

RTO Policy and Procedure Manual

2024 V1	RTO Policy and Procedure Manual	
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GOVERNANCE AND MANAGEMENT POLICY AND PROCEDURE

Applies to all directors, CEO, senior managers, executives and decision

SCOPE

Makers of the Registered Training Organization (RTO).

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that it has adequate governance arrangements in place at all times and will comply with the VET Quality Framework and all other legislative requirements.

All directors or senior managers including CEO of LIBERTY INSTITUTE OF HEALTH AND EDUCATION are required to complete a Fit and Proper Persons Declaration and follow the RTO's process for ongoing verification of their status.

We will ensure that everyone involved in LIBERTY INSTITUTE OF HEALTH AND EDUCATION is aware of and works within the standards of the VET Quality Framework. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that the scope of registration remains current and accurately reflects the courses that the RTO is authorised to deliver.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION uses a streamlined approach to the management of the Registered Training Organisation (RTO) with a strong focus on business outcomes and customer satisfaction. All staff will be required to comply with all policies, procedures, practices and instructions outlined in the policies and procedures of the RTO, and with any lawful and reasonable instructions issued from time to time in amplification or in support of the policies.

Acceptance of the organisation's policies and procedures will be a prerequisite of participating in an instructional capacity or as an employee.

A risk assessment strategy and implementation plan relating to all aspects of operations including financial risk will be audited/ evaluated at least annually. The audit/ evaluation process includes an internal audit reviewing the organisation's compliance status.

The corporate governance checklist, the internal audit process and audit instrument will be used specifically to conduct governance and compliance audits against the VET Quality Framework standards for training and assessment, recruitment of staff, internal policies and procedures, and all training and assessment tools and processes. A copy of the audit instrument will be provided to all staff involved in the audit prior to the audit commencement dates.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will submit an annual declaration on compliance with the Standards for Registered Training Organizations 2015 to declare that the RTO currently:

- meets the requirements of the Standards across all its scope of registration and
- has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months, and
- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with a system of corporate governance.
- Ensure the RTO complies with the Standards for Registered Training Organisations 2015: Standards: 1.26, 1.27, 2.1 - 2.4, 3.4, 7.1-7.5, 8.1-8.6

PRINCIPLES AND DEFINITIONS

Australian Standard AS8000-2003: Good Governance Principles defines corporate governance as 'a system by which entities are directed and controlled.'

A clear statement of corporate governance principles helps our organisation to identify key functions and roles. Our system of corporate governance will recognise the following principles:

- Accountability: this means senior managers are answerable for decisions and develop meaningful mechanisms to ensure adherence to all applicable standards.
- Transparency/openness: we will develop clear roles and responsibilities and clear procedures for decision-making and the exercise of power.
- Integrity: we will act impartially, ethically and in the interests of the organisation, and not misuse information acquired through a position of trust.
- Stewardship: using every opportunity to enhance the value and assets of the organisation and to maintain financial viability.
- Leadership: leadership from the top is critical to achieving organisation-wide commitment to good governance and therefore

- all senior managers will lead by example.
- Efficiency: we will ensure the best use of resources to further the aims of the organisation, with a commitment to strategic and business planning and to evidence-based strategies for improvement.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

	MONITORING GOVERNANCE
Chief Executive Officer/ Senior Management Team	<ul style="list-style-type: none"> • Check and minute the fit and proper person declaration status in every Management Meeting. • Use the Continuous Improvement policy and procedures to ensure that the RTO has a systematic approach to continuous improvement and management of operations in compliance with the VET Quality Framework. • Gather feedback from training and operational staff to improve training and assessment practices and inform strategy, policy and corporate direction. • Oversee the RTO's relations with its stakeholders and ensure that appropriate organizational and environmental risk management strategies are implemented. • Work in conjunction with the finance division and/or external accountant to provide operating budgets, allocate resources to the RTO, ensure fee protection mechanisms are in place and monitor financial viability. • Facilitate the implementation of and participate in compliance audits (internal and/or external) according to continuous improvement and risk management plans. • Review the RTO performance annually against the stated financial and business objectives and the corporate policy requirements and develop strategic and business plans

MANAGING COMPLIANCE

- Authorize staff to participate in committees that may advise or influence industry associations, authorities and other employers on improvements to increase the level of professionalism within the training industry.
- Ensure the RTO provides accurate and timely information to the regulator/s as requested, if significant changes occur within the RTO and as part of regular reporting processes, including the annual declaration on compliance.

Compliance/ Training

Manager

- Ensure staff and clients are informed of legislative and regulatory requirements in relation to the services delivered by the RTO.
- Facilitate the implementation of the Continuous Improvement Policy
- Actively manage compliance issues in accordance with Risk and Compliance Management and ensure that senior managers/ directors are made aware of any decisions taken that may impact on the RTO compliance status.
- Participate in compliance audits (internal and/or external) according to continuous improvement and risk management plans.
- Prepare the annual declaration on compliance
- Facilitate regular staff meetings and ensure that a set agenda is developed that includes: discussion, reporting and feedback on compliance issues such as the quality of training and assessment activities; WH&S; validation of assessment tools and processes and continual improvement opportunities.

MANAGING TRANSITION

Compliance/ Training Manager

- Actively manage transition of training products in accordance with Continuous Improvement policy to ensure that the RTO's scope of registration is up to date and all learner's complete training and assessment in accordance with the Standards of Registration.

RETENTION OF RECORDS

Compliance/ Training Manager

- Ensure that records of learner AQF certification documentations are maintained in accordance with the Standards and accessible to current and past learners.

MONITORING PERFORMANCE

Compliance/ Training Manager

- Undertake performance monitoring and evaluation of all aspects of the RTO operations including recruitment and placement of internal employees who may undertake traineeships or on the job training activities.
- Conduct annual performance appraisals of all staff as part of continuous improvement processes.

RELATED POLICIES & DOCUMENTS

- Continuous Improvement Policy
- Risk and Compliance Management
- Human Resources Policy
- Fit and Proper Person Requirements Declaration
- Management Meeting Agenda

RISK AND COMPLIANCE MANAGEMENT **POLICY AND PROCEDURE**

SCOPE

Applies to all staff, contractors and senior managers, executives and decision makers of the RTO.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION is a registered Australian private limited company. The company recognises its obligations under Victorian and Commonwealth legislation such as the Corporations Act 2001. In addition, the company through the Director recognises the responsibilities and undertakings required of a Registered Training Organisation to meet and maintain systems that comply with the VET Quality Framework and SRT0 2015.

Reference to applicable laws, regulations and standards are throughout our documentation and processes.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will provide a safe and healthy workplace for employees. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will be proactive in developing and implementing a risk management framework to identify hazards and assess risks with the aim of eliminating or reducing their impact in the workplace and on the delivery of training and assessment services. As part of the approach towards risk mitigation LIBERTY INSTITUTE OF HEALTH AND EDUCATION holds public liability insurance that covers the scope of its operations throughout its registration period. LIBERTY INSTITUTE OF HEALTH AND EDUCATION maintains \$20M public liability insurance.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with a system of corporate governance
- Explain the RTO's Risk Management System
- Ensure the RTO complies with Standards for Registered Training Organisations, 2015: Standards 1.10, 7.1- 7.4, 8.5, 8.6

PRINCIPLES AND DEFINITIONS

Staff can access up to date legislation on the following website links:

- <https://www.comcare.gov.au/scheme-legislation/whs-act>
- <https://www.fairwork.gov.au/>
- <https://www.ag.gov.au/rights-and-protections/human-rights-and-anti-discrimination/australias-anti-discrimination-law>
- <https://humanrights.gov.au/our-work/employers/quick-guide-australian-discrimination-laws>

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will comply with all relevant legislation, including the following:

- Affirmative Action (Equal Opportunity for Women) Act 1986
- Age Discrimination Act 2004
- Copyright Act, 1879. 42 Vic No 20 (Reprinted March 1979)
- Data Provision Requirements 2012
- Disability Discrimination Act 1992 (Commonwealth)
- Disability Standards for Education 2005 (Commonwealth)
- Equal Employment Opportunity Act (1987)
- Fair Work Act (2009)
- Human Rights and Equal Opportunity Commissions Act 1986 (Commonwealth)
- Human Rights Legislation Amendment Act 1999
- Work Health and Safety Act (2010)
- Work Health and Safety Regulations
- Privacy (Private Sector) Regulations 2001 (Commonwealth)
- Privacy Act 1988 (Commonwealth)
- Racial Discrimination Act 1975 (Commonwealth)
- Safe Work Australia Act (2008)
- Sex Discrimination Act 1984 (Commonwealth)

- Standards for Registered Training Organisations (RTOs) 2015
- Student Identifiers Act 2014
- Work Cover Legislation Amendment Act (1996 No. 120)
- Workers Compensation Act 1987
- Workplace Injury Management and Workers Compensation Act 1998
- Workplace Injury Management and Workers' Compensation Act (1988)
- Relevant state or territory legislation

Risk can be defined as the possibility that an action or event will adversely (or beneficially) affect the LIBERTY INSTITUTE OF HEALTH AND EDUCATION's ability to achieve a planned objective. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will establish a risk management team that is representative of all facets of the organisation.

The following principles apply to the access of private information collected by LIBERTY INSTITUTE OF HEALTH AND EDUCATION:

- Only staff of LIBERTY INSTITUTE OF HEALTH AND EDUCATION has access to student records for the purpose of verifying attendance at courses, issuing or re-issuing certificates, contact of the student for re-certification or other relevant cause for contact within the boundaries of the business operations.
- Relevant accrediting bodies have access to private information for auditing or other lawful purposes.
- Representative agencies of the Government have access for lawful reasons.
- Employers who pay for students to attend a course have limited access to records.
- Individuals can request data not be passed on to a third party for the purposes of direct marketing. In this case that party will be required to take all necessary precautions to maintain the confidentiality of the data.
- Requests by other organisations for information relating to the student will only be provided as a verification of information provided by that organisation.
- Personal details will only be supplied to the student after appropriate identification has been made. The student must supply 100 points of identification

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the LIBERTY INSTITUTE OF HEALTH AND EDUCATION's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

PROVISION OF INFORMATION TO STAFF

**Chief
Executive
Officer/
Senior
Management
Team**

- Ensure all staff participate in an induction process and are provided with a copy of this Policy Manual.
- Induction includes a checklist that refers to compliance and the rights and responsibilities of staff.
- Monitor the need for professional development concerning legislation and the VET Quality Framework and provide staff with appropriate training, as needed.
- Provide updated information to staff during staff meetings.

PROVISION OF INFORMATION TO STUDENTS

**Chief
Executive
Officer/
Senior
Management
Team**

- Advise all students of legislation, VET standards and feedback opportunities at the course induction
- Provide all students with the Participant/student Handbook.
- Issue all students with a unique student identification number and/or ensure all students must have a USI.
- Retain this information and archive in RTOs student management system.
- If a student requests access to their student file, check if it is lawful to provide access.
- Provide information as requested.
- There may be an administration fee charged for locating and providing information within a defined number of days.

LEGISLATIVE COMPLIANCE

**Chief
Executive
Officer/
Senior
Management
Team**

- Manage the RTO's compliance with legislation as prescribed by the Continuous Improvement Schedule.
- Delegate responsibility for compliance monitoring as required.

COLLECTING PERSONAL INFORMATION

All staff

- Collect relevant data from all students enrolling in a course. This includes proof of identity for some courses.
- The collection of this data is necessary to establish the identity of the student so that certificates issued to that person clearly identifies that person as the recipient.
- Collect full names from official document such as a passport or a driving license etc., (no nick names). Certificates will be issued in this name.
 1. If a student chooses not to provide full details that student may not be eligible to attend a course conducted by RTO.
- Provide information to regulatory bodies as required during audits.

RISK MANAGEMENT

**Risk
Management
Team**

Communication and Consultation

1. May develop a risk and compliance communications plan for LIBERTY INSTITUTE OF HEALTH AND EDUCATION that includes a list of all external and internal stakeholders, the type & frequency of communication, responsibilities and milestones.

