies and procedures.

The Learning & Development Manager is responsible for ensuring that any third party contractor that carried out training and/or assessment on behalf of MTA NSW is appropriately qualified to do so, as outline in staff requirements above.

It is also the responsibility of the Learning & Development Manager to ensure that appropriate reporting requirements are established with any third party contractor and these are monitored appropriately.

Working with Children

Policy

MTA NSW is committed to ensuring that all MTA NSW staff members comply with all relevant legislation, in particular the Child Protection (Prohibited Employment) Act 1998.

MTA NSW is committed to privacy and confidentiality of its staff and will endeavour to maintain strict provisions to protect the privacy of the persons being checked under this Act.

Procedure

New Employees

All new MTA NSW positions, in which an employee will be working with children, are to be advertised as being subject to the Working with Children Check and all potential applicants are to be advised that their employment is subject to the outcome of this check.

This means that the successful candidate must consent to MTA NSW undertaking a Working with Children Check on them. They must also sign a Prohibited Employment Declaration Form.

The Learning & Development Manager will facilitate the above action for all new employees, primarily working with children, and will place each employees signed declaration in the confidential personnel file. In addition to this, the Learning & Development Manager will also action with the relevant approved screening agency the Working with Children Check on the new employee.

Should the Working with Children Check result in a negative outcome the Learning & Development Manager will review the estimate of risk in the *Advice to employers - results of background check letter* provided by the screening agency and the potential applicant will be advised by the Learning & Development Manager that they are not suitable for the position.

Existing Employees

Training Officers, and where appropriate other employees, primarily working with children are to complete a Prohibited Employment Declaration.

The Learning & Development Manager will facilitate the above action for current staff and will place a signed declaration in their confidential personnel file. **IMPORTANT NOTE:** If an employee fails to sign the declaration or is found to have falsely signed the declaration, then their employment will be terminated immediately.

Responsibilities

Where MTA NSW uses contractors to carry out Training and/or assessment on its behalf, the Learning & Development Manager will be responsible for ensuring compliance with the Child Protection (Prohibited Employment) Act 1998.

It is the responsibility of the Learning & Development Manager to clearly explain to all MTA NSW staff who work directly with children that they are to sign a Prohibited Employment Declaration Form and that their details will be screened through the Working with Children Check.

It is the responsibility of the Learning & Development Manager to run the Working with Children Check through the appropriate authority for all potentially new employees.

If an employee currently engaged in child-related employment becomes a prohibited person, it is their responsibility to vacate their position. It is the responsibility of the Learning & Development Manager to formally and regularly remind employees of this obligation.

Managing Learners who are under 18 years of age

Policy

MTA NSW acknowledges that it works with learners who are under the age of 18 years and as such these learners require careful management and monitoring. MTA NSW will ensure a parent or guardian is informed of all relevant information relating to their training and assessment. MTA NSW will also ensure Training Officers are regularly reminded that their learner is under the age of 18 years and as such they should be mindful of the MTA NSW Policy & Procedure relating to this group of learners.

Procedure

MTA NSW requires the parent/guardian contact details to be obtained and recorded on the enrolment contract for learners under the age of 18 years by the Training Officer. This is so that an information letter can be mailed directly to the learner's parent/guardian. This letter will detail the training arrangements, costs and points of contact should the parent/guardian have any further queries regarding the learner's training.

The letter will be mailed shortly after the induction paperwork has been processed.

A tick box will be located on each workplace visit form to indicate whether the learner is under the age of 18 years.

Responsibilities

It is the responsibility of the Training Officer to obtain the parent/guardian contact details on the enrolment contract.

It is the responsibility of data processing team to create and mail the letter to the parent/guardian of learners under the age of 18 years.

It is also the responsibility of the Training Officer to tick the under 18 years of age box on each workplace visit form.

Records Management

Policy

All learner records are managed, maintained and monitored to reflect effective operational work practices appropriate to VET Quality Framework and other compliance requirements.

MTA NSW will collect and record information, which reflects systems that are compliant to the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS).

The collection of data and information includes (but not restricted to):

- Learner's personal details including; labourforce status, schooling, county of birth, prior education, language, disability, Aboriginal or Torres Strait Islander Status, gender and date of birth.
- The product/service the client will access/purchase/participate
- Learner commencement and completion dates.
- Accurate and up to date individual learner progress and outcomes.
- Documentary evidence to support the outcomes.
- Records of any learner or employer complaints.
- A register and date of all Certificates, Statements of Attainment and Qualifications issued.
- Any learner fees paid and any refunds issued.
- Confirmation and acknowledgement of enrolment and MTA NSW RTO enrolment terms and conditions.
- Staff, personnel and contractor's details as required by regulatory and contractual obligations.
- Feedback and evaluation from learners.

MTA NSW will ensure that learners and employer will be able to access their records of training and assessment during delivery and post completion.

Procedure

Technology and software relating to the storage and management of learner records will be backed up by personnel in the information technology department periodically. The electronic learning management system (Wisenet) is web based; therefore back up is performed by the provider on a regular basis.

Research is carried out regularly by the Compliance and Customer Relations Manager and Administration Assistant to ensure that all current information in relation to record keeping procedures is accurate, responsive and appropriate to:

- AVETMISS
- VET Quality Framework
- The NSW Privacy and Personal Information Act 1998.
- NSW APL Contract requirements

Learner records are established in hard copy and electronic format.

Should MTA NSW cease operation on any grounds in the future, all records will continue to be stored on MTA NSW's premises for the required duration. In addition to this, MTA NSW will forward any and all necessary information to ASQA should this occur.

The record keeping system is reviewed regularly as part of the systematic continuous improvement process and risk management process. Updates are made to meet changing technology system requirements, reduce and remove risks and when improvements have been identified.

Employers and learners will be made aware via the Employer Handbook and the Learner Handbook, of how to access their records during and post training.

Hard Copy Files

- Upon enrolment a hard copy file is established for each learner.
- All active hard copy learner files are stored in lockable filing cabinets, within the training department offices.

- Once a learner cancels or completes training and once all documents pertaining to that learner have been processed the file will be archived in locked filing cabinets in the training storage location.
- MTA NSW will keep hardcopy learner files for five (5) years after their completion or cancellation date.
- After five (5) years, hardcopy learner files will be compacted to contain only the signed copy of their full training plan, a copy of their Certificate or Statement of Attainment, and their certificate validation form, which details how the learner obtained their Certificate or Statement of Attainment. This information will be kept for an additional twenty five (25) years within the training department storage location.

Electronic Copy

- Upon enrolment an electronic file is established for each learner.
- Electronic files will be created and stored on the company's network computer server.
- If a learner cancels or completes training their electronic files will be moved to the corresponding completed or cancelled folders on the company's network server.
- All electronic learner files kept by MTA NSW are stored on a Hewlett Packard server using RAID technology (data mirroring). The MTA NSW server is only accessible on authorised desktop computers and laptop computers via the server administrator. No external access to the MTA NSW server is possible with the exception of web based e-mail access.
- The server is protected from outside attack via Microsoft ISA Server Firewall and Trend Micro virus protection.
- The MTA NSW server containing all association and RTO records is backed-up to tape drive media at the close of business each working day. Monday's backup tape is taken off-site at the close of business Tuesday, and returned and substituted with the previous days back-up data tape to ensure that at any given time, due to catastrophic server failure which results in loss of data, only one single working days data can be lost.

