Em-Four Pty Ltd

POLICY MANUAL

Guidelines
for
Management, Administration
Trainers and Assessors
Consultants

Version 2
August 2003

Introduction

Welcome to Em-Four Pty Ltd
A Registered Training Organisation (RTO xxxxx)

This manual has been developed as a set of guidelines for management, administration, trainers and assessors. It explains the way we operate the education program, administration, finance and management of our business.

We have undertaken a lot of planning and work to see Em-Four established and intend to build the business to become recognised as a respected and expert provider of specialist regulatory training across Australia.

To achieve this goal, we run our business and education programs to meet the Australian Quality Training Framework (AQTF) - a set of standards against which we are inspected by auditors and continually measured. RTO approval has been granted by the Vocational Education Training Accreditation Board (VETAB) in New South Wales.

We keep up to date with government legislation which affects training in the Public Sector, Local Government, National Parks and Wildlife Service and other statutory authorities at both State and Federal levels.

Em- Four aims to support and enable employers to achieve goals for staff training and to meet legislative requirements in the workplace. These employees will gain a nationally recognised Australian qualification that reflects the unique skills required in each workplace through the Em-Four approach to customised training.

The manual emphasises the importance we place on taking care of our clients. We respect good teaching and strive for an informed and positive atmosphere in our courses. We make an effort for Participant s who will be treated with respect and equity.

Not all our policies, standard documents, forms and procedures are printed in this manual. We also place public documents on the website and some procedures are computer based or held in the course and assessment folders.

Staff should be aware of:

- *The Em-Four website*
- *The company overview*
- *The Commitment to Quality Customer Service*
- *The Code of Conduct for Consultants, Trainers and Assessors*
- *Course and assessment materials in the Training folders*
- *Relevant administration procedures and standard forms*

The Directors looks forward to working with our team, the Participant s, government and industry.
Thank you very much for your interest and please ask us if you have any questions about Em-Four Pty Ltd

Policy Manual Index

Em-Four Register of Documents and Locations

Import excel spreadsheet into this section – when finalized

Pages 4- 7

Management

Marketing and Operations

Operations – Staffing

Finance

Training and Assessment

Legislation

MANAGEMENT PLANNING
& IMPROVEMENT POLICY

PURPOSE

We have a planning process that suits the size of the business. It will :

- Involve management in **reviews** and updates of our **business goals**;
- Focus on the skills and development of the **key people, principally the Director s** in our business who will achieve these goals,
- Draw on the knowledge and experience of **the Director s** of the business and our customers - the **clients and staff** we work with,
- Include **external experts** when needed to advice on our plans for the training arm of our business .
- Our planning documents are commercial in-confidence and extracts are shown as deemed appropriate to staff/consultants.

THE PROCESS

Em-Four is a new business in a specialist training area. We are planning and improving in some form every day. Because we are a small training business we can respond quickly to new ideas and involve all staff in these activities. This is what we do :

- Develop a Business Plan for the year in advance;
- Review the Business Plan and business targets on a regular basis;
- Conduct an annual Organisational Self-Assessment linked to the quality standards for an RTO. (This is called the AQTF Internal Review);
- Monitor financial performance;
- Monitor client databases, course enrolments, outcomes and other statistics;
- Support trainers to make sure they are up to date with industry, legislation and minimum qualifications;
- Gather feedback from our customers and stakeholders throughout the year. This can be written evaluations, meetings, informal discussions and follow up on problems and complaints;
- Review the training packages, training resources, delivery methods and assessment processes to ensure we maintain quality and consistency in our training programs;
- Identify opportunities for growth and plan how we can build capabilities in our training and administration systems to respond to these opportunities.
- Participation in the VETAB External Review process as required.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

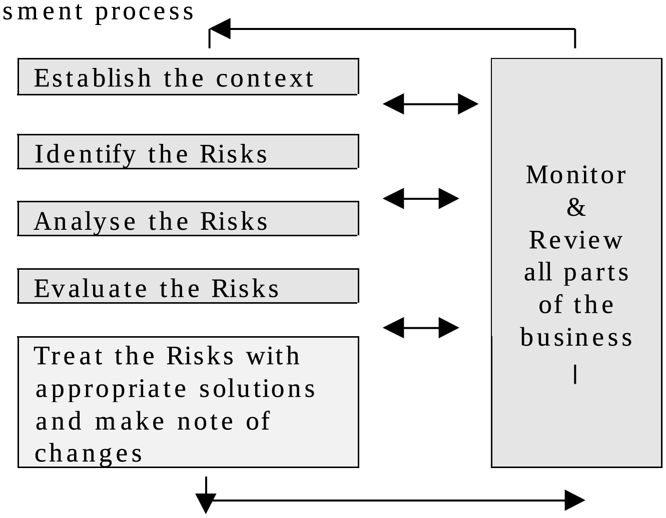
Business Plan
SWOT analysis and similar planning documents
Management and Directors meetings, emails, notes
Client meetings (see files) that will gradually grow as the business expands
AQTF standards and Annual Organisational Self- assessment Report
Course evaluations and complaints

RISK MANAGEMENT POLICY

PURPOSE

Em-Four is committed to meeting the standards set by ANTA under the Australian Quality Training Framework. We must also meet legislative requirements as a business.
Regular monitoring of our business and people against these standards will assess whether the business is meeting its obligations and has spread its business risks appropriately. Contingency and risk management will be a part of the planning and improvement processes that management considers according to our size of operations.