**Risk
Management
Team**

Establish the context (external and internal)

2. Analyse current business situation and outline the context for the next risk assessment.
3. Gather feedback from the Directors and seek external endorsement if appropriate i.e. through consultation with some of the key stakeholders

**Risk
Management
Team**

Risk Assessment

4. Identify the organisations key risks. e.g. Finance, legal & compliance, workplace safety, client relationships
5. Answer the following questions as part of the analysis of the risks associated with the organisation.
 - *What is the source of the risk?*

- *What might happen?*
 - *When and where are these likely to occur?*
 - *What could the consequences be?*
 - *Why might this occur?*
 - *What current controls exist?*
 - *What could cause the controls to fail?*
6. Determine the impact each risk might have on the organisation's ability to achieve its goals using the Risk Assessment Tool below.

RISK ASSESSMENT TOOL

Likelihood Scale/ Severity	In extremely conditions only (A)	Possible under abnormal conditions (B)	Possible under normal conditions (C)	Likely (D)	Certain (E)
No serious implications for the RTO operations, service delivery, reputation, finances (1)	Low	Low	Low	Low	Medium
Minor implications for the RTO operations, service delivery, finances (1 month) (2)	Low	Low	Medium	Medium	Medium
Operational and financial impact. Short term impact on legal situation, and service delivery. (3 months) (3)	Medium	Medium	Medium	Medium	Medium

Operational, financial, legal and reputational impact. Long term impact on stakeholders (6 months or more)(4)	Medium	Medium	High	High	High
Long term operational, financial, legal and strategic impact/ community concern/ safety risk to community (5)	High	High	High	High	High

Risk Management Team

Treatment

7. Enter all of the identified risks into a Risk Register in order of priority (high – medium – low) and identify possible treatments or controls process to reduce the risk.
8. Develop a risk management plan to ensure that each treatment is implemented. Ensure that the plan includes details such as responsibilities, timelines, resources and budgets.

Risk Management Team

Monitor and Review

9. Ensure that the management plan to treat risks is adhered to and reviewed.
10. Conduct monthly meetings to address risk related issues that arise through the Continuous Improvement Schedule
11. Report to CEO/ Senior Management.

**CEO/ Senior
Management
Team**

12. Ensure that the management plan to treat risks is adhered to and reviewed.
13. Conduct monthly meetings to address risk related issues that arise through the Continuous Improvement Schedule
14. Conduct an internal audit at least annually.

**CEO/ Senior
Management
Team**

Recording

15. Maintain risk management plans and reports in the RTO's Compliance Folder
16. Endorse minutes of any meetings, internal audit reports and third party audit (if any) reports and keep copies in the Compliance folder.
17. Update policies, forms and all related documents as required following audits and in accordance with the Continuous Improvement Schedule.

RELATED POLICIES & DOCUMENTS

- Continuous Improvement policy
- Human Resources Policy
- Continuous Improvement Schedule
- Risk Register
- Reports from Trainers
- Learner Feedback
- Employer Feedback

COURSE ADMINISTRATION POLICY

SCOPE

Applies to all staff.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will use a systematic and efficient administration process to support all aspects of the RTO operations and to ensure that students receive the certification documentation to which they are entitled at the completion of their course.

PURPOSE

The purpose of this policy is to:

- Ensure the RTO issues qualifications and statements of attainment that comply with the scope of registration and the AQF Qualifications Issuance Policy.

Ensure the RTO complies with Standards for Registered Training Organisations 2015.

PRINCIPLES AND DEFINITIONS

- The AQF Qualifications Issuance Policy can be found in the AQF Qualifications Framework publication available on the following website link: www.aqf.edu.au/sites/aqf/files/aqf_issuance_jan2013.pdf
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will only issue
- Qualifications for the completion of a full AQF qualification or accredited course and Statements of Attainment (for the completion of units of competency from an AQF qualification or accredited course) that are within its scope of registration.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will issue a certificate and a record of results within 30 days of student successfully completing the course.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will use a template to produce all certificates and record of results that complies with the AQF Qualifications Issuance Policy.
- Unique Student Identifier (USI) has the meaning given in the Student Identifiers Act 2014.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

ENROLMENT AND APPLICATION STAGE

Administration/Student Support/Marketing Officer

- Take enquiry from prospective client, employer or student
- Supply the following information as appropriate:
 - An email thanking the person for the enquiry and a reference to the website for further information
 - Course flyer
 - Enrolment form
 - Special offers or other relevant marketing material
- Check that prospective client understands the eligibility requirements of the courses and where to find further information on LIBERTY INSTITUTE OF HEALTH AND EDUCATION website
- Refer detailed questions regarding courses to RTO/Training Manager if required.

ENROLMENT AND CONFORMATION STAGE

Administration/Student Support/Marketing Officer

- Receive confirmation of course booking from a client and the relevant fee.
- Student completes the Enrolment Form with the trainer and completes the LLN test.
- Check Enrolment Form to ensure complete information is provided.
- If student does not have a Unique Student Identifier (USI) advise student of the process to follow to obtain one, via <https://www.usi.gov.au/students/create-your-usi>
- Verify USI and maintain USI in RTO's student management system.

- Make notes of any missing information on the RTO's student management system and follow up to gather missing information.
- Enter student details into RTO's student management system
- Send student confirmation of enrolment and any additional course information, including course commencement date, site and equipment requirements
- Send student receipt of course fees paid.
- Set up student file and include Student File Checklist

EXTERNAL VENUE SELECTION

RTO Manager or delegate

If external venue is required for delivery of a course, source venue based on the following criteria:

1. Is within walking distance to public transport
2. Has adequate parking either free or at a minimal cost
3. Is available within the time frame required
4. Has disability access
5. Is able to supply refreshment (i.e. water jugs, morning tea etc)
6. Has facilities where lunch may be obtained if required by students
7. Is able to supply the necessary equipment (i.e. whiteboard, projector screen etc)
8. Seating and tables are satisfactory
9. Lighting is adequate
10. Has the required space to be able to conduct the training without being cramped
11. Is cost effective
12. Is in an area suitable to target group
 - Book venue if above criteria is met.
 - Use Venue Checklist when setting up and checking the training room.

COURSE COMPLETION AND ISSUING OF CERTIFICATES

Administration/Student Support Officer

Maintenance of course and student files

- Enter student results into RTO's student management system.
- Maintain student records including:
 1. Course payment information
 2. LNN testing result
 3. Workspace Agreement (if any)
 4. Assessment results
 5. Reports to employers (if required)
 6. Course evaluations and learner feedback
 7. Complaints register and associated files
 8. Any correspondence to or from the student

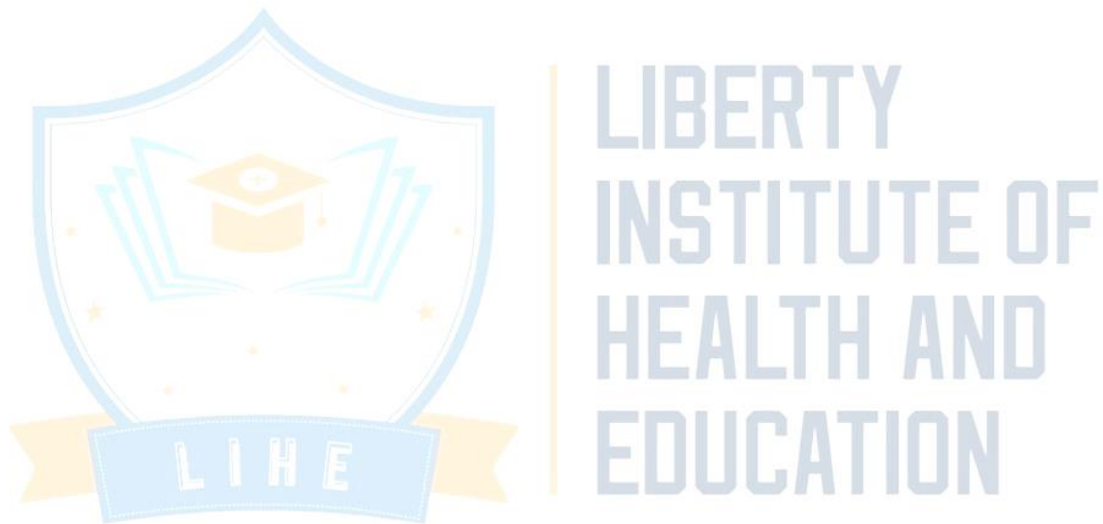
Issuing of certificates

- Use Qualification and Statement of Attainment Issuing Checklist to ensure student have completed all the units for the qualification, prior to issuing a certificate and request manager to verify it.
- Make sure student has provided a USI, that has been verified by the USI registry. No certificate will be issued without a verified USI.
- Generate Certificate, Statement of Attainment or record of results using RTO's student management system
Each certificate will be numbered and use the template set up in the system.
- Print certificate on LIBERTY INSTITUTE OF HEALTH AND EDUCATION certificate paper

ISSUING	REPLACEMENT CERTIFICATES
Administrati- on Officer	<ol style="list-style-type: none"> 1. Receive Application for Transcript or Replacement Certificate 2. Check details and seek approval from RTO/Training Manager. 3. Process payment of \$40 (students are informed in the student handbook) 4. Retain Application for Transcript or Replacement Certificate on student's file. 5. Produce replacement certificate from RTO's student management system. 6. Issue to student.
SCANNING OF STUDENT	RECORDS OF ASSESSMENT
Administration /Student Support Officer	<ol style="list-style-type: none"> 1. Retain all RPL documentation for each student. 2. Scan all other assessment documents and store electronically in RTO computer. 3. Shred all hard copies (other than RPL documents, these may be deleted) of assessment documentation or return to student.
PREPARING	REPORTS FOR REGULATORY BODIES
Training Manager/ Director	<ol style="list-style-type: none"> 1. Ensure all information stored in RTO's student management system and on student files is maintained and up to date.
Administration Officer	<p>Prepare reports as requested to support internal and external audits and other reporting requirements.</p>

RELATED POLICIES & DOCUMENTS

- Document and Data Management policy
- Venue Checklist
- Enrolment Form
- Student File Checklist
- Qualification and Statement of Attainment issuing checklist
- Sample Certificate and Statement of Attainment and Record of Results Templates



DOCUMENTS AND DATA MANAGEMENT

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that its document management and record keeping procedures meet the requirements of privacy legislation and the VET Quality Framework. We will retain records as required by standards and legislation. The RTO will ensure that an AVETMISS compliant database is used and that full AVETMISS compliant records are collected from all students, each calendar year, ready for reporting to NCVER. The RTO will retain evidence of planned, systematic monitoring of internal systems, strategies and practices including evidence of changes implemented or justification why changes are not made as a result of monitoring and review.

Documents and records will be secure and preserve confidentiality of all personal information on clients, students, contractors and employees. Where possible we will manage and secure documents electronically with a minimum of printed materials in our office.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with Standards for Registered Training Organisations, 2015: Standards 3.4, 3.6, 6.5, 7.5, 8.1, 8.2
- Ensure that the organisation fulfils its requirements to report their nationally recognised training to the National VET Provider Collection according to the National VET Provider Collection Data Requirements Policy. An update copy of the policy can be accessed via: <https://www.dese.gov.au/national-vet-data/resources/national-vet-data-policy>
- Outline the RTO's approach to document and data management

PRINCIPLES AND DEFINITIONS

- Meet ASQA's General Direction—Retention requirements for completed student assessment items.
- Meet 30 years of archive requirement.
- NCVER – National Centre for Vocational Education Research.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be

managed in accordance with Human Resources Policy.

PROCEDURES

STUDENT FILES

**Administration/Student
Support Officer**

- Set up an electronic file for each student in RTO's student management system. Each record must contain all AVETMISS required data (and the Student Identifier and/ or evidence of verification of the Student Identifier), enrolment and payment details and course results.
- All AVETMISS data collected at the time of enrolment should be uploaded into the student file, ready for reporting to NCVER each year (by the end of February).
- AVETMISS NAT files are checked regularly to identify and rectify any errors in the data
- Set up course files in RTO's student management system to ensure course information can be accessed by date, course name or course location.