Responsibilities

It is the responsibility of the Learning & Development Manager to ensure that all staff are made aware of the MTA NSW Records Management policy and procedure upon induction.

It is the responsibility of the Data Processing Team to appropriately archive a learner's hard copy and electronic file upon completion or cancellation from training.

It is the responsibility of the Administration Coordinator to compact files appropriately after storage for five (5) years.

It is the responsibility of the Learning & Development Manager to oversee all aspects of the Records Management policy and procedure and implement any necessary changes as identified.

It is the responsibility of the Compliance and Customer Relations Manager to ensure that MTA NSW records management policies and procedures are kept up to date and remain compliant with VET Quality Framework, AVETMISS and relevant legislation.

It is the responsibility of the Training Officers to ensure employers and learners are made aware of how they can effectively access records of training and assessment, both during delivery and after completion of training.

Evidence for assessment of competence

Policy

MTA NSW will ensure that all assessment that is carried out is within the principles of assessment and rules of evidence as per the requirements of DEC NSW & the VET Quality Framework:

- **Valid** - All documentation that is used for assessment clearly identifies the units of competence being assessed and the type of assessment being used.
- **Authentic** - All documentation that is used for assessment clearly identifies the learner undergoing assessment.
- **Current** - All documentation that is used for assessment clearly identifies the date the assessment event took place. It also ensures that the information provided at that time was of the current National and industry standard.
- **Sufficient** - There will be enough evidence collected to cover all components of competence. MTA NSW will collect multiple forms of evidence to prove competence. This also ensures that at the very least the minimum amount of evidence to deem a learner competent was collected.

MTA NSW will also ensure that all assessment tools/tasks include; clear and sufficient instructions for assessors and training learners, have benchmark or exemplar answers to guide assessors, adequately cover both on and off the job components, address the underpinning skills and knowledge for the unit/s of competency being assessed, address the evidence requirements for the unit/s of competency being assessed, clearly specify the standard of performance required, cover areas of workplace performance incorporating the dimensions of competency (including task skills, task management skills, contingency management skills, job role/environmental skills and transfer skills; and incorporate a level of difficulty that is appropriate to the unit/s of competency being assessed.

Procedure

Training Officers will only use the following forms of acceptable evidence as outlined in the DEC NSW Training Plan Proforma for MTA NSW learners which have been designed following the above guidelines:

- Questions Interview (Primary)
- Workplace Observation (Primary)
- Structure Activities (Primary)
- Third Party Feedback (Primary)
- Questions Self Assessment - (Secondary) - Secondary forms of evidence will be used by MTA NSW RTO to add to a learner's overall assessment. Training Officers are encouraged to use these forms of evidence as learning tools and Learners are encouraged to use these forms of evidence as a self check process.
- Portfolio (Primary or Secondary)
 - Portfolio Primary - A portfolio will become a primary form of evidence if the document supplied maps to the whole unit of competence being assessed.
 - Portfolio Secondary – A portfolio becomes a secondary form of evidence if the documents supplied do not map to the whole unit of competence being assessed. This indicates that the candidate needs to either supply more documents or another form of evidence needs to be carried out to determine overall competence.

MTA NSW will retain copies of all documents collected as part of a portfolio for assessment. Learners are advised that the documents provided as part of a portfolio will be copied for this purpose only.

Rules for portfolios

Copies of all documents to be supplied for Portfolio Assessment are to be attached to the "Portfolio Assessment" form. As well as this a copy of the relevant unit of competence must also be attached to demonstrate that the documents wholly or partially meet the unit of competence.

Job Cards can be used to form a portfolio. At least three (3) job cards need to be supplied per unit of competence being assessed.

Job Cards used for assessment will:

- Detail the work carried out and how it relates to the unit of competence being assessed.
- Identifies the learner and is signed by them.
- Be signed by a supervisor.
- Be no older than 18 months for currency purposes.

Training Officers are to collect at least three (3) primary forms of evidence for each unit of competence being assessed in order for a Learner to be considered competent for that unit of competence.

Responsibilities

It is the responsibility of the Training Officers undertaking assessment to collect appropriate evidence from each Learner, for each unit of competence they undertake.

It is also the responsibility of the Training Officers to ensure that all evidence collected for assessment is valid, current, sufficient and authentic.

It is the responsibility of the Learning & Development Manager to communicate information on the forms of evidence to be collected and the rules of evidence as outlined in the policies and procedures during their induction.

Recognition

Policy

MTA NSW will offer a timely and efficient recognition process in line with the NSW RPL Framework to all learners enrolled in training and ensure that information is provided to stakeholders on the recognition process available through MTA NSW. This process utilises a holistic/workplace task recognition approach suitable to support recognition for alternative qualifications and units of competency.

MTA NSW policy on RPL is in line with the NSW RPL Framework using a holistic/workplace task recognition approach suitable to support recognition for alternative qualifications and units of competency.

Recognition is the term used to describe an assessment only process, where no training is supplied to a learner.

Recognition can refer to Recognition of Prior Learning (RPL), Recognition of Current Competencies (RCC) and Credit Transfer (CT).

Procedure - Recognition of Prior Learning (RPL)

RPL involves assessment of previously recognised skills and knowledge, which individuals have achieved outside the training system. For example a learner indicates they have experience in the industry, especially against particular unit(s) of competence or a qualification.

The designated Training Officer will work with the learner to determine the applicable unit(s) or competence and an applicable pathway for recognition.

The Training Officers need to indicate the forms of evidence used to prove competence on the second (2nd) page of the workplace visit form. Judgment of competence for RPL will be based on three (3) forms of

primary evidence. Where RPL is provided and no training was delivered Training Officers are to indicate "RPL" in the outcome section on the workplace visit form.

Where training is provided to a Learner during assessment or at any of the face to face visits with the learner, the outcome is to be reported as competent "C". If training is provided to the Learner, Training Officers need to detail unit(s) of competence trained on the first page of the workplace visit form in the section marked "units of competence discussed".

Procedure - Recognition of Current Competencies (RCC)

When a Learner has supplied a previous Qualification or Statement of Attainment to support the application for recognition, but it is reviewed as not current, a RCC process of assessment will be undertaken by Training Officers.

Training Officers will indicate the forms of evidence used to determine competence on the second page of the workplace visit form. Judgment of competence for RCC will be based on three (3) forms of primary evidence. Where RCC is provided and no training was delivered Training Officers are to indicate "RCC" in the outcome section of the workplace visit form.

Where training is provided to a Learner during assessment, or at any other time, the outcome is to be reported as "C". If training is provided, Training Officers need to detail the unit(s) of competence trained on the first page of the workplace visit form in the section marked "Units of competence discussed".

Procedure - Credit Transfer (CT)

When a Learner has supplied a previous Qualification or a Statement of Attainment to support their application for recognition and it is reviewed as current, CT will be issued for exact units or like units as determined through a mapping process. Where units have different codes but like elements and mapping is shown CT can be provided.

For CT a copy of the authentic Qualification or Statement of Attainment must be supplied by the Learner to support the outcome. For the recognition of CT the Training Officer or administration staff member must utilise a Credit Transfer Form. This document, a relevant elective list and the certificate or statement of attainment must be provided to Learning & Development and HR Manager or the Compliance and Customer Relations Manager who will approve the credit transfer where applicable.

MTA NSW will also accept TAFE NSW Transcripts for application of CT as it is very uncommon for learners to provide Statements of Attainment from TAFE NSW and these can be difficult to obtain. These transcripts will also be checked for authenticity by the same procedure as all other certificates and statements of attainment.

