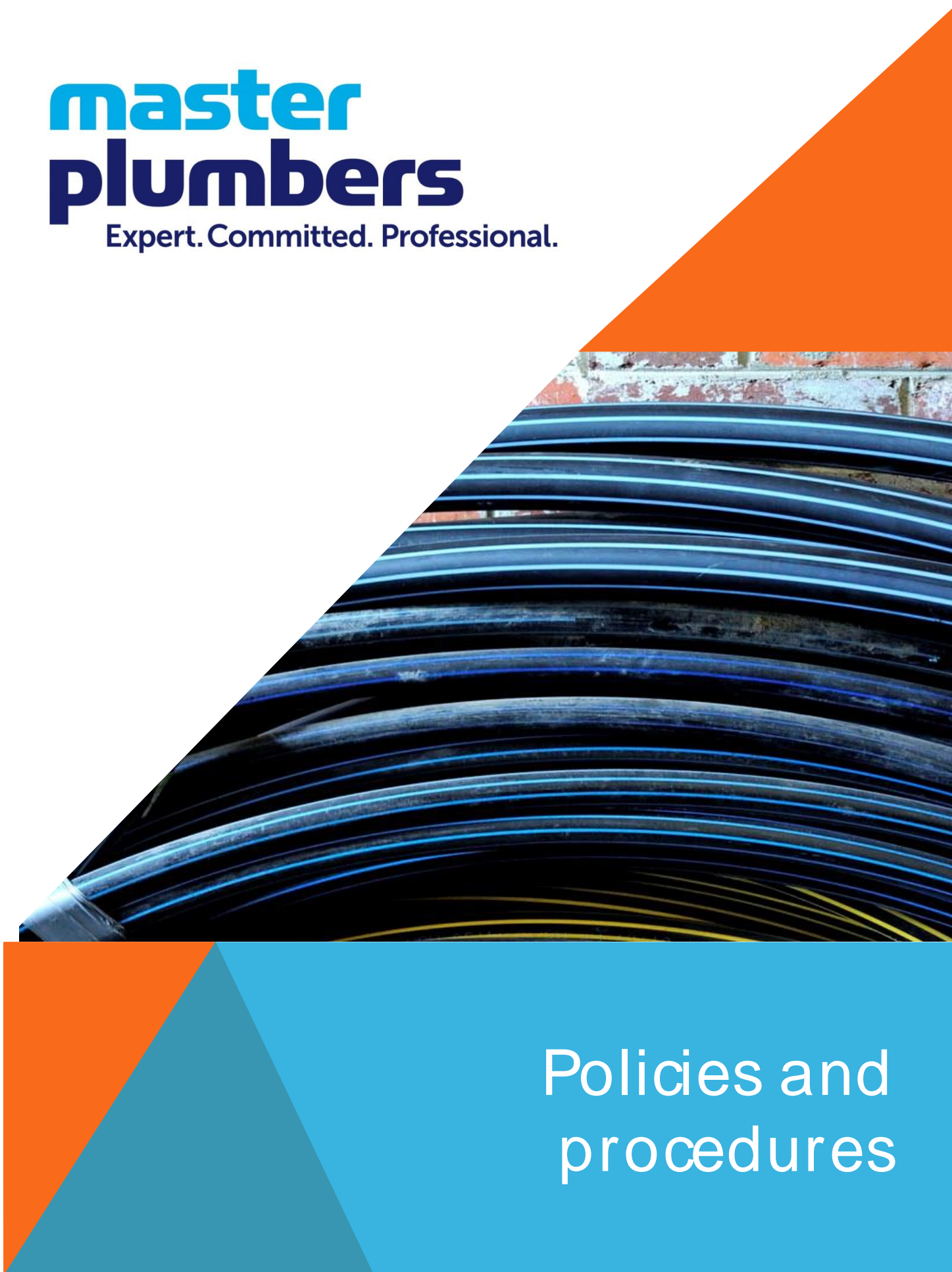# master plumbers

Expert. Committed. Professional.

Policies and procedures

Master Plumbers and Mechanical Services Association of Australia
RTO (TOID #3937)
6/306 Albert Street
Brunswick VIC 3056

Head Office
15/306 Albert Street
Brunswick VIC 3056

2018: Version 1.5

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Compliance with requirements

The table below maps Master Plumbers compliance requirements against each policy and its procedures.

The number in the **Standards** column is the particular standard for National VET Regulator (NVR) Registered Training Organisations 2012.

Policy	Conditional (COR) and Standards (Std)
Occupational health and safety	Std 2.5, Cor 1, 3
Access and equity	Std 2.3, 2.5, Cor 1, 3
Privacy	Std 2.6, Cor 1, 3
Student enrolment, orientation and support	Std 2.3, 2.5, 3.1, Cor 1, 7
Fees, charges and enrolment status changes	Std 2, Cor 1, 5
Student misconduct, attendance and discipline	Std 2, Cor 1, 3
Staff recruitment, induction and exit	Std 1.1, 1.3, 1.4, 2.2, 2.4, 3.2, Cor 1, 3
Trainer / assessor supervision	Std 1.3, 1.4, 2.4
Staff performance monitoring, appraisal and professional development	Std 1.1, 1.3, 1.4, 2.2, 2.4, 3.2, Cor 1 3
Staff misconduct and discipline	Std 1.1, 1.3, 1.4, 2.2, 2.4, 3.2,
Training and assessment strategies	Std 1.1, 1.2, 1.3, 2.4, 2.5, Cor 1
Credit	Std 1.3, 1.4, 1.5, 2.3, 2.5, Cor 1, 6
Training and assessment delivery	Std 1.2, 1.3, 1.4, 1.5, 2.4, 2.7, Cor 1, 3,9
Qualifications / statements of attainment	Std 2.5, 2.6, 3.4, Cor 1, 6, 8
Complaints and appeals	Std 1.1, 2.3, 2.7, Cor 1
Risk management	Std 1, 2, Cor 1, 2,3, 4, 5, 8
Continuous improvement	Std 1.1, 2.1, 2.2, 2.7, 3.1, 3.2, Cor 1
Governance	Std 1.1, 2.1, 2.2, 2.7, 3.1, 3.2, Cor 1
Assessment validation/moderation	Std 1.1, 1.3, 1.5, 3.1, 3.3
Records, document and information management	Std 2.6,3, Cor 1, 2, 3, 6, 9
Financial management	Std 3, Cor 1, 4, 5

The number in the other column references the source of the requirement as shown in the following table.

Number	Source of requirement
1	ASQA Fit and Proper Person Declaration
3	VET activity reporting
4	Australian Qualifications Framework Council 2013, *Australian Qualifications Framework*, 2nd edn, AQF, Adelaide
7	Financial Viability Risk Assessment Requirements 2011
8	Higher Education Skills Group (Victoria)
9	
10	*Skills First Quality Charter*
11	*Information Privacy Act 2000* (Victoria)
12	*Occupational Health and Safety Act 2004* (Victoria)
13	*Working With Children Act 2005* (Victoria)
14	*Equal Opportunity Act 2010* (Victoria)
15	The Australian Consumer Law (Schedule 2 of the *Competition and Consumer Act 2010*)
16	Taxation law and regulations
17	Company and incorporated associations law and regulations

Policies and procedures index

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Health, safety and rights	Occupational health and safety	-	1	Conduct hazard audits	OHS Officer (PICAC)		*PremF01 OHS Hazard identification*
Health, safety and rights	Occupational health and safety	-	2	Implement fire and emergency precautions	OHS Officer (PICAC)	*PremD01 Emergency evacuation notice*	None
Health, safety and rights	Occupational health and safety	-	3	Maintain first aid arrangements	OHS Officer (PICAC)	*PremD02 First aid manual*	*PremF02 Designated first aiders, PremF03 Incident/Injury Form*
Health, safety and rights	Occupational health and safety	-	4	Investigate and document accidents, near misses and injuries	RTO Operations Manager		*PremF03 Incident/injury report*
Health, safety and rights	Occupational health and safety	-	5	Conduct an emergency evacuation	All staff		*PremF03 Incident/injury report*
Health, safety and rights	Occupational health and safety	-	6	Provide first aid	Designated First Aider		*PremF03 Incident/injury report*
Health, safety and rights	Occupational health and safety	-	7	How to help with occupational health and safety	Student		
Health, safety and rights	Privacy	-	8	Give a student access to their file	Administration		*MPF04 Request for student information*
Health, safety and rights	Privacy	-	9	How to get access to your file	Student		*MPF04 Request for student information*
Health, safety and rights	Privacy	-	10	Authorise access to the Student Management System	General Manager Training and Industry Development		
Students	Student enrolment, orientation and support	Enrolment	11	Maintain Student Management System	Administration		*MPF60 Continuous improvement item*

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Students	Student enrolment, orientation and support	Enrolment	12	Respond to a request to enrol	Administration	*MPD10 Learner Handbook*	*MPF10 Course enrolment, MPF11 Letter of acceptance course enrolment, MPF11A Letter of acceptance Preapprenticeship course enrolment, MPF12 Letter of Non acceptance course enrolment, MPF14 Preapprenticeship application acknowledgement letter, MPF14a Invitation to attend course selection interview letter*
Students	Student enrolment, orientation and support	Enrolment	13	Undertake preapprenticeship interviews	Trainer	*MPD14 Course fees and payments schedule MPD12 Student file checklist (preapprenticeship)*	*MPF10 Course enrolment, MPF11 Letter of acceptance course enrolment, MPF11A Letter of acceptance Preapprenticeship course enrolment, MPF12 Letter of Non acceptance course enrolment, Student Management System student record,*
Students	Student enrolment, orientation and support	Enrolment	13a	Process an expression of interest / request to enrol	Administration	*MPD14 Course fees and payments schedule MPD12 Student file checklist*	*MPF10 Course enrolment, MPF11 Letter of acceptance course enrolment, MPF11A Letter of*

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						(preapprenticeship)	*acceptance Preapprenticeship course enrolment, MPF12 Letter of Non acceptance course enrolment, Student Management System student record,*
Students	Student enrolment, orientation and support	Enrolment	14	Develop a training plan for a student	RTO Operations Manager		*MPF35 Training plan*
Students	Student enrolment, orientation and support	Enrolment	15	Your application to enrol	Student		
Students	Student enrolment, orientation and support	Orientation	16	Organise and conduct a student orientation session	Trainer/Assessor	List of enrolled students, *MPD10 Learner Handbook, course calendar*	*MPF13 Student induction checklist*
Students	Student enrolment, orientation and support	Orientation	17	Your orientation	Student		
Students	Student enrolment, orientation and support	Language, literacy and numeracy	18	Assess a student for LLN before classes start	Trainer/Assessor	Course LLN test	
Students	Student enrolment, orientation and support	Language, literacy and numeracy	19	Your language, literacy and numeracy test	Student		
Students	Student enrolment, orientation and support	Support	20	Maintain a list of support and welfare services	RTO Operations Manager	*MPD11 Student support and welfare resources*	
Students	Student enrolment, orientation and support	Support	21	Support and welfare services	Student		
Students	Student enrolment, orientation and	Support	22	Provide educational support and referral	RTO Operations Manager		Process notes (no form)

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
	support			to a student			
Students	Student enrolment, orientation and support	Support	23	Provide welfare support and referral to a student	General Manager Training and Industry Development		Process notes (no form)
Students	Student enrolment, orientation and support	Support	24	How to get educational or welfare support and referral	Student		
Students	Student enrolment, orientation and support	Students under 18	25	Provide support to a student under 18	Trainer/Assessor		Process notes (no form)
Students	Student enrolment, orientation and support	Students under 18	26	Report suspicion of child abuse	RTO Operations Manager		Process notes (no form)
Students	Student enrolment, orientation and support	Students under 18	27	If you are under 18 …	Student		
Students	Fees, charges and enrolment status changes	-	28	Determine a course fees and payments schedule	General Manager Training and Industry Development	*MPD14 Fees and payments schedule*	
Students	Fees, charges and enrolment status changes	-	29	Invoice and collect a student's fees	Administration		Invoices
Students	Fees, charges and enrolment status changes	-	30	Paying your fees	Student		
Students	Fees, charges and enrolment status changes	-	31	Process a cancellation, withdrawal, deferment or substitution request	Administration		*MPF15 Application to withdraw from study*
Students	Fees, charges and enrolment status	-	32	If you want to cancel, withdraw or	Student		*MPF15 Application to withdraw from study*

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
	changes			defer			
Students	Student misconduct, attendance and discipline	-	33	Determine action to address student misconduct	RTO Operations Manager		Process notes (no form)
Students	Student misconduct, attendance and discipline	-	34	Implement action to address further student misconduct	General Manager Training and Industry Development		Process notes (no form)
Students	Student misconduct, attendance and discipline	-	35	If you engage in misconduct	Student		
Staff members	Staff recruitment, induction and exit	Recruitment	36	Advertise for, and interview, applicants	General Manager Training and Industry Development	*Officer responsibility/duty statements*	Process notes (no form)
Staff members	Staff recruitment, induction and exit	Recruitment	37	Appoint a preferred applicant	General Manager Training and Industry Development	MPR63 Trainer's register	*MPF20 Employment contract, MPF21 Trainer/Assessor skills matrix, VRQA Fit and proper person*, process notes, *MPF27 Staff File Checklist*
Staff members	Staff recruitment, induction and exit	Induction	38	Induct a staff member	General Manager Training and Industry Development	*MPD22 Trainer/Assessor handbook*	*MPF23 Staff induction checklist*
Staff members	Staff recruitment, induction and exit	Exit	39	Conduct an exit interview	General Manager Training and Industry Development		
Staff members	Trainer / assessor supervision	-	40	Prepare a direct supervision	RTO Operations Manager		*MPF25 Direct supervision*

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				arrangement			*arrangement, MPF25a Direct supervision report*
Staff members	Trainer / assessor supervision	-	41	Induct the person	RTO Operations Manager	Training Package	*MPF25 Direct supervision arrangement, MPF25a Direct supervision report*
Staff members	Trainer / assessor supervision	-	42	Supervise and evaluate the person	Trainer/Assessor		*MPF25 Direct supervision arrangement, MPF25a Direct supervision report*
Staff members	Staff performance monitoring, appraisal and professional development	Performance monitoring and appraisal	43	Prepare for a performance appraisal	General Manager Training and Industry Development		*MPF26 Staff performance appraisal*
Staff members	Staff performance monitoring, appraisal and professional development	Performance monitoring and appraisal	44	Conduct a performance appraisal	General Manager Training and Industry Development		*MPF26 Staff performance appraisal, MPF60 Continuous improvement item*
Staff members	Staff performance monitoring, appraisal and professional development	Professional development	45	Conduct a staff meeting	General Manager Training and Industry Development		Meeting minutes
Staff members	Staff performance monitoring, appraisal and professional development	Professional development	46	Conduct a quarterly trainers/assessors meeting	RTO Operations Manager		Meeting minutes

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Staff members	Staff performance monitoring, appraisal and professional development	Professional development	47	Identify, address and monitor professional development needs	RTO Operations Manager	*MPR21 Professional development register, Trainer assessor course qualifications and experience matrix for each course*	*MPF46 Professional Development Plan*
Staff members	Staff misconduct and discipline	-	48	Determine action to address staff misconduct/ incompetence	General Manager Training and Industry Development		Process notes (no form)
Staff members	Staff misconduct and discipline	-	49	Implement action to address further staff misconduct/incompetence	General Manager Training and Industry Development		Process notes (no form)
Training, assessment, credit and qualifications	Training and assessment strategies	-	50	Develop a training and assessment strategy	RTO Operations Manager	Training Package, Trainer assessor course qualifications and experience matrixes MPD34 LLN test, MPR63 Trainer's register	*MPF30 Delivery and assessment strategy, MPF21 Trainer/Assessor skills matrix, MPF31 Plant and equipment matrix, MPF32 Assessment matrix sample, MPF33 Assessment criteria guide template MPF33A Practical assessment template, MPF34 Session plan template*
Training, assessment, credit and qualifications	Training and assessment strategies	-	51	Develop the course training plan	Trainer/Assessor		*MPF35 Training plan*

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Training and assessment strategies	-	52	Develop course resources and equipment	Trainer/Assessor	Training and assessment strategy	*MPF31 Plant and equipment matrix*
Training, assessment, credit and qualifications	Training and assessment strategies	-	53	Maintain a course resource library	Administration	Documents named in procedure	*MPF60 Continuous improvement item*
Training, assessment, credit and qualifications	Training and assessment strategies	-	54	Monitor and act on changes to Training Packages	RTO Operations Manager	Documents referred to in procedure	Forms referred to in procedure
Training, assessment, credit and qualifications	Training and assessment strategies	-	55	If your Training Package changes ...	Student		
Training, assessment, credit and qualifications	Training and assessment strategies	-	56	Review a training and assessment strategy	RTO Operations Manager	*MPR60 Risk register, MPR64 Continuous improvement register*	None
Training, assessment, credit and qualifications	Credit	Credit transfer	57	Brief an applicant for credit transfer	Trainer/Assessor		*MPF37 Application for national recognition (credit transfer)*

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Credit	Credit transfer	58	Process a credit transfer application	Administration		Student Management System student record
Training, assessment, credit and qualifications	Credit	Credit transfer	59	Assess a credit transfer application	Trainer/Assessor		*MPF37 Application for national recognition (credit transfer)*
Training, assessment, credit and qualifications	Credit	Credit transfer	60	Advise an applicant of a credit transfer decision	Administration		Student Management System student record
Training, assessment, credit and qualifications	Credit	Credit transfer	61	If you want to apply for credit transfer ...	Student		
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	62	Brief an applicant for RPL	Trainer/Assessor		*Assessor's guide to recognition of prior learning*
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	63	Process an RPL application	Administration		Student Management System student record
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	64	Organise and conduct an RPL interview	Trainer/Assessor		*Assessor's guide to recognition of prior learning*
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	65	Make an RPL decision	Trainer/Assessor		*Assessor's guide to recognition of prior learning*

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	66	Advise an applicant of a RPL decision	Administration		Student Management System student record
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	67	If you want to apply for recognition of prior learning	Student		
Training, assessment, credit and qualifications	Credit	Recognition of prior learning	67a	If you want to apply for an assessment only pathway	Student		
Training, assessment, credit and qualifications	Training and assessment delivery	-	69	Develop a course calendar	RTO Operations Manager		*Outlook course calendar, Outlook trainer's/assessor's roster*
Training, assessment, credit and qualifications	Training and assessment delivery	-	70	Prepare a trainer's package	Administration	Documents named in procedure	*MPF40 Assessment record, MPF41 Student course evaluation, MPF42 Trainer/assessor course evaluation*
Training, assessment, credit and qualifications	Training and assessment delivery	-	71	Prepare for the session	Trainer/Assessor	Course resource and equipment checklist	None