AVETMISS AND QI DATA

**CEO/ Director
/Administration/Student
Support Officer**

REPORTING

1. Report to NCVER on all AVETMISS data collected over a calendar year from every student, at the time of enrolment by the end of February in the following year.
2. Report to ASQA for QI data reporting.

RETENTION OF STUDENT RECORDS

**Administration/Student
Support Officer**

a) Retain 100% of completed assessment items relating to each unit or module for six months from the date on which the decision on competence for the individual unit or module was made. If actual item cannot be retained (e.g. construction projects or perishable items), retain evidence, such as photographs, showing that the standard of the item or work completed justifies the assessment outcome. Completed assessment items such as assignments should not be handed back to learners or destroyed securely until the six-month period has expired.

- b) Retain all student records, including all AQF certification document issued by the RTO, in RTO's student management system for 30 years to enable reporting, analysis or reissue of qualifications or statement of attainment if required (refer also to Schedule 5 of the Standards for Registered Training Organisations 2015).
- c) Retain 100% of student result records, including all AQF certification document issued by the RTO, as electronic copies for 30 years in RTO's student management system. Record must show unit of competency, final summative result (C/NYC) and year.
- d) Retain 100% of records of Statements of Attainment issued and Qualifications issued as electronic copies for 30 years in RTO's student management system. Records must show certificate number.
- e) Electronically retain master copy of all assessment instruments and assessment guides.
- f) Electronically retain samples of marked student work and records of validation and improvement of assessment instruments.

RETENTION OF EVIDENCE OF RTO MONITORING AND IMPROVEMENT

Administration/Student Support Officer (With RTO/Training Manager oversight)

- 1. Electronically retain all records of planned and systematic monitoring and evaluation of RTO operations and partnership (if any) arrangements (this includes details of any management minutes, validation and moderation evidence and outcomes of industry consultation.)
- 2. Retain all records of changes made as a result of planned and systematic monitoring and review. Retain evidence to demonstrate and justify why changes are not made as a result of review.

RETENTION OF RECORDS OF COMPLAINTS AND APPEALS

Administration/Student Support Officer (With RTO/Training Manager oversight)

- a) Securely store records electronically of all complaints and appeals and their outcomes, and evidence of appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

CONFIDENTIALITY AND ACCESS TO RECORDS

Administration/Student Support Officer

- Maintain confidentiality in relation to all personal information about students and their training history.
- If a student requests access to their records, seek approval from RTO/Training Manager and proceed as instructed.
- Make sure student's USI details are recorded and verified in the RTO's student management system. Student's USI details are confidential information and should not be released to anyone without consulting the student and RTO/Training Manager.

CEO/ Director

- Establish a staff file for each employee and contractor Maintain up to date records on file including:
1. Signed letter of offer or contract
 2. Copies of certified qualifications
 3. Up to date resume that outlines vocational experience
 4. Professional development activities and evidence
 5. Payroll, Super and ATO declaration information

STORAGE AND BACKUP OF RECORDS

Administration/Student Support Officer

1. Clearly identify archived files including all AQF certification document issued by the RTO and store for possible retrieval for 30 years.
2. Archive paper records by year and store in a lockable safe or securely online.

CEO

3. Set up on site and/or off-site regular backup systems of all current and archived electronic data.

Accountant

4. Retain LIBERTY INSTITUTE OF HEALTH AND EDUCATION financial records as required by legislation at accountant's office.

DOCUMENT VERSION CONTROL

All staff

1. Include file name, date and version number clearly in the footer of all documents.
2. The CEO/Training Manager must approve all changes to controlled documents
3. Save all RTO documents on the LIBERTY INSTITUTE OF HEALTH AND EDUCATION server, if any or secure online storage or on RTO computer/s as approved by CEO/Director, and not on personal hard drives.

CORRESPONDENCE AND MARKETING DOCUMENTS CONTROL

All staff

- a) Use letterhead for all official correspondence
- b) Seek approval from CEO prior to the release of any marketing material or website content.

TRANSFER OF FILES IN THE EVENT OF THE CLOSURE OF THE RTO

CEO/ Directors

- a) In the event of the sale of the RTO, transfer all records to the new owner as part of the negotiation and sale process.
- b) In the event of the closure of the RTO, notify ASQA and follow the required process for the transfer of files as preferred by ASQA at that time.

CONTINUOUS IMPROVEMENT POLICY

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

Our management systems will incorporate a continuous improvement model that suits LIBERTY INSTITUTE OF HEALTH AND EDUCATION and complies with the VET Quality Framework.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with the Standards for Registered Training Organisations, 2015: Standards 1.9, 1.10, 1.26, 1.27, 2.1, 2.2, 2.4, 7.5, 8.1
- Outline the RTO's approach to systematic continuous improvement

PRINCIPLES AND DEFINITIONS

Management has a responsibility to build a continuous improvement approach within our business and its staff.

The VET Quality Framework does not specify detailed processes for continuous improvement but explains the outcomes to be achieved through the application of each Standard. The RTO must be able to demonstrate that it has the capacity to implement a systematic approach to continuous improvement and that it is focused on improving its outcomes in relation to each Standard. Data from the quality indicators provides a key tool for continuous improvement.

The value of adopting a continuous improvement cycle is in its potential to create a stronger, more sustainable business that meets the needs of clients and stakeholders. Such a cycle also enables LIBERTY INSTITUTE OF HEALTH AND EDUCATION to adapt quickly to changing external environments and opportunities.

Our continuous improvement system will:

- Facilitate the Directors, staff and contractors to work towards achieving our business goals as outlined in the RTO's Business plan.
- Ensure monitoring and review of all aspects of operation according to a Continuous Improvement Schedule that is based around the business planning cycle.

- Include an effective process for planning, implementation and review of our courses products and services
- Focus on the skills and development of the key people working with LIBERTY INSTITUTE OF HEALTH AND EDUCATION, who will achieve these goals and improve our administration systems and marketing.
- Be open to feedback from employers, students and other stakeholders by regularly gathering data and other forms of feedback to review, improve and grow our business. We must act on this feedback and demonstrate how we do this.
- Ensure all operations are aligned to the VET Quality Framework, SRT0 2015 and any other relevant legislation and regulations etc.

We also recognise that continuous improvement involves management of compliance and risk. Risk management involves the development, implementation and review of a risk management process for the organization. This includes a review of compliance risks. Compliance evaluation involves identification, analysis and evaluation of an RTO's compliance responsibilities and implementation of a process to ensure currency and ongoing compliance.

CONSEQUENCES OF NON COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

CONTINUOUS IMPROVEMENT OF RTO SYSTEMS AND KEY BUSINESS PROCESSES

**Chief
Executive
Officer/ Senior
Management
Team**

1. Review all operational and management systems and processes according to the Continuous Improvement Schedule in conjunction with administrative and training staff
We will use a systematic process to collect data and review our systems based on analysis of the following types of questions:
 - *How do we generate, follow up and convert client enquiries?*
 - *How do we respond to course demand?*
 - *How do we respond to enquiries by location / region?*
 - *How do we engage and support LIBERTY INSTITUTE OF HEALTH AND EDUCATION trainers and assessors?*
 - *How do we provide learning and assessment resources to trainers and participants?*
 - *How do we provide learning and assessment resources to trainers and participants?*

**Chief
Executive
Officer/ Senior
Management
Team**

**CEO/Training
Manager**

- *How do we track and process course and student files and results?*
 - *How efficient is our administration system and forms and flow charts?*
 - *How do we manage time and workloads for staff?*
 - *How do we maintain data and ensure the integrity of databases?*
 - *How do we process, follow up and analyse learner / employer feedback?*
 - *How do we process, follow up and analyse complaints / appeals?*
 - *How do we follow through on improvement suggestions?*
2. Clearly state LIBERTY INSTITUTE OF HEALTH AND EDUCATION vision and mission in a business plan.
 3. Ensure all strategies align with VET Quality Framework and other required standards by:
 - Managing against finance and enrolment targets
 - Marketing strategy continually monitored
 - Administration systems & policy and procedures
 4. Map all policies and procedures to Standards for Registered Training Organisations 2015
 5. Develop, maintain and analyse a series of measures to gather results, including feedback processes, quality indicator data and internal and external audits
 6. Develop and maintain a communication strategy for RTO staff and contractors. This includes induction for new staff, ongoing staff meetings and other updates and communication.
 7. Provide the appropriate resources (human, finance and other) to operate the RTO in compliance with VET Quality Framework
 8. Conduct ongoing planning and resourcing of RTO.
 9. Minimise risk by conducting regular risk assessments and implementing risk reduction measures.
 10. Provide quality training and assessment resources
 11. Seek learner, trainer and employer feedback etc. to ensure the training meets stakeholders needs. Collect the feedback at the end of the course.
 12. Collect information and feedback about the RTO and the quality of the training and assessment through:
 - Course feedback
 - Quality indicator data
 - Complaints
 - Validation activities
 - Trainer feedback

**CEO/Training
Manager**

**CEO/Training
Manager &
Administration
staff**

- Internal and/or external (if any) audits
- 13. Gather data and feedback and report on RTO performance through analysis of feedback, complaints, quality indicators, financial performance, enrolments etc.
- 14. Assess RTO against predetermined measures such as business targets, quality indicator data
- 15. Evaluate and reflect on the results and identify trends
- 16. Benchmark RTO against similar RTOs by using industry data and stakeholder feedback
- 17. Monitor trainer and assessor competencies and provide ongoing professional development
- 18. Review and improve all systems, documents, policies and processes
- 19. Solicit improvement suggestions from all staff, contractors and students
- 20. Attend VET conference, webinars etc. and courses to identify opportunities for improvement
- 21. Conduct annual internal audits and implement improvements as identified

CONTINUOUS IMPROVEMENT OF RTO QUALITY PROCESSES AND DOCUMENTS

**Chief
Executive
Officer/
Senior
Management
Team**

1. Review the overall performance of the business operation and against targets and financial information, according to the Continuous Improvement Schedule
2. Review changes required through internal and external audits, changes to legislation, marketing trends or other external factors
3. Ensure the Continuous Improvement Schedule is implemented across all aspects of the RTO in conjunction with relevant stakeholders including key staff and contractors.
4. Ensure all identified issues are addressed and improvements implemented.
5. Record improvements in the Continuous Improvement Register and as minutes in management/staff meeting as appropriate

<p>CONTINUOUS BUSINESS</p> <p>Directors/Chief Executive Officer/ Senior Management Team</p>	<p>IMPROVEMENT OF BUSINESS PLAN, FINANCIAL AND PERFORMANCE</p> <ol style="list-style-type: none"> 1. Maintain business plan and monitor financial projections 2. Use financial reports to monitor viability and planned growth performance 3. Liaise with accountant regarding financial reporting 4. Comply with Regulatory requests for financial information 5. Participate in financial audits as required under regulatory body guidelines and legislation 6. Hold an AGM annually to review the performance of the company in the previous year and consider plans for the future that impact on the business plan 7. Prepare ATO financial reports and other financial documents as requested by the Director/s
<p>Accountant</p>	
<p>CONTINUOUS</p> <p>Chief Executive Officer/ Senior Management Team</p>	<p>IMPROVEMENT OF TRAINING/ ASSESSMENT</p> <ol style="list-style-type: none"> 1. Ensure training and assessment quality is reviewed by implementing a systematic plan for monitoring of training and assessment and validation of assessment. 2. Monitor the following sources of information and incorporate improvements as identified: <ul style="list-style-type: none"> • <i>Learner feedback – end of the course</i> • <i>Employer feedback</i> • <i>Complaints and appeals</i> • <i>Validation / moderation / meetings held as required if there are changes to training packages or legislation</i> • <i>RPL applications</i> • <i>Trainer feedback</i> 3. Record major improvements in the Continuous Improvement Register 4. Systematically monitor any training or assessment services delivered under partnership arrangements (if any).

