



**MOTOR TRADERS'
ASSOCIATION OF NSW**

Training and Education



ACT Delivery

MTA NSW

Registered Training Organisation

Policies and Procedures

(MTA NSW RTO 90402)



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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 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 Senior Manager - Traineeship & Apprenticeship Delivery of relevant changes and areas of non-compliance identified during review, risk management or internal auditing.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery.

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 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 Manager to monitor MTA NSW RTO's compliance with the Standards for NVR Registered Training Organisations. They must also advise the CEO and Senior Manager - Traineeship & Apprenticeship Delivery of relevant changes and areas of non-compliance identified during review, risk management, internal auditing or continuous improvement.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Australian Qualifications Framework Second Edition January 2013.

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

The Compliance 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 Manager to monitor MTA NSW RTO's compliance with the AQF and to implement required changes. They must also advise the CEO and Senior Manager - Traineeship & Apprenticeship Delivery of relevant changes and areas of non-compliance identified during review, risk management, internal auditing or continuous improvement.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery.

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 30th each year for the previous calendar year's activities.

Responsibility

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

It is the responsibility of the Compliance 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 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, Senior Manager - Traineeship & Apprenticeship Delivery and Compliance 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 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 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.



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.

Responsibility

It is the responsibility of the Chief Financial Officer in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery to provide the required evidence to the National Regulator as requested.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to ensure the management operations of MTA NSW are financially viable and sustainable.

The Financial Director working in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery 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.

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 Manager to maintain compliance against ASQA's registration requirements. They are also responsible for advising the CEO and Senior Manager - Traineeship & Apprenticeship Delivery of the audit and collating and providing information required by the assigned auditor.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to inform all staff of the upcoming audit and to ensure they are available to speak with auditors if required.

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 to compliance with the VET Quality Framework and ACT Funding Initiative



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 Senior Manager - Traineeship & Apprenticeship Delivery to ensure that risk management policies and procedures are enacted within MTA NSW.

It is the responsibility of the Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery to carry out a risk assessment of the RTO components as outlined in the quality management plan.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery and Compliance 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 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 Senior Manager - Traineeship & Apprenticeship Delivery and/or Compliance Manager.

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 Skills Canberra. Insurances are reviewed annually to ensure adequate and suitable cover is maintained.

Procedure

The Senior Manager - Traineeship & Apprenticeship Delivery 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 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager to request and file a copy of MTA NSW's Certificate of Currency of Insurance from the Chief Financial Officer.



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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager to action any updates to marketing material to keep in line with these policies and procedures.

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



It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to authorise all MTA NSW documents prior to use or distribution to ensure proper use of logos.

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

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 Senior Manager – Traineeship & Apprenticeship Delivery and the Compliance 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager following the version control policy outlined within this document.

Responsibilities

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to ensure that Training and Assessment Strategies are developed for each qualification and statement of attainment course MTA NSW offers. The Senior Manager - Traineeship & Apprenticeship Delivery is responsible for communicating information regarding its Training and Assessment Strategies to all MTA NSW staff upon induction and continually via training meetings.

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

ACT Standards for Australian Apprenticeship Training

Policy

MTA NSW will tender when required to be listed on the ACT Funding Agreement User Choice List to delivery funded Apprenticeships and Traineeships.

MTA NSW RTO will incorporate the additional guidelines and requirements outlined in the ACT Standards for Australian Apprenticeship Training into its operations. MTA NSW will also notify Skills Canberra of any material changes to the RTO operations and any non-compliance with the Standards or VET Quality Framework.

Procedure



The Compliance Manager is to maintain currency on the standards and requirements as outlined in the ACT Standards for Delivery of Training.

The Compliance Manager and the Senior Manager - Traineeship & Apprenticeship Delivery will review the guidelines and requirements outlined in each update of the ACT Standards for Delivery of Training to determine the impact and areas of improvement for MTA NSW.

The Compliance Manager will submit MTA NSW RTO's electronic tender for the ACT Funding Agreement via the designated methods as detailed on the ACT Education and Training Skills Canberra website.

All staff are provided with information upon induction by the Senior Manager - Traineeship & Apprenticeship Delivery about ACT Funding Agreement requirements and how they affect their role with MTA NSW.

Further information including changes to the standards and requirements as outlined in the ACT Standards for Delivery of Training will be communicated to MTA NSW staff by the Senior Manager - Traineeship & Apprenticeship Delivery via training meetings.

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

Changes to the standards and requirements will be incorporated into MTA NSW operations by way of its continuous improvement system, as detailed within this document.

The Compliance Manager will advise Skills Canberra in writing of any material changes to the RTO within 14 days of the change. These material changes can include; changes to management, ownership, contact details, change to trading name or the main point of contact for ACT FA changes role or no longer is employed or associated with MTA NSW. MTA NSW will also advise Skills Canberra of any non-compliance with the Standards including; fraud, dishonesty, recklessness or gross negligence relating to the operations and provision of funded training and/or assessment.

Responsibilities

The Senior Manager - Traineeship & Apprenticeship Delivery is responsible for communicating information on the requirements of the Standards to all MTA NSW staff upon induction and continually via training meetings.

It is the responsibility of the Compliance Manager to email MTA NSW staff with any changes to the standards or requirements.

It is the responsibility of the Compliance Manager to enact any changes in consultation with the Senior Manager - Traineeship & Apprenticeship Delivery to MTA NSW operations via its continuous improvement process.

The Senior Manager - Traineeship & Apprenticeship Delivery is responsible for ensuring that MTA NSW operations meet the requirements outlined in each update of the standards.

It is the responsibility of the Compliance Manager to advise Skills Canberra in writing of any material changes to the RTO and any non-compliance with the Standards should it occur.

RTO Internal Review

Policy

MTA NSW will conduct an annual internal review and maintain a record of these and forward to Skills Canberra as requested.

Procedure

The Compliance Manager will utilise the current RTO Internal Review Tool template as found on the website of Skills Canberra to conduct an internal audit against the ACT Standards for Training Delivery. This

audit will be scheduled on the Compliance Activity Schedule for the RTO to ensure annual completion. The completed review tool will then be submitted to Skills Canberra for review. A record of the review will also be maintained at the office of MTA NSW.

Responsibilities

It is the responsibility of the Compliance Manager to conduct the Internal Review in conjunction with the Senior Manager – Traineeship & Apprenticeship Delivery and to have it reviewed and signed by the CEO then forwarded to Skills Canberra. It is also the responsibility of the Compliance Manager to respond to any enquiries or requests for further information from Skills Canberra as a result of the review submission.