The risk assessment process



The training arm of the business will oversee an integrated approach by monitoring :

- assets and liabilities,
- protection of sub-contractors, employees, the public and visitors
- fees and income
- education standards
- Legislative and statutory requirements in our areas of specialisation
- administration and reporting processes
- Capacity building as the RTO expands into every State across Australia

When these elements are well managed, each plays a part in our viability.

THE PROCESS

- Finances will be monitored regularly to ensure that the business meets business targets, reporting requirements for government and legislative guidelines.

- Client statistics and Participant enrolments will be monitored

- Training delivery and assessment processes will be regularly reviewed to ensure legislative obligations and statutory requirements relating to government, compliance and law enforcement are met

- All staff including trainers will be provided with induction information on matters related to safety for themselves and their Participants. They will sign the Code of Conduct for Consultants.

- Alternate trainers and assessors will be available to ensure there is minimum disruption if the primary trainer is not available.

- Where appropriate our regular training sites in commercial premises and workplaces will be monitored for safety compliance. Safety issues that require follow up will be communicated to the owner of the premises

- An asset and equipment register will be maintained and equipment gradually purchased as required. The business will make provision for replacements in its budget.

- Our administration records and information technology systems will be maintained and backed up regularly.

- The business will ensure that it has all the insurance cover necessary to carry out its business such as workers compensation, public liability, professional indemnity, building and contents, computers, and motor vehicle insurance policies.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Business Plan
Management meetings, notes
Internal review – AQTF and other reports
Financial management policy
Fees policy
Asset register
Financial reports
Client records
Client reports
Course reviews course evaluations
Handling and follow up of client complaints and grievances
Staff matrix
Code of Conduct for Consultants

CUSTOMER & STAKEHOLDER FEEDBACK POLICY

PURPOSE

We recognise that feedback from clients, customers and stakeholders should be a part of our marketing and improvement plans.
Within its capacity, Em-Four will seek out feedback and talk to stakeholders bringing this information back to improve our training services.

PROCESS

After every Course

For all courses a written Evaluation form is given to participants. Feedback is collected by the Trainer. Changes and improvements are made where possible. Serious complaints are followed up by the Director.

Market Research

Where appropriate and cost effective we may carry out market research with clients and potential customers to gain feedback on our services and products across the whole business which includes site audits, equipment audits and staff training.

Performance Data on Client Satisfaction with Services and Courses

- Data will be analysed to measure results against business goals and education standards:
  - Participant outcomes and results
  - Appeals and grievances
  - Relevance of our services including training to industry needs and the work places we visit.

Industry and Vocational Training Networking

- Key staff will attend industry meetings, VET conferences and networks to ensure that the Training business 's curriculum and delivery is keeping pace with industry, government and legal requirements.

Records of grievances and complaints will be reviewed to ensure that they are fairly dealt with according to policy and procedure. Similar grievances from more than one staff member, employer /client or Participant will be further investigated by the Director as this may indicate an area for improvement. We will respond in the shortest possible time practicable.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Course evaluation forms
Audit results
Client records on file including notes regarding suggestions & requests, complaints and follow up action
Notes from meetings and industry, government, legal or VET conferences

FINANCIAL MANAGEMENT POLICY

PURPOSE

Em-Four will maintain its accounts and operations to ensure we are a viable business. We use the services of accounting professionals to ensure financial reports are submitted accurately and on time and meet taxation and company legislation. The business is aware of and will meet the AQTF standard required for financial records.

PROCESS

- The accounts will be set up and maintained in a computerised bookeeping system with assistance from the accountant appointed by Em-Four.

- Em-Four will engage the services of a certified practicing accountant (CPA) to ensure that financial reports are completed and an audited end of year financial report is submitted to the Department of Fair Trading.

- On request, these records will be made available to VETAB. They will be kept in a secure and safe location.

- Financial reports will be generated on a regular basis to monitor cash flow and the performance of the training business as part of the management of risk.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Annual financial report
Accountant’s letter/ credentials
Activity statements
Quotation, invoicing and receipt process
Reports from accounting system

FEES AND REFUND POLICY

PURPOSE

The business is aware of and will meet the AQTF standards regarding management of course income and enrolment fees. Our customers are primarily employers and they will have information about this policy before they sign off on the quotation for a course.

PROCESS

Accounts

- Fees and income for training courses are identified in our accounts.
- Most courses are invoiced and paid by the client at different stages up to the course completion.

Location and dissemination of fee and refund policy information

- The specific policies on all aspects of fees is explained in our quotations and the Commitment to Quality Customer Service and on the website.
- The Client/Participant Information on the website also includes the fee policy.
- This policy will be made clear to clients when we submit the quotation.
- We also use an enrolment form for some clients that contains fee and refund policy.

How to manage enquiries regarding charges for training

- We reserve the right to change policy regarding fees with due notice to clients.
- Consultants and teaching staff should refer questions about pricing to the administration and not attempt to answer queries directly to clients or Participants.
- If a client has explored all avenues of negotiation regarding the fee structure and is dissatisfied with the resolution of matters relating to training fees they have the right to take their concerns to a third party such as the Department of Fair Trading.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Quotation forms
Quality Customer Service standards
Website
Client/ Participant information on website
Payment and Receipting processes

DOCUMENT MANAGEMENT POLICY

PURPOSE

Em-Four will ensure that its record keeping procedures meet the requirements of the AQTF, are secure and preserve confidentiality of all personal information on clients, their employees and participant s.