CONTINUOUS IMPROVEMENT OF COMPLAINTS AND APPEALS PROCESSES

All staff	1. Record all complaints in the Complaints Register
Chief Executive Officer/ Senior Management Team	2. Review complaints and appeals as part of the Continuous Improvement Schedule

CONTINUOUS IMPROVEMENT OF RISK MANAGEMENT AND COMPLIANCE EVALUATION

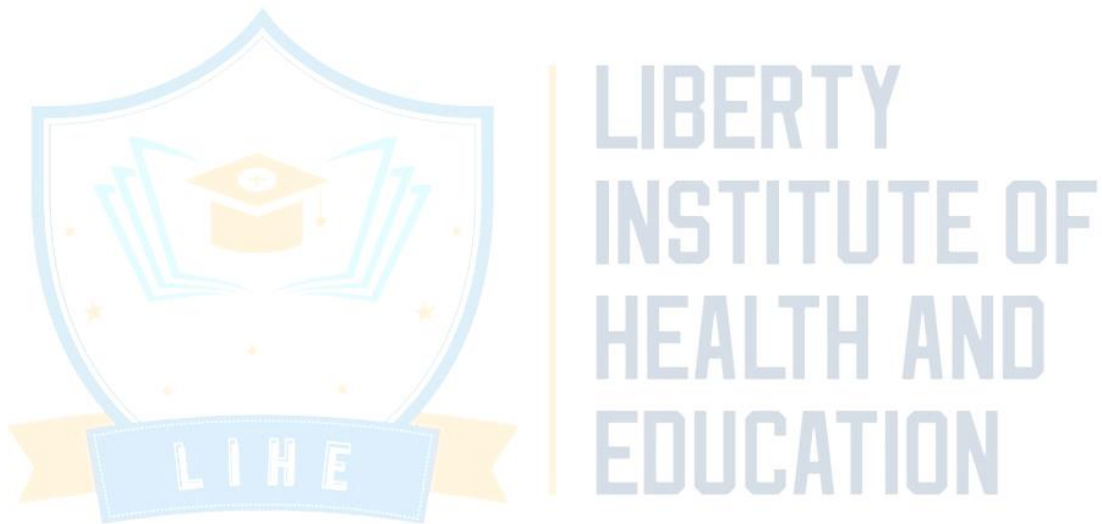
All staff	1. Comply with all aspects of the Risk and Compliance Management policy
Chief Executive Officer/ Senior Management Team	2. Manage risk and compliance 3. Maintain business insurance. e.g. public liability 4. Monitor compliance with: <ul style="list-style-type: none"> • The Standards for Registered Training Organisations 2015 • Legislation and codes of practice • RTO operations

TRANSITION MANAGEMENT

Training Manager/ CEO	1. Subscribe to training.gov.au updates to stay informed about changes to training packages. 2. Subscribe to ASQA newsletters to stay informed about changes to the General Direction on Transition and Teach-out. 3. Manage scope of registration to ensure only currently endorsed qualifications and units of competency are delivered. 4. When changes are made to Training Packages, apply to ASQA to have new Training Package qualifications or units of competency added to the scope of registration. 5. Maintain currency of RTO listing on training.gov.au 6. Prepare a transition plan for any superseded or amended courses that includes the following: <ul style="list-style-type: none"> • Teach out processes • Transition of students to new courses • Updating of all teaching and assessment resources
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RELATED POLICIES & DOCUMENTS

- Governance and Management Policy
- Industry Consultation and Customer Satisfaction Policy
- Risk and Compliance Management Policy
- Course Delivery and Assessment
- Student Complaints & Appeals Form
- Continuous Improvement Schedule
- Continuous Improvement Register
- Complaints Register
- Management Meeting Agenda
- Validation Report



INDUSTRY CONSULTATION AND CUSTOMER SATISFACTION POLICY

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION recognises that systematically collected feedback from internal and external stakeholders should be a major part of our business and that it should be incorporated into our marketing and improvement plans. We will seek out feedback and talk to stakeholders bringing this information back to improve our systems, including our training and assessment, marketing, student support and customer service systems and those of any third party with which we may develop an agreement. We will consult industry to enable training and assessment strategy development and review and to establish relevance of our training and assessment and determine appropriate contexts, methods, resources and trainers and assessors.

Our feedback processes will incorporate but not be limited to collection of data for Quality Indicator reporting.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with the Standards for Registered Training Organisations, 2015: Standards 1.5, 1.6, 1.7
- Outline the RTO's approach to industry consultation and customer satisfaction

PRINCIPLES AND DEFINITIONS

All registered training organisations (RTOs) registered with ASQA are required to provide an annual summary report to ASQA of their performance against three quality indicators:

- i. learner engagement
- ii. employer satisfaction, and
- iii. competency completion quality.

Quality indicator data is used by registering bodies to inform each RTO's risk assessment.

The three quality indicators are:

- Employer satisfaction - This indicator focuses on employer evaluations of learner competency development and the relevance of learner competencies for work and further training, as well as employer evaluation of the overall quality of the training and assessment.
- Learner engagement - This indicator focuses on the extent to which learners are engaging in the types of activities likely to promote high-

quality skill outcomes and includes learner perceptions of the quality of their competency development and the support they received or have received from us.

- Competency completion rate - This indicator shows the number of enrolments and qualifications completed and units of competency awarded in the previous calendar year.

Collecting data from employers and can help support continuous improvement processes to ensure that:

- The RTO provides quality training and assessment across all of its operations
- The RTO adheres to principles of access and equity and maximises outcomes for its clients
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION management is responsive to the needs of clients, staff and stakeholders and the environment in which the RTO operates.

To measure our performance against the indicators, LIBERTY INSTITUTE OF HEALTH AND EDUCATION will use the nationally endorsed surveys listed below:

- Learner questionnaire: https://www.acer.org/files/AQTF_LearnerQuestionnaireLQ_005.pdf
- Employer questionnaire: https://www.acer.org/files/AQTF_EmployerQuestionnaireEQ_004.pdf
- Competency completion online system: <https://www.ncver.edu.au/rto-hub/data-entry-tool>

CONSEQUENCES OF NON COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

INDUSTRY CONSULTATION

Chief Executive Officer/ Senior Management Team

1. Maintain professional relationships with ASQA and other relevant industry bodies to stay up to date with compliance matters and changes in the industry. This may involve but not be limited to:
 - *Liaison with industry associations*
 - *Establishing an Industry Advisory Board*
 - *Networking with employers*
 - *Attending conferences, seminars and workshops*
 - *Subscribing to ASQA, PWC and other relevant Industry Skills Council updates*
 - *Validation sessions*
2. Maintain contact with key clients/stakeholders
3. Consult with stakeholders in a variety of ways (may include one or more of the following methods: formation of an advisory board, participation in validation sessions, communication regarding proposed training and assessment approaches, resources and trainer/assessor requirements) each time the Strategies for Training and Assessment of each course are revised to ensure courses remain relevant to industry needs.
4. Specific details on who will be consulted and the result of these consultations for each Training and Assessment Strategy is documented in the actual strategy document for each item on scope

LEARNER

SUPPORT

Student Support Services

1. Gather information about support needs of each learner from enrolment process. Support services may include but are not limited to:
 - *Language, Literacy & Numeracy (LLN) support*
 - *Additional tutorials and/or*
 - *Referral to other providers for LLN specialist support*
2. Identify whether LIBERTY INSTITUTE OF HEALTH AND EDUCATION can provide the assistance required for the learner by discussing with RTO/Training Manager.
3. *Communicate with learner if additional costs will be incurred for provision of learner support*
4. *Liaise with learner to implement support services*
5. *Any services will be recorded in student file.*

GATHERING FEEDBACK

**Chief
Executive
Officer/
Senior
Management
Team**

1. Ensure the RTO uses QI feedback forms and other RTO feedback forms to collect feedback on training and assessment practices and on client services from students and employers on a regular basis.
2. Analyse responses to identify opportunities for improvement and implement improvements
3. If a WHS risk is identified, note in risk register and act on immediately
4. Gather feedback from trainers at the end of every course.
5. Review all feedback as part of the Continuous Improvement Schedule

**Senior
Management
Team**

Administering the QI reports

1. **Competency completion** data will be submitted by AVETMISS.
2. Gather **learner feedback** at the end of every course using both of the following surveys:
 - a) The RTO's Student Feedback form and
 - b) Learner Engagement Quality Indicator form (either as a paper-based survey or via a web link)
3. Review learner feedback as part of the continuous improvement process in accordance with the Planning Continuous Improvement Schedule
4. Gather feedback from employers at least quarterly by sending an email with the employer engagement survey form attached

**Senior
Management
Team**

How to report on the learner engagement and employer satisfaction indicators

5. Report on these indicators using the ASQA Quality Indicator Annual Summary Report
<https://www.asqa.gov.au/resources/faqs/quality-indicator-reporting>
 Complete the relevant template (form) and email it by 30 June to qidata@asqa.gov.au
 6. Report to ASQA using one of the options described at www.asqa.gov.au
- (Note: Failure to do so will result in the RTO not complying with its statutory registration requirements and potentially constitute a breach of the National Vocational Education and Training Regulator Act 2011.)

**Chief
Executive
Officer/
Senior
Management
Team**

Preparing QI reports

7. Submit data relating to all 3 quality indicators on or before 30 June each year.
Non-submission by the due date, or the submission of an incomplete summary report, will affect an RTO's risk rating.

STAFF MEETINGS

**Senior
Management
Team**

8. Consult with administration and training staff during staff meetings to seek feedback on systems and processes.

RECORDING COMPLAINTS

**Administrat-
ive/Student
Support
Staff**

1. Record all complaints on the Complaints Register

**Senior
Management
Team**

2. Review complaints as they arise according to the Complaints and Assessment Appeals Policy
3. Review complaints regularly as part of management meetings
4. Ensure all complaints have been fairly dealt with according to the Complaints and Assessment Appeals Policy
5. Investigate similar grievances as this may indicate the need for improvement to processes

RELATED POLICIES & DOCUMENTS

- Complaints and Assessment Appeals Policy
- Continuous Improvement Schedule
- Complaints register
- Trainer feedback
- Student feedback
- Other relevant course evaluation forms
- Student records and results databases (various)
- Notes from consultation with industry
- Industry, Marketing or Education conferences
- Notes from administration and teaching staff meetings which cover follow up on customer services matters

COURSE DELIVERY AND ASSESSMENT POLICY

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION is committed to providing quality training and assessment. We will offer accredited training to clients and their employees and through public courses. We recognise that careful planning is necessary for a successful RTO and a requirement under the VET Quality Framework.

We will at all times comply with the Assessment Guidelines contained within the nationally endorsed Training Packages.