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Training and assessment delivery	-	72	Check the venue for OHS	Trainer/Assessor		*PremF01 OHS Hazard identification*
Training, assessment, credit and qualifications	Training and assessment delivery	-	73	Start the session	Trainer/Assessor	Student Management System Occurrence attendance report	*MPF40 Assessment record* *MPF10 Course Enrolment form*
Training, assessment, credit and qualifications	Training and assessment delivery	-	74	Explain assessment activities to students	Trainer/Assessor	Student's assessment guide, *MPD10 Learner Handbook*	None
Training, assessment, credit and qualifications	Training and assessment delivery	-	75	Conduct assessment activities	Trainer/Assessor	Student's assessment guide and required resources	None
Training, assessment, credit and qualifications	Training and assessment delivery	-	76	Record an assessment decision	Trainer/Assessor	Assessment guide activity sheet	*MPF40 Assessment record*
Training, assessment, credit and qualifications	Training and assessment delivery	-	77	Advise a student of an assessment decision	Trainer/Assessor		None
Training, assessment, credit and qualifications	Training and assessment delivery	-	78	Secure the venue and equipment	Trainer/Assessor		None
Training, assessment, credit and qualifications	Training and assessment delivery	-	79	Finalise the session	Trainer/Assessor		*MPF41 Student course evaluation, MPF42 Trainer/assessor course evaluation*

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Training and assessment delivery	-	80	Enter results in Student Management System and finalise the course	Administration	Documents named in procedure	Student Management System student record
Training, assessment, credit and qualifications	Training and assessment delivery	-	81	Survey employers	Administration		*MPF43 Employer course evaluation*
Training, assessment, credit and qualifications	Training and assessment delivery	-	82	Input course evaluation and survey data	Administration		Student, employer and trainer assessor evaluation database spreadsheet
Training, assessment, credit and qualifications	Training and assessment delivery	-	83	During your training and assessment ...	Student		
Training, assessment, credit and qualifications	Training and assessment delivery	-	84	About your assessment	Student		
Training, assessment, credit and qualifications	Training and assessment delivery	-	85	Confirm qualification or Statement of Attainment result	RTO Operations Manager		Student materials, Student management system records
Training, assessment, credit and qualifications	Qualifications / statements of attainment	-	86	Prepare a qualification or statement of attainment	Administration		Student Management System student record, qualification / statement of attainment
Training, assessment, credit and qualifications	Qualifications / statements of attainment	-	87	Reissue a qualification or statement of attainment	Administration		Student Management System student record, qualification / statement of attainment, invoice

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Training, assessment, credit and qualifications	Qualifications / statements of attainment	-	88	If you want us to reissue your qualification / statement of attainment ...	Student		
Complaints and appeals	Complaints and appeals	Complaints	88a	Respond to an informal complaint	All staff		*Training team agenda*
Complaints and appeals	Complaints and appeals	Complaints	89	Respond to a formal complaint	All staff	MPR62 Complaints and appeals register	*MPF50 Complaint /Appeal Form*
Complaints and appeals	Complaints and appeals	Complaints	90	Hear a verbal complaint	RTO Operations Manager	MPR62 Complaints and appeals register	*MPF50 Complaint /Appeal Form*
Complaints and appeals	Complaints and appeals	Complaints	91	Resolve a complaint internally	RTO Operations Manager	MPR62 Complaints and appeals register	*MPF50 Complaint /Appeal Form*
Complaints and appeals	Complaints and appeals	Complaints	92	Resolve a complaint externally	RTO Operations Manager	MPR62 Complaints and appeals register	*MPF50 Complaint /Appeal Form*
Complaints and appeals	Complaints and appeals	Complaints	93	How to make an informal complaint	Student		
Complaints and appeals	Complaints and appeals	Complaints	93a	How to make a formal complaint	Student		*MPF50 Complaint /Appeal Form*
Complaints and appeals	Complaints and appeals	Appeals	94	Consider a student's appeal	RTO Operations Manager	MPR62 Complaints and appeals register	*MPF50 Complaint/Appeal form*
Complaints and appeals	Complaints and appeals	Appeals	95	How to appeal an assessment decision or the resolution of a complaint internally	Student		
Complaints and appeals	Complaints and appeals	Appeals	95a	How to appeal an assessment decision or the resolution of a complaint externally	Student		

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Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Quality and continuous improvement	Risk management	-	96	Monitor your own work for risk management	All staff		*MPF60 Continuous improvement item*
Quality and continuous improvement	Risk management	-	97	Monitor legislative and regulatory changes	RTO Operations Manager	*MPR64 Continuous improvement register*	
Quality and continuous improvement	Risk management	-	98	Maintain insurance policies	Finance		None
Quality and continuous improvement	Risk management	-	99	Monitor data for risk management	RTO Operations Manager	*MPR60 Risk register*	None
Quality and continuous improvement	Risk management	-	100	Monitor the risk register	Finance	*MPR60 Risk register*	None
Quality and continuous improvement	Risk management	-	101	Conduct an internal audit	RTO Operations Manager	*MPR60 Risk register, MPR64 Continuous improvement register*	
Quality and continuous improvement	Risk management	-	101 a	Comply with legislation	Trainers		
Quality and continuous improvement	Continuous improvement	-	102	Monitor your own work for continuous improvement	All staff		*MPF60 Continuous improvement item*
Quality and continuous improvement	Continuous improvement	-	103	Help us improve our services	Student		
Quality and continuous improvement	Continuous improvement	-	104	Monitor data for continuous improvement	RTO Operations Manager	*MPR64 Continuous improvement register*	None

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Quality and continuous improvement	Continuous improvement	-	105	Implement a continuous improvement action	RTO Operations Manager	*MPR64 Continuous improvement register*	None
Quality and continuous improvement	Continuous improvement	-	106	Review and update policies and procedures	RTO Operations Manager	*MPD61 Policies and procedures, MPR64 Continuous improvement register*	None
Quality and continuous improvement	Continuous improvement	-	107	Monitor the continuous improvement register	RTO Operations Manager	*MPR64 Continuous improvement register*	None
Quality and continuous improvement	Continuous improvement	-	108	Prepare a quality indicator annual summary report	RTO Operations Manager	Competency completion report	None
Quality and continuous improvement	Governance	-	109	Provide induction for senior officers	General Manager Training and Industry Development		*MPF19 Staff induction checklist, VRQA Fit and Proper person*
Quality and continuous improvement	Governance	-	110	Develop and monitor a business plan	Finance		None
Quality and continuous improvement	Governance		111	Develop and monitor an annual budget	Finance		
Quality and continuous improvement	Assessment validation/moderation	-	113	Plan an assessment validation/moderation meeting	RTO Operations Manager		*MPF36 Assessment validation moderation*
Quality and continuous improvement	Assessment validation/moderation	-	114	Prepare for an assessment validation/moderation meeting	RTO Operations Manager	Units of competency, assessment evidence	*MPF36 Assessment validation moderation*

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Quality and continuous improvement	Assessment validation/moderation	-	115	Facilitate an assessment validation/moderation meeting	RTO Operations Manager		Meeting minutes
Quality and continuous improvement	Assessment validation/moderation	-	116	Moderate student's results	RTO Operations Manager		*MPF60 Continuous improvement item*
Quality and continuous improvement	Records, document and information management	-	117	Maintain company documentation	Finance	Company documentation listed in procedure	None
Quality and continuous improvement	Records, document and information management	-	117 a	Maintain files and electronic records	Administration	MPD12 Student file checklist (preapprenticeship)	None
Quality and continuous improvement	Records, document and information management	-	118	Maintain the security of records, documents and premises	Administration		None
Quality and continuous improvement	Records, document and information management	-	119	Archive files	Administration		
Quality and continuous improvement	Records, document and information management	-	119 a	Retain and destroy archive materials	Administration/RTO Operations Manager		
Quality and continuous improvement	Records, document and information management	-	120	Maintain version control of documents	RTO Operations Manager	MPR61 Document register	
Quality and continuous improvement	Financial management	-	121	Receive payments from creditors (RTO only)	Administration		
Quality and continuous improvement	Financial management	-	122	Pay general debtors	Finance		

Category	Policy and procedure	Group	No.	Procedure	Responsibility	Document(s) to access	Form(s) to use
Quality and continuous improvement	Financial management	-	123	Pay wages	Finance		Payslip, Payables approval Excel spreadsheet
Quality and continuous improvement	Financial management	-	124	Pay tax	Finance		Business activity statement
Quality and continuous improvement	Financial management		125	Pay superannuation	Finance		Payables approval Excel spreadsheet
Quality and continuous improvement	Financial management	-	126	Reconcile bank statement and prepare a monthly financial report	Finance		Receivables reconciliation, balance sheet and profit and loss statement
Quality and continuous improvement	Financial management	-	127	Organise audit and tax return	Finance		None
Quality and continuous improvement	Information dissemination and marketing	-	128	Develop marketing materials	General Manager Training and Industry Development		None
Quality and continuous improvement	Information dissemination and marketing		129	Using student images or quotations	Administration		*MPF66 Marketing materials approval*
Quality and continuous improvement	Information dissemination and marketing		130	Using your picture or words	Student		*MPF66 Marketing materials approval*

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Forms and documents

Note: Master Plumbers uses training facilities and services provided by PICAC, where services are provided in common then the documents and forms are identified as PremDxx or PremFxx, all others are identified as MPDxx or MPFxx.

Forms

Group	Form
Health, safety and rights	PremF01 Incident Hazard report
	PremF02 Designated first aiders
	PremF03 Incident/Injury Form
	PremF04 Investigation of injury report
Students	MPF10 Course enrolment
	MPF11 Acceptance Letter of course enrolment
	MPF11a Acceptance letter of preapprenticeship course enrolment
	MPF12 Letter for Non-acceptance of course enrolment
	MPF13 Student Induction Checklist
	MPF14 Preapprenticeship application acknowledgement letter
	MPF14a Invitation to attend course selection interview letter
	MPF15 Application to withdraw from study
	MPF16 Copyright permission and release form
	MPF17 Application for Refund
	MPF04 Request for student information / re-issue Certificate
Staff members	MPF20 Employment contract
	MPF21 Trainer/Assessor Sills Matrix
	MPF23 Staff induction checklist
	MPF25 Direct supervision arrangement
	MPF25a Direct supervision report
	MPF26 Staff performance appraisal
	MPF27 Staff File Checklist

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Training, assessment, credit and qualifications	MPF30 Delivery and Assessment Strategy
	MPF31 Plant and equipment matrix
	MPF32 Assessment matrix sample
	MPF33 Assessment guide template
	MPF33A Practical assessment template
	MPF35 Training plan (VETtrak)
	MPF34 Session plan template
	MPF36 Assessment validation moderation
	MPF37 Application for national recognition (credit transfer)
	MPF40 Assessment record
	MPF41 Student course evaluation
	MPF42 Trainer/assessor course evaluation
	MPF43 Employer course evaluation
	MPF46 Professional Development Plan
	MPF47 RPL Application Form
Complaints and appeals	MPF50 Complaint / Appeal Form
Quality and continuous improvement	MPF60 Continuous improvement form
	MPF66 Marketing materials approval

Documents

Group	Document
Health, safety and rights	PremD01 Emergency evacuation notice
	PremD02 First aid manual
Students	MPD10 Learner Handbook
	MPD11 Student support and welfare resources
	MPD12 Student file checklist (preapprenticeship)
	MPD14 Fees and payments schedule
	MPD34 LLN test (Certificate II, Certificate III level)
Staff members	MPD22 Trainer/Assessor handbook
Quality and continuous improvement	MPD61 Policies and procedures

Registers

Group	Register
Quality and continuous improvement	MPR60 Risk register
	MPR61 Document register
	MPR62 Complaints and appeals register
	MPR64 Continuous improvement register
Staff members	MPR21 Professional development register
	MPR63 Trainers register

PICAC Premises documents and forms

Group	Document
Health, safety and rights	PremD01 Emergency evacuation notice
	PremD02 First aid manual
	PremF02 Designated first aiders
	PremF03 Incident/injury report
	PremF04 Investigation of injury report

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Officer responsibilities/duties index

Category	Policy and procedure	No.	Procedure
Administration			
Health, safety and rights	Privacy	8	Give a student access to their file
Students	Student enrolment, orientation and support	11	Maintain Student Management System
Students	Student enrolment, orientation and support	12	Respond to a request to enrol
Students	Student enrolment, orientation and support	13a	Process an expression of interest / request to enrol
Students	Fees, charges and enrolment status changes	29	Invoice and collect a student's fees
Students	Fees, charges and enrolment status changes	31	Process a cancellation, withdrawal, deferment or substitution request
Training, assessment, credit and qualifications	Training and assessment strategies	53	Maintain a course resource library
Training, assessment, credit and qualifications	Credit	58	Process a credit transfer application
Training, assessment, credit and qualifications	Credit	60	Advise an applicant of a credit transfer decision
Training, assessment, credit and qualifications	Credit	63	Process an RPL application
Training, assessment, credit and qualifications	Credit	66	Advise an applicant of a RPL decision
Training, assessment, credit and qualifications	Training and assessment delivery	70	Prepare a trainer's package
Training, assessment, credit and qualifications	Training and assessment delivery	80	Enter results in Student Management System and finalise the course
Training, assessment, credit and qualifications	Training and assessment delivery	81	Survey employers
Training, assessment, credit and qualifications	Training and assessment delivery	82	Input course evaluation and survey data
Training, assessment, credit and qualifications	Training and assessment delivery	83	Organise sign-off for a competency-based completion (Apprenticeship Only)
Training, assessment, credit and qualifications	Qualifications / statements of attainment	86	Prepare a qualification or statement of attainment
Training, assessment, credit and qualifications	Qualifications / statements of attainment	87	Reissue a qualification or statement of attainment
Quality and continuous improvement	Records, document and information management	117a	Maintain files and electronic records
Quality and continuous improvement	Records, document and information management	118	Maintain the security of records, documents and premises
Quality and continuous improvement	Records, document and information management	119	Archive files

Category	Policy and procedure	No.	Procedure
Quality and continuous improvement	Records, document and information management	119a	Retain and destroy archive materials
Quality and continuous improvement	Financial management	121	Receive payments from creditors (RTO only)
Quality and continuous improvement	Financial management	126	Reconcile bank statement and prepare a monthly financial report (RTO only)
Quality and continuous improvement	Information dissemination and marketing	129	Using student images or quotations
Quality and continuous improvement	Information dissemination and marketing	131	Disseminate information

All staff

Category	Policy and procedure	No.	Procedure
Health, safety and rights	Occupational health and safety	5	Conduct an emergency evacuation
Complaints and appeals	Complaints and appeals	88a	Respond to an informal complaint
Complaints and appeals	Complaints and appeals	89	Respond to a formal complaint
Quality and continuous improvement	Risk management	96	Monitor your own work for risk management
Quality and continuous improvement	Continuous improvement	102	Monitor your own work for continuous improvement

Designated First Aider

Category	Policy and procedure	No.	Procedure
Health, safety and rights	Occupational health and safety	6	Provide first aid

Finance

Category	Policy and procedure	No.	Procedure
Quality and continuous improvement	Risk management	98	Maintain insurance policies
Quality and continuous improvement	Risk management	100	Monitor the risk register
Quality and continuous improvement	Governance	110	Develop and monitor a business plan
Quality and continuous improvement	Governance	111	Develop and monitor an annual budget
Quality and continuous improvement	Governance	112	Delegate authority for payments
Quality and continuous improvement	Records, document and information management	117	Maintain company documents
Quality and continuous improvement	Financial management	122	Pay general debtors
Quality and continuous improvement	Financial management	123	Pay wages
Quality and continuous improvement	Financial management	124	Pay tax
Quality and continuous improvement	Financial management	125	Pay superannuation
Quality and continuous improvement	Financial management	127	Organise audit and tax return

Category	Policy and procedure	No.	Procedure
General Manager Training and Industry Development			
Health, safety and rights	Privacy	10	Authorise access to Student Management System
Students	Student enrolment, orientation and support	23	Provide welfare support and referral to a student
Students	Fees, charges and enrolment status changes	28	Determine a course fees and payments schedule
Students	Student misconduct, attendance and discipline	34	Implement action to address further student misconduct
Staff members	Staff recruitment, induction and exit	36	Advertise for, and interview, applicants
Staff members	Staff recruitment, induction and exit	37	Appoint a preferred applicant
Staff members	Staff recruitment, induction and exit	38	Induct a staff member
Staff members	Staff recruitment, induction and exit	39	Conduct an exit interview
Staff members	Staff performance monitoring, appraisal and professional development	43	Prepare for a performance appraisal
Staff members	Staff performance monitoring, appraisal and professional development	44	Conduct a performance appraisal
Staff members	Staff performance monitoring, appraisal and professional development	45	Conduct a staff meeting
Staff members	Staff misconduct and discipline	48	Determine action to address staff misconduct/ incompetence
Staff members	Staff misconduct and discipline	49	Implement action to address further staff misconduct/incompetence
Quality and continuous improvement	Governance	109	Provide induction for senior officers
Quality and continuous improvement	Information dissemination and marketing	128	Develop marketing materials
RTO Operations Manager			
Health, safety and rights	Occupational health and safety	4	Investigate and document accidents, near misses and injuries
Students	Student enrolment, orientation and support	14	Develop a training plan for a student
Students	Student enrolment, orientation and support	20	Maintain a list of support and welfare services
Students	Student enrolment, orientation and support	22	Provide educational support and referral to a student
Students	Student enrolment, orientation and support	26	Report suspicion of child abuse
Students	Student misconduct, attendance and discipline	33	Determine action to address student misconduct
Staff members	Trainer / assessor supervision	40	Prepare a direct supervision arrangement

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Category	Policy and procedure	No.	Procedure
Staff members	Trainer / assessor supervision	41	Induct the person
Staff members	Staff performance monitoring, appraisal and professional development	46	Conduct a bi-monthly trainers/assessors meeting
Staff members	Staff performance monitoring, appraisal and professional development	47	Identify, address and monitor professional development needs
Training, assessment, credit and qualifications	Training and assessment strategies	50	Develop a delivery and assessment strategy
Training, assessment, credit and qualifications	Training and assessment strategies	54	Monitor and act on changes to Training Packages
Training, assessment, credit and qualifications	Training and assessment strategies	56	Review a training and assessment strategy
Training, assessment, credit and qualifications	Credit	68	Manage an application for articulated pathways credit
Training, assessment, credit and qualifications	Training and assessment delivery	69	Develop a course calendar
Training, assessment, credit and qualifications	Training and assessment delivery	85	Confirm qualifications or statement of attainment result
Complaints and appeals	Complaints and appeals	90	Hear a verbal complaint
Complaints and appeals	Complaints and appeals	91	Resolve a complaint internally
Complaints and appeals	Complaints and appeals	92	Resolve a complaint externally
Complaints and appeals	Complaints and appeals	94	Consider a student's appeal
Quality and continuous improvement	Risk management	97	Monitor legislative and regulatory changes
Quality and continuous improvement	Risk management	99	Monitor data for risk management
Quality and continuous improvement	Risk management	101	Conduct an internal audit
Quality and continuous improvement	Continuous improvement	104	Monitor data for continuous improvement
Quality and continuous improvement	Continuous improvement	105	Implement a continuous improvement action
Quality and continuous improvement	Continuous improvement	106	Review and update policies and procedures
Quality and continuous improvement	Continuous improvement	107	Monitor the continuous improvement register
Quality and continuous improvement	Continuous improvement	108	Prepare a quality indicator annual summary report
Quality and continuous improvement	Assessment validation/moderation	113	Plan an assessment validation/moderation meeting
Quality and continuous improvement	Assessment validation/moderation	114	Prepare for an assessment validation/moderation meeting
Quality and continuous	Assessment validation/moderation	115	Facilitate an assessment