THE PROCESS

Storage of records

Records, both documentary and computerised, will be securely stored for the length of time specified by Company and VETAB standards.
Documentary records will be kept neatly in the office and file cabinets and clearly identified when stored for archival purposes to facilitate later recognition and access.
Computer records will be backed up and stored securely away from the main office space.

Confidentiality of participant records and privacy laws

Every client has a file. The employee information and training history must be kept confidential in the main office and within these files. We will ensure that this is compliant with the Privacy Laws and will advise the clients of their rights on the Quotation, in the Commitment to Quality Customer Service and on our website. We will release information to the client/employer that has paid for the course. No individual's information will be included in marketing materials without prior permission.
After a reasonable period of years which will be determined as the business grows, the participant files will be archived.

Training Packages and curriculum register and version control

The delegated Director is responsible for ensuring that staff use current versions of teaching and assessment materials. An up-to-date register of course documents and learning/assessment materials with the version number and/or amendment status will be maintained.

Version Control

The key documents related to the scope of registration as listed below are subject to Version Control with filename and version date, clearly identified.

- Policies
- Procedures
- Course manuals and Assessment tools including logbooks
- Business Plan
- The Commitment to Quality Customer Service and Client/ Participant Information brochure
- Standard administration forms

These version numbers will be shown on the website, where appropriate.

Training Staff Records

Em-Four does not employ a large number of trainers. Staff and consultant files with certified copies of qualifications will be kept up to date and secure in the main office.

General Administration Records
All other information received or sent by the organisation will be filed in the main office or in electronic format on computer. All documents are filed and named according to our current simplified document filing and naming system. This will change as the RTO grows.

Document Control
Official correspondence will use the letterhead or fax template with standard header and footer. All marketing documents must be approved by the Directors before release.

Archiving and Storage Media
Participant s results are kept for two years in the office then archived according to client/employer records. Individual participant details are collected on the central database and can be tracked back through client/employer files.
Financial accounts and receipts are archived for 7 years as required by the ATO.

Detailed records of national qualifications issued by the RTO will be kept on the computer records plus a hard copy to meet AQTF standards. Retrieval will be set up for a possible 30 years.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

See the Register of Documents for fuller details
Participant Administration Procedure flow chart
Participant Administration Policy
Compliance with Legislation and the AQTF Policy
Financial Management Policy
Website
Enrolment form including privacy statement

PARTICIPANT ADMINISTRATION POLICY

PURPOSE

Em-Four has a systematic process for handling administration in the various stages that a client has contact with the company. The standards we set will meet the AQTF standards for administration of training plus legislative requirements for training in compliance and law enforcement.

THE PROCESS

The client enquiry, quotation and confirmation stage:

- Staff will talk with and supply prospective clients with information that may include :
  - The company profile
  - A verbal then written quotation
  - The Commitment to Quality Customer Service
  - Reference to the Em-Four website
  - A confirmation of training letter
  - A employee nomination form
- Detailed questions will be referred to a Director with expertise in this area.
- Returned signed quotations and the employee nomination form will be entered into the client file. An invoice will be sent at the appropriate date depending on each client agreement.

The course induction and commencement stage:

- Once a course is confirmed, the staff will prepare a folder for each course. This may include :
  - Details of the training schedule
  - Access to the Commitment to Quality Customer Service and Client/Participant Information brochure on the website
  - Additional course information depending on the course requirements
  - Attendance sign on sheet
  - Individual enrolment form
  - The course workbook
  - Workplace Practice logbooks

At course commencement, the trainer will confirm all paperwork is in place and the Participant s understand their rights and responsibilities in the course. The participant enrolment forms will be collected and entered into the central database.

Course progress stage 1 Off the job training :

Once the face-to-face course has been conducted the administration staff will ensure that :

- Check that individual participants are set up in the enrolment database
- Assessment results entered as submitted by the trainer/ assessor (stage 1 or 2)
- Payment of the course will be checked against the financial data
- Where the course has been paid and participant s have completed, staff will move to the issuing of certification stage

Client report at the end of off the job training:
The trainer /consultant will complete a standard report to be sent to the client/employer within 2 weeks following course completion which includes:

- A completion of course letter with additional follow up comments and recommendations regarding training and compliance issue for the particular workplace (if appropriate)
- Course attendance records
- Course assessment results
- Workplace practice logbooks which will be completed by the employees with supervisor sign off according to instructions
- Course evaluations, participant feedback, complaints etc in appropriate files

Course progress stage 2 : Completion of second stage training or workplace on the job training :
Some courses will have a second stage training and/or assessment. Where this is completed the administration staff will ensure that :

- Individual participant records are updated in the enrolment database
- Assessment results entered as submitted by the trainer/ assessor
- Payment of the course stage 2 will be checked against the financial data
- Where the course has been paid and participants have completed stage 2 , staff will enter results.