PURPOSE

The purpose of this policy is to:

- Clearly define our training and assessment system
- Ensure the RTO complies with Standards for Registered Training Organisations, 2015: Standards 1.1-1.24, 2.1, 2.2

PRINCIPLES AND DEFINITIONS

- LIBERTY INSTITUTE OF HEALTH AND EDUCATION uses a range of learning and assessment approaches to cater for students from a range of backgrounds, with varying learning styles, language, literacy and numeracy needs.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will develop and implement strategies for training and assessment that are systematically informed through consultation with industry and comply with the Standards for Registered Training Organisations 2015 Clauses 1.1-1.4
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will develop and implement strategies for training and assessment that are consistent with the AQF, including the volume of learning requirements. This term is defined below:
 - Volume of learning: The volume of learning includes all teaching and learning activities such as guided learning (classes, lectures, tutorials, and self-paced study), individual study, research, learning activities in the workplace and assessment activities. The amount of training provided by the RTO is part of the overall volume of learning and relates primarily to formal activities including classes and other activities as well as workplace learning. If a course is structured so as to be completed in a shorter time period than that described in the AQF, you will need to clearly describe, using a rationale based on the previous skills and knowledge and the

needs of learners, how a specific learner cohort:

- has the characteristics to achieve the required rigour and depth of training, and
 - can meet all of the competency requirements in a shorter timeframe.
 - Your description must take into account the need to allow learners to reflect on and absorb the knowledge, to practice the skills in different contexts and to learn to apply the skills and knowledge in the varied environments that the 'real world' offers before being assessed.
- We will deliver and assess in accordance with our Strategy for Training and Assessment for each qualification.
 - Feedback from students, trainers and employers is gathered on an ongoing basis to support continuous improvement of delivery and assessment.
 - Our assessment process will be equitable for all persons and will take into account the cultural, linguistic, and other individual students' needs in relation to assessment tasks.
 - All assessment results will be kept strictly confidential
 - Assessment processes will be fair, flexible, valid and reliable and our assessment system complies with the relevant Training Package or VET accredited course and is conducted in accordance with the Principles of Assessment and Rules of Evidence. These terms are defined below with definitions taken from the Standards for Registered Training Organisations 2015.
- **Principles of Assessment:**
 - **Fair:** The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
 - **Flexible:** Assessment is flexible to the individual learner by: reflecting the learner's needs;

- assessing competencies held by the learner no matter how or where they have been acquired; and
 - drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
- **Valid:** Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:
 - assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
 - assessment of knowledge and skills is integrated with their practical application;
 - assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
 - judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
 - **Reliable:** Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

- **Rules of Evidence:**

- **Validity:** The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
- **Sufficiency:** The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
- **Authenticity:** The assessor is assured that the evidence presented for assessment is the learner's own work.

Currency: The assessor is assured that the assessment evidence demonstrates current competency. This requires the

assessment evidence to be from the present or the very recent past.

- All our trainers and assessors will hold the required qualifications and vocational skills as outlined in the Standards for Registered Training Organisations 2015 in Clauses 1.13-1.25 (this includes information about trainers and assessors working under supervision)
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will support training and assessment through regular validation of course delivery and assessment. Validation is defined below.
- **Validation:** Validation is a review of assessment judgements made by your RTO. Validation is generally conducted after assessment is complete. The process must be undertaken in a systematic way. Validation may include engagement with industry to confirm your RTO's assessment system:
 - produces valid assessment judgements, and
 - ensures graduates have the skills and knowledge required by industry, as expressed in the training package or accredited course.
- We have a well-designed assessment system and accompanying validation processes that have been fully implemented so we can demonstrate that our assessment judgements:
 - are valid
 - align with the requirements expressed in the unit of competency or module, and
 - comply with the Standards
- We will make a recognition process available to all candidates.
- Where assessment is completed via recognition of prior learning, the requirements of the Standards do not change, although the variety of evidence gathered and considered in making an assessment decision may be greater than when assessment is completed through 'traditional' assessment activities. Similarly and distance delivery methods may change the type of evidence gathered and considered, although the same requirements apply. Regardless of the mode of delivery or engagement, all assessment must meet the same standards.
- We will use evidence criteria such as model answers, work samples and assessor guidance to ensure assessment has been conducted adequately.

- This will mean that we will provide options for credit transfer, recognition of prior learning. These are defined below:
 - **Credit transfer:** The RTO will recognise national qualifications and Statements of Attainment issued by other Registered Training Organisations under mutual recognition.
 - **Recognition of Prior Learning:** Recognition of Prior Learning (RPL) means an assessment process that assesses an individual's formal, non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of, a VET qualification.

CONSEQUENCES OF NON COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

DEVELOPMENT OF STRATEGIES FOR TRAINING AND ASSESSMENT

RTO/Training Manager

1. Systematically review and revise all strategies on an annual basis in accordance with the Continuous Improvement Schedule
2. Consult with a range of stakeholders from relevant industries to gather feedback on industry needs and suitability of the proposed strategy for training and assessment.
3. Ensure all strategy documents for a full qualification include the following information:
 - **Training product:** clear identification of the training product the strategy relates to, including the code and full title
 - Course description
 - Industry licensing requirements (if relevant)
 - **Core and elective components (full qualifications):** core and elective components of a full qualification in accordance

with the structure defined in the training package or course, which elective units or modules are being offered to enable proper planning for all delivery variables. Include entry requirements, pre-requisite and co-requisite units, and the sequencing of delivery and assessment.

- **Mode of delivery:** how the training and assessment is to be delivered—face-to-face, through simulated workplace training or a mixture of different modes.
- **Entry requirements:** mandatory requirements for learners commencing the program, such as qualifications that must be held or periods of industry experience, any areas where learners may need additional support (e.g. if they have low English levels) and whether learners' physical attributes may influence their ability to complete the training and assessment (e.g. if heavy lifting is required).
- **Duration and scheduling:** the nature of your learner cohort, the planned schedule training and assessment activities to ensure learners are able to fully develop the required skills and knowledge prior to being assessed (based on specific requirements of the training product), any variations for specific cohorts based on specific learning needs.
- Details of the Industry Consultation process
- Hours –timetable for the course
- **Assessment resources, methods and timing:** resources specified by Training packages and VET accredited courses that must be used in assessment at a unit of competency level, including details of how to ensure that learners have access to the resources that will give them the best chance of completing their study such as:
 - o assessment resources
 - o assessment methods to be used
 - o timing of assessment, and
 - o any adjustments that may be needed to cater for different learner characteristics
- Learning resources: learning resources that will fully cover the requirements ensure that learners are able to obtain and absorb the required knowledge and skills prior to assessment.
- Human resources: human resources available to deliver the training product, recorded at a unit of competency level to ensure any specific requirements are met, and to allow the RTO to deploy staff efficiently. (this information may be

recorded in a separate document and referred to in the strategy document)

- Equipment requirements and Physical resources: the physical resources required to deliver a training product with the resources available to the RTO, detailed at the unit level.
- RTO Infrastructure support for the course
- Trainers and Assessors
- Pathways
- Assessment Validation processes
- Course and Assessment monitoring and review

4. Developing TAS for 'stand-alone' single units or skill sets in the same way as would for a qualification, noting that some information may not be relevant, such as information on core and elective units. Identify all of the requirements of that licence or accreditation in the strategy (including any possible entry requirements such as minimum age) and explain how learners can readily attain the desired outcome. Identify any pre-requisite and co-requisite units, and the sequence of delivery and assessment.

5. Developing TAS for 'assessment only' pathways that covers:

- assessment methods, timing and resources, and
- how issues will be addressed (for example, if a learner does not achieve the competency requirements).
- specific requirements such as a minimum period of industry experience before commencing the program

CUSTOMISATION OF TRAINING AND ASSESSMENT

RTO/Training Manager

1. Gather information about the special and learning needs, educational experience and expertise of potential students and provide to trainers to enable customisation of training and assessment delivery.
2. Prepare a Participant Support Plan in consultation with the learner that outlines what adjustments will be made to training delivery and/ or assessment and what adaptive technology or specialist support is required.
3. Customise course documentation ensuring that course meets the Training Package rules.
4. Customise the TAS in accordance with different student cohort if needed.

PREPARATION FOR COURSE DELIVERY

RTO/Training Manager

1. Develop a set of documents to support delivery of each course. These documents include:
 - 2.
3. Detailed session plan prepared using the Session Plan template and all learning resources and facilities as required by the Training Package or Vet Accredited course.
4. Ensure each trainer has access to the appropriate course documentation.
5. Ensure that each trainer enables students to access the following:
 - i. Language, Literacy and Numeracy (LLN) support
 - ii. assistive technology
 - iii. additional tutorials, and/or

ASSESSMENT TRAINER/ ASSESSOR QUALIFICATIONS

RTO/Training Manager

1. Gather evidence for each trainer and assessor to determine that they hold the necessary training and assessment qualifications and can demonstrate relevant vocational competencies and industry currency. Evidence may include:
 - Qualifications held
 - Consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications,
 - Experience, and
 - Professional development.

CONDUCTING ASSESSMENTS

Assessor

1. Ensure students are provided with information about the assessments to be conducted. This may be through:
 - web information,
 - information provided at the beginning of the course or unit and
 - oral instructions given in class.
2. Check that the candidate is ready for assessment
3. Undertake assessment in accordance with the Strategy for Training and Assessment
4. Provide the candidate with the time to go through all steps as set out in the assessment instrument.
5. Stop the assessment if there is a risk of injury or harm through lack of skill.
6. Make the decision about competency according to the marking guidelines provided for the assessment instrument.
7. Record assessment result and hand admin to enter to RTO's student management system.

**Training
Manager/
Assessor**

RPL Assessment

1. Ensure pre-enrolment material includes clear explanations of RPL processes and how to apply.
2. Provide RPL instructions to candidates as required
3. Assess RPL applications and make assessment decisions according to marking guidelines provided in the RPL kit.
4. Record assessment result and hand to admin/student support to enter into Student Management System (SMS).

RETENTION OF ASSESSMENTS

**RTO/Training
Manager**

1. The RTO should securely retain student assessment evidence to produce in full at audit if requested, all completed participant assessment items for each participant, for: the duration of the RTO's assessment appeal period
or
 - a period of six months from the date on which the judgement of competence for the participant was made
 or
 - the duration of the participant's enrolment —whichever is the longer period.

**PROVIDING
Assessor**

FEEDBACK

1. As soon as is reasonably possible at the end of assessment, inform the student of the result of the assessment. Feedback will:
 - *be constructive*
 - *explain whether the student demonstrated they were competent or not yet competent.*
 - *be provided in an appropriate format including: Oral feedback when results are provided at the end of an observation or in a workshop; a debrief of Test results and written feedback on Project or Assessment task results.*
2. Encourage the student to seek clarification if required.
3. Provide guidance if required on extra training or evidence required to address gaps in the assessment
4. At the conclusion of the course, discuss possible pathways for further study, linking the current course to other qualifications or units of competency as appropriate.
5. If any candidate is dissatisfied with the results of their assessment inform them that they have the right to access the appeal process.

CONDUCTING ASSESSMENT VALIDATION

RTO/Training Manager & Trainer(s)

1. Conduct assessment validation in accordance with Validation Schedule using the Validation Meeting Guidelines and the following checklists:
 - Validation Report
 - Validation Evidence
 - Validation Tools
 - Validation Process
2. Ensure that each training product on your RTO's scope of registration undergoes validation at least once every five years and that your plans allow for validation of at least 50 per cent of the training products in the first three years of that cycle.
3. Ensure that assessment sampling approach is random and valid (e.g. use the following site:
<http://www.raosoft.com/samplesize.html>)
4. Validate more frequently any training products where specific risks have been identified, for example, risk identified as a result of the RTO's industry consultation
5. Choose validators who are independent of delivery and assessment of the training product being validated and the assessment judgements being considered to maintain professional distance and integrity.
6. People involved in validation must have:
 - appropriate vocational competencies
 - current industry skills and knowledge
 - an appropriate training and assessment qualification or assessor skill set, and
 - current knowledge and skills in vocational teaching and learning.
7. Validation may be undertaken through a 'team' approach where, collectively, team members hold the required qualifications, skills and knowledge. Trainers and assessors can be involved in validation activities, as long as they are not directly involved in deciding the validation outcome for their assessment decisions.

RELATED POLICIES & DOCUMENTS

- TAS for each qualification on scope
- Industry Consultation and Customer Satisfaction Policy
- Trainer Observation and Feedback Checklist
- Validation Schedule
- Session plan template
- Validation Report
- Validation Evidence
- Validation Tools
- Validation Process



LIBERTY
INSTITUTE OF
HEALTH AND
EDUCATION

PLAGIARISM AND CHEATING POLICY

SCOPE

Applies to all students, staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will not tolerate misrepresentation with respect to the ownership of intellectual property, or the failure to acknowledge the intellectual property of others

PURPOSE

The purpose of this policy is to:

- Outline the LIBERTY INSTITUTE OF HEALTH AND EDUCATION's approach to managing plagiarism

PRINCIPLES AND DEFINITIONS

The following definitions apply when used in this policy:

Cheating

- The intentional use of doing anything to gain an unfair advantage.