Procedure – Authentication of Statements of Attainment and Certificates

MTA NSW will recognise and accept original or copies of Statements of Attainment and Certificates issued by other Registered Training Organisations (RTO). Authenticity is deemed based on the format of the document (meets ASQA requirements), verification of the registration of the issuing RTO, qualification, units of competence and training package. If further verification is required the issuing RTO will be contacted.

Authenticity verification may be required for reasons such as the document format is inconsistent, the name or code of the units of competence is not consistent with the referenced training package or the qualification code is not recognised.

Responsibilities

It is the responsibility of the Training Officer to indicate the correct outcome of assessment on all workplace visit forms, based on their knowledge of the training and assessment they have carried out, in conjunction with the provision of the appropriate documentation and certificates.

It is the responsibility of the Learning & Development Manager to communicate information about recognition to Training Officers upon induction and on an on-going basis as changes come into play.

The Compliance and Customer Relations Manager is responsible for resolving matters of authenticity relating to Statements of Attainment of Certificates issues by other Registered Training Organisations.

Client Management

Policy

MTA NSW Training Officers will maintain effective communication with clients in regard to workplace visits.

Procedure

MTA NSW Training Officers will contact clients via phone at the earliest possible time should they not be able to meet the scheduled time of a workplace visit. They must notify the client when they expect to arrive or alternatively organise an alternate meeting time.

Responsibility

It is the responsibility of the Training Officer to maintain this contact with the client.

Change of MTA NSW Training Officer

Policy

MTA NSW reserves the right to change a learners Training Officer when necessary, this can occur for reasons including but not limited to; cessation of a Training Officers employment, reallocation of a Training Officers clients to balance client load.

MTA NSW will ensure the learner and employer are advised of the change at the earliest possible convenience and that an adequate handover procedure occurs.

Procedure

Once a need for change is identified the Training Officer and Learning & Development Manager will discuss the change and plan the transition. The new Training Officer will then become involved in the discussion.

The current Training Officer will advise both the learner and employer of the change and the reason for the change.

The Training Officer will advise the Compliance and Customer Relations Manager of this change. The Compliance and Customer Relations Manager will then amend the learner's electronic file to reflect the change of Training Officer; they will then email the Administration staff to advise them of the change of Training Officer.

The current Training Officer will then coordinate a workplace visit to introduce the new Training Officer to the learner and employer. The new Training Officer will then take over the training of the learner.

Responsibility

It is the responsibility of the Learning & Development Manager to ensure Training Officers are aware of and comply with the change of Training Officer policy and procedure upon induction.

It is the responsibility of the instigator of the change to coordinate a discussion between the Learning & Development Manager and Training Officer regarding the change.

It is the responsibility of the Training Officer to notify the learner and employer of the change of Training Officer, they are also responsible for coordinating the introduction of the new Training Officer to the employer and learner. The Training Officer is also responsible for advising the Compliance and Customer Relations Manager of a change of Training Officer.

It is the responsibility of the Compliance and Customer Relations Manager to amend the learners electronic file to reflect the change of Training Officer, it is also their responsibility to email the Data Processing Team to advise of the change.

Complaints/Grievances & Client Feedback

Policy

MTA NSW recognises that differences and grievances can arise from time to time that relate to service and product delivery. The quick settlement of these matters is in the best interest of all parties concerned.

MTA NSW is committed to having its client feedback/complaints process clearly communicated to all learners and employers at the outset of the training process.

MTA NSW is also committed to providing a timely and efficient client feedback/complaints process to ensure the best outcome is achieved for all involved within appropriate timeframes.

MTA NSW will carry out its client feedback/complaints process with confidentiality, impartiality, procedural fairness and prompt resolution.

Procedure

Clients are encouraged to complete a client feedback form which is found in both the employer and trainee/apprentice handbook to bring their concerns to the attention of MTA NSW. MTA NSW will thoroughly assess all client feedback and complaints with the goal of achieving a suitable outcome for all parties. MTA NSW will review possible solutions to ensure the most suitable and effective solution is acted upon. MTA NSW will provide a written response regarding the solution to all relevant parties.

The Learning & Development Manager will record all relevant details of the appeals process. Email is an acceptable form of communication in these circumstances, as long as all email correspondence is printed and kept with all other documentation in relation to the appeal process.

If the Learning & Development Manager is unavailable to participate in this process, they or the CEO may appoint another MTA NSW staff member to handle the appeals process.

Learners will receive written advice of the outcome within ten (10) working days of its submission, unless otherwise advised. Email is deemed an acceptable form of written advice.

If no satisfactory resolution is reached, then the Learner is supported to approach the Australian Skills Quality Authority (ASQA) and/or The National Training Complaints Hotline.

Responsibilities

It is the responsibility of the Training Officers to ensure employers and learners are made aware of how to complete a feedback form and where to lodge this form.

The Learning & Development Manager is responsible for informing the Training Officers during their induction of the client feedback/complaints policy and their responsibilities under the policy.

The Learning & Development Manager is also responsible for recording all consultation in regards to the dispute, as well as appointing another staff members, if they are not available, to resolve the matter.

The Learning & Development Manager is also responsible for determining the outcome of the process, recording and informing the Learner of the results.

Assessment Appeals

Policy

The assessment for all Learners with MTA NSW is based on principles of fairness and equity, encompassing the requirements of not only the relevant Training Package but also VET Framework.

All Learners have the right to appeal an assessment outcome, if they feel it was unfair or unjust, through the appropriate channels.

MTA NSW is committed to having its assessment appeals process clearly communicated to all Learners at the outset of the training process.

MTA NSW is also committed to providing a timely and efficient appeals process to ensure the best outcome is achieved for all involved within appropriate timeframes.

MTA NSW will carry out its assessment appeals process with confidentiality, impartiality, procedural fairness and prompt resolution.

Procedure

Information in regards to MTA NSW assessment appeals policy will be provided to all Learners in their Learner Handbook, as well as being communicated during induction and prior to each assessment by the Training Officer.

Learners are encouraged to approach their Training Officer to discuss the assessment under dispute or alternatively to contact the Learning & Development Manager to resolve the issue in an informal basis.

If a Learner is not satisfied with the resolution through consultation, they are to submit a formal application by completing the Assessment Appeal Form, located in their trainee/apprentice handbook, to the Learning & Development Manager.

The Learning & Development Manager will assess the appeal and involve other relevant parties in the review process in order to form a decision in relation to the appeal.

The Learning & Development Manager will record all relevant details of the appeals process. Email is an acceptable form of communication in these circumstances, as long as all email correspondence is printed and kept with all other documentation in relation to the appeal process.

If the Learning & Development Manager is unavailable to participate in this process, they or the CEO may appoint another MTA NSW staff member to handle the appeals process.

Learners will receive written advice of the outcome within ten (10) working days of its submission, unless otherwise advised.

If the Learner is still not satisfied with the outcome, the Learning & Development Manager will appoint another Training Officer to re-assess the candidate.

If no satisfactory resolution is reached, then the Learner is supported to approach the Australian Skills Quality Authority (ASQA), State Training Services or The National Training Complaints Hotline.

Responsibilities

The Training Officers are responsible for communicating the assessment appeal process to the Learners during induction and prior to each assessment event.

The Learning & Development Manager is responsible for informing the Training Officers during their induction of the assessment appeals policy and their responsibilities under the policy.