Course completion and issuing of certificates or statements of attainment:
The Administration staff has responsibility for preparing certificates.
Administration staff will update client files with a copy of results then enter completion into the central participant database.
Certificates will be posted out to the client/employer for distribution to the employees according to each workplace's preferences.
Staff, when invited may attend graduation ceremonies for employees

Reports for external authorities:
The administration staff will ensure that the databases and Participant files are kept to standards required by VETAB.
Where necessary, staff will produce reports for government funded training, for auditing and other external authorities.
Archiving will be done in accordance with the document management policy.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

See all the forms in the administration section of our document register including :
Client database /finance reports
Quotation letter
Confirmation of training letter
Employee nomination form
Client files
Attendance records
Assessment result records
Participant enrolment/tracking database
Client Course report
Document management policy
Issuing of qualifications policy
Certificates- Statements of Attainment

PARTICIPANT INFORMATION POLICY

PURPOSE

Em-Four will have a website, company marketing materials and a quotation process that set out details of the courses, fees and the terms and conditions of enrolment. This material will use VETAB and the Nationally Recognised Training (NRT) logos as laid down in the AQTF standards and detailed in VETAB guidelines.

Selection

Prior to employee nomination, this information will be provided to clients, accessed on the website and discussed by phone or in person. The Commitment to Quality Customer Service standards will be available for clients, their employees and participant s to read as part of our commitment to explain the rights and responsibilities. The website contains all other information to be accessed at any time.

PROCESS

*** Code –Q- Quotation, E= Enrolment form, F= Fees, W= Website, C= Quality Customer Service standards, I = Client/Participant information(on website) , O=Course flyers, L-Confirmation letter Ind – Course induction checklist**

Area required by VETAB	**How we do this – our documents and evidence**
Information about Em-Four and its staff	W C O
Course information, including content and vocational outcomes	W Q O Ind
Fees and charges, including refund policy	W C Q I F
Participant selection, enrolment and induction/orientation procedures	W C Q Nomination form I L O Ind
The training delivery and timetable including - Attendance requirements, learning and assessment processes	W C Q I O L Ind
Recognition of Prior Learning (RPL) arrangements	W C RPL form Ind
Provision for language, literacy and numeracy assessment and client support, including any external support the RTO has arranged for clients, the access and equity policy and welfare services	W C O Ind
Assessment appeals, complaints and grievance procedures	W C Ind
Employment or pathways to further study and guidance services	W O Ind
The rules of the Training business including disciplinary procedures	W Q Ind

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

See table above

ACCESS AND EQUITY POLICY

PURPOSE

Em-Four will endeavour at all times to provide an environment where access to and progress in courses is not limited by age, gender, national or ethnic background, or physical or intellectual disability. We are aware of our obligations under anti-discrimination legislation and the standards required under the AQTF.

THE PROCESS

- Staff will be provided with a copy of the Commitment to Quality Customer Service standards, Code of Conduct for Consultants and this Policy Manual including the Access and Equity policy as part of their induction.
- Teaching staff are responsible for ensuring that access and equity guidelines as specified in Training Packages are implemented in their teaching practices. They will have a range of delivery and assessment tools to provide flexible and fair training and assessment.
- The progress of all participant s will be monitored by the trainer. We offer courses that are work based and can be delivered and assessed in a range of methods to suit learning styles. Referrals to appropriate support may be possible where literacy, language or numeracy is a barrier to participant progress. We will liaise with the employer is there is an equity issue that is severely hindering a participant s progress.
- Where an incident involving discrimination occurs during a course, it will be reported to the Director then noted in the Course Report if not resolved. A Director will discuss the matter and resolve the issue internally with the people involved. If the staff member or participant involved is not satisfied, they will refer to the RTO’s policies and processes such as summarized in the information on the website , request relevant forms and work through the RTO’s process for complaint handling internally then to a third party if not satisfied.
- The Client/Participant Information has a step by step process that should be followed.
- The location of forms and relevant legislation will be kept by the administration
- The Director will monitor the need for professional development concerning access and equity and will provide staff with appropriate training, as needed.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Commitment to Quality Customer Service standards
Code of Conduct for Consultants
Participant Information on the website
Website
Staff induction checklists
Relevant sections of Training Packages
Training and Assessment folders
Forms related to complaints and grievances
Course Report template

MARKETING MATERIALS
AND ISSUING OF QUALIFICATIONS POLICY

PURPOSE

As a Registered Training Organisation issuing nationally recognised qualifications, Em-Four is aware of its obligations under the AQTF standards.
To keep up to date in this area, the Director will regularly view the VETAB website making note of updated advice in these matters as part of the internal review exercises.

THE PROCESS

- The certificates and Statements of Attainment will be updated to meet guidelines as advised by ANTA and VETAB.

- A file will be kept in the main office with printouts from the VETAB website which shows examples of how qualifications and marketing material must be set out and when and where logos can be used.

- The Director will regularly view the VETAB web site making note of updated advice in these matters as part of the internal review exercises.

- A Qualifications template will be kept by the Administration staff who will be the only persons to prepare certificates. Certificates will be signed by the nominated Director.

- Certificates issued by Em-Four will be numbered and recorded in the participant database for tracking purposes.