Skills Canberra Audits

Policy

All MTA NSW staff and applicable RTO information including relevant files and learner records will be made available for Skills Canberra site and desk audits when they occur. Further information will also be made available upon request from Skills Canberra to address any non-compliance issues found through the audit process.

Procedure

For any ACT Funding Agreement audit the Compliance 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 Senior Manager - Traineeship & Apprenticeship Delivery and Compliance Manager will make themselves available to Skills Canberra appointed auditor and provide them with any information they require.

In the case of a desk audit, the Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery will gather all required documentation and supply this to the appointed auditor when required.

Responsibilities

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

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager and the Learning and Development Manager to compile evidence for audit and supply this to Skills Canberra. Any additional information required to address issues of non-compliance will also be provided by the Compliance Manager within the require timeframe.

Marketing, Promotions and Publications

Policy

MTA NSW will ensure all marketing and advertising to prospective clients for AQF Qualifications is ethical, accurate, and consistent with scope of registration and the NRT logo is utilised only within its conditions of use. MTA NSW will also ensure any promotion, publications or other publicity relating to information and services provided by MTA NSW are fully disclosed to the learner and/or employer.

MTA NSW will ensure the material is suitable for the target group and contains any information relating to subcontracting if relevant. Publications and promotions will identify the RTO name and National Code,



indicative fees for each qualification under each specific training initiative and include acknowledgement of any government funding as required by the specific training initiative.

MTA NSW will supply promotional information regarding the qualifications they are approved to deliver on the ACT Qualifications Register and services provided to Australian Apprenticeship Centres (AAC's), brokers and employers in the Automotive Industry.

MTA NSW will also assist employers and potential employers to select an AAC of their choice and advise the ACC of a training contract to be initiated within 10 business days of first contact with the employer.

Procedure

MTA NSW will develop and check all marketing and promotional materials and publications regarding information, services and 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 ACT Standards for Delivery of Training requirements. 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.

MTA NSW will provide updated marketing, promotional materials and publications to ACC's, brokers and employers at regular intervals throughout the calendar year and as new information becomes available. All enquiries for new business will be provided with the name and contact details for ACC which best suits their location and needs, the learner and employer details will then be emailed to the ACC within 10 business days to initiate a training contract.

Responsibilities

It is the responsibility of the Compliance Manager to ensure marketing, advertising and publicity adheres to the VET Quality Framework and the ACT Standards for Delivery of Training requirements prior to print and market.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery and Chief Executive Officer to approve final versions of the marketing, advertising materials and publicity.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to ensure distribution of marketing and advertising material and publicity to AAC's, brokers, employers and potential employer's on a regular basis.

It is the responsibility any MTA NSW staff member taking an enquiry to advise the employer or potential employer of an AAC which suits their requirements and then forward the learner and employer details to the ACC.

Data Collection and Reporting

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 meet the National and ACT reporting and record keeping obligations. This includes collection, storage and reporting of full, correct and current mandatory ACT AVETMISS data for all learners.

Training activity data will be reported to Skills Canberra as specified in the ACT AVETMISS requirements and as per the specific training initiative.

Procedure

MTA NSW will collect ACT AVETMISS data from all learners upon enrolment via the enrolment contract, this is to be completed fully and accurately, this information will be entered into an electronic AVETMISS compliant database (Jobready RTO), the hard copy enrolment contract will be stored in the learners hard copy file and the data will be reported to Skills Canberra as required. The enrolment contract will also



record the learner and employer signature and date of signing. All data will be subject to backup procedures to ensure accuracy and integrity of data is maintained.

AVETMISS compliant data is reported to Skills Canberra at the required intervals commencement, per unit completed and upon full completion by the Compliance Coordinator.

Responsibilities

It is the responsibility of the data management staff to provide an enrolment contract to the Training Officers to have completed by the learner and employer at the first induction visit. It is the responsibility of the Training Officer to ensure the enrolment contract is fully and accurately completed at the induction visit.

It is the responsibility of the data management staff to enter this information into the AVETMISS compliant database or request further completion if necessary and file the hard copy.

It is the responsibility of the Compliance and Records Management Administrator to report this data to Skills Canberra at the required intervals. It is the responsibility of the Compliance Manager and Compliance and Records Management Administrator to remain up to date with the AVETMISS requirements and ensure the enrolment contract adequately captures the required information.

Records Management

Policy

MTA NSW has in place systems which ensure records are systematically managed and maintained to ensure completeness, accuracy and currency. The records management will comply with relevant legislation requirements including the Territory Records act 2002 and records retention will be in line with both the VET Quality Framework and the ACT Standards for Delivery of Training.

MTA NSW will ensure that learners, employers, Skills Canberra and ASQA will be able to access records of training and assessment during delivery and post completion.

Procedure

Data is collected from learners upon enrolment utilising a variety of documents. This data and information is used to create a physical paper based and electronic file which is managed and maintained after each visit from the Training Officer, any additional correspondence or paperwork is also recorded in these files. Data and information stored in these files includes (but not restricted to):

- Enrolment Contract
- Notice of Business
- Initial Skills Assessment
- Training Plan
- Elective List
- Copy of identification
- Workplace visit forms (Documentation confirming participation)
- Assessment Tools
- Learner Record Book
- Records of support provided
- Records of any learner or employer complaints.
- Copies of transcripts and previously undertaken qualifications and their verification

- Invoices, payment received and any refunds issued
- Learner and employer details
- Certificates/Qualifications, Statements of Attainment (containing Australian Apprentice Number and the Statement; "Achieved through Australian Apprenticeship Arrangements) issued
- Supporting Statements issued to the employer upon issuance of Certificates for full qualifications
- Feedback and evaluation from learners
- Additional correspondence with the learner or employer

Records will be retained in full for seven (7) years in a secure easily accessible MTA NSW location and will be retained in a reduced state in an easily accessible MTA NSW location for an additional twenty (20) years.

Responsibilities

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Compliance and Records Management Administrator to compact files appropriately after storage in full for seven (7) years.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager to ensure that MTA NSW records management policies and procedures are kept up to date and remain compliant with VET Quality Framework, AVETMISS, ACT Standards for Training Delivery 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.

MTA NSW Scope of Registration

Policy

MTA NSW will only advertise and deliver training and assessment services and issue Certificates and Statements of Attainment for qualifications as listed within its scope of registration as determined by ASQA. This management and monitoring also includes training package transition arrangements to ensure delivery of current training package qualifications. It will also ensure scope is adequate and correct prior to application to delivery training under an ACT training initiative. MTA NSW scope of registration will be reflected on the ACT Qualifications Register, MTA NSW will maintain a current ACT FA or be listed as a Fee-For-Service provider on the ACT Qualifications Register. All qualifications MTA NSW delivers in the ACT will be on the nominated list on the ACT Qualifications Register.