The Learning & Development Manager is also responsible for recording all consultation in regards to the dispute, as well as appointing any another staff members, if they are not available, to resolve the matter.

The Learning & Development Manager is also responsible for determining the outcome of the process, recording and informing the Learner of the results.

Issuance of Qualifications or Statements of Attainment

Policy

MTA NSW will only issue Qualifications or Statements of Attainment that are within its scope of registration.

All Qualifications and Statements of Attainment issued by MTA NSW will meet the National Training Package, AQF, VET Quality Framework and ASQA requirements.

Procedure

MTA NSW will issue a Qualification when Training Package qualification packaging rules are met and a minimum level of evidence is provided for all units of competence as outlined in the relevant Training and Assessment Strategy.

If these requirements have not been met, a Statement of Attainment will be issued for all units of competence where the minimum level of evidence is provided.

MTA NSW will issue Qualifications or Statements of Attainment for training/assessment delivered either through a training and assessment pathway or an assessment only pathway, known as Recognition of Prior Learning (RPL) or a combination of these two pathways.

The qualification/statement of attainment will be issued using the electronic template that is saved on MTA NSW's computer network drive. This template is maintained by the Compliance and Customer Relations Manager to meet the ASQA and AQF requirements and other requirements.

All Qualifications or Statements of Attainment will be saved electronically within the certificate register, and be given an individual certificate number, which is recorded on the Validation for Certificate Issue form along with the certificate itself.

The Chief Executive Officer will sign the Qualification or Statement of Attainment after printing. This signed copy is then scanned and saved in the learner's electronic and physical file. The original is then posted to the learned.

Responsibilities

It is the responsibility of the Records Management Officer to ensure that Qualifications and Statements of Attainment issued by MTA NSW are in line with policies and procedures and are only within its scope of registration.

It is the responsibility of the Compliance and Customer Relations Manager to ensure that the templates used to print qualification or statements of attainment meet the requirements of ASQA, AQF, VET Quality Framework and all other requirements.

It is the responsibility of the Data Processing Team to ensure that the learners file is validated prior to certificate or statement of attainment issue. This ensures all requirements have been met and that the learner certificate or statement of attainment reflects the learner's achievement.

Use of the NRT, AQF and Australian Skills Quality Authority logo's

Policy

MTA NSW is committed to maintaining the standards of VET Quality Framework in relation to all certificates, statements of attainment, promotional and marketing material of MTA NSW training products and services.

MTA NSW is also committed to accurately representing its products and services in its promotional and marketing material to all stakeholders.

Procedure

MTA NSW will utilise the correct logos in the correct format on qualifications and statements of attainment as directed by the VET Quality Framework.

Products and services offered by MTA NSW that are not accredited by ASQA can be placed in the same advertisement as those which are accredited by ASQA and are within MTA NSW scope of registration if they are listed separately and there is a clear distinction between the two types of courses, IE, the text clearly indicates which courses are and are not accredited by ASQA.

MTA NSW will obtain written permission from any person or organisation for the use of any marketing or advertising material which refers to the person's organisation and will abide by any conditions of that permission.

MTA NSW will only list Qualifications on promotional or marketing material using their complete titles, including the qualification AQF level and national qualification code.

All marketing and promotional material for MTA NSW is to be authorised by the Learning & Development Manager prior to use or distribution.

Use of Nationally Recognised Training (NRT) Logo

MTA NSW will use the NRT logo to promote training recognised under the VET Quality Framework only if the training is within its scope of registration.

The NRT logo will not be used on corporate stationery, business cards, building signage, promotional products or packaging and learning resources supporting training.

The NRT logo will be depicted on all Qualifications and Statements of Attainment issued by MTA NSW. These will only be issued for the delivery or training and/or assessment within MTA NSW scope of registration.

The NRT logo will not be depicted on transcripts of results.

The NRT logo will only be reproduced from electronic copies as provided by ASQA.

Use of the AQF logo

MTA NSW will utilise the AQF logo or prescribed text; 'The qualification is recognised within the Australian Qualifications Framework' in the appropriate position on all qualifications issued to learners.

Use of Australian Skills Quality Authority (ASQA) logo

MTA NSW will not utilise the ASQA logo under any circumstances as directed by ASQA requirements.

Responsibilities

It is the responsibility of the Compliance and Customer Relations Manager to action any updates to marketing material to keep in line with these policies and procedures.

It is the responsibility of the Compliance and Customer Relations Manager to action any changes to Certificates or Statements of Attainment in relation to use of logos.

It is the responsibility of the Learning & Development Manager to authorise all MTA NSW documents prior to use or distribution to ensure proper use of logos.

It is the responsibility of the Records Management Officer issuing certificates and statements of attainment to ensure they are using the correct and current version of these documents.

Marketing

Policy

MTA NSW will ensure all marketing and advertising to prospective clients for AQF Qualifications is ethical, consistent within our scope of registration and that the NRT logo is utilised only within its conditions of use. MTA NSW will also ensure any marketing material advertising training and/or assessment services supported by APL Contract funding will include the following acknowledgement: "This training is funded by the NSW Government in partnership with the Commonwealth Government."

Procedure

MTA NSW will develop and check all marketing and advertising materials regarding AQF qualifications against their scope of registration and the NRT logo conditions of use. The material will also be checked for the inclusion of the APL Contract required funding acknowledgement. MTA NSW will also ensure that any

marketing or advertising material is true and correct both legally and ethically. All checks will be completed prior to print and market.

Responsibilities

It is the responsibility of the Compliance and Customer Relations Manager and Training Coordinator to ensure marketing and advertising adheres to the VET Quality Framework and APL Contract requirements prior to print and market.

It is the responsibility of the Learning & Development Manager to approve final versions of the marketing and advertising materials.

Insurances

Policy

MTA NSW will maintain current insurance in relation to workers compensation, public liability insurance and any other insurance relevant to our business in compliance with the VET Quality Framework and DEC NSW. Insurances are reviewed annually to ensure adequate and suitable cover is maintained.

Procedure

The Learning & Development Manager will instruct the Chief Financial Officer of the required level of Professional Indemnity, Public Liability and Statutory Workers Compensation Insurance for MTA NSW.

The CFO will review insurances annually.

The Compliance and Customer Relations Manager will request a Certificate of Currency of Insurance for MTA NSW from the Chief Financial Officer for RTO records on an annual basis.

Responsibilities

It is the responsibility of the Learning & Development Manager to advise the CEO and CFO of the insurances required by the VET Quality Framework and DEC NSW.

It is the responsibility of the CEO and CFO to ensure that MTA NSW has the required level of insurance as per the VET Quality Framework requirements. It is the responsibility of the CFO to annually review insurances.

It the responsibility of the Compliance and Customer Relations Manager to request and file a copy of MTA NSW's Certificate of Currency of Insurance from the Chief Financial Officer.

Financial Management

Policy

MTA NSW utilises proper financial management policies and procedures to ensure that the quality of its services are maintained at a high standard.

Procedure

The accounts of MTA NSW including those of the RTO will be audited annually by certified accountants with the membership of either:

- Certified Practicing Accountants Australia;
- The Institute of Chartered Accountants of Australia;
- The National Institute of Accountants; or
- Registered as an auditor with the Australian Securities and Investment Commission.

When requested, MTA NSW financial reports can be available for ASQA or DEC NSW or an independent audit report carried out by a qualified accountant, from the above list can be made available.