- As a matter of course, the marketing material will be reviewed twice a year. No new material can be used without authorization from the Directors.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Commitment to Quality Customer Service standards
Code of Conduct for Consultants
Marketing materials
Client/Participant Information on the website
Qualifications samples and templates
VETAB web site and VETAB advertising and logo files
AQF Implementation guide

COURSE PLANNING AND DELIVERY POLICY

PURPOSE

Em-Four is committed to providing quality customised training and assessment services. We recognise that good planning of courses is necessary for a successful business and a requirement of an RTO under the AQTF.

PROCESS

· **Target groups**

People enrolling in Em-Four courses are a cross section of ages and backgrounds. Most are employees who have a strong interest in gaining certification for their workplace. They will be recommended by the employer and may have to meet minimum entry requirements.

· **Course delivery and assessment strategy – general**

Courses can be offered through employers in every State of Australia in a number of formats. Each course is customised for that workplace and involves extensive consultation with the industry/employer. Strategies for delivery include:

1. Classroom based training held at employer venues or commercial training centres
2. A mix of classroom and on the job training including Workplace Practice logbooks
3. Combination training that includes recognition processes for existing experienced employees

· **Course delivery and assessment strategy - details**

Em-Four delivers one qualification from the Public Service Training Package and units of competency from the Public Safety Training Package.

Every course is customised for a particular workplace or client in three broad areas –

1. **State government departments and authorities**
2. **Local government and**
3. **Private companies and instrumentalities.**

A training delivery and assessment plan exists for the broad categories of courses for these organisations as listed below :

- **Parking Officers and Rangers**
- **Emergency Management Officers**
- **Specialist Interviewers**
- **Enforcement Officers (excluding sworn police officers and security officers)**
- **Special Constables**

These plans have been developed using ANTA templates and will be available to staff and VETAB at any time. Consultants, trainers and assessors will deliver according to these plans which provide details to session plan level.

- **Teaching and assessment staff have access to training delivery and assessment documents**

These Course Training and Assessment Plans form the core of our resource materials. Consultants, trainers and assessor will have access to these resources and are encouraged to share and discuss the materials with management and other staff when possible. As we are a small business, this exchange and professional development is possible.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

ANTA Training Delivery Strategy documents and templates
ANTA Training Package Assessment materials Project documents and templates
PSTA and PUA Assessment guidelines and customization guidelines
Em-Four Training delivery plans and assessment plans
Sessions plans and timetables / programs
Sample customised course manuals
Em-Four Teaching and Assessment Resources related to these courses
Standard forms for training and assessment – see the document register

ASSESSMENT POLICY

PURPOSE

The aim of this document is to outline the broad assessment policy and provide guidelines for all assessors to effectively and objectively assess Participant s enrolled in Em-Four courses. It is expected that assessors will conduct assessment in accordance with standards set by the Workplace Training and Assessment Training Package plus the evidence guides in the relevant industry packages that we are using.

Details of specific assessment processes are contained in the Course folders and related documents in the bookcase in the main office.

This policy outlines:

- Assessor qualifications
- Assessor responsibilities
- Assessment planning
- Assessment procedure
- Further learning and development
- Appeals and grievance procedure
- Assessment quality

THE PROCESSES TO SUPPORT QUALITY ASSESSMENT

Assessor qualifications

Staff conducting assessments must have a minimum qualification as set out in the AQTF standard 7, the Em-Four staffing policy and duty statements:

- Certificate IV in Assessment and Workplace Training (BSZ40198)

or

- 3 units from the above qualification - Plan, Conduct and Review Assessment (BSZ401, BSZ402, BSZ403)

and

- Experience and qualifications in the subject matter being assessed.

Assessor responsibilities

The assessor is responsible for:

- Undertaking assessment in accordance with National Assessor Standards.
- Making the competency assessment decision, competent (C) or not yet competent (NYC).
- Discussing learning and development needs.
- Maintaining accurate assessment records and submitting results as directed
- Maintaining confidentiality

Assessment procedure in off the job courses

The Assessor should follow the following procedures:

- The Assessor will explain the assessment requirements prior to commencing the course.

- The Assessor should make the participant as relaxed as possible.
  The Assessor should employ flexibility in assessment methods as is appropriate given the needs of the participant and the requirements of the qualification as set out in the curriculum. Adjustment for language, literacy, numeracy and other equity considerations should be taken in to account.

- Review the evidence and provide the participant with on-going feedback during the assessment so that the participant is fully informed as to the progress of the assessment.

- At the end of the assessment the assessor should discuss and agree with participant any learning and development needs that have been identified.

- Make the assessment decision of competent or not yet competent.

- Record the assessment decision on the Assessment Results form. There are various results forms that will be signed and dated by both the Assessor and the participant , where practicable.

- The results will be entered into the files. The outcome will be forwarded according to the student administration policy and processes.

Assessment procedure in work place assessment using the Em-Four log books

Some courses will be introducing workplace log books as part of a stage 2 delivery and assessment strategy.

Where the logs books are used :

- The participant will work with his/her employer to identify the supervisor most suited to support the learning.

- Em-Four will provide information for the workplace supervisor on is/her role and responsibilities

- Em-Four will be in contact with the supervisor (with employer consent) and the participants to monitor progress. If appropriate a workplace visit will be organised.

- Participants will nominate for the stage 2 of their course when the workbook has been satisfactorily completed.