Plagiarism/

- The intentional use of the language and thoughts of another author and the representation of them as one's own work.
- The failure to reference or acknowledge work taken from another source.
- Duplication or copying of someone's work.
- Presenting a piece of assessment as independent work when it was completed with the assistance of others.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy by a staff member or contractor could impact on the RTO's registration and will be managed in accordance with Human Resources Policy. Any breach of this policy by a student will result in disciplinary measures as outlined in this policy.

PROCEDURES

PREVENTING	PLAGIARISM
RTO/Training Manager	<ul style="list-style-type: none"> • Provide an Assessment Cover Sheet to each student that requires participants to sign a declaration that states they will not cheat or plagiarise. • Clearly explain cheating and plagiarism policy to each participant at the beginning of each unit of study. • Teach participants how to use appropriate referencing conventions.
RTO/Training Manager/trainers and assessors	<ol style="list-style-type: none"> 1. If suspected, interview participant and ask participant to provide draft notes or evidence that submitted work is their own work 2. If work is shown to be participant's own work, assistance in addressing issues such as correct referencing will be provided. 3. If plagiarism or cheating has occurred provide counselling and communicate clearly that this behavior is not acceptable. 4. Clarify the expectations of the assessment task and ensure participant is ready for reassessment 5. Provide an opportunity for participant to resubmit an assessment task or resit an assessment exam. 6. If this behaviour is repeated, record a result of NYC for the participant for that unit of competency. They will be required to repeat the unit of competency. RTO may charge a fee. 7. Continued offences will result in the student being expelled from the RTO with no refund.
Student	<ul style="list-style-type: none"> • If you disagree with an assessment decision you can appeal the decision using the Complaints and Assessment Appeals policy

RELATED POLICIES & DOCUMENTS

- Complaints and Assessment Appeals policy
- Student Complaints and Appeals form

FINANCIAL MANAGEMENT POLICY

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will maintain its accounting system according to legislation. It will engage the services of accounting professionals to ensure financial reports are submitted accurately and on time and meet taxation and company legislation. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will communicate clearly to clients about fees and refunds, as required by the VET Quality Framework.

The Director/s will implement risk management processes and procedures appropriate for the size of our operations to ensure the company complies with its financial management obligations.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with the Standards for Registered Training Organisations 2015: Standards 4.1, 5.2, 5.3, 5.4, 7.2, 7.3
- Outline the RTO's approach to financial management

PRINCIPLES AND DEFINITIONS

- Sound financial planning, budgeting and cash flow management is necessary for the company to grow as a business and meet targets and financial viability tests.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will accept prepaid fees of no more than \$1500 from each individual student (where prepaid fees includes all fees that a learner is required to pay, including enrolment fees, tuition fees, materials fees and any other fee component that is a mandatory payment for the course). 'Prepaid fees' (also referred to as 'fees collected in advance') means fees collected before the relevant services have been provided. These include payments made at any time before, during or after the learner enrolls.
- If fees are not paid by the due date, management may suspend or cancel enrolment at its sole discretion.
- Clients with outstanding debts to LIBERTY INSTITUTE OF HEALTH AND EDUCATION will not be eligible to book further courses or receive results and

- certification until the debt is paid.
- General refunds will be made in the following circumstances:
 - If LIBERTY INSTITUTE OF HEALTH AND EDUCATION cancels a course the client is entitled to a full refund if they have paid up front. Otherwise, they will not be invoiced.
 - Cancellations notified in writing more than 10 days before the program begins are eligible for a full refund
 - Cancellations advised less than 10 days prior to course commencement are eligible for only a 50% any refund, however a substitute may attend in the client's place.
 - Changes to work commitments or personal circumstances are not the responsibility of the RTO
 - A part refund will be given when a participant has commenced a course believing that they can meet the academic requirements and then subsequently find that they are unable to successfully do so. The refund will be proportioned dependent upon the length of time they have been attending training, what competencies have been achieved and the cost of any course materials
- Nature of the Guarantee given by LIBERTY INSTITUTE OF HEALTH AND EDUCATION:
 - LIBERTY INSTITUTE OF HEALTH AND EDUCATION is committed to completing the advertised training and assessment once students have started study in their chosen qualification/s or course/s from the course start date, and meeting all of their student responsibilities.
 - Where there are any changes to agreed services, the RTO will advise the learner as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third party (if any) arrangements.
 - In the event that LIBERTY INSTITUTE OF HEALTH AND EDUCATION is unable to deliver the agreed training and assessment services, we will arrange for agreed training and assessment to be completed through another RTO.
 - Prior to the transfer to another RTO, affected students will be formally notified of the arrangements, and an agreement to those arrangements, including any refund of fees, will be obtained. If transfer is not possible, LIBERTY INSTITUTE OF HEALTH AND

- EDUCATION will seek a written agreement for a course transfer from the student.
- Should any course be cancelled or in the event that the RTO cannot conduct training or assessment services due to suspension or a breach of standards or approval conditions, and where it is not possible to arrange a transfer to another RTO, students who have commenced training will be provided with a partial refund commensurate with length of training completed.

CONSEQUENCES OF NON COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

CLAIMING A REFUND FOR STUDENT DEFAULT OR WITHDRAWAL:

Client

1. Complete a Refund Application Form and return it with the receipt of course fees and certified copies of any supporting documents to LIBERTY INSTITUTE OF HEALTH AND EDUCATION.

Supporting documents may include doctor's certificate etc.

2. If applying for special consideration due to financial hardship, make a written application providing details of the circumstances.
3. Clients may appeal the decision in accordance with the Complaints and Assessment Appeals policy
4. If client wishes to withdraw from a course and transfer to another course, speak to RTO/Training Manager to discuss options.

Refunds will not be paid but course fees may be transferrable to new course.

Administration/Student Support Officer

5. Provide a written response to the client with an explanation of the student's current financial status and calculations showing refund fees payable to the student within 2 weeks (10 working days) from the receipt of the Refund Application form and documents required as evidence.
6. Process refund as appropriate within a maximum of 4 weeks (20 working days) from the date on the refund calculation letter:

CEO

1. a full refund will be made if cancellation occurs prior to 10 working days before the commencement of a course
2. A refund of only 50% will be made if cancellation occurs less than 10 days before course commencement.
3. No refund will be paid for a cancellation occurring after the commencement of the course.
Refunds for organisational clients shall be as per the contract covering the services.
7. Consider requests for special consideration and determine if cancellation fees will be waived and refund given.
8. Provide a written response to the client with an explanation of the decision.

PAYING A REFUND DUE TO COURSE CANCELLATION

**Administration/Student
Support Officer**

1. Initiate the refund process and notify student within 2 weeks (10 working days) of the cancellation decision.
2. Send a refund letter with calculations showing fees to be paid to the client.
3. Process refund within a maximum of 4 weeks (20 working days) from the date on the refund calculation letter.

HUMAN RESOURCE POLICY

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION places a high priority on individual and organisational performance and the development of staff. We aim to support staff to develop to their full potential. We will ensure each staff member involved in training, assessment and client service is competent for the functions they perform. We will manage all human resources in accordance with legislative requirements.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION is an equal employment opportunity employer and makes employment decisions without regard to race, colour, religion, sex, sexual orientation, national origin, citizenship, age or disability. Opportunity for employment depends solely on qualifications, experience and competency.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with Standards for Registered Training Organisations 2015
- Outline the RTO's approach to recruitment, selection, induction, professional development and performance management.

PRINCIPLES AND DEFINITIONS

- The RTO is committed to a merit-based approach to selection.
- The RTO will ensure that all necessary resources and support are provided to assist individual staff to improve his/her performance before further disciplinary action takes place
- The process of managing unsatisfactory performance is designed to provide the staff member with the opportunity to correct or improve work performance or behaviour
- The RTO will manage all breaches of policy in accordance with the procedures outlined in this policy for managing unsatisfactory performance.
- The RTO will not tolerate any of the following which it deems to be serious misconduct:
 - Discrimination

- Harassment
- Working under the influence of, or possession or supply of illicit drugs
- Actions which threaten the health and safety of other staff, students or community members
- Violent behaviour
- Criminal actions

CONSEQUENCES OF NON COMPLIANCE WITH POLICY

Breaches of this policy will be managed in accordance with the procedures outlined in this policy. Breaches will result in disciplinary action and may lead to termination of employment

PROCEDURES

RECRUITMENT AND SELECTION

Training Manager/RTO Manager

Preparing to Recruit

- Gain approval to recruit for a position from the CEO.
- Clarify position requirements and update or write the position description.
- Write recruitment advertisement and place in appropriate media (internet or newspaper)
- Receive and cull applications.
Select applicants to interview who meet the selection criteria you developed.
- Contact unsuccessful applicants and provide feedback.

Training Manager/RTO Manager

Interviewing

- Arrange interview times with shortlisted applicants.
- Prepare a list of questions to address the selection criteria.
- Assess applicants and decide on suitable applicant(s)
- Conduct 2 reference checks using the Reference Check form
- For Training and Assessment Staff ensure vocational qualifications and experience adequately meet the current ASQA standard

**Training
Manager/RTO
Manager**

Selection

- Make selection decision
- Advise unsuitable applicants
- Advise successful applicant and discuss remuneration and start date

**Training
Manager/RTO
Manager**

Finalise staffing process

- Prepare letter of offer and issue to successful applicant
- Prepare induction kit for new employee
- Gather relevant forms and information from new employee
- Set up staff file using Staff File Contents Checklist

INDUCTION AND PROBATION

**Training
Manager/RTO
Manager**

Prepare for induction of new staff member

- Book new staff member into next available orientation session
- Conduct induction session
- Ensure Trainer Skills Matrix template is given to the Trainer/Assessor for completion

**Training
Manager/RTO
Manager**

Implement Induction and Probation Process

- Participate in initial meeting
- Plan dates for regular meetings to discuss goals and progress

PERFORMANCE REVIEW

**Training
Manager/RTO
Manager**

Conducting a Trainer Observation

1. If preparing for a performance review with a trainer conduct an observation of a training session
2. Provide feedback to the trainer after observation

Conducting Performance Review

3. Use the Performance Review form to prepare for and conduct an annual performance review discussion with each staff member.
4. Consider if salary increase will be paid based on the requirements of the Educational Services (Post Secondary) Award.

**Training
Manager/RTO
Manager**

5. Participate in the trainer observation process
6. Prepare for the performance review discussion by completing a Performance Review form.

MANAGING UNSATISFACTORY PERFORMANCE

**Training
Manager/RTO
Manager**

Prepare for meeting

1. Clearly identify the performance or conduct issue and the opportunities for improvement
Think about how serious the problem is, how long it has existed, what actions you will take to address it
2. Document details of performance or conduct as diary notes, noting any possible ideas for actions to be taken
3. Inform staff member of the need for a meeting. Include the following information:
 1. Purpose of the meeting
 2. Suggested date and venue
 3. Their right to bring a support person of their choice to the meeting

**Training
Manager/RTO
Manager**

Initial Meeting

4. Meet with the employee and cover the following:
 - a) Explain the problem in specific terms, giving examples of actual incidents.
 - b) Allow two-way communication
 - c) Give opportunity for employee to explain from their perspective
 - d) Listen to the explanation of the employee and be prepared to change your views if appropriate
 - e) Clearly explain your expectation of the employee
 - f) Talk about the issue not the person
 - g) Discuss and agree on an action plan to address the situation
 - h) Clearly explain the potential consequences if performance does not meet expectations
 - i) Make a date for the next meeting
5. Prepare minutes of the meeting and get all parties present at the meeting to sign minutes as an accurate record of the meeting
6. Prepare and send to staff member other relevant documentation, including:
 - First warning letter
 - Action plan for performance improvement
 - Keep a copy of all documentation on staff file
7. Make a diary note that letter was sent

**RTO Manager /
CEO**

Follow up meetings

8. Conduct follow up meeting(s). Cover the following:
 - Review progress
 - If satisfactory progress provide feedback and clarify if issue has been resolved
 - If unsatisfactory progress provide clear feedback and determine a clear set of actions to be taken prior to the next meeting
9. Prepare minutes of the meeting and get all parties present at the meeting to sign minutes as an accurate record of the meeting
10. Prepare and send to staff member other relevant documentation, including:
 - Second/final warning letter or letter outlining that performance now meets expectations and issue has been resolved
 - Action plan for performance improvement (if required)
 - Keep a copy of all documentation on staff file
 - Make a diary note that letter was sent

**Director/CEO/
Training
Manager/RTO
Manager**

Termination

If staff member has failed to reach agreed improvement requirements, then termination of employment is the final outcome.