Responsibilities

The Financial Director working in conjunction with the Learning & Development Manager has direct responsibility and the delegated authority for MTA NSW financial policies and procedures including that of MTA NSW. This responsibility includes financial controls, accountability, reporting, and all financial undertakings and general business associated with the organisation's regulatory and legislative requirements.

Learner Fees and Refunds

Policy

MTA NSW will charge trainees and apprentices a compulsory Administration Fee and a resource and materials fee also known as a 'sundry' fee. These fees apply to each year of a Traineeship or Apprenticeship.

MTA NSW supplies a quality training product subsidised by the Department of Education and Communities NSW (DEC NSW) and as a requirement of that funding MTA NSW like all other Registered Training Organisations (RTO) is required to charge a compulsory Administration Fee that aligns to the fees charged by TAFE NSW.

TAFE NSW increases their fees year to year and MTA NSW is obligated to align our fees accordingly. MTA NSW provides quality industry specific training and assessment materials to learners and in particular circumstances industry endorsed textbook(s). There are equity groups who are exempt from the fee and they are people who are of Aboriginal or Torres Strait Islander background or those with a recognised disability.

Learners who are not undertaking training and/or assessment under a traineeship or apprenticeship arrangement are known as fee for service learners, these learners will be charged a fee for their training which will be payable in instalments throughout the duration of their training.

MTA NSW will ensure that all fees paid to MTA NSW for the delivery of training and assessment will follow the conditions of registration as per the VET Quality Framework using the provided option 3 payment method. Any monies received or refunded will be accurately recorded and properly administered to maintain a quality service for clients.

The following fee and refund information will be provided to each client:

- The total amount of all fees including course fees, administration fees, resource fees and any other charges
- Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fees
- The nature of the guarantee given by MTA NSW 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 certificate and the options available to students who are deemed not yet competent on completion of training and assessment
- The MTA NSW refund policy.

MTA NSW will only issue one copy of your Qualification or Statement of Attainment. If additional original to be re-issued for whatever reason, MTA NSW will charge a fee of \$110 (GST Inclusive). Once MTA NSW has received payment the Qualification or Statement of Attainment will be posted to the learner's nominated address.

Some learners will have the option of obtaining an additional qualification during their training period. Completion of an additional qualification will incur an additional fee. Fee details are provided to the learner in the Elective List associated with the initial qualification they are undertaking.

Procedure - Administration & Resource/Material Fees

Information on fees is provided in the Learner Handbook, Employer Handbook, the Enrolment Contract. Information is also verbally communicated to Learners and Employers during induction.

The Records Management Officer will send the Accounts Payable Clerk a list of learners to be invoiced for administration & material/resource fees on a monthly basis.

All invoices for training fees are to be emailed or mailed with an accompanying letter from the Administration Assistant.

MTA NSW will accept fee payment of no more than the \$1,000 from each individual learner prior to the commencement of the course.

MTA NSW will ensure that after commencement, payment of any required additional fees which are to be paid in advance from the student at any given time, the total amount required to be paid which is attributable to costs yet to be incurred on behalf of the student for tuition or other services yet to be delivered to the student does not exceed \$1,500.

Should a learner notify MTA NSW of their withdrawal from training prior to training commencing, a full refund of fees will be issued to the learner.

If MTA NSW is advised that the learner is withdrawing from the Traineeship or Apprenticeship after training has commenced but within 6 months of training being commenced in a particular year MTA NSW will refund half of the administration fee for that year. If more than 6 months of training has been delivered in one particular year then no refund will be given unless there are exceptional circumstances.

Exceptional circumstances where you may be eligible for a refund could include but are not limited to: extended hospitalisation (supported by a medical certificate) or extenuating personal circumstances.

Learners requiring a refund or exemption from fees are required to contact the Records Management Officer to request this.

Exemptions from administration fees will apply when a learner ticks the Aboriginal or Torres Strait Islander box on either the Training Plan Proposal or the MTA NSW Enrolment Contract or when a medical certificate stating the learner's disability is provided by the learner at either induction or during training.

Once notified of the above the MTA NSW Training Staff Member must provide this evidence and advice to the Records Management Officer who will either cancel any outstanding invoices or make a note on the learners electronic file to ensure no further invoices are issued.

The Compliance and Customer Relations Manager will research any changes to fees applicable to Learners and disseminate this information to all relevant staff.

The Records Management Officer will save copies invoices sent to Learner's in regard to payments within their electronic files.

Procedure - Fee for Service Delivery

Fee for service (FFS) costs are to be negotiated with the Learning & Development Manager and the employer prior to the commencement of training. A contract detailing the FFS arrangements will be generated by the Records Management Officer and signed at induction to gain acknowledgement of this arrangement.

The Records Management Officer will ensure that records of all FFS arrangements that are negotiated are filed within the learners' hard copy and electronic folder.

The Records Management Officer will keep records of all fees to be paid as part of FFS arrangement and arrange for invoices to be sent to the relevant employer when required.

Should a Learner cancel, a refund will be made in circumstances as detailed within the FFS contract for that Learner.

There may be other exceptional circumstances where refunds may apply such as, but not limited to, extended hospitalisation (supported by a medical certificate), in this situation a refund is at the discretion of the Learning & Development Manager. If a refund is granted a copy of the proof of exemption will be stored in the learner's file.

Procedure - Additional Fees

Once a request has been made for a reprint of a Certificate or Statement of Attainment, the Records Management Officer will request an invoice from the accounts department; this is then generated by the accounts department and sent to the learner by the Records Management Officer. Once the accounts department have notified the Records Management Officer that the invoice has been paid the Records Management Officer will have the certificate or statement of attainment re-printed and signed by the CEO, it will then be mailed to the learners requested address.

Additional qualifications and the fees involved will be explained to the learner upon commencement, should they wish to proceed the elective list should be completed to reflect this. When the induction paperwork is completed the Data Processing Team will advise the Records Management Officer of the additional qualification. The Records Management Officer will then issue an additional invoice to the learner. Only after completion of both qualifications and when payment of all invoices including the additional qualification invoice has been paid will the certificate or statement of attainment be issued to the learner.

Responsibilities

The Records Management Officer is responsible for informing the Accounts Payable Clerk of invoices to be created for administration, resource and material and FFS fees.

The Records Management Officer is responsible for generating letters to be sent with invoices in relation to administration and FFS payments and for scanning and filing of copies in learners' respective electronic files.

The Records Management Officer is responsible for the maintenance of records in relation to due dates for administration and FFS payments.

The relevant MTA NSW Training Staff member is responsible for receiving the exemption advice from the learner. They are also responsible for notifying the Records Management Officer.

The Records Management Officer is responsible for cancelling any outstanding invoices and making a note on the learner's electronic file to ensure no further invoices are issued. The Records Management Officer must also notify the Accounts Department of the relevant invoice to be cancelled.

The Learning & Development is responsible for the negotiating FFS fees and the decisions to allow refunds and to oversee the entire learner fee and refund policy and procedure process.

The Records Management Officer is responsible for requesting invoices from the accounts department for all additional invoices. They are also responsible for ensuring these invoices have been paid prior to re-issuing certificates or statements of attainment or issuing additional qualification certificates.

Work Health & Safety (WHS)

Policy

The safety of staff and learners is of primary importance in all activities carried out by MTA NSW. MTA NSW observes all work health and safety legislation within its operations.

MTA NSW is dedicated to ensuring a safe and healthy work and learning environment in accordance with legislative requirements and best practice.