- The completed workbook will be returned to Em-Four and examined and signed off by the Em- Four assessor as part of stage 2 training.

- Further simulated assessments may take place to validate the work based activities.

Appeals and grievance procedure

This policy is outlined elsewhere in this manual in :

The Commitment to Quality Customer Service standards
The Client/Participant Information
The Assessment Appeals policy
The Grievance policy

Assessment quality and consistency – validation

To meet the requirements of the AQFT in assessment, the RTO will ensure a series of validation processes are established :

- We will use National Training Packages

- We will develop central teaching and assessment resources that are used by all trainers and consultants across the business. These may vary from State to State reflecting different legislation and regulatory laws. These are materials that have been developed by industry experts.

- We have a feedback and course evaluation process in place for all courses. This process includes information on assessment which will feed into teaching staff's individual course and assessment reviews

- Evaluations and an annual meeting with the Director and key teaching staff will form the annual course review. This may include moderation exercises where appropriate. We will undertake this process at least annually as a requirement of the AQTF standard 8.

- The Director and key teaching staff will keep up to date on VET issues related to the business and its specialist courses through attending conferences and through email lists from the ANTA, ITAB's and VETAB.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Same as for the training delivery policy

Code of Conduct for Consultants

Training and assessment materials

Appeal form

Client/Participant Information– appeals process

Standard forms for training and assessment – see the document register

RECOGNITION OF PRIOR LEARNING AND MUTUAL RECOGNITION (RTO Qualifications) POLICY

PURPOSE

Em-Four undertakes to make a Recognition of Prior Learning process available within the constraints of law enforcement and statutory legislation and other external requirements that have a significant impact on the design and assessment of our specialized courses.

PROCESS

- Recognition of Prior Learning will be made available in pre-course information and interviews with clients and on the website. The RPL Application form has a step by step process to be followed.
- The Commitment to Quality Customer Service standards will include recognition processes and mutual obligation policy.
- Mutual obligation will be explained in further detail on the website.
- Possible credit or "fast tracking" through modules will be investigated if the Em-Four Assessor judges the evidence as current, authentic and valid (meeting the course requirements). It is possible that the participant can move straight into the compulsory assessments. This would be discussed with the client/employer who has nominated the participant to do the Em-Four course. Internal client organisation issues will be considered in each case.
- Recognition of prior learning assessment must be conducted by:
  - a qualified Workplace Assessor with suitable subject matter experience, or
  - by a subject matter specialist under the supervision of a qualified Workplace Assessor
- All training staff will be provided with a copy of the Recognition of Prior Learning Policy and the RPL Application forms which shows the step by step process to follow with candidates.
- The Director will monitor the need for professional development concerning recognition of prior learning and will provide staff with appropriate training, as needed.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

The Commitment to Quality Customer Service standards
Website information on mutual recognition
Client/Participant Information on the website
RPL application form
Client files will demonstrate negotiation of these applications as the RTO business grows.

LANGUAGE, LITERACY and NUMERACY POLICY

PURPOSE
Em-Four will provide a stimulating vocational training environment with training delivered in a range of modes that reflect a workplace. A variety of assessment tools will be used that can collect evidence both written and aural, through observation, demonstration and questioning that does not rely exclusively on either language, literacy and numeracy skills or go beyond the minimum requirements for the course.

PROCESS
- Em-Four courses can be delivered in a number of formats at a pace to suit the Participants. This built in flexibility will accommodate most participants including those with particular language, literacy and numeracy needs.

- Specific processes for addressing language, literacy and numeracy considerations are outlined in the Access and Equity Policy, documented in the Training Delivery and Assessment policy and sample training manuals.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES
The Commitment to Quality Customer Service
Client/Participant Information
Website
Training and assessment materials that accommodate language barriers

COMPLAINTS AND GRIEVANCE POLICY

PURPOSE

Em-Four recognises that staff, clients and participants will occasionally have a grievance concerning the operations and its education and training program or the performance of a consultant. To sustain our commitments to quality customer service, the code of conduct for consultants and to be responsive to feedback we require a process to address such circumstances. We recognise that this is a requirement of legislation named elsewhere in the policy manual.
Staff grievances are dealt with under the human resources policy.
Participant grievance processes are set out below. This process will be clearly understood by all staff and covered in the induction process.

PROCESS

In the event that a participant has a problem or complaint concerning a consultant or the delivery or assessment of a course, or some other matter related to professional standards in our business the following procedure applies:

- Discuss the matter with the teacher/assessor.
- If the matter is unresolved, complete the complaints form that will be considered by the nominated Director.
- The matter will be investigated and notes of the outcome will be provided to the participant /staff member or complainant.
- If the matter continues to be unresolved, then the nominated Director will consult with the other Directors of the Company and they can nominate an independent arbitrator to examine the matter.
- If the matter is unresolved, then the complainant should take the matter to the NSW Department of Fair Trading.
- Complaints relating to some matters can be made through VETAB.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

The Commitment to Quality Customer Service
Code of Conduct for Consultants
Client/Participant Information
Website
Complaints form
Complaints action form
Participant files and management notes of follow up on matters

PARTICIPANT DISCIPLINE & WELFARE POLICY

PURPOSE

Em-Four will endeavour to support its participants to achieve a satisfactory course outcome. As we run work-based courses for employees it is not appropriate to build in a counselling service. We do not have the staff to provide internal guidance or support services but can refer participants on if appropriate. Again, we see such support as an important part of our customer service and professional standards. We recognise that responding to some forms of inappropriate behaviour such as physical, sexual or verbal harassment of other participants or the trainer is not just good classroom management but a requirement of legislation named elsewhere in the policy manual.