Procedure

The Senior Manager - Traineeship & Apprenticeship Delivery 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 scope is accurate and adequate prior to applying for funding for any ACT training initiative.
- The MTA NSW listing on the ACT Qualifications Register will be maintained for accuracy regularly.

Responsibilities

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager to complete applications for change of scope with ASQA as directed by the Senior Manager – Traineeship and Apprenticeship Delivery.

It is the responsibility of the Compliance 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.

It is the responsibility of the Compliance Manager to maintain accuracy of the MTA NSW listing on the ACT Qualifications Register and its nominated qualifications.

Implementation of a New Training Package

Policy

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

Procedure

When a new Training Package is implemented the Senior Manager - Traineeship & Apprenticeship Delivery, working with the Compliance 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 (JobReady).
- 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.
- Map current learners records to the new training package to identify what can be used as credit transfer and what remains to be completed.
- Collate a list of learners to be transitioned to the new qualifications, those who will not be significantly disadvantaged by the transition. This list will be used for the purpose of varying the learners training contract and forwarded to Skills Canberra for instruction of how to proceed in regard to funding and enrolment.
- Notify learners and employers of the transition and how it will affect their learning and outcome.
- Implement the changes required to commence transition of the above learners.

- Complete a new training plan and induction for the new qualification, and issue a Statement of Attainment for the superseded qualification to the learner.

When a new Training Package has been endorsed MTA NSW will cease to enroll Learners into the superseded qualifications within the transition period. There will be no new enrolments in the superseded qualifications once the transition period has lapsed.

MTA NSW will continue to deliver the superseded qualifications to learners who would have been significantly disadvantaged by transitioning until they have completed the superseded qualifications. Approval will be sort from Skills Canberra at this time.

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 Manager will action the updating of all marketing material to reflect the new Training Package requirements.

Responsibilities

The Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery is responsible for the transition of Training Packages into MTA NSW delivery.

The Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery are responsible for collating the list of transitioning learners and forwarding to Skills Canberra and implementing actions as directed by Skills Canberra to have these learners enrolled in the new qualifications.

It is the responsibility of the Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery to gain approval from Skills Canberra prior to continuing a learners training in a qualification during a teach out period.

The Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery is responsible for facilitating any updating and improvements to RTO resources and materials after reviewing the new Training Package.

Ceasing to Deliver Qualifications in the ACT

Policy

Training records will be appropriately handled and stakeholders notified should MTA NSW cease to deliver training and assessment services within the ACT.

Procedure

All stakeholders including Skills Canberra will be notified and agreement sought from Skills Canberra for the cessation of training within 10 working days in writing of MTA NSW's decision to cease training in the ACT.

MTA NSW will provide a status report to Skills Canberra of all learners' current progress and issue Statements of Attainment and transcripts within 30 days demonstrating the learner's current records of achievement.

MTA NSW will also assist in referring learners to alternate training providers and assist in completion of change of RTO Paperwork for the learner and employer.



Training and assessment will continue to be provided until the new RTO has confirmed acceptance and responsibility for the training contract.

All learner records including that of training and assessment 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 Skills Canberra and ASQA should this occur.

Responsibilities

It is the responsibility of the Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery to notify stakeholders and Skills Canberra in writing of the intention to cease training delivery.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to provide a status report of learner progress to Skills Canberra.

It is the responsibility of the Data Management Team to validate all learner files and the Compliance and Records Management Administrator to issue Statements of Attainment who will then forward these to the learners. The Compliance and Records Management Administrator will also complete any change of RTO paperwork required.

The Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery is responsible for providing records of training and assessment to either Skills Canberra or ASQA and maintaining records on MTA NSW premises.

Learner Eligibility

Policy

MTA NSW will ensure learners eligibility for funding as per requirements for specific funding initiatives prior to enrolment and commencement of training.

Procedure

MTA NSW will review the Notice of Business (NOB) details prior to accepting the Learner to ensure all eligibility criteria are met, this will then be accepted on RTO Online.

The enrolment contract will be completed by the learner at the induction visit; this document contains requests for information which will assist in the identification of eligibility. The responses to these requests will be reviewed against the eligibility criteria for the specific ACT funding initiative.

Copies of both the NOB and enrolment contract will be maintained within the learner's physical file as a record of eligibility.

Apprenticeship Eligibility requirements include;

Australian Apprentices

- Be an Australian Citizen, permanent resident, or New Zealand passport holder resident for more than six (6) months
- Be a visa holder with rights to engage in work in Australia
- Be at least 15 years of age

- Receive remuneration for their work

- Be a permanent part-time or full-time employee working for an ACT employer with an ACT worksite address

- Undertake an approved Australian Apprenticeship qualification with an approved RTO, as specified on the ACT Qualifications Register
- Must not be a casual employee

Additional requirements for Australian School Based Apprentices (ASBA)

- Be enrolled in a school under the relevant Education Act
- Have the ASBA endorsed by the school Principal or delegate
- Combine part-time work with an employer and structured industry-approved training whilst attending school
- Continue employment and on/off-the-job training throughout the year including school holidays
- A minimum of 11 hours work per week if undertaking a certificate II qualifications in an ASBA arrangement, including 8 hours of work and 3 hours per week of structured training
- A minimum of 15 hours work per week if undertaking a certificate III qualification, including 12 hours of work and 3 hours of structured training
- A maximum of 20 hours (combined work and training per week). (During school holidays, ASBA's may work up to full-time hours as per their award)

Responsibilities

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to review the NOB against eligibility requirements and accept the NOB.

It is the responsibility of the data management team to provide a copy of the enrolment contract to the Training Officer. The Training Officer is then responsible for ensuring the enrolment contract is accurately and fully completed.

It is the responsibility of the data management team to enter this information into the student management system and identify any areas of non-compliance with the ACT funding initiative.

The Enrolment Process

Policy

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

Procedure

MTA NSW will be notified of a new learner who is to commence training through a NOB on RTO Online. The Senior Manager – Traineeship & Apprenticeship Delivery will review the details for eligibility and accuracy then approve the NOB. The NOB is scanned and saved in the relevant electronic folder.

A copy of the NOB will be provided to the Compliance and Records Management Administrator to initiate invoicing and fee information dissemination. A copy will also be provided to the Data Management Team to initiate the creation of a physical and electronic file. A copy will be forwarded to the designated Training Officer so as they can make contact to arrange the initial induction visit.