Category	Policy and procedure	No.	Procedure
improvement			validation/moderation meeting
Quality and continuous improvement	Assessment validation/moderation	116	Moderate student's results
Quality and continuous improvement	Records, document and information management	120	Maintain version control of documents

OHS Officer (PICAC)

Category	Policy and procedure	No.	Procedure
Health, safety and rights	Occupational health and safety	1	Conduct hazard audits
Health, safety and rights	Occupational health and safety	2	Implement fire and emergency precautions
Health, safety and rights	Occupational health and safety	3	Maintain first aid arrangements

Student

Category	Policy and procedure	No.	Procedure
Health, safety and rights	Occupational health and safety	7	How to help with occupational health and safety
Health, safety and rights	Privacy	9	How to get access to your file
Students	Student enrolment, orientation and support	15	Your application to enrol
Students	Student enrolment, orientation and support	17	Your orientation
Students	Student enrolment, orientation and support	19	Your language, literacy and numeracy test
Students	Student enrolment, orientation and support	21	Support and welfare services
Students	Student enrolment, orientation and support	24	How to get educational or welfare support and referral
Students	Student enrolment, orientation and support	27	If you are under 18
Students	Fees, charges and enrolment status changes	30	Paying your fees
Students	Fees, charges and enrolment status changes	32	If you want to cancel, withdraw or defer
Students	Student misconduct, attendance and discipline	35	If you engage in misconduct
Training, assessment, credit and qualifications	Training and assessment strategies	55	If your Training Package changes
Training, assessment, credit and qualifications	Credit	61	If you want to apply for credit transfer
Training, assessment, credit and qualifications	Credit	67	If you want to apply for recognition of prior learning
Training, assessment, credit and qualifications	Credit	67a	If you apply for an assessment only pathway
Training, assessment, credit and qualifications	Training and assessment delivery	83	During your training and assessment
Training, assessment, credit and qualifications	Training and assessment delivery	84	About your assessment

Category	Policy and procedure	No.	Procedure
Training, assessment, credit and qualifications	Qualifications / statements of attainment	88	If you want us to reissue your qualification / statement of attainment
Complaints and appeals	Complaints and appeals	93	How to make an informal complaint
Complaints and appeals	Complaints and appeals	93a	How to make a formal complaint
Complaints and appeals	Complaints and appeals	95	How to appeal an assessment decision or the resolution of a complaint internally
Complaints and appeals	Complaints and appeals	95a	How to appeal an assessment decision or the resolution of a complaint externally
Quality and continuous improvement	Continuous improvement	103	Help us improve our services
Quality and continuous improvement	Information dissemination and marketing	130	Using your picture or words

Trainer/Assessor

Category	Policy and procedure	No.	Procedure
Students	Student enrolment, orientation and support	13	Undertake preapprenticeship interviews
Students	Student enrolment, orientation and support	16	Organise and conduct a student orientation session (All courses)
Students	Student enrolment, orientation and support	18	Assess a student for LLN before classes start
Students	Student enrolment, orientation and support	25	Provide support to a student under 18
Staff members	Trainer / assessor supervision	42	Supervise and evaluate the person
Training, assessment, credit and qualifications	Training and assessment strategies	51	Develop the course training plan
Training, assessment, credit and qualifications	Training and assessment strategies	52	Develop course resources and equipment
Training, assessment, credit and qualifications	Credit	57	Brief an applicant for credit transfer
Training, assessment, credit and qualifications	Credit	59	Assess a credit transfer application
Training, assessment, credit and qualifications	Credit	62	Brief an applicant for RPL
Training, assessment, credit and qualifications	Credit	64	Organise and conduct an RPL interview
Training, assessment, credit and qualifications	Credit	65	Make an RPL decision
Training, assessment, credit and qualifications	Training and assessment delivery	71	Prepare for the session
Training, assessment, credit and qualifications	Training and assessment delivery	72	Check the venue for OHS
Training, assessment, credit and qualifications	Training and assessment delivery	73	Start the session
Training, assessment, credit and qualifications	Training and assessment delivery	74	Explain assessment activities to students
Training, assessment, credit	Training and assessment delivery	75	Conduct assessment activities

Category	Policy and procedure	No.	Procedure
and qualifications			
Training, assessment, credit and qualifications	Training and assessment delivery	76	Record an assessment decision
Training, assessment, credit and qualifications	Training and assessment delivery	77	Advise a student of an assessment decision
Training, assessment, credit and qualifications	Training and assessment delivery	78	Secure the venue and equipment
Training, assessment, credit and qualifications	Training and assessment delivery	79	Finalise the session
Quality and continuous improvement	Risk Management	101a	Comply with legislation

Introduction

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Introduction

These policies and procedures are a key way that Master Plumbers and Mechanical Services Association of Australia (Master Plumbers) implements its commitment to continuous improvement.

The policies provide clear statements about how Master Plumbers directors and staff, its students and others who represent it, must act in particular situations. The procedures specify how staff will implement Master Plumbers policies.

Master Plumbers disseminates its policies and procedures to all relevant people, and provides induction, orientation and training in how to apply them. This lays the basis for consistent, quality actions in line with Master Plumbers requirements.

The policies and procedures embed the accumulated wisdom of what constitutes quality performance, not just at Master Plumbers but throughout the vocational education and training sector. This wisdom is not static, but continues to grow and change. All policies have mechanisms to monitor their implementation and gather data about their effectiveness, analyse it and improve Master Plumbers' performance. This is continuous improvement in action, and a key aspect of how Master Plumbers operates.

Master Plumbers mission

The Master Plumbers vision is a strong, respected and sustainable plumbing industry.

The Master Plumbers mission is to provide representation and services to support the success of our members, the future of the plumbing industry and the health of the community.

Master Plumbers values

Master Plumbers expects all those to whom its policies and procedures apply to do the following.

Impartiality

- Treat all people equally, fairly, and with respect.
- Base actions, decisions and advice on all relevant evidence.
- Implement Master Plumbers policy and procedures equitably.

Integrity

- Maintain students', trainers' and assessors' trust by acting in their interests, and in Master Plumbers' interests.
- Report any behaviour that contravenes Master Plumbers policies.

Accountability

- Achieve results through the best use of Master Plumbers' financial, physical, human resources, and through student participation

Responsiveness

- Provide services promptly.
- Provide information to which a person is entitled, promptly and in an appropriate form.
- Provide information that is accurate, current and complete.

Master Plumbers and PICAC

Master Plumbers, together with the Plumbing Trades Employees Union, formed the Joint Plumbing Training Fund (JPTF) in 2006. The purpose of this fund is to provide quality, industry relevant and current practices training for eligible members of the plumbing industry. As a part of this service, the JPTF created the Plumbing Industry Climate Action Centre (PICAC).

PICAC is a purpose designed and built training facility in Brunswick offering state of the art training facilities.

The workshops and practical areas are regularly updated with the latest industry equipment and services thus ensuring that all training is clearly meeting the latest industry standards.

PICAC provides common services and facilities to the following five separate registered training organisations:

RTO Name	TOID
Master Plumbers and Mechanical Services Association of Australia	**3937**
CEPU (Plumbing Division) Education and Training Centre Ltd	4612
Air Conditioning and Mechanical Contractors' Association of Victoria Limited	5139
Fire Industry Training Pty. Ltd.	22101
Plumbing Industry Climate Action Centre (PICAC) Ltd	22556

There are contractual relationships in place for certain facilities and services to be provided to all the RTOs.

Where the following policies and procedures are supported by either a common PICAC Service or a common PICAC facility on the *premises*, the associated documents and forms are identified with the prefix 'Prem'; e.g. the Incident Hazard form is numbered 'PremF03 Incident/Injury form'

Application of policies and procedures

Master Plumbers policies apply to the Master Plumbers Board of Directors and all workplace and training participants—whether they are full- and part-time, casual and volunteers—including:

- General Manager Training and Industry Development
- managers
- administrators
- trainers and assessors that Master Plumbers employs, and those who deliver through partnership arrangements or through team / collaborative arrangements
- contractors

- consultants

- trainees and apprentices

- work experience students

- visitors.

The day to day running of the RTO is delegated to the General Manager Training and Industry Development by the Chief Executive Officer.

Master Plumbers' policies apply:

- on Master Plumbers' premises, or other premises where it offers training, assessment or related services

- in work vehicles

- at work functions

- at external training and professional development activities

- at conferences, seminars and similar functions

- in other work-related environments.

Master Plumbers' policies cover standard work hours and extend to unpaid time where a person is representing or otherwise identifying with Master Plumbers.

The Master Plumbers officer to which each procedure applies is stated in the procedure.

Any person concerned about breaches of Master Plumbers' policies should raise the matter with the General Manager Training and Industry Development. In particular, they must not ignore, allow, permit, aid, encourage, foster, reward or instruct any form of unlawful behaviour. The General Manager Training and Industry Development will investigate any matter raised and take action on it, confidentially and respecting the person's wishes, in line with Master Plumbers' procedures. In the event the General Manager Training and Industry Development is unable to resolve the issue it will be escalated to the Chief Executive Officer.

Health, safety and rights

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Occupational health and safety

Policy

Master Plumbers recognises its moral and legal responsibilities under occupational health and safety (OHS) legislation to provide a safe and healthy work environment. The law also allocates responsibility to the people to who this policy applies to ensure a safe and healthy environment.

NOTE: Occupational Health and Safety (OHS) is also known as Workplace Health and Safety (WHS) under federal legislation. This legislation has not be enacted in Victoria and the existing legislation refers to Occupational Health and Safety. Master Plumbers uses the term OHS in all its current policies and procedures.

Master Plumbers will:

- provide a safe and healthy workplace and working conditions
- provide training to enable all staff to work safely
- comply with all relevant legislation and industry standards
- provide support and assistance to staff and students
- provide adequate resources to aid staff and students to fulfil their responsibilities (including first aid boxes and *PremD02 First aid manual* available to staff and students)
- record and investigate all reported injuries, accidents and near misses, and take action to prevent them recurring
- ensure that appropriate return to work programs are available to staff that require them
- conduct regular hazard audits of its premises and of any external training venue reviews.

The delivery and assessment of all programs incorporates relevant OHS requirements. Master Plumbers has OHS procedures specific to the delivery and assessment of its programs.

While at work, all Master Plumbers staff will:

- take reasonable care to ensure all health and safety procedures are implemented at all times
- identify and support measures to eliminate or minimise unsafe conditions
- assume personal responsibility for their own safety and for those of other work colleagues by always operating in a safe and appropriate manner.

Master Plumbers prohibits smoking, except in designated smoking areas, and the possession and use of alcohol and/or illegal drugs, on its premises.

Procedures

Under the service agreement between Master_Plumbers and PICAC some of these requirements are delegated to PICAC as the party responsible for the premises.

1.   *Conduct hazard audits*

OHS Officer (PICAC)

- Use *PremF01 OHS Hazard identification* to note all details of implementation of this procedure.

- Conduct hazard audits at least quarterly.

- Identify all hazards by:
    - examining all areas of the premises including fixtures, fittings and furniture
    - testing all electrical equipment
    - check all delivery and assessment resources and equipment.

- If possible, take immediate action to rectify hazards (for example, by clearing obstructions from fire exits).

- Mark remaining hazards with appropriate signs.

- Note on *PremF01 OHS Hazard identification* the action you took to address each hazard.

- The *PremF01 OHS Hazard identification* to be filed in PICAC risk register and made available to Master Plumbers RTO Operations Manager.

2.   *Conduct hazard audits*

All staff

- Be observant of and report on any OHS risks or hazards identified in specific areas of training and assessment that may occur outside regular PICAC audit.

- Complete *PremF01 OHS Hazard identification* and provide copy to OHS Officer (PICAC) and RTO Operations Manager.

3.   *Implement fire and emergency precautions*

OHS Officer (PICAC)

- Work with the PICAC Facility Manager to obtain regular checks of all fire detection, prevention and fire-fighting equipment.

- Conduct training in the use of fire-fighting equipment with all staff.

- Schedule an emergency evacuation drill with all staff.

- Ensure *PremD01 Emergency evacuation notice* is up-to-date and copies are prominently displayed around the venue.

- At least every quarter, use the **Disseminate information** procedure to advise staff members and students that they must not touch or disturb anything at the scene of an accident, near miss or injury until the Occupational Health and Safety Officer has investigated it.

4. *Maintain first aid arrangements*

OHS Officer (PICAC)

- Use *PremF02 Designated first aiders* to note all details of implementation of this procedure.

- Every six months, create a roster of designated first aiders.

- Give the RTO Operations Manager the *PremF02 Designated first aiders* - information to be disseminated at next staff meeting

- Ensure the first aid boxes (with a *PremD02 First aid manual* and *PremF03 Incident/injury report*) located around the venue are accessible at all times, and clearly marked.

- Maintain an inventory of first aid supplies.

- Check and replace first aid supplies against the inventory, at least monthly.

- File the *PremF02 Designated first aiders* on the First aid file.

5. *Investigate and document accidents, near misses and injuries*

RTO Operations Manager

- Use *PremF03 Incident/injury report* to note all details of implementation of this procedure.

- Ensure the scene of the incident remains untouched until the investigation finishes.

- Advise the General Manager Training and Industry Development of the incident as soon as practicable.

- Advise the CEO PICAC of the incident as soon as practicable

- Take a statement from the person or people directly affected in the incident (for example, an injured or nearly injured person).

- Take statements from all witnesses to the incident.

- Reconstruct the sequence of events that lead to the incident.

- If possible, identify the causes of the incident.

- Note on *PremF03 Incident/injury report*:
  - date, time and place of the incident
  - type (accident, near miss or injury) and description of the incident
  - sequence of events that lead to incident and its causes
  - affected person(s) and witness statements.

- Complete a *PremF04 Investigation of injury report.* File completed copy in Master Plumbers Injury Report folder and update injury register. Provide copy to PICAC for information.

- Report accidents / injuries as appropriate to WorkSafe.

6. *Conduct an emergency evacuation*

All staff

- Make sure emergency exits are kept clear at all times: if they are not, notify the OHS Officer (PICAC) immediately.

- Be familiar with emergency exits, assembly points, and path between them.
- Use *PremF03 Incident/injury report* to note all details of the remaining points in this procedure.
- If you are trained to use fire-fighting equipment use the equipment if it will contain a fire.
- Supervise all people in the venue to implement the instructions on the *PremD01 Emergency evacuation notice*, including:
    - keep people moving calmly and quickly to the assembly point, ensure everyone vacates the building, and prevent people from re-entering the building until safe to do so
    - help people with special needs during the evacuation
    - use the Student Management System Occurrence attendance report or class roll to check all students are accounted for, and confirm that all staff are also accounted for.
- Give the RTO Operations Manager the *PremF03 Incident/injury report, with a copy to PICAC*.

7.   Provide first aid

Designated First Aider

- Use *PremF03 Incident/injury report* to note all details of implementation of this procedure.
- Provide first aid assistance as required.
- Provide a quiet and private place for a person to rest, if required.
- Refer a person to medical services, if necessary.
- Give the RTO Operations Manager the *PremF03 Incident/injury report*.

8.   How to help with occupational health and safety

Student

- Read the *PremD01 Emergency evacuation notices* prominently displayed around the venue.
- Be familiar with emergency exits, assembly points, and path between them.
- If you are at the scene of an accident, near miss or injury, you must not touch or disturb anything, until the Occupational Health and Safety Officer has investigated it.
- If you witness, or are involved in, an accident, near miss or injury, the Occupational Health and Safety Officer might need you to make a statement.
- If we need to conduct an emergency evacuation:
    - obey all instructions from the coordinating staff member
    - keep moving calmly and quickly to the assembly point
    - do not re-enter the building until a staff member says it is safe to do so.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Access and equity

Policy

Master Plumbers complies with the principles of the following legislation:

- *Charter of Human Rights and Responsibilities Act 2006* (Victoria) and
- *Equal Opportunity Act 2010 (Victoria)* and
- *Crimes Amendment (Bullying) Bill 2011*(Victoria) known as Brodie's Law

Discrimination

Discrimination includes:

- **direct discrimination**, which is to treat someone less favourably due to a personal attribute, characteristic or circumstance protected by law
- **indirect discrimination**, which is to apply a policy, rule or practice that appears fair and neutral, but results in one person (or a group of people) being treated less favourably or suffering detriment, due to any of the characteristics below
- **systemic discrimination**, which is a culture and/or practices of an organisation of entrenched discriminatory thinking and decision making. These things can arise, over time, when discrimination due to any of the characteristics below is not challenged and becomes institutionalised.

It is illegal to discriminate against the person on the basis of:

- age
- breastfeeding
- childless or a de facto spouse
- gender identity
- impairment (including physical impairment, mental illness, mental retardation)
- industrial activity
- lawful religious or political belief or activity
- lawful sexual activity
- marital status
- parental status
- physical features
- pregnancy
- race (including colour, nationality, ethnic or national origin)
- sex
- sexual orientation
- status as a carer
- personal association with persons having any of the above attributes.

Bullying and harassment can be discrimination when they happen against a person on the basis of the above characteristics. Bullying and harassment can be verbal, physical or in writing, and

includes behaviour that intimidates, degrades or humiliates another person. In most cases, it is persistent and happens over a period of time, but can also be a one-off event. It includes:

- publicly humiliating someone
- verbal abuse
- spreading malicious rumours or gossip
- single or multiple incidents
- written or verbal statements and gestures
- graffiti
- initiation practices.

Bullying and harassment can also occur outside work time and the workplace (such as at an external training conference, a work social activity or via social media.

Sexual harassment

Sexual harassment is unwanted, unwelcome or uninvited behaviour of a sexual nature that results in a person or a group of people feeling humiliated, intimidated or offended. It is unlawful to sexually harass someone in the workplace, or in any other work-related context.

Sexual harassment is illegal.

Sexual harassment can take many different forms including physical contact, gestures, verbal comments, the display of offensive material and uninvited intimacy. It may be the result of a single incident, or of continuous behaviour. It can also include behaviour and practices that create a sexually hostile, sexually intimidating or sexually permeated environment. Sexual harassment can be blatant, subtle or covert. It can be pre-meditated or impromptu behaviour. It can be from male to male, male to female, female to female, or female to male. Sexual orientation is irrelevant. It is the nature of the behaviour and its impact that is assessed. Intent is irrelevant.

Examples of sexual harassment include, but are not limited to:

- taking inappropriate photographs
- stalking and delivering anonymous gifts or messages
- continued requests for dates
- unwelcome sexual advances, requests for sexual favours or sexual propositions
- unwelcome comments about a person's sex life or physical appearance
- suggestive behaviour (such as staring, leering, ogling or inappropriate gestures)
- uninvited intimacy or physical contact (such as pinching, brushing up against a person, slapping, touching, kissing, cuddling or fondling)
- sexually offensive comments, taunts, slurs, jokes, innuendo or anecdotes
- sexually offensive material (such as screensavers, photographs, pin-ups or calendars, music, DVDs, YouTube, reading matter, pornography or inappropriate objects)
- sexually offensive communications (such as inappropriate letters, emails, phone calls, Skype contact, text messages, blogs, Twitter, Facebook, online chat or internet posts)
- indecent exposure, public masturbation, molestation, sexual assault and rape.