PROCESS

Employer responsibilities. Most of the participants attending our courses are employees recommended by the client. We would refer welfare and general discipline matters relating to attendance and behaviour towards others during a course back to the employer with the participants consent.

Education. Counselling on course progress and further training or career paths will be the responsibility of the teaching staff who come from industry and can offer informal advice only.

Welfare. For non-academic counselling the participant will be referred to an appropriate agency.

Discipline Teaching staff will anticipate a range of behaviours during the conduct of a course and will use practical strategies and classroom management techniques to ensure that one participant does not disrupt the group to the point where learning is prejudiced.
Where the offending participant is considered to be excessively disruptive to the class there will be a series of warnings and counselling at breaks to attempt to resolve matters.
Should the behaviour continue, the matter will be referred to the Director and followed up by a course report.
If the situation cannot be resolved, the employer will be notified of the behaviour and the participant will be asked to leave the course.
Follow up action may be warranted and the complaints policy will be followed.

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

The Commitment to Quality Customer Service
Code of Conduct for Consultants
Client/Participant Information
Website
Course Reports
Informal notes on support for participant in client files

STAFFING POLICY

PURPOSE

Em-Four is aware of its responsibilities as an employer to meet legislative requirements when employing staff. The business will employ competent teaching staff as set out in the AQTF standards.

THE PROCESS

Recruitment

Staff will be recruited upon the agreement of the Directors through our networks and industry contacts and via our website. As the business grows, we may advertise for staff and contractors, we may use a third party agency or referrals.

Minimum qualifications

Administration staff will need to be flexible, multi-skilled and good communicators. They will be working with a wide cross section of clients and must put our supportive, access policies into practice in their daily work.

Training and assessment staff and consultants must have the required industry qualifications and experience as well as experience in consulting, adult learning, training and/ or management. These specific qualifications required of trainers and assessors are in appropriate training packages and VETAB AQTF requirements.

Training staff with the Certificate IV in Assessment and Workplace Training will be preferred. Staff conducting assessments only will be required to have minimum assessment qualifications as set out in the assessment policy and the AQTF standards (Standard 7 Competence of staff)

We may at times employ teaching staff with specialist expertise and these trainers will be under direct supervision of a manager who has the appropriate qualifications and the Certificate IV in Assessment and Workplace Training (or its equivalent).

We also may use the services of people on a sub contractor basis. Again – the recruitment and selection process and criteria are similar however, in this case a sub-contractor an agreement on provision of specific services is signed.

Selection

Applications will be culled using a checklist that outlines skills required for the job and rates relevant experience to the position. When we advertise we expect to get a larger number of applications. We will cull to a short list. All other applicants should receive a written or verbal acknowledgement for their application.

At interview we will inform potential employees /contractors of the timeframe for our decision making. Once a decision has been reached the first preferred candidate will be contacted and asked to agree to the standards and conditions of employment.
If the first preferred candidate is unable to accept the position we will offer the position to the next preferred candidate and so on.
Once the position has been filled we will inform the short list of applicants of the outcome.
It may occur that through the interview process we may not find an applicant of the high caliber required. In that case we will recommence recruitment processes.

Contracts

We will provide a contract of employment. Employment conditions reflect legislative requirements and standards. Normal performance management processes will be specified in the contract including a three month trail period for new staff. Staff not performing to agreed standards will be counselled.

Sub contractors will also have a written contract as part of our management process. The contract will vary according to specific services.

Code of Conduct for Consultants and Trainers and Assessors

In addition to the contract and prior to induction, new teaching staff will be provided with a copy of the code of conduct. This outlines specific guidelines for professional performance as a representative of the business, plus the legislation and vocational training information that all consultants must be aware of and follow through in their professional practice. This will be signed b every consultant, trainer and assessor.

Staff induction

Each employee will be provided with a copy of the Em-Four Policy Manual and be inducted using the Induction Checklist. We can offer a personalized induction by management. Staff are required to sign off on the induction process.

Staff development

All employees will have a review of their staff development needs. This will be carried out formally on an annual basis. Staff development needs will also be identified on an as needed basis.

The staff development planning will be carried out by The Director jointly with the staff member. Others may be involved if appropriate.

A written record of staff development needs identified and actions to be taken will be kept in the employee's file.

Development activities may include, but are not limited to:

Mentoring
Coaching
Reading journals, books and web site materials
Attendance at meetings
Seminars
Training
Team teaching etc

Communication with staff

Communication with staff is very important in a customer focused business. While the business is small, we use an informal open door policy. As we expand staffing numbers we may have :

- Regular staff meetings or phone hooks ups between States
- Yearly performance reviews and staff development plans
- Management meetings
- Management open door policy – consultation at any time

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Code of Conduct for Consultants and Trainers and Assessors
Position descriptions
Employment contracts
Induction checklist
Staff/ Contractor Legislative requirements form
Staff resumes on file
Informal feedback and notes on staff development activity

POLICY on COMPLIANCE WITH LEGISLATION and THE AUSTRALIAN QUALITY TRAINING FRAMEWORK

PURPOSE

Legislation

Em-Four undertakes to identify and comply with relevant legislation.