The enrolment contract and training plan are signed by the learner and employer at this induction visit. The initial skills assessment is also completed at this time. 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 an additional means of determining and verifying their eligibility or illegibility for 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 Senior Manager – Traineeship & Apprenticeship Delivery to review, approve and distribute the NOB to relevant stakeholders,

It is the responsibility of the Compliance and Records Management Administrator to issue invoices and fee information.

It is the responsibility of the Data Management Team to create the JobReady 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; read, complete and sign these documents. The Training Officer will then return the completed documents to the MTA NSW office for processing.

Student Completion Payment

The Training officer is to notify the employer and the Learner of eligibility for the ACT Completion payment prior to enrolment. The completion payment is (\$300) for any apprentice who completes training and has less than 50% of the qualification completed by RPL. A high number of Credit Transfers will also reduce this completion payment.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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.

Learner Fees and Refunds

Policy

All fees and charges related to the provision of training services are outlined in a clear, accurate and sufficient format to all parties prior to enrolment.

MTA NSW will charge trainees and apprentices a compulsory Administration Fee. These fees apply to each year of a Traineeship or Apprenticeship.

MTA NSW supplies a quality training product subsidised by Skills Canberra under specific funding initiative's and as a requirement of that funding MTA NSW like all other Registered Training Organisations (RTO) is required to charge a compulsory Administration Fee as set by Skills Canberra.

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.

Learners will be charged an additional fee for re-issuance of a qualification or statement of attainment.

MTA NSW will hold records of all fee invoices, transactions, concessions, exemptions and payments for the required duration and these records will be made available to Skills Canberra as requested.

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

Procedure - Administration Fees

Administration fees will be shown in advertising material where applicable and provided to all enquiries received. An explanation of the fee and its amount will also be provided with the initial invoice to learners and employers prior to official enrolment at the induction visit.

Information regarding fees is also provided in the Learner Handbook and Employer Handbook. Information is also verbally communicated to Learners and Employers during induction.

The Compliance and Records Management Administrator will send the Accounts Payable Clerk a list of learners to be invoiced for administration fees on a monthly basis based on information provided in the NOB's.

All invoices for training fees are to be emailed or mailed with an accompanying letter from the Compliance and Records Management Administrator.

Fees for Trainees will be \$1000 per qualification (Commencement fee = \$500, Final Fee = \$500); fees for Apprentices will be \$2000 (Commencement Fee = \$500, Progress Fee = \$750, Final Fee = \$750). There will be no GST charged.

Learners will be invoiced in a minimum of two installments, however the option of a payment plan in smaller installments will be offered to all learners.

Employers may opt to pay the fee on behalf of the learner.

Learners will be advised of a text book available for purchase from MTA NSW if relevant to their qualification, however it is not compulsory to purchase this text directly from MTA NSW.

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.

There are some circumstances where learners may be fee exempt or eligible for a concession.

Fee Concessions

MTA NSW will submit an Application for Fee Concession Reimbursement form to receive payment for the student Concession reimbursement. (Maximum Concession payable is \$500)

To be eligible for Fee Concession the student must at the beginning of training;

- Hold a current Health Care Card or
- Can prove genuine Hardship or
- Be under 18 at enrolment and the child of a holder of either of the above cards.

Fee Exemptions

An Australian Apprentice may be eligible for fee exemption according to the following rules

- The Employer is the RTO
- The Australian Apprentices leaves one employer and recommences with another employer at the same RTO or
- If the Australian Apprentice is required to go to another RTO as a result of a change of RTO Process or
- If the Student is an ASBA and the school is the RTO

Once notified of the above the MTA NSW Training Staff Member must provide this evidence and advice to the Compliance and Records Management Administrator who will either credit any outstanding invoices or



make a note on the learner's electronic file to ensure no further invoices are issued. All documentation relating to fee exemption or concession will be retained in the Learners electronic or hard copy file.

Learners requiring a refund or exemption from fees are required to contact the MTA NSW Training department Management to make this request.

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

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 an 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 - Fee for Service Delivery

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

The Compliance and 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 Senior Manager - Traineeship & Apprenticeship Delivery. If a refund is granted copies of supporting documentation will be retained 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 Compliance and Records Management Administrator will generate and forward an invoice to the learner. Once the accounts department have notified the Compliance and Records Management Administrator that the



invoice has been paid the Compliance and Records Management Administrator 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 Compliance and Records Management Administrator of the additional qualification. The Compliance and Records Management Administrator 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 Compliance and Records Management Administrator is responsible for informing the Accounts Payable Clerk of invoices to be created for administration and/or FFS fees.

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

The Compliance and Records Management Administrator 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 Compliance and Records Management Administrator.

The Compliance and Records Management Administrator 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 Compliance and Records Management Administrator must also notify the Accounts Department of the relevant invoice to be cancelled.

The Senior Manager – Traineeship and apprenticeship delivery is responsible for negotiating FFS fees and the decisions to allow refunds and to oversee the entire learner fee and refund policy and procedure process.

The Compliance and Records Management Administrator is responsible for requesting invoices from the accounts department for all additional services. 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.

Initial Skills Assessment

Policy

MTA NSW will conduct an initial skills assessment with every eligible learner within eight (8) weeks of receiving the NOB. The Initial Skills Assessment will include assessment of language, literacy and numeracy (LLN) to determine whether the proposed qualification, qualification level, strategies and materials are appropriate for the learner to gain a successful outcome. Learners will also be made aware of opportunities for credit transfer and recognition of prior learning during this assessment and of adequate support available to assist in the recognition process.

The result of the initial skills assessment will be the basis of determining whether processes will need to be adapted to suit the learner or whether additional support may be required to assist the learner in achieving a successful outcome.

At the student induction the trainer will conduct the initial skills assessment and review the outcomes of the induction meeting and enrolment process. The induction meeting and the results of the skills



assessment will be used to map the results to the ACSF ratings. The mapping template will be used to map the students ACSF rating for Reading, Writing, oral communication and numeracy.

The trainer will record the results on the ACSF spikey profile and record this information in student notes in the SMS.

Procedure

All learners will be given the Initial Skills Assessment at their first induction visit with the MTA NSW Training Officer, they will be asked to complete the assessment which will then be reviewed by the Training Officer to determine whether additional support may be required.

The MTA NSW Training Officer will make relevant notes pertaining to the outcome of the Initial Skills Assessment on the actual assessment. This will be discussed with the learner and employer to advise of the outcome and the process forward should there be a need for additional support, adaptations or the qualification level be inappropriate to the learner.