11. Prepare termination letter and issue to staff member
 - Retain copy on staff file

Summary Dismissal

In the case of serious misconduct summary dismissal may occur. A staff member may only be summarily dismissed by the Director/CEO.

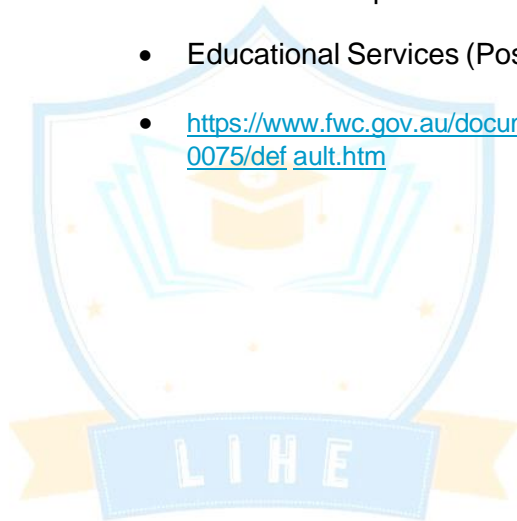
Immediate Suspension

Immediate suspension, on full pay, may be required in order to carry out an investigation. Suspension can only be carried out by the Director/CEO.

<p>TERMINATION</p> <p>Director/CEO</p>	<p>OF EMPLOYMENT</p> <ul style="list-style-type: none"> Follow the procedures outlined in the Educational Services (Post-Secondary) Award and National Employment Standards
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RELATED POLICES & DOCUMENTS

- Reference Check form
- Staff File Contents Checklist
- Trainer Observation and Feedback Checklist
- Performance Review form
- Continuous Improvement Schedule.
- Educational Services (Post Secondary) Award
- https://www.fwc.gov.au/documents/documents/modern_awards/award/ma000075/default.htm



**LIBERTY
INSTITUTE OF
HEALTH AND
EDUCATION**

MARKETING AND PROMOTIONAL MATERIAL USE POLICY AND PROCEDURE

1. Purpose

The purpose of this policy and procedure is to ensure the marketing of LIBERTY INSTITUTE OF HEALTH AND EDUCATION Pty Ltd trading as LIBERTY INSTITUTE OF HEALTH AND

EDUCATION's education and training services are undertaken in a professional manner and maintains the integrity and reputation of the VET industry and registered providers according to 'Standard 1 – Marketing information and practices of the National Code 2018' and Clause

4.1 of Standards for Registered Training Organizations 2015.

2. Responsibility

The RTO/Training Manager of the LIBERTY INSTITUTE OF HEALTH AND EDUCATION will be responsible for the accurate implementation of this policy and procedures. However, in absence of RTO/Training Manager, the CEO will directly manage the marketing department.

3. Scope

This policy applies to all marketing activities related to and recruitment of prospective students/learners by the college and its authorized marketing agents.

4. Key policy requirement

- LIBERTY INSTITUTE OF HEALTH AND EDUCATION ensures that marketing of its education and training services is professional, ethical, accurate and maintains the integrity and reputation of the VET industry.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will develop and implement required procedures and tools to implement this policy.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION's name, RTO Code will be clearly identified on all material used to market the provider and its courses to students.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will not give false or misleading information or advice in relation to claims of association between providers, the employment outcomes associated with a course, automatic acceptance into another course, or any other claims relating to the registered provider, its course or outcomes associated with the course.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will honour commitments it makes in every kind of marketing material and it promotes training or qualifications that are currently on the scope of registration.

- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will abide by all relevant consumer protection laws that apply in any jurisdiction where it operates.

5. Procedure

The following procedures ensure the use of marketing materials and practices at LIBERTY INSTITUTE OF HEALTH AND EDUCATION is authorised by an appropriate person before implementation.

- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will designate a person who shall ensure that all marketing information and practices are conducted in a professional manner and maintains the integrity and reputation of the industry and registered providers. This CEO will assume this responsibility until a dedicated Training Manager is recruited.
- The CEO shall authorise all new marketing information and practices to be reviewed and quality and compliance check,
- A marketing material checklist should be completed for all marketing material and should be sent to CEO for approval.
- Prior to accepting a student, or an intending student for enrolment in a course, LIBERTY INSTITUTE OF HEALTH AND EDUCATION will provide, in print or through referral to an electronic copy, current and accurate information regarding the following:
 - ✓ the requirements for acceptance into a course, including the minimum level of educational qualifications or work experience required and whether course credit may be applicable
 - ✓ the course content and duration, qualification offered if applicable, modes of study and assessment methods
 - ✓ campus locations and a general description of facilities, equipment, and learning and library resources available to students
 - ✓ details of any arrangements with another registered provider, person or business to provide the course or part of the course
 - ✓ indicative course-related fees including advice on the potential for fees to change during the student's course and applicable refund policies
 - ✓ information about the grounds on which the student's enrolment may be deferred, suspended or cancelled
 - ✓ relevant information on living in Australia, including indicative costs of living, accommodation options; and where relevant, schooling obligations and options for school-aged dependants of intending students, including that school fees may be incurred

The CEO shall ensure:

- all materials used by the college for marketing and promoting contains the legal entity of the RTO, provider code (if applicable). Examples of marketing materials used for recruitment purposes could include-
 - ✓ Information about courses for overseas students including course outlines if used to market courses and recruit students.
 - ✓ Homepage of the college website and pages relating to student services.
 - ✓ Information about living in Australia if it is used as a tool to market to and recruit students and if it has been produced for or by the RTO for the purpose of marketing to and recruiting students.
 - ✓ An advertisement for courses for students in an Australian or foreign newspaper.
 - ✓ Materials that promote and advertise courses with the RTO

- (including cards which may be considered more advertisements than conventional business cards).
- ✓ A letterhead, signature block or footer used in letters making offers to students, promoting courses or for other marketing purposes;
 - ✓ Emails that are sent to students offering enrolment or informing students of course
 - The following materials would not generally be required to include the RTO's name and the provider number:
 - ✓ Envelopes.
 - ✓ Conventional business cards that give provider contact details only.
 - ✓ Job advertisements unless they are used to promote studying with a provider. Student handbooks that are distributed after the student has enrolled with a provider.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION Will:

- ✓ only advertises or markets a non-current training product while it remains on the RTO's scope of registration
- ✓ only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
- ✓ does not guarantee that a learner will successfully complete a training product on its scope of registration, or a training product can be completed in a manner which does not meet the requirements of clause 1.1 and 1.2, or a learner will obtain a particular employment outcome where this is outside the control of the RTO.
- Not allow false or misleading information to be present.
- Where the CEO has approved a new document or practice the appropriate implementation plan will develop to ensure all old versions are replaced and staff made aware of the changes.
- The CEO will also ensure any promotional material or practices and changes developed are communicated to all representatives (including agents) and representatives of the College.

Regular monitoring is carried out on all currently approved material, particularly online material, to ensure it remains consistent with the RTO's scope of registration and **LIBERTY INSTITUTE OF HEALTH AND EDUCATION Will:**

- ✓ only advertises or markets a non-current training product while it remains on the RTO's scope of registration
- ✓ only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised
- ✓ does not guarantee that a learner will successfully complete a training product on its scope of registration, or a training product can be completed in a manner which does not meet the requirements of clause 1.1 and 1.2, or a learner will obtain a

particular employment outcome where this is outside the control of the RTO.

- Not allow false or misleading information to be present.
- Where the CEO has approved a new document or practice the appropriate implementation plan will develop to ensure all old versions are replaced and staff made aware of the changes.
- The CEO will also ensure any promotional material or practices and changes developed are communicated to all representatives (including agents) and representatives of the College.
- Regular monitoring is carried out on all currently approved material, particularly online material, to ensure it remains consistent with the RTO's scope of registration operations. When material is no longer in use, it is marked as 'non-current' in the register after being confirmed as no longer in circulation,
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that the marketing or advertising material provides accurate and factual information about the organization's training products and services that lead to AQF qualifications or Statement of Attainment, to prospective client's as well as ensure that the advertised outcomes are consistent with these qualifications.
- Prior to enrolment or the commencement of training and assessment, whichever comes first, LIBERTY INSTITUTE OF HEALTH AND EDUCATION provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register. In addition, the College also provides the learner with estimated duration, expected locations at which it will be provided, expected modes of delivery name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf and any work placement arrangements.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION shall also bear its obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF (Australian Qualifications Framework) certification documentation
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will fully abide by the protection of learner's rights by providing access to LIBERTY INSTITUTE OF HEALTH AND EDUCATION's complaints and appeals process as required by the Standard of SRTOs 2015.
- Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:
 - ✓ all relevant fee information including:

- ✓ fees that must be paid to the RTO
- ✓ payment terms and conditions including deposits and refunds.
- ✓ the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies
- ✓ the learner's right to obtain a refund for services not provided by the RTO in the event the:
 - i) arrangement is terminated early
 - ii) the RTO fails to provide the agreed services.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION will require to publish its legal name, RTO (if applicable) to social media and other platform for social media marketing purposes.



COMPLAINTS AND APPEALS POLICY AND PROCEDURES

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that all grievances are dealt with in a timely and fair manner by utilizing a mechanism to allow students and staff to submit a complaint through the Complaints and Appeals process. This mechanism is outlined within the Complaints and Appeals Policy and Procedure.

The Complaints and Appeal policy is easily accessible to students via the Student Handbook.

Complaints Policy

Staff and students have the right to submit a complaint if they wish to express discontent against another person or a complaint against a LIBERTY INSTITUTE OF HEALTH AND EDUCATION processes or system. In order to ensure that complaints are dealt with in a timely manner, we have implemented a complaints process.

This policy and procedure is relevant to all grievances arising in the following areas:

- Student wishes to raise a complaint against another student.
- Students wishing to raise a complaint against a LIBERTY INSTITUTE OF HEALTH AND EDUCATION trainer/assessor
- Student wishes to raise a complaint against LIBERTY INSTITUTE OF HEALTH AND EDUCATION.
- Student wishes to raise a complaint about a Third-Party including Education Agents.
- LIBERTY INSTITUTE OF HEALTH AND EDUCATION staff wishes to raise complaint about a Third Party.
- Staff wishes to raise a complaint about another staff member or a student

Complaints Process

In the event a student, Trainer or staff member is experiencing difficulties, where possible the individual should attempt to resolve grievances informally through conversations with the appropriate person. If this is not possible, the individual is encouraged to discuss their concerns with the Student Support Officer or RTO management. The relevant staff member will make themselves available at a mutually convenient time if a student wishes to seek assistance.

If a student or Staff member wishes to make a formal complaint, they complete a Complaints and Appeals Form. Once the form is complete, submit the form to Training Manager/RTO Manager for actioning.

As required, the student has the right to have a third-party person assist them through the Complaints Process; this may be due to a language barrier or simply at the student's request.