Sexual harassment is not consenting adult behaviour resulting from mutual attraction or respectful friendship. People to whom this policy applies who are involved in consensual relationships should always ensure that their behaviour is appropriate and professional at work, and in work-related environments, ensuring respect for their colleagues.

If a consensual relationship ends and one party attempts to rekindle the relationship at work or in a work-related environment, any unwelcome behaviour can amount to sexual harassment.

Victimisation

Victimisation means subjecting a person to some form of detriment because they have:

- lodged a complaint of discrimination or sexual harassment
- provided information or documents regarding a complaint
- attended a conciliation conference at the Victorian Equal Opportunity and Human Rights Commission
- attended a compulsory conciliation at the Victorian Civil and Administrative Tribunal
- reasonably asserted their rights, or supported someone else's rights, under anti-discrimination laws
- refused to discriminate against another person, victimise or sexually harass them
- made an allegation that a person has acted unlawfully under anti-discrimination laws
- brought any proceeding under the *Equal Opportunity Act 2010*.

Victimisation is illegal, and Master Plumbers will not tolerate it.

Racial and religious vilification

Racial and religious vilification is illegal. It includes such things as:

- making racist comments in a publication, including on the internet and by email
- making public statements at a meeting or at a public rally that incite hatred of people of a particular race or religion
- writing racist graffiti or displaying racist posters or stickers.

By law, vilification does not include an act done in private (for example, a private discussion you would not expect other people to overhear). However, the workplace is a public place. Master Plumbers will not tolerate racial or religious vilification in any context in which its policies apply.

Disability

Master Plumbers supports people with a physical or intellectual disability to fully access its employment opportunities and training programs, as fully and independently as possible.

Master Plumbers:

- expects staff to have informed, inclusive and non-discriminatory attitudes to the needs of students with a disability
- makes reasonable adjustments in its workplace, training venue, service delivery, operations and resources in order to cater for people with a disability
- consults with people with a disability about matters relating to their disability

- makes workplace adjustments for people with a disability as appropriate

- encourages students with a disability to discuss their needs, when they enrol

- allows carers or interpreters to accompany students with a disability, free of charge

- provides resources to help students with a disability get maximum value from their programs.

Bullying

Master Plumbers will not tolerate bullying in any form. It is now a criminal offence (punishable by up to 10 years imprisonment) for individuals to be bullied.

- The definition of bullying includes physical bullying, psychological bullying, verbal bullying and cyberbullying.

- The legislation covers bullying anywhere in the community, such as workplaces, schools, sporting clubs and on the internet including email or social networking sites such as Facebook and Twitter.

- Bullying is often characterised by a course of conduct that can include behaviour such as threats and abusive and offensive words or conduct. Serious bullying may also include conduct or behaviour that is intended, or could reasonably be expected, to cause the victim of the bullying to engage in suicidal thoughts or thoughts or actions that involve self-harm.

Extracted from
http://www.justice.vic.gov.au/home/safer+communities/crime+prevention/bullying+-+brodies+law

Procedures

Master Plumbers deals with complaints about discrimination, sexual harassment, victimisation and vilification under its **Complaints and appeals policy and procedures**. These cover:

- hearing complaints about discrimination, sexual harassment, victimisation and vilification from staff and students

- providing support and counselling as appropriate

- take action on complaints received

- documenting details of complaints, the actions taken, and outcomes.

For serious breaches of behaviour that contravene the legislation (e.g. Bullying), Master Plumbers will report the matter to the police or other appropriate authority.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Privacy

Policy

Master Plumbers complies with the principles of the *Information Privacy Act 2000* (Victoria), including:

- only collecting information with the knowledge and consent of the person

- only using personal information for the purposes for which it was collected

- not disclosing, reselling, distributing to or sharing personal information with, a third party without the prior written consent of the person

- not disclosing personal information to state institutions or authorities except as required by law or regulation

- ensuring that demographic and other statistical information is not linked to any personal information that can disclose the identity of a person

- using, from time to time, a person's contact details to provide them with information about its programs or activities.

The Student Management System student records management system is password-protected. Only the General Manager Training and Industry Development, Administration and Administration are authorised to use it.

A person can gain access to the personal information Master Plumbers holds about them by making a request in writing, detailing the information they seek, and by providing proof of their identity.

After reviewing this information, a person can provide, in writing, any corrections which in their view should be made to the information that Master Plumbers holds about them.

The Master Plumbers website does not use cookies (a piece of data stored on a user's hard drive containing information about them) and Master Plumbers does not plan to use them in future.

The Master Plumbers website may contain links to other sites. Master Plumbers is not responsible for the accuracy or the privacy practices of such sites.

Master Plumbers advises visitors to its website that, when they follow a link to another website from the Master Plumbers website, they should read the privacy statements of each and every website which collects identifiable personal information.

Procedures

8.   *Give a student access to their file*

Administration

- Use *MPF04 Request for student information* to note all details of implementation of this procedure.

- On request, advise the student that their request must be made in writing, on a *MPF04 Request for student information* which they can download from www.training.plumber.com.au Advise the student they must bring the completed

MPF04 Request for student information personally to the office, with proof of their identity (such as a current and valid driver's license, learner's permit or passport).

- Clarify with the student any uncertainty about their request to information, such as exactly what information they want.

- When a student attends the office, verify their identity.

- Photocopy relevant information for the student, if they wish, and return the information to the file.

- On the *MPF04 Request for student information*, write your signature, the details of the identification shown, the information you provided access to, and the date you provided it.

- File the *MPF04 Request for student information* in the student's file.

9.   *Get access to your file*

Student

- Download *MPF04 Request for student information* from www.training.plumber.com.au.

- Bring the request personally to the office, with proof of your identity (such as a current and valid driver's license, learner's permit or passport).

- The office will photocopy relevant information for you.

10.   *Authorise access to the Student Management System*

General Manager Training and Industry Development

- The General Manager Training and Industry Development is to provide access to the Student Management System only to staff that need access to this confidential information.

- Each person given access must be reminded of their responsibility under the Privacy Act and also their responsibility to respect the RTOs Intellectual Property (and that it is a part of their contract of employment) and that failure to do so may result in disciplinary action.

- General Manager Training and Industry Development will assign an organisational specific user login and password for each authorised person (following the *VETtrack user manual*, or by contacting VETtrak).

- Tell the authorised person the log-in.

- Tell the authorised user the password and request them to memorise it.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Students

Student enrolment, orientation and support

Policy

Master Plumbers' number one focus is on our students. We aim to help every student reach their full potential with their training program. We offer all students comprehensive information and advice before they enrol and during enrolment; an orientation before they start their course; and a wide range of support services during their course.

Pretraining Review

Master Plumbers' undertakes pretraining reviews for all funded programs on its scope of registration. The pretraining review is intended to identify skills that may be eligible for recognition through the Credit Transfer arrangements in place. The pretraining review also identifies potential literacy and numeracy issues that could prevent the applicant from successfully completing the chosen area of study.

Master Plumbers' acknowledges that for apprentices the outcome of a pretraining review at induction may identify concerns regarding the capacity and therefore suitability of the apprentice to undertake training. In such circumstances Master Plumbers' is obliged to communicate their concerns to the employer.

The pretraining review will:

- identify eligibility for Credit Transfer of units of competency
- determine the suitability of the intended training based on the applicant's expectations, career objectives and ability
- outline the learning strategies and materials andf ensure they align with the needs and capability of the applicant
- ensure that the LLN abilitiy of the applicant satisfies the entry level requirements for the course of study
- determine and inform the applicant's eligibility for training under the Skills First criteria
- provide the applicant with a detailed Statement of Fees based on the eligibility of the applicant.
- Ensure all training is consistent with the requirements under the Skills First Quality Charter.

Enrolment

Master Plumbers provides students with comprehensive information about:

- entry requirements
- other requirements for their program (such as a materials and personal protection equipment list)
- provide arrangements for credit (from credit transfer, recognition of prior learning or articulation pathways)
- student orientation.

Master Plumbers' enrolment form is AVETMISS-compliant.

Orientation

Master Plumbers conducts orientation sessions for students at the start of their program to:

- introduce them to trainers and staff

- show them our facilities, equipment and resources

- Cover Occupational Health and Safety and Emergency Evacuation Procedures

- confirm government eligibility criteria and collect evidence of eligibility

- answer any questions they may have.

Language, literacy and numeracy

The training and assessment strategy for each course specifies the Australian Core Skills Framework level indicators for learning, reading, writing, oral communication and numeracy.

In pre-enrolment information, Master Plumbers tells students about the language, literacy and numeracy (LLN) requirements of their course:

- **language** is how we communicate by speaking and writing (including the correct use of words), as well as nonverbal ways of communicating (such as by gesture and facial expressions)

- **literacy** is how we use language in all its forms (such as talking, listening, watching, reading and writing)

- **numeracy** is how we use numbers (such as using arithmetic).

Some Master Plumbers students may need LLN support, including students:

- whose first language is not English

- with a disability

- with lower previous education and training achievement

- of Aboriginal and Torres Strait Islander origin.

Master Plumbers aims to identify a student's LLN needs:

- before classes start (in the case of full qualifications)

- at the commencement of classes (in the case of short courses)

- during training/assessment as the trainer/assessor observes them.

Master Plumbers will organise extra support for students participating in training under Skills First funded programs whose LLN level is lower than what is needed, according to the Australian Core Skills Framework level indicators for their course. This may include reasonable adjustments in assessment.

Master Plumbers addresses LLN needs by:

- ensuring that all policies and procedures are written in plain English

- testing its delivery resources and assessment tools with students to ensure they are understandable, and to identify how they can be improved

- ensuring that trainers'/assessors' LLN expectations do not exceed workplace requirements

- providing information in verbal and pictorial forms, as well as written

- organising external LLN support and referral
- allowing interpreters, carers and other helpers to assist students during assessment.

If LLN support is available through a funded program, there will be no cost to the student. If no funded program/support is available, and an LLN specialist is required, the cost will be to the student.

Support

Master Plumbers provides educational support and referral to students undertaking Certificate III training who need it. This may be special help by its own staff, or referral to an external program, for example to help improve their language, literacy and numeracy.

Master Plumbers provides welfare support and referral to students who need it. It publishes in *MPD10 Learner Handbook* information about local support and welfare services. It may provide special help by its own staff or referral to an external program.

A student can contact their trainers/assessor anytime during business hours, or as agreed by the trainer/assessor, by email or mobile phone.

Students under 18

Master Plumbers provides a safe and protective environment for all students, including students under 18 years old. Students under 18 may be less mature or socially skilled than older students and may require:

- greater protection from bullying/harassment
- modelling and teaching of positive social skills, and a greater level of support
- a greater level of care from the trainer/assessor, to assess risk, provide a safe environment and adequate supervision
- learning and assessment tasks most suited to their age group.

A student 17 years old or less who is currently enrolled in a secondary school and who does a Master Plumbers course to contribute to their secondary school course may do so with the written permission of the secondary school principal.

All Master Plumbers RTO staff must have a Working With Children Check.

Master Plumbers staff are required to report suspicion of child abuse (abuse of a young person under 18). This requirement applies if they have a belief on reasonable grounds that a child has suffered, or is likely to suffer, significant harm as a result of physical injury or sexual abuse and the child's parents have not protected, or are unlikely to protect, the child from harm of that type.

Procedures

Enrolment

11. Maintain Student Management System

Administration

- Diarise the expiry date for the annual license with VETtrak for the Student Management System and ensure the license is renewed.

- Check monthly to ensure all data uploaded to Student Management System is complete and accurate.

- If you identify any significant issues with the completeness and/or accuracy of the data, note the details on a *MPF60 Continuous improvement item*.

- Give the RTO Operations Manager the *MPF60 Continuous improvement item*.

12. *Respond to an expression of interest / request to enrol*

Administration

Preapprenticeship qualification

- On receipt of an expression of interest / request to enroll contact learner verbally to discuss application and provide overview of course details, eligibility and processes. Request resume and cover letter if not already supplied. Advise learner how to access website at www.training.plumber.com.au for written course procedures and details.

- If application is received outside of course recruitment period, post *MPF14 Preapprenticeship application acknowledgement letter* advising that application has been received and will be held until next course commences.

- Post *MPF14a Invitation to attend course selection interview letter* detailing interview date, time and interview requirements.

Short course

- On receipt of an expression of interest / request to enroll determine if student can be enrolled in requested course based on remaining places available and/or enrolment requirements.

- If enrolment is possible proceed to **Process an expression of interest/ request to enroll procedure.**

- If enrolment is not possible contact the student to discuss enrolment requirements or alternative course dates.

13. *Undertake a pretraining review*

Trainer

- In undertaking interviews for potential preapprenticeship applications ensure the following information is addressed and appropriate evidence sighted, copied and certified;

- Personal identification documentation as described in the government eligibility document to determine proof of;
  - residency
  - age
- Explanation of government subsidised funding and entitlements

- o Implications for current and future training
- o Australian/ New Zealand citizen, permanent visa holder
- o Under age 20 on January 1 of the year of course commencement
- o Upskilling requirement
- o 2 in a calendar year, 2 at a time, 2 at any level limitations
- Explanation of course fees and refund policy
  - o Hourly tuition fees for government subsidised and ineligible learners
  - o Fee concession and eligibility criteria
  - o Materials fees
  - o Tools costs
  - o Recognition of prior learning (RPL) fees
  - o Withdrawal policy
  - o Complaints and appeals policy
  - o Fee payment options/plan
- Interview questioning (Preapprentices only) to determine;
  - o Suitability
  - o Attitude
- Explanation of course delivery and assessment processes
  - o Start/finish/break times
  - o Course content and outcomes
  - o Clothing/personal protective equipment requirements
  - o Work placement inclusive of legal responsibilities
- Have applicant undertake LLN evaluation to identify potential support needs
- Verify suitability of training program with applicant's expectations
- Ascertain the learning strategies are appropriate for the applicant's needs
- Explain and verify applicant's entitlements to recognition of skills through Credit Transfer arrangements
- Competency based completion requirements are explained (apprentices only)

13a. *Process an expression of interest / request to enrol (Preapprenticeship)*

Administration

- Process successful applicants post interview in the order in which they are received.
- Using *MPF11a Acceptance letter of preapprenticeship course enrolment*, confirm Master Plumbers acceptance of the application to enrol providing;
  - o course dates
  - o course requirements including toolkit requirements
  - o statement of fees
  - o payment terms
- If necessary, using *MPF12 Non-acceptance Letter of course enrolment*, inform unsuccessful applicants their enrolment application was not accepted.

Short courses

- Process expression of interest / request to enrol in the order in which it is received.

- Using *MPF11 Acceptance Letter of course enrolment*, confirm Master Plumbers acceptance of the application to enrol —either to the applicant or, if they are employer-sponsored, to their employer—with:
    - course dates, course material requirements if applicable and information on course procedures available in *MPD10 Learner handbook*
    - invoice for payment specifying payment terms

- Follow course specific enrolment processes as per administration procedure

- Once the applicant is accepted:
    - create a Student Management System student record in VETtrak
    - create course occurrence folder
    - file copies of **all** learner documentation in course occurrence folder

- If appropriate, implement procedures for credit transfer, recognition of prior learning and/or articulated pathways credit.

14. *Develop a training plan for a student*

RTO Operations Manager

If the applicant is an apprentice or receiving Federal or Government funding then the following applies.

- Use a copy of the course training plan on the Course Administration file to note all details of implementation of this procedure.

- Access a copy of the course training plan on the Course Administration file.

- If the student has been granted credit, get a copy of the *MPF40 Assessment record*, showing the units for which Master Plumbers has granted credit.

- Review the course training plan.

- At the orientation, discuss and individualise the training plan with the student and employer (if appropriate), which, in a case where Master Plumbers has granted credit, will cover the units that remain to complete in the qualification.

- Have the student (and the employer, if appropriate) sign the training plan.

- Give the training plan to the Administration to enter into the Student Management System student record.

- File the training plan on the student's file.

15. *Your application to enrol*

Student

- When we receive your request to enrol, we will:
    - determine if you can be enrolled in your requested course based on availability and/or enrolment requirements.
    - contact you if enrolment is not possible to discuss enrolment requirements or alternative course dates.

- We will enroll you if we have an available place in a course and you meet the enrolment requirements. We will confirm acceptance of your application to enroll by letter —either to you or, if you are employer-sponsored, to your employer—with:
  - o *MPF11 Acceptance Letter of course enrolment* containing course dates, course material requirements if applicable and information on course procedures available in *MPD10 Learner handbook*
  - o advice on linking to www.training.plumber.com.au to access course details
  - o invoice for payment specifying payment terms.

Orientation

16.   *Organise and conduct a student orientation*

Trainer/Assessor

Preapprenticeship

- Use *MPF13 Student induction checklist* to note all details of implementation of this procedure.
- Obtain from Administration a list of students enrolled in the course.
- Review the files of all students and identify any special needs, as indicated on the student's enrolment form, and note them on the *MPF13 Student induction checklist*.
- Develop an agenda for the orientation and organise people and resources necessary for it: the standing agenda is:
  - o introductions to their trainer/assessor, staff and other students
  - o a tour of the facilities, equipment and resources
  - o the course calendar
  - o a review of *MPD10 Learner handbook*, to explain and discuss key issues and policies, including:
    - ▪ RPL
    - ▪ occupational health and safety
    - ▪ student support and welfare services
    - ▪ complaints and appeals
    - ▪ flexible learning and assessment strategies to meet individual learning styles and address disabilities or learning difficulties
  - o overview of course structure, requirements and code of conduct
  - o a question and answer session.
- At the orientation:
  - o welcome all students and employers
  - o provide each student a copy of *MPD10 Learner handbook*
  - o provide each student a workbook folder and explain how the student gains competency for that particular course/qualification/unit
  - o follow the agenda to conduct the orientation
  - o separately, discuss with any student with special needs arrangements Master Plumbers will make for them.

- After the orientation:
    - determine which students did not attend
    - contact each student to determine their reason for non-attendance and make arrangements for their orientation.
- File the *MPF13 Student induction checklist* on the course administration file.

Short courses

- Students attending a short course, who will not move extensively around the Albert Street and Phoenix Street campuses, will be provided with the following information as a part of the first session of the course.

    - occupational health and safety and Emergency Exit information

    - student support and welfare services

    - complaints and appeals procedure

    - direction to facilities such as toilets and student lounge/dining area

    - information on how to access further course information online

    - information about course procedures and how to access *MPD10 Learner handbook* online via www.training.plumber.com.au.

    - how to gain further information from either administration or the trainer

17. Your orientation

Student

- We will organise an orientation session at the commencement of your course. This covers:
    - introductions to your trainer/assessor, staff and other students
    - overview of course structure, requirements and code of conduct
    - a tour of the facilities, equipment and resources
    - the course calendar
    - a review of *MPD10 Learner handbook*, to explain and discuss key issues and policies, including:
        - RPL
        - occupational health and safety and Emergency Exit information
        - student support and welfare services, and how the trainers/assessors and the RTO Operations Manager can help
        - complaints and appeals
        - flexible learning and assessment strategies to meet individual learning styles and address disabilities or learning difficulties
    - a question and answer session.
- Separately, we will discuss:
    - any special needs arrangements Master Plumbers will make for you

- o credit transfer and recognition of prior learning options if appropriate
- o your training plan with you (and your employer if appropriate), which, in a case where Master Plumbers has granted credit, will cover the units that remain to complete in the qualification.