Should the Training Officer believe additional support is required they will discuss the Learner's situation with the MTA NSW LLN Support Training Officer to discuss appropriate support options for the individual learner. The Training Officer will discuss the suggested support options with both the Learner and Employer to ensure all are informed and aware of the proposed options and to discuss whether they are interested in taking up these options.

If engaged the LLN Support Training Officer will regularly visit the learner in addition to visits with their assigned Training Officer to ensure support is provided without compromising the learner's progress and motivation. Both Training Officers will remain in constant contact regarding the activities they complete with the learner and the learner's progress or further needs.

Records of all discussion or contact will be kept in the learner's electronic file to ensure communication between all stake holders is maintained.

Once agreement has been achieved records of all support provided will be maintained for the duration the support is provided for.

Should MTA NSW wish to make a claim for payment for provision of additional support, the appropriate paperwork must be completed. This would be either the Disability Australian Apprentice Wage Scheme (DAAWS) paperwork or the "application for additional support funding" with Skills Canberra. All applications will be accompanied by documentation proving the additional support will meet the needs of the learner.

Should the learner have credit transfer or RPL for more than 80% of the qualification, it will be determined that the level of the qualification for the learner may not be appropriate and a higher level qualification may be more appropriate.

Responsibilities

It is the responsibility of the Data Management team to provide a copy of the Initial Skills Assessment in the file of all new learners.

It is the responsibility of the allocated Training Officer to have the learner complete the initial skills assessment at the induction visit and to determine the requirements of the learner from the results of the initial skills assessment. They must also consult and engage the LLN Support Training Officer for assistance if required.

It is the responsibility of the Training Officer to record all necessary information relating to outcome and support provided on the documentation and to instigate application for additional support funding if deemed appropriate.

It is the responsibility of the Compliance and Records Management Administrator to facilitate the completion of paperwork regarding additional support funding applications.

It is the responsibility of the Senior Manager – Traineeship and Apprenticeship Delivery to oversee the above processes to ensure adequate support is being provided to learners who require it.

Recognition

Policy

MTA NSW will offer a timely and efficient recognition process in line with the ACT Standards to all learners enrolled in training and ensure that information is provided to stakeholders on the recognition process available through MTA NSW prior to enrolment. This will be undertaken during the initial skills assessment and opportunity will also be provided throughout the qualification training and assessment process.

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

Information regarding application for recognition can be found in the Initial Skills Assessment, Learner and Employer Handbook and will be discussed verbally and recorded on the workplace visit form at every training and assessment event provided by MTA NSW.

Recognition of Prior Learning (RPL)

RPL involves assessment of previously unrecognised 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, the 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 Senior Manager - Traineeship & Apprenticeship Delivery or the Compliance 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.

Procedure – Recording of Credit Transfer or RPL outcomes

An outcome of Credit Transfer or RPL will be recorded on the learners training plan and all associated documentary evidence will be filed in the learner's physical file.

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 Senior Manager - Traineeship & Apprenticeship Delivery to communicate information about recognition to Training Officers upon induction and on an on-going basis as changes come into play.

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

It is the responsibility of the data management team to accurately record the recognition outcomes on the learners electronic training file so as it appears on the learners training plan.

Training Plans

Policy

As per the requirements of Skills Canberra MTA NSW will develop an individual training plan for each learner based on the guidelines and specific training initiative requirements. The template provided by Skills Canberra will be used and training plan will be maintained throughout the duration of the learners training and assessment period. The training plan will be consistent with the qualification or competencies

to be attained and the MTA NSW delivery and assessment strategy. It will be customised to meet the needs of the learner and employer, including any customisations required as a result of the initial skills assessment. And will be signed and dated by all parties.

Original and up to date copies of the training plan will be provided to both the learner and employer on a regular basis. The training plan will be amended where necessary to accommodate changes including those to the learner or employer details, progress, and amendments to units of competence to be undertaken. Any changes to the training plan will be discussed and approved by learner, employer and RTO prior to being made; this mutual approval will be recorded by the RTO. Changes will also be made within required timeframes according to the specific training initiative.

Procedure

Within eight (8) weeks of receiving the NOB, MTA NSW will conduct an initial induction visit where the training plan will be developed and agreed upon by the learner, employer and RTO. This training plan is developed using the ACT template to ensure compliance. A copy of this training plan signed by all parties will be provided to the learner and employer at this time.

At this induction visit the Training Officer will also ensure the employer has the adequate facilities, equipment, and range of work available, adequately qualified supervisors with appropriate skills, knowledge and qualifications to support the learner to successfully undertake their qualification, details of such will be completed on the workplace visit form.

Should there be any issue with the above, Skills Canberra will be notified within ten (10) working days if alternative or improved arrangements cannot be made by the workplace to facilitate the learner's achievement of the qualification. This will also include any issues with meeting the training package requirements.

The learner and employer will receive a copy of the training plan as it is updated with the learner's progress throughout the duration of the training and assessment to ensure all parties are kept up to date on progress and to allow for immediate resolution of any issues which may arise.

A new training plan will be created within eight (8) weeks of the date of effect if the learner changes employer, all new and existing parties must sign the training plan to demonstrate they agree to the conditions set out in the training plan. A new training plan will also be created in the above timeframes should the learner change their qualification at any time during their period of training and assessment. In both of these instances the training plan will be developed/amended and signed by the relevant parties at the next available training visit.

The training plan will reviewed annually to ensure adequate progress, allow for discussion/feedback with the learner and employer and to identify any areas of improvement or change required. This will take place with all parties at one of the regular training and/or assessment visits.

Responsibilities

It is the responsibility of the data management team to provide training plan templates in all new learner files. It is the responsibility of the Training Officer to complete and develop the training plan in consultation with the learner and employer at the induction visit.

It is the responsibility of the data management team to record the details from the training plan in JobReady and forward a completed copy of the training plan to the employer and learner. This will also be done at each stage where a learner completes a unit of competence.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to ensure that a Training Plan is developed for each individual learner.

The appointed MTA NSW Training Officer is responsible for ensuring any amendments to training plans are agreed upon and recorded on workplace visit forms by the learner, employer and RTO. They are also responsible for initiating and conducting the annual revision of training plans with all relevant parties.



The MTA NSW Training officer will ensure that all of the required fields in the Full training plan are completed including “Host” arrangements, support services and Supervisory staff. Training plans are to be reviewed and updated at least once per year. The reviewed copy is to be retained in the student file and a copy provided for both the student and the employer.

Training Delivery and Participation

Policy

Delivery of structured training will be designed to maximise opportunity for the learner to achieve high quality outcomes and evidence of training delivery will be supported through documentation of participation in each unit of competence on a learners training plan.