This policy is in accordance with the following relevant legislation and regulations:

- Work Health and Safety (NSW) Act 2011
- Work Health and Safety (NSW) Regulations 2011

- Workplace Compensation (NSW) Act 1987
- WHS Consultation, Coordination & Cooperation Code of Practice

Procedure

All MTA NSW staff must adhere to the WHS policy and procedure as detailed within the MTA NSW Policies and Procedure handbook distributed at commencement of their employment. MTA NSW mode of delivery, employment based training and assessment is undertaken at the learners' workplace and the WHS policies and procedures of that organisation are applicable to MTA NSW Training Officers. MTA NSW consult's, cooperates and coordinate's with workplaces in regard to the WHS of its Training Officers whilst they are onsite delivering training and/or assessment.

MTA NSW has a duty of care to ensure that training and assessment is carried out in a safe environment. At the induction visit the MTA NSW Training Officer completes a section of the induction paperwork relating to WHS. This will identify any hazards or unsafe situations for the learning environment. The induction also includes an explanation of these requirements to both the learner and the employer. The assessment looks at the layout of the learning environment, manual handling, exits and evacuation plans, access points and pathways, noise and WHS signage. This WHS Training Location Inspection Checklist is contained within the Induction Checklist documentation.

The WHS training location assessment allows for a determination to be made in relation to whether the learning environment is safe or unsafe and for comments to be made on particular points of interest. For the items or hazards that require further action they are graded via a risk matrix and discussed with the workplace. The consultation with the workplace concentrates on the necessary action to take, who is responsible within the workplace, the date to be resolved and a review date. The Training Officer follows up on the identified hazards at the subsequent visits until the situation is satisfactorily resolved. These hazards are documented on the training location inspection action list.

The induction Checklist which includes the WHS Training Location Inspection Checklist, and the Workplace Visit Forms, both provide provision to indicate that the learning environment was assessed by the Training Officer to be safe to carry out training and/or assessment. This is reviewed by the Training Officer at each workplace visit and documented on the workplace visit form.

Training Officers are advised not persist in training/assessing in an unsafe environment.

Responsibilities

Learning & Development Manager is responsible for:

- Monitoring the overall work health and safety performance of MTA NSW staff.
- Ensuring WHS responsibilities are clearly defined within MTA NSW and that all appropriate personnel have the training and resources to carry out their responsibilities with competence and confidence.
- Taking action to implement and document any changes to the WHS policy and procedure, then update records accordingly.
- Ensuring all staff are aware of changes to policy and have easy access to updates.
- Ensuring MTA NSW compliance with WHS legislation.

All MTA NSW staff are responsible for:

- Maintaining a safe working and learning environment.
- Demonstrating a commitment to improving health and safety through participation in training and consultation where required.
- Take responsibility to ensure a healthy and safe working environment for themselves and their colleagues.

All MTA NSW Training Officers are responsible for:

- Maintaining a safe working and learning environment at each training and/or assessment event by assisting to eliminate or minimise risks in the learning environment/workplace.
- Ensuring they receive a WHS induction or site specific safety information or training from the workplace where relevant.
- Providing detailed information to the workplace in relation to the training environment and the nature of work to be carried out at each visit, inclusive of any plant and equipment to be used during training, health and safety risks associated with the training, relevant emergency procedures and WHS arrangements.
- Consulting with the workplace, MTA NSW and key staff regarding any changes and new tasks which affect WHS.
- Discussing any PPE requirements for the visit and ensuring correct PPE is applied.
- Completing the WHS checklist upon induction and following up as necessary with the employer and MTA NSW.
- Completing the WHS section on each workplace visit form.

Drugs and Alcohol

Policy

MTA NSW drug and alcohol awareness policy is in line with the NSW Drug Summit in 1999 and the NSW Summit of Alcohol Abuse in 2003. This policy supports prevention, early intervention and referral in regard to drug and alcohol abuse.

MTA NSW recognises that that drug issues vary from one culture to the next therefore education is only one facet of a drug abuse management plan; we are also supportive of rehabilitation and assisting learners to maintain employment and training whilst ensuring their training needs are met.

It is not acceptable for MTA NSW Training Staff or learners to attend training or employment whilst under the influence of alcohol or other drugs. The policy is applicable to and communicated to both MTA NSW Training staff and training learners upon induction.

Procedure

MTA NSW Training Officers receive training on drug and alcohol abuse upon employment so as they are able to provide leadership which promotes values, attitudes, life skills and attributes which will aid in the prevention of drug abuse.

As MTA NSW Training Officers are onsite there is ample opportunity for learners to discuss issues with them and seek help

MTA NSW supports and is involved in prevention initiatives including education relating to drug and alcohol abuse delivered to metropolitan apprentices at the Week Block Training Session, Language Literacy and Numeracy Support, School Based Apprenticeship and Traineeship programs and access and equity policies to include, engage and encourage learners.

MTA NSW also offers learners and employers referral advice to organisations which are experienced with providing information and assistance through verbal discussion with learners and written advice in the learner and employer handbook.

Responsibility

It is the responsibility of the Learning & Development Manager to ensure all relevant staff are advised of MTA NSW's drug and alcohol policy and that they receive drug and alcohol training once employed.

It is the responsibility of Training Officers to communicate the drug and alcohol policy to learners upon induction.

It is the responsibility of the Records Management Officer to coordinate the booking of drug and alcohol sessions for Metropolitan Apprentices at the Week Block Training.

Privacy

Policy

MTA NSW will at all times inform employers and learners as to what personal information is being collected, why it is being collected, how and for how long it will be kept and when, where and why it is required to disclose this information to other parties.

MTA NSW will only collect information that it is required to under Statute or VET Quality Framework and its contractual obligations for proper records management.

MTA NSW will keep personal information protected which means that it will hold personal information safe and secure. MTA NSW conforms to modern Risk Management Standards and has in place appropriate security to meet the needs of ensuring personal information is held from both unapproved disclosure and or destruction. Please refer to the section of this document titled records management for further information.

Procedure

MTA NSW advises learners and employers of information collection reasons during the induction process. Information on the details to be collected, why and how it will be utilised is found in the enrolment contract.

All information collected is stored on a secure database and filing cabinets storing hard copy files are accessible only to a limited number of staff who have legitimate reason to access them for work purposes.

Responsibilities

It is the responsibility of Training Officers to ensure the privacy of information is maintained.

It is the responsibility of the Data Processing Team to ensure private and confidential information is stored correctly and securely.

It is the responsibility of the Learning & Development Manager to ensure all staff are aware of the policy and procedure relating to privacy upon their employment.

Legislation, Statutory and Regulatory Requirements

Policy

All MTA NSW operations will comply with relevant Commonwealth and State Legislation and regulatory requirements.

All MTA NSW staff will be informed of these requirements during induction and on an ongoing basis as changes arise.

Procedure

All MTA NSW staff are provided with information upon induction and on an ongoing basis about what legislation affects them whilst conducting their employment. Information regarding this legislation is also noted in the MTA NSW Policies and Procedures & Employer and Learner Handbooks.

The Compliance and Customer Relations Manager will research, analyse and distribute information to other relevant staff members within MTA NSW in regards to legislation and anything else in relation to vocational education and training that may affect the policies and procedures of MTA NSW.

All MTA NSW staff are encouraged to subscribe and receive information newsletters from appropriate websites to maintain their currency of knowledge in this key area.