The process for managing complaints is as follows:

- A complainant may make a formal written complaint by submitting a Complaints and Appeals Form to the Training Manager/RTO Manager within 30 calendar days of the Incident

- Assessment of the complaint will commence, and a written acknowledgement of receipt of the Complaints and Appeals Form will be forwarded to the complainant following receipt by the Training Manager/RTO Manager within 10 working days of the formal lodgement.
- The Training Manager/RTO Manager will conduct the assessment of the complaint or appeal in a professional, fair and transparent manner.
- The RTO Manager/Training Manager will arrange a convenient time to discuss the Complaint with all parties involved in the grievance, in order to find a solution agreeable to all parties
- Complaints are to remain confidential to protect the complainants
- The Training Manager/RTO Manager is to follow the process:
 - Hold an initial meeting with the complainant within 7 days of receipt of the complaint.
 - Complete further investigation as required, within 45 calendar days.
- Each complainant:
 - has an opportunity to formally present his or her case at no cost to themselves in a formal meeting
 - be accompanied and assisted by a support person at relevant meeting
 - is given a written statement of the complaint outcomes, including reasons for the decision as soon as practicable but within 60 days.
 - If a solution can not be reached to the benefit of all relevant parties the matter is brought before senior management for resolution, agreeable to all parties.
 - If Senior Management is party to the grievance, they will not take part in any discussions or decisions made. The Training Manager/RTO Manager will refer the matter to the CEO.
 - If a solution is not reached for the benefit of all parties within 60 days, the complainant has the right to request a review by an independent party, who is not part of LIBERTY INSTITUTE OF HEALTH AND EDUCATION.
 - LIBERTY INSTITUTE OF HEALTH AND EDUCATION is to respond to substantiated complaints by taking the recommended corrective action.
 - Complaints and Appeals Forms are record in the Complaints and Appeals Register.
 - If LIBERTY INSTITUTE OF HEALTH AND EDUCATION determines that the complaint process cannot be finalised within 60 calendar days, LIBERTY INSTITUTE OF HEALTH AND EDUCATION Training/RTO Manager will:
 - Confirm this in writing to the complainant, including reasons why more time is required.
 - Regularly update the complainant or appellant on the progress of the matter.
- Once finalised, the complainant or appellant is advised in writing, of the outcome, including the details of the reasons for the outcome.
- During the Complaints Process, LIBERTY INSTITUTE OF HEALTH AND EDUCATION will maintain the student's enrolment.

Complaints and Appeals Forms are actioned by the Training Manager/RTO Manager, and the details are recorded in the Complaints and Appeals Register.

All Complaints and Appeals Register is reviewed regularly during the management meeting, improvements are identified, and corrective actions implemented according to the Policies and Procedures.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will keep a written record of the complaint, including a statement of the outcome and reasons for the outcome.

External Avenues

If the student feels that the internal appeal is not adequately resolved, they will be provided with an opportunity to formally present their case to a panel of suitable LIBERTY INSTITUTE OF HEALTH AND EDUCATION staff or a third-party mediator. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will advise the student of their right to access an external complaints process within 10 days of concluding the internal review. The Training Manager/RTO Manager will provide the Student with contact details of the appropriate appeals body.

The student is to advise LIBERTY INSTITUTE OF HEALTH AND EDUCATION in writing they have accessed an external appeals process, at which point LIBERTY INSTITUTE OF HEALTH AND EDUCATION will in maintain the enrolment throughout an external appeals process depends on the type of appeal.

Decision to Take Appeal to Overseas Students Ombudsman (if applicable)

If you wish to lodge an external appeal or complain about a decision, you can contact the Overseas Students Ombudsman. The Overseas Students Ombudsman offers a free and independent service for overseas students who have a complaint or want to lodge an external appeal about a decision made by their private education or training provider. See the Overseas Students Ombudsman website www.ombudsman.gov.au or phone 1300 362 072 for more information.

In the case where there may be direct costs associated with the third-party mediator e.g. an external counsellor may charge an hourly fee rate to mediate, and then both LIBERTY INSTITUTE OF HEALTH AND EDUCATION and the student will bear the costs of this mediation process equally. Any expected costs of third-party mediation and the agreement to share the costs is outlined and agreed to in writing.

Student should note that the purpose of the external appeals process is to consider whether the registered provider has followed its policies and procedures, rather than make a decision in place of LIBERTY INSTITUTE OF HEALTH AND EDUCATION.

Should the complaints process identify corrective actions or improvements, LIBERTY INSTITUTE OF HEALTH AND EDUCATION will implement these actions immediately.

Complaints and Appeals Form

The complaints and appeals form is accessible from the website www.libertyinstitute.com.au or a complainant can also contact LIBERTY INSTITUTE OF HEALTH AND EDUCATION reception to obtain a copy of the form. If there is not enough room on the Complaint and Appeals Form to describe the complaint further pages may be attached to the form and submitted with the Complaints and Appeals Form.

Complaints and Appeals Register

LIBERTY INSTITUTE OF HEALTH AND EDUCATION has a register in place to record the details of the Complaints and Appeals. Once the Training Manager/RTO Manager received a complaint or appeal, the details of the form are entered into the Complaints and Appeals Register in which every complaint or appeal is allocated a register number.

The Complaints and Appeals register is reviewed and monitored regularly at the Quality and Compliance Meeting.

Assessment Appeals Policy

The student has the right to appeal on an assessment result if they believe that the result given was unfair or unjustified.

This includes Appeals arising in the following areas:

- Student disagrees with the result given by their Assessor (including Third Party)
- Student wishes to have their result reviewed by another Assessor
- Student wishes to be re-assessed for the same unit
- Student wishes to change the unit
- Student believes that they were discriminated against by the Assessor

Assessment Appeals Procedure

All students have the right to appeal any assessment decision made by LIBERTY INSTITUTE OF HEALTH AND EDUCATION if they:

- Believe that the assessment is invalid and/or
- Feel that the process was invalid, inappropriate, or unfair

Before making an appeal, we ask that you discuss the matter with your Trainer/Assessor in an attempt to reach a mutually acceptable decision.

If you are still not happy, lodge a formal Appeal by completing a “Complaints and Appeals Form” within 7 days of the initial discussion. Once the formal appeal is received the Training Manager will appoint a new Assessor to review the assessment decision and attempt to resolve the appeal. Any decision recommended by this party is not binding to either party in the dispute.

If you are still not satisfied, LIBERTY INSTITUTE OF HEALTH AND EDUCATION will appoint another registered training provider with the same curriculum to arbitrate and reassess the participant if necessary.

You have the right to a support person to be involved at all times during the appeal process. Following is the process submitting an Appeal:

- a. Student receives a result for an assessment task, and they do not agree with the result
- b. Student discusses the result with the relevant trainer/assessor; if there is no result the student completes a Complaints and Appeals Form

- c. The Complaints and Appeals Form is submitted to Training Manager/RTO Manager
- d. The Training/RTO Manager will forward a written acknowledgement to the Student confirming receipt of the Complaints and Appeals Form.
- e. Training Manager will consult with the trainer/assessor and student individually.
- f. Training Manager will appoint an independent internal Assessor to reassess the assessment task in question.
- g. Once the independent internal assessor makes a decision on the validity or otherwise of the assessment task the Training Manager will notify the student of the outcome within 10 business days.
- h. If the student is unhappy with the results of the reassessment there is a case for review, a suitably qualified, independent external assessor to complete another assessment. The external assessor will negotiate a re-assessment date with the student as required. Following the re-assessment, the student is advised of the result within 10 business days.
- i. The independent external assessor's decision on the validity or otherwise of the assessment task is final.
- j. If the student is unhappy with this outcome of the reassessment students are to make a formal complaint following the complaints procedure
- k. As required all opportunities for improvements is recorded in the Appeals Register, corrective actions are undertaken by the Training Manager.
- l. All Complaints and Appeals Forms received involving an appeal are recorded in the Appeals Register.
- m. All Complaints and Appeals Forms are reviewed regularly during the management meetings.

If LIBERTY INSTITUTE OF HEALTH AND EDUCATION determines that the appeals process will take more than 60 calendar days, Training/RTO Manager will notify the student in writing including reasons why more than 60 days is required. Training Manager will regularly update the student with the process.

PRIVACY POLICY AND PROCEDURE

LIBERTY INSTITUTE OF HEALTH AND EDUCATION is governed by the Privacy Act 1988 (Commonwealth) adhering to all principles of confidential information collection, management and storage.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will collect only information that relates to a student's training and take all reasonable steps to protect personal information from misuse, loss, unauthorised access, modification or disclosure including restricted access to electronic files, secure storage of paper files and back up of data, LIBERTY INSTITUTE OF HEALTH AND EDUCATION acknowledges that student files may be accessed during audits by the Australian Skills and Quality Authority (ASQA). The disclosure of student information will be on an "as needs" basis or where required by law.

Personal information (including the personal information contained in enrolment form and training activity data) may be used or disclosed by LIBERTY INSTITUTE OF HEALTH AND EDUCATION for statistical, regulatory and research purposes. LIBERTY INSTITUTE OF HEALTH AND EDUCATION may disclose students' personal information for these purposes to third parties, including:

- School – if students is a secondary student undertaking VET, including a school-based apprenticeship or traineeship;
- Employer – if learner is enrolled in training paid by employer;
- Commonwealth and State or Territory government departments and authorised agencies;
- NCVER;
- Organisations conducting student surveys; and
- Researchers.

Student will acknowledge this requirement on enrolment. Enrolment forms provide essential information to ensure that entry requirements are met, contact details are collected, information is confirmed, and relevant information is provided to students – in particular, payment and process information.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION's usual approach to holding personal information includes robust storage and security measures at all times.

Information on collection is:

- As soon as practical converted to electronic means;
- Stored in secure, password protected systems, such as financial system, learning management system and student management system; and
- Monitored for appropriate authorised use at all times.

Only authorised personnel are provided with login information to each system, with system access limited to only those relevant to their specific role. LIBERTY INSTITUTE OF HEALTH AND EDUCATION's ICT systems are hosted in a secure cloud-based environment within google drive. Destruction of paper-based records occurs as soon as practicable in every matter, through the use of secure shredding.

In accordance with regulation, all students will sign a Class Attendance Sheet at each training session.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will also retain a record of completed units of competence and qualifications achieved for a period of 30 years using a Student Management System.

Information Management Policy

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will maintain effective, accurate, relevant records and reporting systems. Records maintenance is the responsibility of the RTO Manager.

Student Records

These may include but are not limited to:

- Student enrolment form, fees and signed induction checklist. Parents or guardians will be required to sign Enrolment forms where students are under 18 years of age.
- Students' USI
- Attendance records detailing date and time of training session together with trainer/assessor signature and unit of competency taught
- Records of assessments and work experience (if applicable)
- Transcripts of students' outcomes (kept for 30 years)
- Certificates and Statements of Attainment (kept for 30 years)

The RTO Manager is accountable for maintaining and filing information on students' assessment outcomes. This information is entered into a student management system, which is AVETMISS compliant software.

Student records, including completion of units and qualifications will be provided to the NCVER through the AVETMISS database annually. The Quality Indicator Annual Summary Report will be provided to ASQA in accordance with their required timeframes.

Professional development sessions will be conducted on a regular basis for all LIBERTY INSTITUTE OF HEALTH AND EDUCATION staff on student records compliance requirements. This will include a random selection of student files to audit at each PD session.

Staff inductions will include record keeping requirements with regular professional development ensuring understanding is current.

On written request to the RTO, a student will be provided with a copy of their student records within 10 working days.

Staff records

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will request and keep certified copies of qualifications for all trainers. Individual staff files are maintained and include:

- Application for employment including contact details
- Verified qualifications and résumé
- Signed employment contract and induction checklist
Declaration of having read, understood and agreeing to abide by the Policies and Procedures of LIBERTY INSTITUTE OF HEALTH AND EDUCATION

- Records of performance appraisal
- Evidence of participation in professional development opportunities and future professional development plan

Staff files are confidential and may only be accessed by the individual staff member, Chief Executive Officer and RTO/Training Manager.

Storage of files and records

- All staff and student files are securely stored in locked filing cabinets, if hard copies, and scanned upon completion.
- Student records are entered into the student database accurately and efficiently by the Student Support team on to the Student Management Systems (SMS).
- Student electronic records are backed up regularly
- A copy of backed up records will be stored securely off-site
- Records of student results will be kept for 30 years and will be transferred as advised by ASQA if LIBERTY INSTITUTE OF HEALTH AND EDUCATION ceases to operate as an RTO.

Continuous Improvement

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will monitor records management through the operational improvement action log reviewed at regular management meeting.