All training will be customised to the individual learner, industry and employer requirements, follow the set training plan and be in line with the MTA NSW Training and Assessment Strategy. Evidence of all participation in training and assessment will be recorded, including the learners name or identification number, unit of competency code and name and the date undertaken. This will be recorded for all units of competency for all students. Evidence collected will meet Skills Canberra’s criteria of one(1) point of evidence of participation per unit of competency (UOC) if the elapsed time of delivery is less than one (1) month or two (2) points of evidence of participation per UOC if the elapsed time of delivery is greater than one (1) month.

No more than half of the chosen units of competence will be completed through employer guided workplace learning, MTA NSW will provide training and assessment of all units of competence and the employer will provide complementary training in the workplace on the units of competence.

Procedure

A workplace visit form will be completed at every training and/or assessment visit conducted by the MTA NSW Training Officer. This is record of participation which details the unit of competence trained and/or assessed, the learner and employer details and signatures, date of visit, feedback, action to be taken, recognition being applied for and an inventory of any assessment tools collected and the outcome achieved by the learner.

Assessment tools which have been completed will also be utilised as record of evidence of participation as they also record the above information.

Any required training materials will be provided to the learner at the induction visit and any subsequent visits to ensure the learner has the appropriate materials required to undertake learning. This is within the required ten (10) working days from signing the training plan.

A training record book will also be provided to the learner at the induction visit, it will contain relevant information from the appropriate training package such as; units of competence, elements, performance criteria and required workplace tasks. The training record book also records the employer, learner and Training Officer signature for each unit of competence to confirm the learner has achieved the required skills and knowledge of the unit of competence and has completed the required workplace activities to demonstrate this. It will also contain a record of confirmation for the qualification by the learner, employer and RTO.

Responsibilities

It is the responsibility of the Training Officer to ensure a workplace visit form is accurately completed at each training/assessment visit and to return this to the office for electronic recording. It is the responsibility of the data management team to record the information from the workplace visit form in JobReady and then file the original form in the learner’s physical file.



It is the responsibility of the data management team to provide a copy of the learner record book in each new file and it is the responsibility of the Training Officer to issue the record book to the learner with a full explanation of its importance and use.

It is the responsibility of the Senior Manager – Traineeship and Apprenticeship Delivery to oversee this procedure and ensure all Training Officers understand and implement the use of the Training Record Book.

Support and Monitoring

Policy

MTA NSW will provide learner materials and support to learners which are relevant to their qualification and individual needs. MTA NSW will also monitor the outcomes being achieved by the learner and ensure additional support should it be required is received by the learner. Records will be kept of any contact, actions, matters discussed and outcomes by MTA NSW.

Any additional support required as a result of the initial skills assessment will be provided by MTA NSW and records of this will also be kept.

Procedure

MTA NSW in conjunction with the employer will monitor a learners training contract status to ensure training is being delivered to those with active training contracts.

MTA NSW will meet the required contact hours with the learner as per the NOB by visiting them monthly and by meeting with the employer at each of these visits to provide feedback and progress reports. MTA NSW will also provide face to face block training sessions every three (3) months which will be held off the job.

The MTA NSW Training Officer will consistently monitor progress made by the learner against the specific training initiative and provide feedback to both the learner and employer at each training/assessment visit. Records of this and any other contact, actions and outcomes will then be recorded by MTA NSW on the workplace visit form or if by phone or other electronic means the notes will be recorded in the learners “client offer journal” in JobReady for future reference.

Details of additional support required or provided will also be recorded on the workplace visit forms and transcribed into JobReady.

Should there be any issue relating to a learner which may reduce the likelihood of a successful outcome, the Training Officer will immediately address this with the employer; Skills Canberra will also be notified in writing within ten (10) working days of identification of an issue.

Responsibilities

It is the responsibility of the Compliance and Records Management Administrator to monitor the learners training contract currency.

It is the responsibility of the Training Officer to ensure the learner is receiving any required additional support and to ensure this is being accurately and fully recorded. The Training Officer is also responsible for recording any contact with the learner or employer for record keeping.

It is the responsibility of the Data Management Team to transcribe the contact records from the workplace visit form into JobReady.

It is the responsibility of the Training Officer to ensure the learner is receiving and undertaking the correct number of contract hours of training and to monitor their progress throughout this process and report to the employer and Senior Manager – Traineeship and Apprenticeship Delivery should there be an issue which may compromise the learner’s successful outcome.



It is the responsibility of the Senior Manager – Traineeship and Apprenticeship Delivery to report in writing to Skills Canberra, any issues which may compromise the learner achieving a successful outcome.

Assessment

Policy

MTA NSW will use assessment practices and tools to determine competence in a consistent manner and record all evidence to support the outcome awarded. Assessment methods will be reflect the information provided on the training plan.

MTA NSW will store master copies of all assessment tools of each unit of competence or cluster of units of competence, this will also include the mapping of the tool to the training package unit of competence.

Each learner will be issued their own set of assessment tools which MTA NSW will retain records of once completed.

MTA NSW will provide an up to date record of the learners assessment record against each unit of competence at any time.

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 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

MTA NSW will use standard assessment tools for each unit of competence for each learner including a workplace observation assessment to determine competence the selection of tools will be based on the information in the training plan. Assessment tools are signed and dated by the learner and Training Officer then collected for electronic recording by MTA NSW.

Training Officers will only use the following forms of acceptable evidence:

- 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.

MTA NSW will also utilise the Training Record Book to gain evidence of employer acknowledgement and approval of a learners competence at a unit of competence level and at a qualification level in the last section of the book. This will record date and signatures and a copy will be retained by MTA NSW.

Final assessment will be carried out prior to the end date of the training contract and when all parties agree competence in the qualification can be achieved.

Differences in opinion regarding assessment outcome which cannot be resolved through the MTA NSW Assessment Appeals process will be reported to Skills Canberra.

Master copies of the assessment tools are stored electronically in a folder which is locked to staff other than the Compliance Manager, Senior Manager – Traineeship and Apprenticeship Delivery and the Compliance and Records Management Administrator to ensure integrity and version control is maintained.

Copies of updated training plans will be provided to the learner and employer after each progress update, these can also be provided at any other time upon request.

Responsibilities

It is the responsibility of the Training Officer to issue assessment tools to learners and collect the completed and signed tools. It is also their responsibility to ensure the evidence collected is valid, current, sufficient and authentic.

It is the responsibility of the Senior Manager – Traineeship & Apprenticeship Delivery to communicate information on the forms of evidence to be collected and the rules of evidence as outlined in the MTA NSW RTO Policies and Procedures.