Legislation relating to the operations of MTA NSW includes (but is not limited to):

National Vocational Education and Training Regulator Act 2011

The National Vocational Education and Training Regulator Act 2011 is an Act to establish the National Vocational Education and Training Regulator, and for related purposes. It ensures regulation of the vocational education and training (VET) sector in Australia.

The Act provides a range of powers held by the regulator as well as details that organisations must meet to operate within the VET sector in Australia. It also identifies a range of sanctions of increasing severity, escalating from enforceable undertakings and additional conditions on registration through to suspending or cancelling the registration of an RTO should organisations not comply.

Apprenticeship and Traineeship Act 2001

The purpose of this Act is to provide for the regulation of apprenticeships and traineeships in New South Wales, it is administered by DEC NSW. The Act details the rules and guidelines for apprenticeships and traineeships to ensure the system is consistent, equitable and it also ensures there are consequences for those who do not follow the rules and guidelines.

The act covers the following areas

- the establishment of traineeships and apprenticeships (applications, duties, conditions, probation periods, attendance),
- transfer, variation, suspension or cancellation and completion of apprenticeships and traineeships,
- additional provisions concerning recognised trade vocations (junior staff, remuneration),
- recognition of other trade qualifications (e.g. Defence Force trade training)

Fair Work Australia Act 2009

The object of this Act is to provide a balanced framework for cooperative and productive workplace relations that promotes national economic prosperity and social inclusion for all Australians.

The Act covers many areas, such as;

- Agreements;
- Annual wage reviews;
- Awards and award modernisation;
- Cases and decisions;
- Dismissals;
- Dispute resolution;
- Entry notices and permits;
- Hearings and conferences;
- Industrial action

<http://www.fwa.gov.au>

Workers Compensation Act 1998

Workers compensation provides protection to workers and their employers in the event of a work related injury or disease.

Through the workers compensation system, injured workers may have an entitlement to:

- weekly payments

- lump sums for permanent impairment (and pain and suffering where applicable)
- payment of medical bills
- provision of legal assistance to pursue a claim
- intensive rehabilitation assistance.

When a worker is injured at work, the employer, injured worker, insurer and treatment provider have responsibilities to ensure that the injured worker is provided with benefits and assistance to recover and return to safe, durable work.

<http://www.workcover.nsw.gov.au>

Privacy and Personal Information Protection Act 1998

The Privacy and Personal Information Protection Act 1998 (or PPIP Act) deals with how all NSW public sector agencies manage personal information. The Act includes 12 information protection principles (IPPs), establishes methods for enforcement of privacy, establishes a mechanism for complaints if you think that your personal information has been mishandled, and sets out the role of the NSW Privacy Commissioner. The public sector agencies that are bound by the PPIP Act are state government departments, statutory or declared authorities, the police service, local councils, and bodies whose accounts are subject to the Auditor General. The information protection principles apply to how personal information is handled. Personal information refers to any information that relates to an identifiable person.

The 12 information protection principles form the backbone of the Act and must be adhered to by all NSW public sector agencies. They can be grouped under five main headings - collection, storage, access and accuracy, use, and disclosure.

The Act also contains lawful exemptions from these principles, as well as the power to investigate and conciliate complaints concerning breaches. Remedies can be enforced against public sector agencies by the Administrative Decisions Tribunal.

The PPIP Act allows the NSW Privacy Commissioner to investigate and conciliate privacy complaints made against any person or organisation. These investigations are not limited to complaints about mishandling of personal information. Privacy NSW deals with many types of privacy issues, including:

- information privacy
- privacy of communications
- physical and bodily privacy
- privacy of personal behaviour.

<http://www.lawlink.nsw.gov.au/lawlink/privacynsw>

Trade Practices Act 1974

The Trade Practices Act aims to enhance the welfare of Australians by promoting competition and fair trading and providing for consumer protection.

The Act deals with almost all aspects of the marketplace: the relationships among suppliers, wholesalers, retailers, competitors and customers.

The Act covers a wide range of areas, such as;

- anti-competitive conduct
- unfair market practices
- industry codes
- mergers and acquisitions of companies

- product safety
- product labelling
- price monitoring, and
- regulation of industries such as telecommunications, gas, electricity and airports

<http://www.accc.gov.au>

Motor Vehicle Repairers Act 1980

The Act protects consumers by mandating certain minimum standards for the commercial repair of motor vehicles in NSW.

The Act does this primarily through a licensing regime to ensure those working in the industry are technically qualified to undertake repair work and meet certain probity standards. The current licensing regime centres on two key requirements:

1. Business Licensing – which requires the owner to hold a repairer’s licence to advertise or carry out any repair work.
2. Vocational Licensing – requires people who carry out repair work to hold the appropriate tradesperson’s certificate (trades certificate) for the category of repairs undertaken.

The Act also requires minimum standards for repair work and repairer behaviour. NSW Fair Trading is able to take disciplinary action in response to unjust conduct or work below the usual trade standard for repairers.

<http://www.fairtrading.nsw.gov.au>

Work Health & Safety Act 2011

This Act details the legal obligations that must be complied with to provide for the health and safety of workers.

The main object of this Act is to provide for a balanced and nationally consistent framework to secure the health and safety of workers and workplaces by:

- (a) protecting workers and other persons against harm to their health, safety and welfare through the elimination or minimisation of risks arising from work or from specified types of substances or plant, and
- (b) providing for fair and effective workplace representation, consultation, co-operation and issue resolution in relation to work health and safety, and
- (c) encouraging unions and employer organisations to take a constructive role in promoting improvements in work health and safety practices, and assisting persons conducting businesses or undertakings and workers to achieve a healthier and safer working environment, and
- (d) promoting the provision of advice, information, education and training in relation to work health and safety, and
- (e) securing compliance with this Act through effective and appropriate compliance and enforcement measures, and
- (f) ensuring appropriate scrutiny and review of actions taken by persons exercising powers and performing functions under this Act, and
- (g) providing a framework for continuous improvement and progressively higher standards of work health and safety, and
- (h) maintaining and strengthening the national harmonisation of laws relating to work health and safety and to facilitate a consistent national approach to work health and safety in this jurisdiction.

Work Health & Safety Regulation 2011

The *Work Health and Safety Regulation 2011* (WHS Regulation) expands on the requirements of the *Work Health and Safety Act 2011* by providing details on how certain sections of the Act are to be implemented.

Australian Human Rights Commission Act 1986

This Act was formerly known as the Human Rights and Equal Opportunity Commission Act 1986. The Act established the Human Right and Equal Opportunity Commission (now known as the Australian Human Rights Commission).

The Act governs breaches of human rights by any Commonwealth body or agency and discrimination in employment on the basis of race, colour, sex, religion, political opinion, national extraction, social origin, age, medical record, criminal record, marital status, impairment, disability, nationality, sexual preference, trade union activity.

Disability Discrimination Act 1992

The major objectives of the Disability Discrimination Act 1992 are to

- eliminate discrimination against people with disabilities
- promote community acceptance of the principle that people with disabilities have the same fundamental rights as all members of the community, and
- ensure as far as practicable that people with disabilities have the same rights to equality before the law as other people in the community.

Disabilities can be physical, intellectual, psychiatric, sensory, neurological or learning disabilities; physical disfigurement; disorders, illness or diseases that affect thought processes, perceptions of reality, emotions or judgement, or results in disturbed behaviours; presence in body of organisms causing disease or illness (eg HIV virus).