Language, literacy and numeracy

18. Assess a student for LLN before classes start

Trainer/assessor

- Use the course LLN test to note all details of implementation of this procedure.
- Determine from the training and assessment strategy for the program the Australian Core Skills Framework level indicators (for learning, reading, writing, oral and numeracy) for the course.
- Before commencement, organise a language, literacy and numeracy diagnostic test for the student, suitable to the level of the student's intended course.
- Conduct a short interview with the student to determine their LLN level and needs, which may include questions about:
    - o their previous educational experiences
    - o any areas in which they feel they may need LLN support
    - o how they are coping with the enrolment process
    - o a reading, writing and/or numeracy test.
- Arrange with the student do a LLN test for the level required by their course, in a quiet, private area and with access to relevant resources (such as a calculator, pencil, eraser and working-out paper).
- Supervise the student to ensure they complete the test.
- If the student is a distance learner, arrange a supervised place (such as an employer's office) for them to do the test.
- Have the LLN test marked by a qualified LLN assessor and review the results.
- File the completed course LLN test on the student's file.
- If the student needs LLN support, refer to the **Provide educational support and referral to a student** procedure below.

19. Your language, literacy and numeracy test

Student

- Before course commencement, we will organise a language, literacy and numeracy diagnostic test for you, suitable to the level of your intended course. This may be in the form of a short interview, which may include questions about:
    - o your previous educational experiences
    - o any areas in which you feel you may need LLN support
    - o how you are coping with the enrolment process
- It may be a reading, writing and/or numeracy test.
- If you are a distance learner, we will arrange a supervised place (such as your employer's office) for you to do the test.
- If you need LLN support, we will arrange this (Apprentices only).

Support

20   Maintain a list of support and welfare services

RTO Operations Manager

- Amend *MPD11 Student support and welfare resources* as a result of implementing this procedure.

- Monitor formal (such as local newspapers) and informal (such as staff and student feedback) sources to identify any changes in available support and welfare resources.

- If resources or information about the change, post a notice about the change on the notice board.

- Annually and before production of *MPD10 Learner Handbook*, verify by an internet search or direct contact to the service that every item of information (including available services, business names and contact details) is correct.

- File the amended *MPD11 Student support and welfare resources* on the Student support and welfare administration file*.*

- Advise staff of new information at next staff meeting.

21.   Support and welfare services

Student

- Appendix 1 of this handbook is a list of Student support and welfare resources.

22.   Provide educational support and referral to a student

RTO Operations Manager

- Identify students that need educational support and referral by:
    - reviewing students' enrolment forms
    - reviewing the results of students' LLN tests
    - receiving advice from trainers/assessors
    - receiving requests directly from students.

- Discuss the nature and extent of educational support and referral required (such as an extracurricular learning program) with each student, their employer and trainer.

- Identify appropriate sources of support and referral.

- Assess whether the student needs to be referred to an external program.

- Negotiate participation in the external program with the student and their employer.

- Arrange the external program at the student's expense, if appropriate.

- Note details of the external program in the student's file.

- Schedule a follow-up meeting with the student, their employer and their trainer to provide further support if needed, and to assess the student's progress.

- Note the results of the external program in the student's file.

- Arrange for ongoing monitoring of the student's progress.

- On a quarterly basis collate and analyse statistics relating to type and frequency of educational support requests. Identify items that may require corrective actions or

may be opportunities for corrective action or an inclusion to the Continuous Improvement / Corrective Action Register

23.   Provide welfare support and referral to a student

General Manager Training and Industry Development

- Identify students that need welfare support and referral by:
    - receiving advice from trainers/assessors
    - receiving requests directly from students.
- Identify appropriate sources of support and referral.
- Assess whether the student needs referring to an external agency.
- Note the nature of the student's needs, and proposed actions to meet them, in the student's file.
- Take any actions required to meet the student's needs: such actions may be ongoing.
- Note the outcomes of the actions in the student's file.
- Arrange for ongoing monitoring of the student's progress.

24.   Educational or welfare of support and referral

Student

- If at any time during your course, you feel you need educational or welfare support Master Plumbers will identify the appropriate to provide this support. Initially speak with your trainer or and administration staff who will be pleased to help you. The support person identified will:
    - discuss the nature and extent of support and referral required (such as an extracurricular learning program)
    - identify appropriate sources of support and referral
    - assess whether you need referring to an external program
    - negotiate participation in the external program with you and your employer
    - arrange the external program at your expense, if appropriate
    - arrange for ongoing monitoring of your progress.

Students under 18

25.   Provide support to a student under 18

Trainer/Assessor

- Before classes begin, discuss with a student the particular support Master Plumbers provides for students under 18.
- Identify and address any barriers the student may have to seeking support, now or in future.
- Consider the need to implement the **Provide educational support and referral to students**, and the **Provide welfare support and referral to students** procedures and take action if appropriate.
- At least three times a year, discuss with the student how they are finding their course, and identify any welfare or support issues that may need to be addressed.

26.   Report suspicion of child abuse

RTO Operations Manager

- Brief the trainer/assessor of a student under 18 about the signs of child abuse:
    - physical signs of abuse or neglect
    - behavioural science of abuse or neglect
    - if the child discloses they have been abused.
- Advise the trainer/assessor they must immediately report to you if they suspect child abuse is occurring.
- Take action (such as observe the situation, consult colleagues or relevant agencies) to determine whether there is suspicion on reasonable grounds that a child has suffered, or is likely to suffer, significant harm as a result of physical injury or sexual abuse and the child's parents have not protected, or are unlikely to protect, the child from harm of that type.
- If you determine there is such a suspicion, report it to Department of Human Services: for the procedure, Google 'Reporting child abuse - Department of Human Services, Victoria'.
- Note the outcomes of actions in the student's file.

27.   If you are under 18

Student

- Before classes begin, we will discuss with you the particular support Master Plumbers provides for students under 18.
- If necessary, we will organise educational or welfare support, as above.
- At least three times a year, we will check to see how you are finding your course and identify any welfare or support issues that may need to be addressed.
- Your trainer/assessor has been briefed about how to recognise the signs of child abuse, which are:
    - physical signs of abuse or neglect
    - behavioural science of abuse or neglect
    - if the child discloses they have been abused.
- If they suspect child abuse is occurring, they will immediately report it to the General Manager Training and Industry Development, who will take action to determine whether there is a reasonable suspicion that child abuse is occurring. If they determine this, they must report it to the Department of Human Services.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Fees, charges and enrolment status changes

Policy

Fees and charges (Statement of Fees)

Master Plumbers issues a Statement of Fees for all courses that are funded under the Skills First program. Master Plumbers provides students, before they enrol, with information about:

- Government contribution towards training
- fees (including recognition of prior learning, course, administration and materials fees)
- fees and charges for further training and assessment, if the student is assessed as not-yet-competent at their first assessment
- fees and charges for other services (such as for reissuing a qualification or statement of attainment)
- payment terms (including the timing and amount of fees to be paid, and any non-refundable deposit /administration fee)
- cancellation, withdrawal, deferment and substitution.

Master Plumbers requires total student fees for each course paid seven (7) days before their course starts. All student fees are held in a Trust Account as required by the regulatory authority. Refer to **Finance Policy.**

Apprentices and preapprentices whose fees exceed the $1500 threshold will be invoiced at intervals outlined in the payment plan over the duration of their course.

Financial members of the Plumbing Trades Employees Union are exempt from paying any fees for any Master Plumbers post-trade course.

Master Plumbers complies with the General PICAC cancellation policy of the Plumbing Industry Climate Action Centre for training booked through the PICAC calendar for post trade courses as follows;

Cancellation

Master Plumbers reserves the right to cancel a course if an insufficient number of students enrol in it. For the same reason, Master Plumbers may change or postpone course dates when circumstances beyond its control require it to do so. Master Plumbers will fully refund all a student's fees in the unlikely event it cancels their course.

Master Plumbers allows a student to cancel their enrolment, with a full fee refund if they give ten or more working days' notice before their course starts.

Master Plumbers will refund:

- 50% of a student's fees if the student cancels between 4-9 working days before their course starting
- none of a student's fees if the student cancels less than 4 working days before their course starting, except at the discretion of the General Manager Training and Industry Development.

Withdrawal

Master Plumbers allows a student to withdraw from their course, after it starts. If they wish to do so, they can defer their course and complete it at a later time.

If they do not wish to do so, Master Plumbers will:

- retain 30% of the fees for the course

- retain 10% of the fees for materials and resources (if applicable)

- refund the remainder (60% of the total fees) on a pro-rata basis: for example, if a student attended one day of a five-day course, Master Plumbers would refund ⅘ of 60%, or 48%).

The General Manager Training and Industry Development may at their discretion, and considering the reason for a withdrawal, refund up to 100% of the fees paid.

NOTE: Learners who wish to withdraw and apply for a fee refund must do so **in writing** using the *MPF17 Refund Application* form*.*

Payment plan

Students undertaking government funded training are entitled to apply for consideration to make scheduled part-payments for materials and tuition fees. Annual course fees will be broken down into quarterly payments along with a direct debit authority signed by the applicant. An additional $100 administration fee will be applied. Students may apply for a payment plan by completing form *MPF68_application_part_payment.*

Deferment

Master Plumbers will give a student a pro-rata credit if they cannot continue the course for unavoidable reasons. They can use the credit to pay for the same course at a future date. They cannot transfer the credit to another person in their company. The credit is non-refundable.

Substitution

A student can choose to transfer their enrolment to another person, but they must tell Master Plumbers this, in writing, before the course starts. The enrolment requirements of some courses may restrict substitutions depending on amount of notice provided. Master Plumbers reserves the right to confirm substitution.

Refunds and cancellations

Master Plumbers has appropriate safeguards in place to protect any monies paid in advance by learners and ensure these funds are not used until the relevant course/s have commenced. If Master Plumbers cancels any course prior to course commencement learners will receive a full refund of all fees.

NOTE: Learners who wish to withdraw and apply for a fee refund must do so **in writing** using the *MPF17 Refund Application* form*.*

- If a learner withdraws, with written notice, more than 10 days prior to course commencement learner will receive a full refund of all fees less a refund administration fee of $75.

- If a learner withdraws, with written notice, within 10 days of course commencement learner will receive a refund of tuition fees less a refund administration fee of $75. There is no refund on materials fee.
- If a learner withdraws, with written notice, within 28 days of course commencement learner will receive a pro rata refund of tuition fees less a refund administration fee of $75. Fees of $2 per hour for hours scheduled will be withheld. There is no refund on materials fee.
- No refunds are granted if a learner withdraws more than 28 days after course commencement.

In all cases tools must be unopened/unused to claim tool refund.

The General Manager Training and Industry Development may exercise the right to amend or negotiate fee refunds in exceptional circumstances beyond the control of the learner.

Substitution and deferment (Preapprenticeship)

- Learner substitutions are not permitted in the Preapprenticeship.
- Learner deferment may be possible in exceptional circumstances beyond the control of the learner at the discretion of the General Manager Training and Industry Development.

Completion guarantee

Once a student has started their course, Master Plumbers will ensure, to the best of its ability, the provision of training and assessment services through to when they complete their course.

If Master Plumbers becomes no longer able to provide the services itself (due to, for example, low staff numbers or its closure), it will endeavour to organise a place for the student at the most conveniently located RTO. Master Plumbers will not be liable for associated costs (such as, for example, travel and accommodation to the new RTO).

Procedures

28. Determine a course fees and payments schedule

General Manager Training and Industry Development

- Use a *MPD14 Fees and payments schedule* to note all details of implementation of this procedure, to produce a Course fees and payment schedule.
- Review the previous year's profit and loss for the course.
- Determine the staff resources required.
- Determine the delivery resources and assessment tools required.
- Determine the minimum and maximum number of student for the course, after consulting with the trainer/assessor.
- Allow for administrative support, issuance of qualifications/statements of attainment and management expenses.
- Price the course accordingly.

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- Review requests for part payment schedules for full fee paying students.

- File the *MPD14 Course fees and payments schedule* in the course administration file.

29. Invoice and collect a student's fees

Administration

- Refer to the Course fees and payments schedule.

- Generate an invoice, according to the payments schedule, from Vettrak, after enrolment and before the student orientation.

- Forward invoice to student following **Process an expression of interest / request to enrol** process**.**

- When a payment is received, receipt it in VETtrak and put a copy of the receipt on the student's file.

- If a student invoice is unpaid seven days prior to course commencement, contact student by telephone to request payment. Advise student that course commencement is not possible unless fees are paid and that the student's place in the course may be at risk.

- If the invoice is being paid by an employer, contact the employer by telephone or email to request payment. Advise employer that course commencement is not possible unless fees are paid and that their employee's place in the course may be at risk.

30. Paying your fees

Student

- If you are starting as a Master Plumbers student we will forward your invoice with your course acceptance letter. If your invoice is being paid by your employer we will forward the invoice to your employer.

- Your invoice must be paid seven days prior to course commencement or you will not be allowed to start the course.

- We will contact you, or your employer, if your invoice has not been paid seven days prior to the course commencing to request payment and advise that your place in the course may be at risk if the invoice is not paid.

31. Process a cancellation, withdrawal or deferment request

Administration

- On request, advise the student to download a *MPF15 Application to withdraw from study* form from www.plumber.com.au

- Advise the student to complete the form and return it to the office, as soon as possible.

- Implement the sub procedure below, according to the particular type of request.

- File the *MPF15 Application to withdraw from study* form in the student's file.

Cancellation/withdrawal request

- Calculate the amount of refund/credit due in line with Master Plumbers' policy.

- Have the General Manager Training and Industry Development review the calculation and make a determination on the amount of the refund/credit.
- If the student/employer has requested a refund it is to be returned to the same credit card that was used to pay the original fee. If the original fee payment was made by EFT, cash or cheque the refund is to be returned by EFT.
- Process the refund/credit in Vettrak.
- Send a confirmation of cancellation/withdrawal letter and the refund receipt, if appropriate, to the student if they are self-sponsored: if they are employer-sponsored, send a copy of the confirmation of cancellation/withdrawal letter and the refund receipt to the employer.
- Include a copy of all documentation in the occurrence folder.
- Cancel the student from the course occurrence in Vettrak.

Substitution request

- Confirm new student meets course specific enrolment requirements if applicable
- Consider the substituted student as a new enrolment and use the following procedures:
    - o **Respond to a request to enrol** (Administration)
    - o **Process an application to enrol** (Administration)
    - o **Assess a student for LLN before classes start** (Trainer/assessor).
- If substituted student is not eligible for enrolment, contact the student to discuss options.

Deferment request

- Advise the student of the next available course intake.
- Transfer the student into the next occurrence in Student Management System for the next course.
- Using *MPF11 Acceptance Letter of course enrolment*, confirm Master Plumbers acceptance of the deferment —either to the applicant or, if they are employer-sponsored, to their employer—with:
    - o course dates, course material requirements if applicable and information on course procedures available in *MPD10 Learner handbook*

32. *If you want to cancel, withdraw or defer*

Student

- Download a *MPF15 Application to withdraw from study* form from www.plumber.com.au
- Complete the form and return it to the office, as soon as possible.
- If you wish to withdraw and apply for a fee refund you must do so **in writing** using the *MPF17 Refund Application* form*.
- If Master Plumbers approves a request to defer, we will:
    - o advise you of the next available course intake

o forward you a *MPF11 Acceptance Letter of course enrolment* advising you of the new course dates

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Student misconduct, attendance and discipline

Policy

Master Plumbers provides a supportive and quality learning environment for students, based on:

- mutual respect between students, between staff, and between students and staff
- maintenance of a clean and safe learning environment
- recognition that all students have equal rights.

Master Plumbers expects all students to display a high level of personal responsibility for their learning and assessment, as they interact with other students and staff.

Misconduct

Students must:

- be punctual
- respect each other's property
- respect all staff and the facility
- respond to all reasonable instructions from staff
- notify Master Plumbers if you are going to be late for class, or unable to attend class.

Students must not:

- smoke inside any buildings
- possess or use, or be under the influence, of alcohol or illegal drugs
- use offensive language or gestures
- disrupt class behaviour
- refuse to follow OHS procedures
- gamble
- engage in sexual activity
- inappropriately use the internet
- assault anyone
- engage in criminal activity
- engage in discrimination, sexual harassment, victimisation and vilification
- possess or use weapons
- steal
- intentionally damage property.

Students must not engage in academic misconduct, including:

- plagiarism (the use of another person's work without full and clear referencing and acknowledgement) – see assessment policy.
- cheating (presenting another student's or another person's work as your own)

- collusion (a type of cheating, when two or more students fail to abide by directions from the examiner about the permitted level of collaboration on an assessment).

Attendance

Master Plumbers considers as misconduct a student's failure to punctually attend, without good reason, more than 10% of their classes. A student needs to understand that a training program is a significant commitment that may challenge their resolve and endurance.

If a student is unable to attend 90% of their classes (for example, if they are, or plan to be, absent for an extended period due to ill health, work or personal reasons), they must discuss their situation with the General Manager Training and Industry Development.

A student must tell their trainer:

- if they change their name or address
- if they want to change their course
- if they decide not to continue their course.

Discipline

A student who engages in misconduct will be disciplined. If student misconduct has potentially serious consequences, the General Manager Training and Industry Development may decide to immediately expel a student or take other action to mitigate the risk from their behaviour. It may also be required, or choose, to report the misconduct to relevant authorities.

At the General Manager Training and Industry Development's discretion, Master Plumbers will deal with student misconduct in line with the **Student misconduct procedure**. This procedure includes:

- investigation of the misconduct
- a meeting with the student, the employer's representative (if applicable) if the employer wishes, and a third party if the student wishes
- discussion of the incident, respecting the student's input, before the General Manager Training and Industry Development decides on a course of action.

If an employer sponsors the attendance of a student subject to the misconduct procedure, Master Plumbers will report this to the employer.

At their discretion, the General Manager Training and Industry Development may decide to respond to the misconduct through actions including but not limited to:

- counselling of the student
- agreement on an action plan and timeframe to stop further misconduct
- a formal warning
- ineligibility for assessment (for example, in the case of class attendance falling below 90%)
- prohibition from attending class
- immediate expulsion.

As a person is legally accountable for their own behaviour, they can be held personally liable for any workplace or work-related acts of discrimination, sexual harassment, victimisation and

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vilification they engage in. They may be subject to criminal proceedings brought by a victim or victims, as well as disciplinary action by Master Plumbers.

Procedures

Note: the General Manager Training and Industry Development can apply this procedure at their discretion. If student misconduct has potentially serious consequences, the General Manager Training and Industry Development may decide to immediately expel a student or take other action to mitigate the risk from their misconduct.