It is the responsibility of the data management team to accurately record this information electronically and update the training plans of the learners.

It is the responsibility of the Training Officer to gain employer sign off at the unit of competence and qualification level and obtain signatures and dates to support this.

It is the responsibility of the Training Officer to ensure final assessment takes place within the end date of the training contract and that the employer agrees an outcome of competence is likely prior to the assessment taking place.

It is the responsibility of the Compliance Manager to maintain the master copies of assessment tools and modify them in the case of continuous improvement and release them for use by the Training Officers.

It is the responsibility of the data management team to provide updated copies of training plans to employers and learners.

It is the responsibility of the Senior Manager – Traineeship and Apprenticeship Delivery to contact Skills Canberra should assessment outcome difference of opinion not be able to be resolved.

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 the VET Quality 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 regard 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Learner handbook, to the Senior Manager - Traineeship & Apprenticeship Delivery.



The Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery will appoint another Training Officer to re-assess the candidate.

If no satisfactory resolution is reached, then the Learner is supported to approach Skills Canberra 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 Senior Manager - Traineeship & Apprenticeship Delivery is responsible for informing the Training Officers during their induction of the assessment appeals policy and their responsibilities under the policy.

The Senior Manager - Traineeship & Apprenticeship Delivery is also responsible for recording all consultation in regards to the dispute, as well as appointing any other staff members, if they are not available, to resolve the matter.

The Senior Manager - Traineeship & Apprenticeship Delivery is also responsible for determining the outcome of the process, recording and informing the Learner of the results.

Completion

Policy

MTA NSW will report completion of learners to Skills Canberra through the completion reporting tool. Completion reports will be sent to Skills Canberra within the timeframes specified by the specific training initiative.

Procedure

Upon completion of training and assessment with a successful outcome the learner's paperwork will be processed and validated then forwarded for Certificate issuance. It is at this point that a completion report is generated and forwarded to Skills Canberra, this will be within eight (8) weeks of the date of completion of the qualification.

Responsibilities

It is the responsibility of the Training Officer to return all paperwork for processing and validation within ten (10) working days of completion. It is then the data management teams responsibility to record this information in JobReady and validate the learners file and forward to the Compliance and Records Management Administrator for certificate issuance.

It is the responsibility of the Compliance and Records Management Administrator to generate and forward a completion report for each learner to Skills Canberra.

Issuance of Qualifications or Statements of Attainment

Policy

MTA NSW will only issue AQF compliant Qualifications within thirty (30) days of the learner completing or Statements of Attainment for qualifications within thirty (30) days of withdrawal that are within its scope of registration. Qualifications for Apprentices will also be accompanied by a supporting statement so the employer is clear that the learner has been assessed as competent in the workplace to industry standard.

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

MTA NSW will notify Skills Canberra of completion of learners who also have outstanding fees even if the certificate will be held by MTA NSW until payment is received.

MTA NSW will retain copies of all certificates and Statements of Attainment issued.

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 housed within JobReady. This template is maintained by the Compliance Manager to meet the ASQA and AQF and Skills Canberra requirements. Skills Canberra requirements for Certificates include; the learners Australian Apprentice number, the wording; "achieved through an Australian Apprenticeship pathway". Skills Canberra requirements for Statements of Attainment will include the learners Australian Apprenticeship number and the wording; "Achieved through Australian Apprenticeship arrangements".

A supporting statement will also be issued with full qualifications using the supporting statement template provided by Skills Canberra.

All Qualifications or Statements of Attainment will be saved electronically within the JobReady database, 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's electronic signature will appear on all Qualifications and Statements of Attainment. This original document is then posted to the learner work address or other address as specified.

Responsibilities

It is the responsibility of the Compliance and Records Management Administrator 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 Manager to ensure that the templates used to print qualification or statements of attainment meet the requirements of ASQA, AQF, VET Quality Framework, Skills Canberra 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.

It is the responsibility of the Compliance and Records Management Administrator to issue and record and forward certificates, statements of attainment and supporting statements to employers or learners.

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 Manager with the completed resources and an improvement request. The Compliance 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 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.

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 Senior Manager - Traineeship & Apprenticeship Delivery is responsible for informing the Training Officers of their responsibilities in regard to validation during induction.

The Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager.

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

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, ACT Standards for Training Delivery, legislative and regulatory requirements.

The continuous improvement process identifies potential negative events or risks which are required to be mitigated or minimised 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 Senior Manager - Traineeship & Apprenticeship Delivery in conjunction with the Compliance Manager will carry out a review of its systems and processes to ensure compliance with VET Quality Framework, ACT Standards for Training Delivery, regulations and legislation.

The review process will be carried out on an annual cycle, with a least one component of MTA NSW reviewed each month. The order and areas for review are determined by the Compliance Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery 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
- ACT Standards for Training Delivery 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 Manager in conjunction with the Senior Manager - Traineeship & Apprenticeship Delivery 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 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 Records Management Administrator 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 Manager, as soon as possible, via completion of Improvement Request form.

If the improvement requires feedback/input from another staff member the Compliance 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 Senior Manager - Traineeship & Apprenticeship Delivery.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager.

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

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to authorise all improvements to any RTO documents/procedures.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery to ensure that the continuous improvement system meets the requirements of VET Quality Framework and that MTA NSW remains compliant to these requirements.

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 filename 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 of all documents.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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 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.

It is the responsibility of the Compliance and Records Management Administrator to add changes to the Continuous Improvement Database.

Working with Vulnerable People

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 Vulnerable People Registration Application and all potential applicants are to be advised that their employment is subject to the outcome of this application.

This means that the successful candidate must consent to undertaking a Working with Vulnerable People Registration Application.

The Senior Manager - Traineeship & Apprenticeship Delivery will facilitate the above action for all new employees, primarily working with children. The Compliance Manager will retain a copy of the employee's registration for records and auditing purposes.

Should the Working with Vulnerable People Registration Application result in a negative outcome potential applicant will be advised by the Senior Manager - Traineeship & Apprenticeship Delivery 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 Working with Vulnerable People Registration Application.

The Senior Manager - Traineeship & Apprenticeship Delivery will facilitate the above action for current staff and will record a copy of the employee's registration in a confidential file for record keeping and auditing purposes. **IMPORTANT NOTE:** If an employee fails to complete a registration application or returns a negative result, then their employment will be terminated immediately.

Responsibilities

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

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to clearly explain to all MTA NSW staff who work directly with children that they are to complete a Working with Vulnerable People registration application.

It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to have all potential employees complete and lodge a Working with Vulnerable People Registration Application form.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Records Management Administrator of this change. The Compliance and Records Management Administrator 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery and Training Officer regarding the change.