Sex Discrimination Act 1984

The major objectives of this Act include;

- promote equality between men and women
- eliminate discrimination on the basis of sex, marital status or pregnancy and, with respect to dismissals, family responsibilities, and
- eliminate sexual harassment at work, in educational institutions, in the provision of goods and services, in the provision of accommodation and the delivery of Commonwealth programs.

Racial Discrimination Act 1975

The major objective of this Act is;

- promote equality before the law for all persons, regardless of their race, colour or national or ethnic origin, and
- make discrimination against people on the basis of their race, colour, descent or national or ethnic origin unlawful.

Anti Discrimination Act 1977 (NSW)

This Act relates to discrimination on the basis of; Race, (including colour, nationality and national or ethnic origin), sex (including pregnancy), marital status, disability, homosexuality, age (compulsory retirement only), transgender, carer's responsibility. It also relates to sexual harassment; vilification on the basis of race, homosexuality, transgender and HIV/AIDS status.

Equal Employment Opportunity for Women in the Workplace Act 1999

The EOWW Act requires certain employers to promote equal opportunity for women in employment. The principal objects of the EOWW Act are to:

- promote the principle that employment for women should be dealt with on the basis of merit;
- promote the elimination of discrimination, both direct and indirect, and the provision of equal employment opportunity for women in relation to employment matters among employers; and
- foster workplace consultation between employers on issues concerning equal opportunity for women in relation to employment

Child Protection (Prohibited Employment) Act 1998

An Act to prohibit the employment in child-related employment of persons found guilty of committing certain serious sex offences: and for related purposes.

Responsibilities

All MTA NSW staff members who work in conjunction with MTA NSW are responsible for keeping up to date information on all relevant legislation.

The Compliance and Customer Relations Manager is responsible for researching and informing other staff members when there are changes to relevant legislation that will affect the functioning of the RTO via email, training meetings and as part of the internal auditing process.

The Learning & Development Manager is responsible for informing staff upon induction of their responsibilities under the above listed legislation.

The Learning & Development Manager is responsible for MTA NSW remaining compliant under all relevant legislation.

School Based Delivery

School Based Trainees and Apprentices

Policy

MTA NSW will ensure that in all its activities, in relation to the delivery of training and assessment associated with school based trainees and apprentices, it will endeavour to meet the requirements of the NSW Automotive Industry Curriculum Framework (ICF) course.

This will be done to the highest degree of regard to its intent and purpose within the requirements of Automotive Retail, Service & Repair Training Package AUR05.

Procedure

MTA NSW will develop training and assessment strategies for school based traineeships and apprenticeships.

Training Plans will be developed for each individual school based trainee and apprentice that ensure the requirements of the Automotive ICF Course will be met, whilst still maintaining compliance with VET Quality Framework, the DEC NSW APL Contract and the current Automotive Retail, Service & Repair Training Package AUR05.

All hard copy and electronic files for school based trainees and apprentice will be processed using the same policies and procedure outlined here and within the MTA NSW Trainer/Admin handbook.

All MTA NSW Training Officers will be fully trained and supported in order to carry out the required training whilst meeting the requirements of the NSW Board of Studies ICF Course.

Responsibilities

It is the responsibility of the Learning & Development Manager to ensure all MTA NSW staff involved in the delivery of training and assessment via the Automotive ICF Course will be fully trained and supported to carry out their role to the best of their abilities.

It is the responsibility of the Learning & Development Manager to ensure that information is provided to all MTA NSW staff on the requirements of school based apprentices and trainees.

It is the responsibility of the Learning & Development Manager to liaise with the Board of Studies and school groups to ensure we are meeting their requirements.

Automotive Industry Curriculum Framework (ICF) Courses

Policy

MTA NSW at times delivers training and assessment surrounding Automotive ICF Courses. MTA NSW will ensure that this training and assessment meets the requirements as outlined within by the Board of Studies NSW for the Automotive ICF Courses, which still meets compliance with the MTA NSW policies and procedures as detailed here.

Procedure

Learners who are undertaking Automotive ICF Course will have an individual training plan developed that meets the requirements of MTA NSW Training and Assessment Strategy for the Automotive ICF Course and the current Automotive Retail, Service and Repair Training Package AUR05.

All hard copy and electronic files for Automotive ICF learners will be processed using the same records management policies and procedures outlined here and within the MTA NSW Trainer/Admin handbook.

All MTA NSW Training Officers will be fully trained and supported in order to carry out the required training and meet the requirements of the Automotive ICF Course.

Responsibilities

It is the responsibility of the Learning & Development Manager to ensure that training and assessment for Automotive ICF learners meets the requirement as outlined by the Board of Studies NSW and schools by liaising with each party.

It is the responsibility of the Learning & Development Manager to provide information to MTA NSW staff on these requirements both at their induction and in an ongoing capacity via training meetings.

Pre-Apprenticeship Programs

Policy

MTA NSW is committed to involvement in the development of quality candidates for apprenticeships. As such MTA NSW is involved in partnership with other organisations to deliver several Pre-Apprenticeship Programs throughout the year. MTA NSW provides the training and assessment and occasionally a training venue for these programs.

Procedure

MTA NSW will negotiate Pre-Apprenticeship Programs with partner organisations such as MTA Apprenticeships Plus. Dates, venues, costs, schedule and other details are negotiated and detailed in an agreement.

MTA NSW will receive a list of learners for the programs prior to commencement, hard copy and electronic files will be created for the learners and resources will be created and collated for these learners. Training and assessment will then commence, claiming of government funding for these learners occurs and applicable organisations are invoiced for MTA NSW services. Once the program has completed the learners are issued statements of attainment for their achievements.

Responsibilities

The Learning & Development Manager is responsible for negotiating the Pre-Apprenticeship Program, developing the agreement and issuing invoices to relevant parties.

The partner organisation is responsible for providing the list of learners to MTA NSW.

The Records Management Officer is responsible for creating the electronic and hard copy files for learners. The Data Processing Team is responsible for creating and collating the resources.

The allocated Training Officers are responsible for conducting training and assessment.

The Records Management Officer is responsible for claiming government funding and issuing relevant invoices and statement of attainments.

Group Training Organisations (GTO's)

Policy

MTA NSW will recognise GTO's as the legal employer of learners employed through them and then enrolled in MTA NSW training and as with all other employers, MTA NSW will endeavour to accommodate their needs in its operations.

Procedure

The learner's training plan is required to be signed by all parties to the training contract, including MTA NSW or a representative of MTA NSW, the Legal Employer (GTO), the learner and the host employer.

After induction has been carried out at the host employment location by MTA NSW the Records Management Officer will then scan a copy of the full training plan with all the relevant signatures and email it to the host employer.

In the case of the learner being employed by MTA Apprenticeships Plus, the Administrative Assistant will email the Payroll Clerk to notify that the Training Plan for the learner requires the signature of an MTA Apprentice Plus representative.

The MTA Plus representative will visit MTA NSW offices (once a month or as required) and sign off on the necessary documentation for any MTA Apprenticeships Plus trainees/apprentices. The Training Plan for the trainee/apprentice is scanned (complete with all signatures) and emailed to the MTA Apprenticeship Plus Payroll Clerk.

Updated copies of the training plan for each GTO learner will be emailed to the GTO, Host Employer and Learner after each administration update.

Responsibilities

It is the responsibility of the Data Processing Team to email the Training Plan to the GTO contact, Host Employer and learner as listed on the learners Training Plan.

In the case of MTA Apprenticeships Plus trainees/apprentices the Records Management Officer is responsible for arranging a representative to sign the Full Training Plan as the legal employer.