33. Determine action to address student misconduct

RTO Operations Manager

- Investigate and document details of the student's misconduct, including:
    - date, time and location of incident(s)
    - the actual behaviour(s)
    - witness statements
    - effects on other students or staff
    - prior discussions with the student about any related behaviour.
- Arrange a disciplinary meeting with the student, including the employer's representative if the employer wishes, as soon as possible after the incident(s).
- Advise the student that they may have a third party present during the meeting.
- At the meeting, discuss the incident(s) to ascertain the student's views about:
    - the incident(s), including any extenuating circumstances
    - the consequences and effects of their action
    - their future behaviour.
- At the meeting:
    - explain the circumstances for instant dismissal, if appropriate
    - negotiate and agree on a plan of action and timeframe for the student to change their behaviour to address their misconduct, if appropriate
    - advise the action, including disciplinary action if appropriate—for example, further counselling, final warning or expulsion—that Master Plumbers will take if there is another, similar incident, or the student does not implement the action plan within the agreed timeframe
- Write a note of the disciplinary meeting (including the plan of action, timeframe and any other relevant details)
- Require the student to sign the note of the disciplinary meeting
- Provide the student with a copy of the signed note of the disciplinary meeting
- File the original of the note of the disciplinary meeting on the student's file.

34. Implement action to address further student misconduct

General Manager Training and Industry Development

- Review the action plan agreed with the student and advice about disciplinary action Master Plumbers would take to address further misconduct.

- Consider whether, on the face of it, the further misconduct warrants investigation or not (for example, it may not be at all clear whether the student has actually engaged in further misconduct).

If the further misconduct warrants investigation

- Investigate and document details of the student's further misconduct, including:
  - date, time and location of incident(s)
  - the actual behaviour(s)
  - witness statements
  - effects on other students or staff.
- Arrange a meeting with the student, including the employer's representative if the employer wishes, as soon as possible after the incident(s).
- Advise the student that they may have a third party present during the meeting.
- At the meeting, discuss the incident(s) to ascertain the student's views about the incident(s), including any extenuating circumstances.
- Advise the meeting of the student's commitment to an action plan, and the consequences of not implementing it.
- Decide the disciplinary action to take, from the options presented to the student at the previous meeting and advise the student.

If the further misconduct does not warrant investigation

- Decide the disciplinary action to take, from the options presented to the student at the previous meeting.
- Arrange an interview with the student, including the employer's representative if the employer wishes, as soon as possible after the incident(s).
- Advise the student that they may have a third party present during the interview.
- At the interview:
  - focus on the intended disciplinary action and its causes
  - present an objective, straightforward and firm decision
  - avoid personal accusations and feelings.
- If the interview is to dismiss the student:
  - provide the student with information about a course fees refund, if applicable
  - provide the student with a statement of attainment or a qualification if completed, if applicable.
- Write a note of the interview and file it on the student's file.

35. *If you engage in misconduct*

Student

- If the misconduct has potentially serious consequences, Master Plumbers may decide to immediately expel you or take other action to mitigate the risk from your misconduct.
- Master Plumbers will investigate incident of student misconduct and:
  - arrange a disciplinary meeting with you, your employer (if applicable) your employer's representative if the employer wishes, as soon as possible after the incident (the you may have a third party present during the meeting with)

- o get your views about the incident(s), including any extenuating circumstances, the consequences and effects of your action, and your future behaviour

  - o explain the disciplinary action Master Plumbers may take if you do not change your behaviour.

- You may be required to agree on a plan of action and timeframe to change your behaviour to address the misconduct.

- If you disagree with misconduct process or decision, then you will have the right to appeal following the complaints and appeals policy.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Staff members

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Staff recruitment, induction and exit

Policy

Master Plumbers' employment practices are equitable, and it seeks to select the best applicant for the job. All Master Plumbers trainers and assessors are qualified professionals with many years' industry, training and assessment experience.

Master Plumbers complies with ASQA determination that trainers must:

- hold the *TAE40116 Certificate IV in Training and Assessment* from the TAE10 Training and Education Training Package as a minimum qualification or be able to demonstrate equivalence of competencies; or
- hold the *TAE40110 Certificate IV in Training and Assessment* plus:
    - Either one of the following:
        - TAELLN411 Address adult language, literacy and numeracy skills
        - TAELLN401A Address adult language, literacy and numeracy skills

Plus one of the following:

- TAEASS502 Design and develop assessment tools
- TAEASS502A Design and develop assessment tools
- TAEASS502B Design and develop assessment tools.
- be able to demonstrate vocational competencies at least to the level being delivered and assessed
- be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and trainer/ assessor competence.

Master Plumbers complies with the ASQA determination that assessors must, as a minimum:

i) be able to demonstrate vocational competencies at least to the level being assessed

ii) be able to demonstrate how they are continuing to develop their VET knowledge and skills as well as maintaining their industry currency and assessor competence.

Master Plumbers ensures fair and equitable employment practices within the organisation. It makes employment decisions (including about recruitment, selection, training and promotion) on merit (that is, on the basis of skill, experience, qualifications and aptitude). It seeks to select the best applicant for a job. It does not discriminate against applicants for employment, or its staff, on the basis of a personal attribute, characteristic or circumstance protected by law.

Master Plumbers conducts a comprehensive induction program, tailored to their job role, for new staff. For teaching staff, this includes information about:

- Training Packages and/or accredited courses
- competency-based training and assessment
- vocational education and training requirements and policies
- requirements for New Apprenticeships / Traineeships
- staff responsibilities for access and equity
- student services offered and staff responsibilities
- staff roles and responsibilities

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- Standards for Registered Training Organisations (RTOs) 2015

- HESG Skills First contract requirements

- AQTF standards

- Master Plumbers' policies and procedures

- state and Commonwealth laws about occupational health and safety, (workplace health and safety), working with children and equal opportunity employment

- professional development

- continuous improvement of Master Plumbers' services

- performance monitoring and appraisal.

Master Plumbers will seek to conduct an exit interview with all departing staff, to identify changes it can make to reduce staff turnover and/or improve Master Plumbers' operations.

It may not be appropriate or desirable to conduct exit interviews with staff dismissed under the **Staff misconduct and discipline policy**.

Procedures

36.   *Advertise for, and interview, applicants*

General Manager Training and Industry Development

Using *Officer responsibility/duty statements* located at front of these procedures, identify the existing position description for the position, or develop a new description (and amend *Officer responsibility/duty statements*).

- Determine the timeframe, including dates for key events, for the process.

- Identify essential and desirable selection criteria (including qualifications, experience and references).

- Write an advertisement for position, if appropriate, including:
    o job title and duties
    o criteria
    o hours of employment
    o closing date for applications, telephone and /or email contact.

- Advertise the position internally (for example, on the notice board and website, and in the newsletter).

- Advertise the position externally, if appropriate (for example, in local newspapers, national publications and on employment websites).

- Select and recruit an interview panel.

- Set an interview date or dates.

- Cull applications that do not meet the criteria and produce a shortlist for interview.

- Arrange interviews with shortlisted applicants.

- Develop an interview strategy and interview questions.

- Conduct interviews.

- Conduct an employment test or teaching trial, if appropriate.

- Decide on a preferred applicant.

- File all documentation in the Staff recruitment file.

37. Appoint a preferred applicant

General Manager Training and Industry Development

- Obtain verified copies and check with the RTO or other issuing organisation the preferred applicant's qualifications.

- Contact referees and verify the preferred applicant's information.

- If relevant to the position, obtain evidence that the preferred applicant has a Working With Children Check, or require them to provide one.

- If relevant to the position, have the preferred applicant complete an ASQA Fit and Proper Person declaration

- If appropriate contact the RTO or other issuing organisation to check the validity of all qualifications.

- Verbally offer the position to the preferred applicant and confirm their intention to accept the position.

- Use *MPF20 Employment contract* to prepare a contract for the applicant.

- Confirm the offer of position in writing, enclosing a copy of the contract of employment.

- Inform unsuccessful applicants.

- Create a Trainers file for the new training staff member and track all documents using the *MPF27 Staff File Checklist*.

- Create a Staff file in Finance that contains confidential information such as contract. Content to be determined by General Manager Group Scheme and Corporate Services

- File all documents generated by Master Plumbers and provided by the preferred applicant on the staff member's file.

- If the new staff member is a trainer/assessor, update *MPF21 Trainer/Assessor skills matrix* with the trainer's/assessor's industry, vocational and educational qualifications, and relevant industry experience.

- Note the new staff member's name and any changes to the duty statement that have resulted from the recruitment and selection process on a *MPF60 Continuous improvement item*.

- Give the *MPF60 Continuous improvement item* to the RTO Operations Manager.

- Populate/update the MPR63 Trainers Register

38. Induct a staff member

RTO Operations Manager

- Use *MPF23 Staff induction checklist* to note all details of implementation of this procedure.

- Implement this procedure:
  - after a new staff member is appointed, and before they start work
  - for all other staff members, annually.

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Policies and procedures

- Arrange a date and time for the staff member's induction.

- Introduce the staff member to other staff and students, as appropriate.

- Show a new staff member relevant facilities, equipment and resources.

- Give the staff member an induction package which includes:

    o   their job description and duty statement

    o   *MPD61 Policies and procedures*

    o   a list of all staff and their contact details

    o   course calendar

    o   a uniform

    o   Master Plumbers' current brochures.

- Explain in particular:

    o   Master Plumbers' requirements for attendance, conduct, appearance (including wearing of the uniform), and performance

    o   their conditions of employment (including their hours of work, pay period, taxation details, overtime requirements and performance and remuneration appraisal)

    o   all procedures relevant for a new staff member, including all documentation requirements for students' attendance and assessment, flexible learning arrangements

    o   legislative and regulatory requirements that affect their duties

    o   professional development requirements for trainers and assessors.

- Ask a new staff member for a signed copy of their employment contract and file it in their file.

- Offer a new staff member regular guidance and support during their first weeks of employment.

- After an agreed period (such as two to four weeks), meet with a new staff member to discuss how they are settling into working at Master Plumbers, and to answer any questions they may have.

- File the *MPF23 Staff induction checklist* on the staff member's file.

39.   Conduct an exit interview

General Manager Training and Industry Development

- Ask the departing staff member to attend an exit interview and arrange a date and time with them.

- Review the agenda for the exit interview and organise people and resources necessary for it: the standing agenda is:

    o   their severance pay

    o   Master Plumbers' written reference

    o   their return of keys and any other Master Plumbers property

    o   their reasons for departure

    o   the things they liked best and least about working at Master Plumbers

    o   suggestions for improvement, and any other issues they want to raise

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- Any issues relating to quality should be put into the Continuous Improvement Register.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Trainer/assessor supervision

Policy

In line with the National Skills Standards Council determination, Master Plumbers may deliver some training and assessment services using people without full trainer/assessor qualifications. If it does, it ensures they are supervised by a qualified trainer/assessor.

Master Plumbers complies with the National Vocational Education and Training Regulator Act 2011 that people delivering training under the supervision of a trainer must:

- work under the supervision of a trainer with the *TAE40116 Certificate IV in Training and Assessment* or a person who has demonstrated equivalence of competencies
- holds either TAESS00011 Assessor Skill Set or its successor or one of the following credentials"
    - *TAESS00007 Enterprise Trainer – Presenting Skill Set; or*
    - *TAESS00014 Enterprise Trainer – Presenting Skill Set or its successor; or*
    - *TAESS00008 Enterprise Trainer – Mentoring Skill Set; or*
    - *TAESS00013 – Enterprise Trainer – Mentoring Skill Set or its successor; or*
    - TAESS00003 Enterprise Trainer and Assessor Skill Set; or
    - TAESS00015 – Enterprise Trainer and Assessor Skill Set or its successor.
- be able to demonstrate vocational competencies at least to the level being delivered and assessed as well as maintaining their industry currency.

The determination notes that:

- evidence used to demonstrate equivalence of competencies may include consideration of relevant past training, including consideration of superseded and pre-existing teaching qualifications, experience, and professional development
- supervision is the provision of regular and ongoing guidance, direction and leadership from a person holding the *TAE40116 Certificate IV in Training and Assessment* or from a person who has demonstrated equivalence of competencies. The supervising person monitors and is accountable for the training delivery.

A person without a TAE40116 Certificate IV in Training and Assessment who delivers training/assessment for Master Plumbers must:

- be undertaking the TAE40116 Certificate IV in Training and Assessment
- have a supervision plan, approved by the RTO Operations Manager and General Manager Training and Industry Development
- complete a Master Plumbers staff induction
- complete an induction into the relevant Training Package
- complete an induction into the relevant training and assessment strategy, including resources required by the training and assessment strategy
- have training/assessment session(s) they deliver monitored and evaluated by a qualified trainer/assessor.

No person will be subject to a supervision plan for more than 24 months: by this time, Master Plumbers expects the person will have gained their TAE40116 Certificate IV in Training and Assessment.

Procedure

Note: In this procedure, 'the person' is the person without a TAE40110 Certificate IV in Training and Assessment who is preparing to deliver, and delivering, training/assessment for Master Plumbers.

40. *Prepare a direct supervision arrangement*

RTO Operations Manager

- Use *MPF25 Direct supervision arrangement* to note all details of implementation of this procedure.
- Identify their supervising trainer and lead assessor.
- Negotiate the terms of supervision.
- Have the General Manager Training and Industry Development approve and sign the supervision arrangement.
- File *MPF25 Direct supervision arrangement* on the staff member's file.

41. *Induct the person*

RTO Operations Manager

- Use *MPF25 Direct supervision arrangement* to note all details of implementation of this procedure.
- Follow the procedure in **Staff recruitment, induction and exit** to induct the person into Master Plumbers.
- Conduct a Training Package induction with the person to cover:
  - o the relevant Training Package
  - o the relevant training and assessment strategy
  - o principles of competency-based training
  - o processes for conducting assessment with the lead assessor.
- Conduct a delivery/assessment induction by:
  - o unpacking the unit of competency
  - o reviewing delivery and session plans
  - o reviewing learning materials provided by Master Plumbers, and developed by the person
  - o identifying and discussing the needs of particular students
  - o assessment procedures (if the assessor is being assisted by the trainer).
- File *MPF25 Direct supervision arrangement* on the staff member's file.

42. *Supervise and evaluate the person*

Trainer/assessor

- Use *MPF25a Direct supervision report t*o note all details of implementation of this procedure.

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- Arrange times to supervise the person as they deliver each unit.
- Advise the trainer/assessor to tell students you will be sitting in on a class.
- Discuss with the person after each unit:
    - delivery practices
    - any reorganisation needed of the delivery plan to meet students' needs
    - revised delivery plans, if necessary
    - student feedback
    - recommendations for future changes.
- Note the trainer's or assessor's feedback on the form, sign and date it, and have them sign and date it.
- Give the completed *MPF25a Direct supervision report* to the RTO Operations Manager to review.
- File *MPF25a Direct supervision report* on the staff member's file.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Staff performance monitoring, appraisal and professional development

Policy

Performance monitoring and appraisal

Master Plumbers monitors the performance of each staff member. For teaching staff, this may include some or all of:

- monitoring student feedback (for example, through course evaluation forms)
- monitoring student outcomes (for example, successful completion of assessment activities)
- conducting classroom supervision
- undertaking performance appraisals.

Master Plumbers will conduct a performance appraisal of all staff, including trainers and assessors:

- whose performance is identified as unsatisfactory through the monitoring process
- all other staff, annually.

Professional development

Trainers and assessors must participate in at least four professional development sessions each year. These sessions—the nature and timing of which will be decided in consultation with the trainer/assessor—will cover:

- vocational currency
- trainer and assessor qualifications
- VET knowledge and skills, including management of LLN issues as they arise.

Trainers and assessors must maintain currency in their vocation, which may include:

- returning to industry for experience
- attending new product launches
- attending new skills sessions
- maintaining current Certificate III registration with the Victorian Building Authority.

Trainers and assessors must maintain their qualifications, which may include:

- completing further training to build on their qualification
- attending training (such as by Velg Training and Innovation and Business Skills Australia)
- workshops on training and assessing skills

Trainers and assessors must maintain their VET knowledge and skills, which may include:

- attending regulator update sessions, such as provided by the Australian Skills Quality Authority, the National Skills Standards Council and the Higher Education and Skills Group
- attending workshops on VET.

Procedures

Performance monitoring and appraisal

43. Prepare for a performance appraisal

General Manager Training and Industry Development

- Use *MPF26 Staff performance appraisal* to note all details of implementation of this procedure.
- Meet with the member of staff whose performance is to be appraised to:
    - advise them of the upcoming performance appraisal
    - answer questions they might have about the performance appraisal process
    - set a date for the performance appraisal
    - ask them to prepare by reflecting on their performance and identifying their strengths and areas for improvement.
- Review the staff member's file, including their position description.
- Review performance documentation about the staff member (such as trainer and student evaluation forms, student assessment records.
- Identify any above- or below-average performance, which are the appraisal agenda items.
- Reflect on each item, and be prepared to discuss issues related to, and examples of, each with the staff member.

44. Conduct a performance appraisal

General Manager Training and Industry Development

- Use *MPF26 Staff performance appraisal* to note all details of implementation of this procedure.
- Select a non-threatening, private and distraction-free location for the appraisal.
- Discuss each item on the staff member's position description, one at a time, considering both strengths and shortcomings, and taking a professional and supportive approach.
- Be specific and descriptive, not general or judgemental: report examples and evidence, rather than judgement and opinions.
- Discuss and reach agreement with the staff member about action on each item.
- Working together, develop an action plan to implement the actions.
- Have the staff member sign and date the *MPF26 Staff performance appraisal*.
- Give the staff member a copy of the *MPF26 Staff performance appraisal.*
- If the performance appraisal raises issues with a continuous improvement aspect, complete a *MPF60 Continuous improvement item*, maintaining the staff member's confidentiality, and give it to the RTO Operations Manager.

Professional development

45. *Conduct a staff meeting*

- Conduct a bi-monthly staff meeting, with the following standing agenda:
    - updates on actions of previous meetings
    - VET knowledge and skills updates
    - trainer and assessor qualifications updates
    - vocational training available
    - review of services to students and any issues arising
    - facilities' issues
    - Training Package updates
    - regulator updates
    - staff issues
    - continuous improvement
    - staff professional development
    - other business.
- Ensure minutes are kept of the meetings, with actions allocated to particular staff.
- Circulate the minutes for acceptance.
- Circulate the accepted minutes to all attendees, sessional staff and apologies
- File the minutes in the Staff meetings minutes file.

46. *Conduct trainers/assessors meeting*

- Review the course calendar and schedule a meeting that all trainers/assessors can attend, giving at least one weeks' notice.
- Prepare an agenda for the meeting and circulate it to all trainers/assessors, inviting additional items. Standing items are:
    - updates on actions of previous meetings
    - review of training and assessment services to students and any issues arising
    - moderation (of a unit of competency that a class has completed)
    - staff professional development.
- Research upcoming professional development sessions and review staff files for professional development opportunities.
- Conduct the meeting. For the moderation agenda item, follow the assessment validation/moderation procedures:
    - **Prepare for an assessment validation/moderation meeting**
    - **Facilitate an assessment validation/moderation meeting**
    - **Follow up an assessment validation/moderation meeting**.
- Ensure minutes are kept of the meetings, with actions allocated to particular staff.
- Circulate the minutes for acceptance.