It is the responsibility of the current 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 current Training Officer is also responsible for advising the Compliance Manager of a change of Training Officer.

It is the responsibility of the Compliance and Records Management Administrator 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.

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 Act 2011
- Work Health and Safety Regulations 2011
- Workplace Compensation Act 1951
- Workers Compensation Regulation 2002

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

Senior Manager - Traineeship & Apprenticeship Delivery 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.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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 or Territory 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 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.

Tertiary and Training Education Act 2003

The purpose of this Act is to establish an accreditation and registration framework for vocational education and training and higher education, in particular by applying nationally agreed protocols and standards.

<http://www.legislation.act.gov.au/a/2003-36/current/pdf/2003-36.pdf>

Fair Work 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 1951

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.legislation.act.gov.au/a/1951-2/current/pdf/1951-2.pdf>

Workplace Privacy Act 2011

The main object of this Act is to regulate the collection and use of workplace surveillance information.

<http://www.legislation.act.gov.au/a/2011-4/current/pdf/2011-4.pdf>

Territory Records Act

The main purposes of this Act are:

- to encourage open and accountable government by ensuring that Territory records are made, managed and, if appropriate, preserved in accessible form; and
- to support the management and operation of Territory agencies; and
- to preserve Territory records for the benefit of present and future generations; and
- to ensure that public access to records is consistent with the principles of the Freedom of Information Act 1989.

<http://www.legislation.act.gov.au/a/2002-18/current/pdf/2002-18.pdf>

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>

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.

Discrimination Act 1991

The objects of this Act are:

- to eliminate, so far as possible, discrimination to which this Act applies in the areas of work, education, access to premises, the provision of goods, services, facilities and accommodation and the activities of clubs; and
- to eliminate, so far as possible, sexual harassment in those areas; and to promote recognition and acceptance within the community of the equality of men and women; and
- to promote recognition and acceptance within the community of the principle of equality of opportunity for all people.

<http://www.legislation.act.gov.au/a/1991-81/current/pdf/1991-81.pdf>

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.

Children and Young People Act 2008

The objects of this Act include:

- providing for, and promoting, the wellbeing, care and protection of children and young people in a way that—
 - (i) recognises their right to grow in a safe and stable environment; and
 - (ii) takes into account the responsibilities of parents, families, the community and the whole of government for them; and
- ensuring that children and young people are provided with a safe and nurturing environment by organisations and people who, directly or indirectly, provide for their wellbeing, care and protection; and
- preventing abuse and neglect of children and young people by providing whole of government assistance to children and young people, their parents and families, the community, and others who have responsibility for them; and
- ensuring that Aboriginal and Torres Strait Islander people are included and participate in—
 - (i) providing for, and promoting, the wellbeing, care and protection of Aboriginal and Torres Strait Islander children and young people; and
 - (ii) preventing the abuse and neglect of Aboriginal and Torres Strait Islander children and young people; and
 - (iii) rehabilitating and reintegrating Aboriginal and Torres Strait Islander young offenders; and
- ensuring that services provided by, or for, government for the wellbeing, care and protection of children and young people—
 - (i) are centred on the needs of children and young people; and
 - (ii) are informed by processes which engage children and young people, wherever possible, and take their views and wishes into account; and
 - (iii) foster and promote the health, education, developmental needs, spirituality, self respect, self-reliance and dignity of children and young people; and

(iv) respect the individual race, ethnicity, religion, disability, sexuality and culture of children and young people; and

- ensuring that young offenders—
 - (i) receive positive support and opportunities to become rehabilitated and reintegrated community members; and
 - (ii) share responsibility for rehabilitation and reintegration with their parents and families, the community and the government in partnership; and
- imposing standards that must be complied with for the delivery of services to children and young people; and
- ensuring the protection of children and young people in employment.

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 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 Senior Manager - Traineeship & Apprenticeship Delivery is responsible for informing staff upon induction of their responsibilities under the above listed legislation.

The Senior Manager - Traineeship & Apprenticeship Delivery is responsible for MTA NSW remaining compliant under all relevant legislation.

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 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.

Responsibilities



It is the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery 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.

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 Learner 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Skills Canberra and/or The National Training Complaints Hotline.

Responsibilities

The Senior Manager - Traineeship & Apprenticeship Delivery is responsible for informing the Training Officers during their induction of the client feedback/complaints policy and their responsibilities under the policy.

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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery is also responsible for determining the outcome of the process, recording and informing the Learner of the results.

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. (Including the TAELLN411 – Address adult language, literacy and numeracy skills unit of competence)
- 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.
- Be able to 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 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 Senior Manager - Traineeship & Apprenticeship Delivery or within training meetings.

If a staff member participates in further training and professional development they are to inform the Compliance 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 Manager to be stored with their updated skills matrix. See Staff Professional Development Policy for more information.

Responsibilities

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

The Senior Manager - Traineeship & Apprenticeship Delivery 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 Manager via email about any further participation in training and professional development activities.



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 Manager or the Senior Manager – Traineeship and Apprenticeship Delivery.

It is the responsibility of the Compliance 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 Senior Manager – Traineeship and Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery. Any sub-contracting arrangement will also comply with the conditions as stated in the current ACT Standards for Delivery of Training & ACT Standards Compliance Guide For Australian Apprenticeships training.

Procedure

MTA NSW will request evidence from any sub-contractor or partner demonstrating their capacity to comply with the current Skills Canberra Standards, their solvency including providing evidence of sound financial standing, that they have not had any ACT Funding Initiative 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 Skills Canberra.



Once this has been verified the Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery's office.

Responsibilities

The Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery 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 Senior Manager - Traineeship & Apprenticeship Delivery 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. A skills matrix must be supplied including certified copies of an certificates, statements of attainment or professional development attendance.

It is also the responsibility of the Senior Manager - Traineeship & Apprenticeship Delivery to ensure that appropriate reporting requirements are established with any third party contractor and these are monitored appropriately.

Pre-Apprenticeship Programs

Policy

MTA NSW is committed to involvement in the development of quality candidates for apprenticeships. As such MTA NSW regularly partners with other organisations to deliver 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 Group Training Organisations. Funding arrangements, 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.

Record keeping for these groups will follow VET Quality Framework requirements and requirements of the Skills Canberra and any specific funding initiative guidelines.

Responsibilities

The Senior Manager - Traineeship & Apprenticeship Delivery 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 learners a list of these learners to MTA NSW.

The Compliance and Records Management Administrator 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 Compliance and Records Management Administrator 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 enroll them 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.

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.