Occupational heath and safety law

Occupational health and safety is a broad area of the law which may be divided into three areas:
Common law rules - laws made by the courts - such as negligence, trespass and defamation that are applicable throughout Australia and detailed in

- National Occupational Health and Safety Commission Act 1985.

State laws deal with occupational health and safety issues generally and also with particular industries, work processes and equipment. These laws generally take the form of a series of rules and penalties. State worker's compensation legislation that protects employees in the case of on-the-job injuries

- NSW Occupational Health and Safety Act – 2000
- NSW Occupational Health and Safety Regulation – 2001

Anti-discrimination and equal opportunity laws

Covers areas such as racial vilification, disability discrimination workplace harassment, victimisation and bullying

- The NSW Anti Discrimination Act 1977
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Disability Discrimination Act 1992
- Privacy laws

Vocational education and training legislation

Fundamental to the training system are **Commonwealth laws** such as:

- the Australian National Training Authority Act 1992,

(which established the functions and powers of the Australian National Training Authority)

- the Vocational Education and Training Funding Act 1992

(which sets out the funding of vocational education and training in Australia).

- the Workplace Relations Act 1996

(that provides for awards, certified agreements and Australian Workplace Agreements.)

The Vocational Education and Training Accreditation (VETA) Act 1990

For legislation go to the website for the Australasian Legal Information Institute (AustLII) www.austLII.com.au

Standards under the AQTF

We undertake to meet the standards for registered training organisations under the AQTF, to review our processes and services regularly and to keep staff and participants informed and involved in this review process where relevant to their roles and participation.

- Australian Quality Training Framework 2001 Standards and Evidence Guide (ANTA)
- Australian Quality Framework Implementation Guide – for courses and qualifications
- Training Packages @Work Back 2 Basics 2003 (DET)

THE PROCESS

Information concerning the above legislation and RTO standards will be disseminated as follows:

- Staff will be provided with a copy of this policy manual
- Teaching staff and consultants will sign the Code of Conduct for Consultants
- All staff will complete and sign the Staff Induction Checklist (Parts 1 & 2)

This ensures their understanding of our operation in accordance with legislative requirements. Both signed documents are kept on personal files.

- Staff will be advised of further information on the Em-Four website
- They will have involvement in reviews that affect their roles
- Staff will be encouraged to bookmark or add their names to websites that affect their work and professional development

- Clients and course participant s will be advised of legislation, VET standards and feedback opportunities that significantly affects their participation in vocational education and training through the website, discussions and the course induction process.
- More detailed information, such as copies of relevant legislation, regulations and guidelines will be kept either on file or bookmarked as a website. This information will be made available to staff upon request.
- The Directors will monitor the need for professional development concerning legislation and AQTF standards and will provide staff with appropriate training, as needed.

For more details of legislation go to the following websites and follow the links :

www.training.com.au
www.anta.gov.au
www.vetab.nsw.edu.au
www.ntis.gov.au
www.aqf.edu.au

RELATED DOCUMENTS AND EVIDENCE OF OUR PROCESSES

Commitment to Quality Customer Service
Code of Conduct for Consultants and Trainers and Assessors
Website
AQTF and AQF documents
Course Induction checklist
Staff Induction checklist
Management notes and reviews of policy manual and course materials related to legislative updates – these will be come available as the RTO commences operations.

OH&S in TRAINING AREAS

The following processes are particularly relevant to Training Staff and should be followed when you set up in a new training venue. If a risk is present it should be reported to the Administration of that venue and back to our office if serious.

LEADS
Beware of telephones and electrical leads lying across the floor. In training rooms all leads should be taped securely. Leads should be taped across the horizontal length of the lead and not just secured at regular intervals.
If leads are a problem you should suggest different furniture layout that might resolve the problem.

REGULAR BREAKS
It is our policy to provide our training participants with regular breaks during training sessions. Mandatory breaks are for morning tea, lunch and afternoon tea. It is recommended that at the trainer's discretion that they initiate hourly stretch breaks as required.

FRESH AIR Trainers are recommended to tell participants that they take full advantage of lunch breaks to walk and get some fresh air.

WATER All participants are to have access to fresh drinking water.

CHAIRS
To be checked for safety. Participant will be instructed to adjust chairs to correct height if possible. Any chairs not in use should be removed from the training room or stacked safely and appropriately in corner of room.

ROOM SETUP
All at times participants should be able to clearly see visual aids. Room will be set up safely with adequate walkways.

STAIRWELLS and FIRE EXITS and TOILETS
Make sure you, as the trainer knows where to find stairwells and exits and the toilet facilities. Instruct participants re location and emergency exits at the course commencement.

TRANSPORTATION OF EQUIPMENT
Folders/ manuals: the trainer may be responsible to set up training room and carry any training manuals. Do not carry too many at one time.
Where possible use trolley and wheels as provided.
Where other aids and resources are required be aware of OH&S requirements and get assistance.

FIRST AID AND ACCIDENTS
Staff should know where the First Aid kit is kept and provide the kit to Participant s for minor injuries. Unless trained in First Aid, unqualified staff should not administer assistance.