- Circulate the accepted minutes to all attendees, sessional staff and apologies
- File the minutes in the Trainers/assessors meetings file.

47. *Identify, address and monitor professional development needs*

General Manager Training and Industry Development

- Use MPF46 *Professional Development plan and MPR21 Professional development register* to note all details of implementation of this procedure.
- Request all trainers complete a MPF46 *Professional Development plan* form at the start of each year to be discussed and approved with General Manager Training and Industry Development
- File approved MPF46 *Professional Development plan* in trainer folder
- Research upcoming professional development opportunities.
- Table these opportunities at a trainers/assessors meeting, or staff meeting, identify relevant staff to attend, and get their agreement to attend.
- After attendance, update the *MPR21 Professional development register*.
- Request trainer's update their *Trainer assessor course qualifications and experience matrix* for each course, if relevant.
- File the trainer's/assessor's Trainer assessor course qualifications and experience matrixes on their file.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Staff misconduct and discipline

Policy

Master Plumbers provides a supportive and quality working environment for staff, based on:

- mutual respect between students, between staff, and between students and staff
- maintaining a clean and safe workplace
- the recognition that all staff have equal rights.

Master Plumbers expects all staff to display a high level of personal responsibility, as they deliver services to students and interact with other staff.

Misconduct

Staff must not:

- smoke except in designated smoking areas
- possess or use, or be under the influence, of alcohol or illegal drugs
- use offensive language or gestures
- gamble
- engage in sexual activity
- inappropriately use the internet
- assault anyone
- engage in criminal activity
- engage in discrimination, sexual harassment, victimisation and vilification
- possess or use of weapons
- steal
- intentionally damage property.

For the purposes of this policy and procedures, Master Plumbers considers misconduct to include staff incompetence, which is a failure to adequately perform the duties in the staff member's position description, as identified by a performance appraisal.

Discipline

A staff member who engages in misconduct will be disciplined. If staff member misconduct has potentially serious consequences, the General Manager Training and Industry Development may decide to immediately dismiss the staff member or take other action to mitigate the risk from their behaviour. It may also be required, or choose, to report the misconduct to relevant authorities.

At the General Manager Training and Industry Development's discretion, Master Plumbers will deal with staff misconduct in line with Master Plumbers' **Staff misconduct/incompetence** procedure. This procedure includes:

- investigation of the misconduct
- a meeting with the staff member and a third party if the staff member wishes

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- discussion of the incident, respecting the staff member's input, before the General Manager Training and Industry Development decides on a course of action.

At their discretion, the General Manager Training and Industry Development may decide to respond to the misconduct through actions including but not limited to:

- counselling of the staff member

- agreement on an action plan and timeframe to stop further misconduct

- a formal warning

- demotion

- termination of employment or contracted / consulting services.

As a person is legally accountable for their own behaviour, they can be held personally liable for any workplace or work-related acts of discrimination, sexual harassment, victimisation and vilification they engage in. They may be subject to criminal proceedings brought by a victim or victims, as well as disciplinary action by Master Plumbers.

Procedures

Note: the General Manager Training and Industry Development can apply this procedure at their discretion. If staff misconduct or incompetence has potentially serious consequences, the General Manager Training and Industry Development may decide to immediately dismiss a member of staff or take other action to mitigate the risk from their behaviour.

48. *Determine action to address staff misconduct/ incompetence*

General Manager Training and Industry Development

- Investigate and document details of the staff's misconduct/ incompetence, including:
    - o date, time and location of incident(s)
    - o the actual behaviour(s)
    - o witness statements
    - o effects on students or other staff
    - o prior discussions with the staff member about any related behaviour.
- Arrange a disciplinary meeting with the staff member as soon as possible after the incident(s).
- Advise the staff member that they may have a third party present during the meeting.
- At the meeting, discuss the incident(s) to ascertain the staff members views about:
    - o the incident(s), including any extenuating circumstances
    - o the consequences and effects of their action
    - o their future behaviour.
- At the meeting:
    - o explain the circumstances for instant dismissal, if appropriate
    - o negotiate and agree on a plan of action and timeframe for the staff member to change their behaviour to address their misconduct, if appropriate
    - o advise the action, including disciplinary action if appropriate—for example, further counselling, final warning or dismissal—that Master Plumbers will take

> if there is another, similar incident, or the staff member does not implement the action plan within the agreed timeframe

- Write a note of the disciplinary meeting (including the plan of action, timeframe and any other relevant details)
- Require the staff member to sign the note of the disciplinary meeting
- Provide the staff member with a copy of the signed note of the disciplinary meeting
- File the note of the disciplinary meeting on the staff member's file.

49. Implement action to address further staff misconduct/incompetence

General Manager Training and Industry Development

- Review the action plan agreed with the staff member and advice about disciplinary action Master Plumbers would take to address further misconduct.
- Consider whether, on the face of it, the further misconduct warrants investigation or not (for example, it may not be at all clear whether the staff member has actually engaged in further misconduct).

If the further misconduct warrants investigation

- Investigate and document details of the staff member's further misconduct, including:
  - date, time and location of incident(s)
  - the actual behaviour(s)
  - witness statements
  - effects on students or other staff.
- Arrange a meeting with the staff member after the incident(s).
- Advise the staff member that they may have a third party present during the meeting.
- At the meeting, discuss the incident(s) to ascertain the staff member's views about the incident(s), including any extenuating circumstances.
- Advise the meeting of the staff member's commitment to an action plan, and the consequences of not implementing it.
- Decide the disciplinary action to take, from the options presented to the staff member at the previous meeting and advise the staff member.

If the further misconduct does not warrant investigation

- Decide the disciplinary action to take, from the options presented to the staff member at the previous meeting.
- Make sure there are comprehensive and justifiable grounds for dismissing the staff member, if all other forms of disciplinary action had failed.
- Arrange an interview with the staff member as soon as possible after the incident(s).
- Advise the staff member that they may have a third party present during the interview.
- At the interview:
  - focus on the intended disciplinary action and its causes
  - present an objective, straightforward and firm decision
  - avoid personal accusations and feelings.
- If the interview is to dismiss the staff member, provide them with information about the severance pay and the type of reference Master Plumbers will provide.

- Write a note of the interview and file it on the staff member's file.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Training, assessment, credit and qualifications

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Training and assessment strategies

Policy

Master Plumbers delivers training and assessment in line with the training and assessment strategy for the course. Strategies are developed in consultation with industry and based on the requirements of the relevant Training Package.

National Training Packages

Master Plumbers develops training programs using units of competency from national Training Packages or State Accredited qualifications. A Training Package is developed by an industry advisory body that brings together employees, employers, unions and registered training organisations (such as Master Plumbers) to specify the competencies (including knowledge and skills) that people need for work in that industry. They include:

- units of competency
- which units of competency make up a particular qualification
- how a registered training organisation will conduct assessments
- resources (such as learning strategies, assessment resources and professional development materials).

Almost all jobs in all Australian industries covered by the vocational education and training system now have Training Packages, and registered training organisations base training and assessment on them. This means that training and assessment meet students', and their employers', needs.

Industry consultation

To develop its training and assessment strategies and related documents (including student's assessment guides and assessor's assessment guide), Master Plumbers uses industry group meetings comprising industry and enterprise representatives, and employers of current and prospective students, to ensure that programs are of maximum benefit to students and their current and prospective employers.

Delivery methods

The industry group may identify the most appropriate delivery methods, including:

- in the classroom
- flexible learning
- self directed.

It also provides advice about the learning resources required for delivery.

Assessment types

Master Plumbers conducts assessments that may be:

- **formative assessment** activities happen during the training program, to identify how well students are learning, and to modify their training if necessary. The results of the activities may not count toward the student's final results

- **summative assessment** activities happen during and at the end of the training program, to assess the student's competence against units of competency. There will usually be several summative assessment activities for each unit of competency. The assessor's judgement that the student is competent or not yet competent counts toward their final results.

Assessment tools

Assessment tools include:

- the instrument(s) for gathering evidence (that is, the questions and activities the student must answer or do)
- the procedure(s) for gathering and interpreting evidence (that is, the information and instructions the assessor gives to the student about how to use the assessment instrument(s).

Assessment tools must:

- assess all components of relevant units of competence including elements, performance criteria, range of variables, critical aspects of evidence, required knowledge and skills and employability skills
- focus on the application of knowledge, skills and required workplace attitudes, to the standard of performance required by the particular unit of competence: they must address the application of:
  - o task skills
  - o task management skills
  - o contingency management skills
  - o job role environment skills
  - o the key competencies.

- integrate knowledge and skills with their practical application across a range of learning outcomes and/or units of competence, where relevant
- include on-the-job and off-the-job components, where required (if the assessment includes workplace simulation, it must be directly relevant to the workplace).

Master Plumbers uses a range of assessment methods to suit a variety of student needs, including:

- direct demonstration / observation: the student performs one or more tasks, either in the workplace or in a simulated work environment, which the assessor observes
- indirect demonstration: the student is videoed or photographed performing one or more tasks, either in the workplace or in a simulated work environment, because the assessor cannot observe the student directly
- written or verbal question and answer test: the student answers questions about a real or hypothetical situation to show they understand the situation and can apply relevant knowledge and skills to it
- portfolio of evidence: the student presents evidence of things they have produced at work, including:
  - o schedules
  - o budgets
  - o reports

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- - o procedures
  - o work samples
  - o products that they made or repaired
  - o log books
  - o photographs and videos showing them performing a work task
- simulation (the student responds to a situation it is uncommon to find in practice, such as an emergency), including:
  - o scenario problem solving
  - o role play
- third-party report: the student presents documented and verified reports from a third party—for example, a supervisor, colleague, subject expert, trainer or other person—who can attest to the student's knowledge, skills and experience, including:
  - o letters from clients
  - o references
  - o performance evaluations
  - o prizes and awards
- project (the student analyses or interprets a requirement, researches it and prepares a report about it).

Review

Master Plumbers evaluates each course (including its resources and student performance) to ensure it provides high-quality services that meet the needs of students, employers and industry. It incorporates identified improvements into future courses and resources.

Master Plumbers conducts Validation and Moderation of its training and assessment tools and student outcomes as a part of its continuous improvement program.

Where possible, Master Plumbers seeks industry and employer input to its monitoring and evaluation activities.

Transition of Training Packages

Where there are revisions to the qualifications and/or units in a Training Package within Master Plumbers' scope of registration, Master Plumbers will promptly move to delivery of the revised qualifications and/or units, to minimise delivery of two versions of the same Training Package, and to give students access to the most up-to-date Training Package. Master Plumbers will deliver the revised qualifications and/or units within 12 months of their publication on the National Register (www.training.gov.au).

Master Plumbers will monitor the relevant information sources for new releases of units and or qualifications. Once changes have been identified, Master Plumbers will develop a transition plan to upgrade, enhance or re-develop the training material and plan for the updated program to be registered with the regulator and define the strategy for its implementation including the migration of existing students where appropriate.

A transition plan will be developed that will:

- outline current situation – student numbers, level of completion, expected time to complete

- identify changes between new and superseded qualification/unit
- Identify equivalent Units of Competencies
- Identify units that will require redevelopment
- Identify new units
- Plan to re-develop training and assessment material including industry validation for above
- Identify transition arrangements for existing students
    - Migrate to new qualification (preferred option)
    - Stay on existing qualification (highlight potential disadvantage if students were forced to migrate)
- Outline preparation of any gap training materials needed to transition as appropriate
- Outline development of new marketing material
- Plan for regulatory approval (extension to scope or unit transition documentation)
- Schedule student information session

Teach-Out vs Transition

- Transition plans must be determined (and may vary) for each different cohort of students. The overarching principle is that students are in general entitled to be trained in the latest material, unless they will be *genuinely disadvantaged*.
- Each case will be determined by:
    - Length of course and amount of time/units needed for completion (there should not be more than 12 months left to completion once the new qualification is registered).
    - Time to implement the transition plan (how many students will have completed their qualification prior to the registration of the new qualification)
    - Effect on completion times if transitioned (particularly important for apprenticeship course that have to be tied into work requirements and work experience).

Procedures

50.   Develop a delivery and assessment strategy

RTO Operations Manager

- Use *MPF30 Delivery and Assessment Strategy*, and the other forms referred to in this procedure, to note all details of implementation of this procedure, to produce a Course training and assessment strategy.
- Download the Training Package and qualification/units of competency from www.training/gov/au.
- Determine Training Package requirements for:
    - language, literacy and numeracy
    - foundation skills
    - prerequisites
    - caveats (such as sunset clauses)

- qualification packaging rules
  - assessment conditions and context
  - required skills and knowledge
  - minimum performance standards
  - elements and performance criteria of units
  - critical aspects of assessment.
- Considering the likely target group for the course, establish an industry working group of relevant industry representatives including:
  - employer and employee association representatives
  - employers of current students and graduates
  - manufacturers of equipment relevant to the area, if appropriate
  - trainers and assessors
  - subject matter experts.
- At the industry working group meeting, discuss:
  - industry need for the course
  - target groups of prospective students, and likely levels of demand
  - course content (including industry training requirements beyond what is in the Training Package)
  - packaging rules and electives
  - delivery methods
  - workplace language, literacy and numeracy requirements
  - resources required (trainers/assessors, materials and equipment)
  - how best to ensure the vocational currency of trainers/assessors.
- Using the *MPF21 Trainer assessor skills matrix*, produce a Trainer assessor course qualifications and experience matrix for each trainer/assessor who will deliver and assess the course, checking they have the necessary qualifications and experience, for each unit of competency.
- Populate/update the MPR63 Trainers Register giving the RTO a clear summary view of trainers and the courses/units that they can teach ensure spread and coverage.
- Using *MPF31 Plant and equipment matrix*, do a preliminary mapping of the equipment and resources needed to deliver and assess the course, to produce a Course equipment and resource mapping.
- Following *MPF32 Assessment matrix sample*, specify the relationship between the assessment tools and each unit's elements, performance criteria, required skills and knowledge and critical aspects of evidence, to produce a Course assessment matrix.
- Using *MPF33 Assessment guide template and MPF33a Practical assessment template*, draft the student's assessment guides / assessor's assessment guides for each unit, year or course.
- Using *MPF34 Session Plan template* draft the session plans to be used by the trainers.
- Review *MPD34 LLN test* against course requirements.
- Review *Assessor's guide to recognition of prior learning* for relevant unit/qualification against requirements.

- Prepare all the documents above as drafts and at subsequent industry working group meetings, discuss and improve them until the committee is satisfied with all aspects of the strategy.
- File the Course training and assessment strategy, the Trainer assessor course qualifications and experience matrix for each trainer/assessor, the Course Equipment and resource mapping, the Course LLN test and the Course assessor's guide to recognition of prior learning in the Course administration file.

51. Develop course training plan

RTO Operations Manager

- Where a student is an apprentice or is funded by Higher Education and Skills Group under the Victorian Training Guarantee, then a training plan must be developed as below.
- Use *MPF35 Training plan* to note all details of implementation of this procedure, to create a Course training plan that can then be individualised for each student.
- Add the name of the course, and complete appropriate sections of Part 1 of the plan (details of the training contract, employer, apprentice / trainee and RTO).
- Review the training and assessment strategy and complete:
  - o Part 2, including the units of competency and nominal hours
  - o Part 3, including the training and assessment proposal.
- Consult with the RTO Operations Manager to determine the proposed start and completion dates of each unit.
- File the Course training plan in the Course administration file.
- In the case of Preapprenticeship students, a single group Training Plan is sufficient.

52. Develop course resources and equipment

RTO Operations Manager

- Use *MPF31 Plant and equipment matrix* to note all details of implementation of this procedure.
- Review the training and assessment strategy, including the Course equipment and resource mapping, to identify all resource and equipment requirements for the delivery and assessment of course, and note them on the checklist.
- Identify the resources and equipment Master Plumbers currently has, and the remaining equipment and resources that need to be developed or acquired.
- Develop relevant resources by:
  - o identifying and analysing commercially viable resources, to determine their suitability
  - o if there are no suitable resources available, ask the industry steering committee to suggest subject matter experts to help develop resources
  - o engage subject matter expert(s) and discuss the resource requirements
  - o develop the resources and have the industry steering committee review them
  - o finalise the resources and update the training and assessment strategy
- Acquire the remaining resources and equipment.
- Check that each resource is consistent with the language, literacy and numeracy requirements for the particular unit of competency.

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- File the Course resource and equipment checklist in the Course administration file, with a copy in the course resource library.

53. *Maintain a course resource library*

Administration

- Maintain a soft and hard copy of a course resource library for each course, including:
  - o the Training Package (which will apply to more than one course)
  - o documents that are integral to the training and assessment strategy, including:
    - Course training and assessment strategy
    - the Trainer assessor course qualifications and experience matrix for each trainer/assessor
    - Course equipment and resource mapping
    - Course assessment matrix
    - student's assessment guides and assessor's assessment guides for each unit, year or course
    - a RPL guide for each unit
    - Course training plan.
  - o documents that derive from the strategy, including:
    - Course resource and equipment checklist
    - Course lesson plan
    - participant's / student's textbook(s) (e.g. from CPSISC, Pearson or Master Plumbers)
    - questionnaires and answers
    - supplementary handouts and drawings.
- Using the Course resource and equipment checklist for each course:
  - o annually review each course resource library, document by document, to ensure it is complete and that there are no documents missing
  - o if necessary, replace any missing documents
  - o if you observe systemic issues in the maintenance of the course resource library (such as particular documents regularly missing), note the details on a *MPF60 Continuous improvement item*
  - o give the RTO Operations Manager the *MPF60 Continuous improvement item*.

54. *Monitor and act on changes to Training Packages*

RTO Operations Manager

- Use all forms/documents referred to in the **Develop a training and assessment strategy**, **Develop the course training plan** and **Develop course resources and equipment** procedures.
- Master Plumbers is registered with www.training.gov.au to receive updates about changes to any Training Packages within Master Plumbers' scope of registration: if there are changes, download the latest version of the Training Package.
- Determine the unit(s) and/or qualification(s) affected by the change in the Training Package.

- Determine transition timelines and arrangements from the purchasing guide.
- Develop a new training and assessment strategy and related documents.
- Determine whether the unit(s) and/or qualification(s) are equivalent or not equivalent.
- Submit a change of scope request to the ASQA following their procedures as defined on their website
- After the ASQA approves the change of scope request, upload the unit(s) and/or qualification(s) into Student Management System.
- File all documents in the Course administration file, with a copy in the course resource library.
- Look at whether students are eligible to transition to the new unit(s) and/or qualification(s), or whether their agreements (such as Apprenticeship Training Agreement contracts) require them to complete the superseded qualification.
- If the student is eligible to transition, and will not be disadvantaged by transitioning, discuss and amend their training plan with them and their employer (if appropriate), taking account of any credit transfers available from equivalent units already completed under the superseded qualification(s)/unit(s).
- Have the student (and the employer, if appropriate) sign the training plan.
- Give the training plan to the Administration to enter amendments into the Student Management System student record.
- File the individual training plan on the student's file if appropriate.
- If the student is not eligible, teach out the superseded qualification(s)/unit(s), in line with thje ASQA's teach-out policy.

55. If your Training Package changes

Student

- If the qualification(s) and/or unit(s) in a Training Package change, Master Plumbers will determine if you have an agreement (such as an Apprenticeship Training Agreement contract) that requires you to complete the superseded qualification and/or unit(s).
- If you are eligible to move to the new qualification(s) and/or unit(s), and you will not be disadvantaged by doing so, Master Plumbers will discuss and amend your training plan with you and your employer (if appropriate), taking account of any credit transfers available from equivalent units already completed under the superseded qualification(s)/unit(s).
- If you are not eligible, we will continue to teach you the superseded qualification(s)/unit(s), in line with national requirements.

56. Review a training and assessment strategy

RTO Operations Manager

- Review a training and assessment strategy annually, or sooner in the event of:
  - a change to the legislative requirements of plumbing registration with the Victorian Building Commission
  - major technological change in the plumbing industry
  - request by the Master Plumbers Board.
- Reconvene the industry working group

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- Have the RTO Operations Manager review the *MPR60 Risk register* and *MPR64 Continuous improvement register* for actions that were scheduled for the next review of the training and assessment strategy and prepare recommendations with supporting evidence for the steering committee.

- Discuss and resolve the recommendations.

- Follow the **Implement a continuous improvement action** procedure to implement the recommendations.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Credit Arrangements

Policy

Master Plumbers gives students credit for formal, informal and non-formal learning that is relevant to their proposed course of study that they gained through previous formal or informal training, work experience and life experience. The student can use the credit to meet (or partly meet) entry requirements, or to reduce the amount of learning required for a qualification. Credit may be through:

- national recognition (credit transfer) whereby the student can demonstrate competency has been achieved because they hold a Statement of Attainment/s for Unit/s of competency
- assessment only pathway
- recognition of prior learning (RPL)articulated pathways (based on an agreement between Master Plumbers and another RTO or RTOs).

General

Master Plumbers provides students with advice, information and support about applying for credit, before they enrol and about preparing their application for credit.

Master Plumbers' decisions about credit will:

- be evidence-based, academically defensible, consistent, fair and transparent
- be made promptly, so a student's access to their program is not unnecessarily delayed
- allow for credit to be used toward prerequisites or other requirements for entry into a program, or for the partial fulfilment of the requirements of the program
- be documented with written feedback available to the student, including any reasons for not giving credit.

Credit arrangements will not unfairly advantage or disadvantage either a student entering a course with credit, or a student who enters directly.

If a student applies for credit based solely on a qualification, the content of that qualification must be current. An assessor may reject an application if the body of knowledge and/or practice in the qualification has changed significantly, and the student is not up-to-date with current practices. Master Plumbers may further assess a student to determine the currency of their skills and knowledge.

Master Plumbers may grant credit, but it does not guarantee a place in a course in which the credit would be available.

A student has the right to appeal a credit decision.

National Recognition (Credit transfer)

National recognition (Credit transfer) is when Master Plumbers allows a student to count units of competency they have previously achieved in another program (including with another provider) toward a qualification. It can reduce the number of subjects the student has to do for their qualification. Master Plumbers does not assess a student for the units for which they apply for credit transfer.

Master Plumbers will grant credit when the unit:

- is from an Australian Qualifications Framework qualification or statement of attainment
- is evidenced by sighting the original Certificate/Statement of Attainment and Transcript of Results from the issuing RTO
- is current (was achieved within the last five years)
- has been determined as 'equivalent' on Training.gov.au (that is, it has the same code and title) OR
- has been reviewed, resulting in minor changes to the unit code (for example A to B); this indicates that the outcomes of the unit have remained substantially the same (that is, at least 80% commonality with the original unit) OR
- has been transferred from another Training Package / curriculum and recoded, however, the learning outcomes remain the same.

There is no cost to the learner for a National Recognition application.

Assessment Only Pathway

At times learners may claim knowledge and currency and may elect to follow an Assessment Only Pathway.

In these situations, no structured training is given and the learner is required to provide current, quality evidence of their attainment of the relevant units of competency. This type of pathway may operate in both on and off the job environments. This pathway is likely to be most appropriate for existing workers and recent migrants with established work histories. In such cases it may be appropriate for assessors to use summative approaches to assessment.

In this situation the learner is required to undertake the summative assessments used for each Units of Competency that is being assessed in this way. If they demonstrate competency then they will achieve the unit. If they are assessed as Not Yet Competent, then they will be encouraged to undertake the full training and assessment pathway.

Master Plumbers publishes the costs of Assessment Only Pathway, on a unit-by-unit and/or qualification-by-qualification basis, on its website.

Recognition of prior learning

Recognition of prior learning (RPL) is assessment, without any further training, of what a student has already learned in other courses, from life experience, from work experience and from any training at work. This 'prior learning' must be relevant to one or more of the units of competency they are enrolling in: they cannot apply for RPL for part of a unit of competency.

A student who is assessed through RPL as competent in a unit does not have to do that unit in the course.

RPL applicants must provide sufficient evidence of their competence to sustain a successful RPL. The evidence required is established through the RPL process.

Master Plumbers structures the RPL process to minimise time and cost to applicants. It advises applicants how to gather sufficient evidence to support their claim for credit.

Master Plumbers publishes the costs of RPL, on a unit-by-unit and/or qualification-by-qualification basis, on its website.

Articulated pathways

Master Plumbers ensures that pathways into and between qualifications are available to all students for all relevant qualifications. It recognises that students should have clear pathways into and out of the qualifications it offers. Pathways may be between AQF qualifications at the same level, or between qualifications at different levels.

Pathways are particularly important for Master Plumbers students who are:

- dual-trade students (for example from the fire industry wanting to train as plumbers)

As at the last review of this policy, Master Plumbers did not have agreements with other RTOs for articulated pathways.

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Procedures

National Recognition (credit transfer)

57. Brief an applicant for National Recognition (credit transfer)

Trainer/Assessor

- Check the applicant has a copy of *MPD10 Learner Handbook*.

- Provide the applicant with a copy of the course training plan, and tell them to review each unit using www.training.gov.au, so they are familiar with the coverage and requirements of each unit of competency.

- Tell the applicant that, for the unit(s) for which they are applying for credit transfer:
    - if their application is successful, they will be exempt from training and assessment in the unit(s)
    - if their application is not successful, they must do the training and assessment for the unit(s).

- Advise the student to download a *MPF37 Application for national recognition (credit transfer)* from www.training.plumber.com.au.

- Explain the requirements for credit transfer and how to fill out the form.

- Tell them to send the completed *MPF37 Application for national recognition (credit transfer)*, with original(s) of a relevant qualification / statement of attainment, or a copy verified by the issuing institution(s), to the Administration.

- Answer any questions they have.

58. Process a National Recognition (credit transfer) application

Administration

- Enter details from the *MPF37 Application for national recognition (credit transfer)* on the Student Management System student record.

- Make copies of the applicant's qualifications / statements of attainment and file them with the *MPF37 Application for national recognition (credit transfer)* on their file.

- Give the student's file to the RTO Operations Manager.

59. Assess a National Recognition (credit transfer) application

Trainer/Assessor

- Verify the authenticity of a qualification or statement of attainment with the issuing institution, or by searching www.training.gov.au, or by another method, if required.

- If required, organise and conduct an interview with the applicant.

- Determine whether to grant credit, based on if the unit:
    - is the same (that is, it has the same code and title)
    - has been reviewed, resulting in minor changes to the code
    - has been transferred from another Training Package / curriculum and recoded, with the learning outcomes remaining the same.

- Record the credit decision for each unit on the *MPF37 Application for national recognition (credit transfer)*

- Give the student's file to the Administration.

60. *Advise an applicant of a National Recognition (credit transfer) decision*

Administration

- Enter details of credit granted on the Student Management System student record.
- Advise the applicant, in writing, of the national recognition (credit transfer) decision.
- Advise the applicant they can appeal the decision within seven days, in line with Master Plumbers' **Complaints and appeals** policy.
- Provide the applicant with a record of their credit, have them sign it, and put it on their file.
- Return the originals of the applicant's evidence to the applicant.

61. *If you want to apply for National Recognition (credit transfer)*

Student

- You may be eligible for national recognition (credit transfer) if you hold a relevant qualification or Statement of Attainment from Master Plumbers or another provider. Master Plumbers will credit relevant units subject to its credit policies.
- We will give you a copy of the course training plan, and ask you to review each unit using www.training.gov.au, so you are familiar with the coverage and requirements of each unit of competency.
- For each unit you wish to apply for credit transfer you must supply the original Certificate/Statement of Attainment and Transcript of Results from the issuing RTO
- The unit/s must be current. This means you must have achieved each unit/s no more than five years ago
- For the unit(s) for which you apply for credit transfer:
  - if your application is successful, you will be exempt from training and assessment for the unit(s)
  - if your application is not successful, you must do the training and assessment for the unit(s).
- Download a *MPF37 Application for national recognition (credit transfer)* form from www.plumber.com.au. We will advise you how to complete it. You must send the completed form, with original(s) of a relevant qualification / statement of attainment, or a copy verified by the issuing institution(s), to the office.
- If required, we will interview you about your application.
- We will advise you, in writing, of the credit decision.
- You can appeal the decision within seven days, in line with Master Plumbers' **Complaints and appeals** policy.

- There is no cost to you for a National recognition (credit transfer) application.

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Recognition of prior learning

62.   Brief an applicant for RPL

Trainer/Assessor

- Use the relevant Course assessor's guide to recognition of prior learning to note all details of implementation of this procedure.
- Make copy of the Course assessor's guide to recognition of prior learning and read it carefully.
- Tell the applicant that, for the qualification/unit(s) for which they are applying for RPL:
    - o   if their application is successful, they will be exempt from further assessment
    - o   if their application is not successful, they must do the training and assessment for the unit(s).
- Tell the applicant how much the RPL will cost and answer any questions they have.
- We will give you a copy of the candidate information and application forms. Tell them to read them carefully, and complete the:
    - o   self-assessment questionnaire
    - o   *MPF47 RPL application* form (available from www.training.plumber.com.au)
    - o   applicant's declaration.
- Advise the applicant to fill in the self-assessment questionnaire honestly: it will help them, and you, determine evident areas of skills and knowledge.
- Give the completed application forms to RTO Operations Manager.

63.   Process an RPL application

RTO Operations Manger

- Review *MPF47 RPL application* form from candidate.
- Nominate an assessor to conduct the RPL process.
- Provide the RPL assessor with the relevant Course assessor's guide to recognition of prior learning.
- Make copies of the applicant's evidence and file it with Course assessor's guide to recognition of prior learning on their file.
- Give the student's file to the assessor.

64.   Organise and conduct an RPL interview

Assessor

- Use the relevant Course assessor's guide for recognition of prior learning to note all details of implementation of this procedure.
- Review *MPF47 RPL application* form and the applicant's evidence to form an opinion about the strength of the current evidence, and any further evidence required.
- Arrange with the applicant a date, time and location for the RPL interview.
- At the interview use the Course assessor's guide for recognition of prior learning to:
    - o   discuss the possible extent of RPL the applicant may be eligible for
    - o   discuss and clarify the applicant's skills, knowledge and experience

- o if necessary, help the applicant identify other sources of evidence to support their application

- o complete the RPL questions (competency conversation) either in writing or verbally

- o complete the selected practical demonstration tasks

- o if necessary, help them to develop a plan to finalise their RPL application which may require them to:

  - ▪ provide further evidence

  - ▪ demonstrate their skills and knowledge

  - ▪ arrange for you to observe their skills in their workplace, or in a simulated work environment at Master Plumbers

  - ▪ do some 'gap' training.

- If necessary, provide the applicant with support to implement their plan.

- When the applicant provides further evidence, note details of it on the Course assessor's guide to recognition of prior learning.

65. Make an RPL decision

Assessor

- Decide whether the applicant's evidence is sufficient to demonstrate their competence relevant unit(s) of competency.

- Note the RPL decision for each unit on the Course assessor's guide to recognition of prior learning.

- Give the student's file to the Administration.

66. Advise an applicant of a RPL decision

Administration

- Enter details of RPL granted on the Student Management System student record.

- Advise the applicant, in writing, of the RPL decision.

- Advise the applicant they can appeal the decision within seven days, in line with Master Plumbers **Complaints and appeals** policy.

- Provide the applicant with a record of their credit and have them sign it.

- Make a copy of the applicant's evidence and return the originals to the applicant.

- File all documents, including copies of the applicant's evidence, on the student's file.

67. If you want to apply for recognition of prior learning

Student

- You may be eligible for RPL based on skills you have learned in other courses, from life experience, from work experience and from any training at work.

- Make an initial appointment with your trainer to discuss your application for RPL as soon as possible to ensure the evidence you want to present is appropriate and adequate.

- We will give you a copy of relevant parts of the course guide to RPL and ask you to review each unit using www.training.gov.au, so you are familiar with the coverage and requirements of each unit of competency.

- For the unit(s) for which you apply for RPL:
  - if your application is successful, you will be exempt from assessment
  - if your application is not successful, you must do the training and assessment for the unit(s).

- We will tell you how much the RPL will cost and answer any questions you have.

- We will give you a copy of the candidate information and application forms. You must read them carefully, and complete the:
  - self-assessment questionnaire
  - *MPF47 RPL application* form (available from www.training.plumber.com.au)
  - applicant's declaration.

- It is important to fill in the self-assessment questionnaire honestly: it will help you, and us, determine evident areas of skills and knowledge.

- Give the completed application forms to the Administration.

- An assessor will:
  - review your application and evidence
  - arrange a date, time and location for the RPL interview.

- At the interview, the assessor will:
  - discuss the possible extent of RPL you may be eligible for
  - discuss and clarify your skills, knowledge and experience
  - if necessary, help you identify other sources of evidence to support your application
  - ask you RPL questions, either in writing or verbally
  - have you complete the selected practical demonstration tasks
  - if necessary, help you develop a plan to finalise your RPL application, which may require you to provide further evidence, demonstrate your skills and knowledge, arrange to observe your skills in their workplace (or in a simulated work environment at Master Plumbers) and/or do some 'gap' training.

- We will advise you, in writing, of the RPL decision.

- You can appeal the decision within seven days, in line with Master Plumbers' **Complaints and appeals** policy.

67a. If you want to apply for an assessment only pathway

Student

- You may choose to follow an Assessment Only pathway for selected unit/s if you believe you have the required knowledge, skill and currency.

- You will be required to complete the summative assessments for each unit/s being assessed in this way.

- If you demonstrate competence in the assessments, you will achieve the unit/s.

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- If you are assessed as Not Yet Competent you will not be awarded the opportunity of reassessment. You will be required to re-enrol and undertake the full training and assessment pathway for the unit/s.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Training and assessment delivery

Policy

Master Plumbers' trainers/assessors maintain a high level of professional conduct, and conduct assessments that are valid, reliable, fair and flexible for students. Master Plumbers makes reasonable adjustments to its training and assessment practices so it does not disadvantage particular students (such as a student with a disability, or with lower language, literacy or numeracy skills).

Trainer/assessor conduct

Trainers and assessors must:

- treat each student with dignity and fairness, recognising that each are entitled to their views on politics, religion and matters of community interest
- acknowledge students possess valuable life experience and skills, and have much to contribute in a learning environment
- treat students with a disability in a supportive and positive manner, to allow them to reach their potential
- ensure the behaviour of students is appropriate and safe
- wear clean clothing, appropriate to the course they are delivering
- not smoke during class times, or in the training venue
- be prepared for the class, and punctual
- not promote or sell any products, services or events during class time without Master Plumbers Permission
- follow Master Plumbers' policies and procedures in relation to all aspects of course delivery and assessment, including occupational health and safety and student welfare
- take account of all relevant legislative and other requirements applying to work practices.

An assessor must also take great care that the assessment process, including the assessment decision, is documented correctly.

Auspicing arrangements

Master Plumbers may auspice, through a memorandum of understanding, another registered training organisation to deliver training and assessment services on its behalf.

Master Plumbers requires an auspiced RTO to provide it with:

- its commercial details
- details of trainer/assessor qualifications and professional development arrangements
- its training and assessment strategy for the relevant units or qualification.

- Copy of its Higher Education and Skills Group current service agreement, if services are to be delivered under a funded arrangement.

For the training being delivered the contracted RTO must provide Master Plumbers with:

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- the course outline and session plans
- assessments mapped to the unit of competency
- all resource requirements
- student and employer surveys.

Trainers/assessors from an auspiced RTO must undertake induction, in line with the **Induct a staff member** procedure.

Master Plumbers monitors all training and assessment delivered by auspiced RTOs by one or more of:

- student feedback forms
- classroom observation by a Master Plumbers representative
- feedback by the auspiced RTO's trainer/ assessor
- validation and moderation sessions.

Master Plumbers monitors the auspiced RTO to ensure it complies with the current HESG service agreement through the above listed item and auspice staff inductions.

Master Plumbers considers all monitoring data through its continuous improvement procedures.

Assessments

Assessment is the process of ensuring a student has the range of skills and knowledge required by a unit of competency and can apply them in the workplace.

Master Plumbers conducts assessments that are:

- **valid**: assessments actually assess what they claim to assess, because assessors collect evidence in a variety of contexts and on a number of occasions, and assessment tools assess everything they claim to, and nothing else
- **reliable**: assessments produce consistent results, every time, because the interpretation of the evidence is consistent
- **fair**: assessment tools do not disadvantage any students, and there is a confidential appeal process
- **flexible**: assessments use a range of approaches, to meet the needs of different students.

The evidence the assessor users to assess a student must be:

- **valid**: the evidence must demonstrate competence that relates to the specific unit(s) of competency from the qualification
- **sufficient**: the student must provide sufficient evidence to cover all aspects of competency and show consistent, repeatable performance to the required standard
- **current**: the evidence must be recent, to demonstrate that the student's competence is current
- **authentic**: the evidence must belong to the candidate: where the assessor cannot directly observe the student, they must provide supplementary evidence that the evidence is true theirs (such as a letter from their employer).

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Master Plumbers provides a student with an assessment guide for each year of their course which includes information about the assessment process and the diagnostic, formative and summative assessment activities they must do. The guide also records the student's work and their assessor's comments and assessment decisions.

A student must complete—by the deadline set by their assessor—all assessment activities for their course, unless they are given credit through credit transfer, recognition of prior learning or articulated pathways processes.

For diagnostic and formative assessment activities, the assessor will provide the student with constructive and timely feedback their performance, and guidance about the knowledge and skills they should focus on.

For summative assessment activities, the assessor will assess a student as:

- competent (for students who have achieved all of the learning outcomes specified for that unit to the specified standard)
- not yet competent (for students who are required to re-enrol in a unit in their endeavour to achieve competence).

If the assessor assesses the student as not yet competent, the student must do more training, or provide more evidence to demonstrate their competence. The assessor will reassess the student after further training, or after they provide further evidence. If the student is an apprentice, Master Plumbers complies with the Victorian Skills Commission Policy on Competency Based Completions.

Assessment intervention

The assessor must follow Master Plumbers' policies with regard to the degree of intervention permitted during assessments.

The assessor can interact with a student undertaking a direct demonstration / observation assessment by:

- explaining the assessment requirements
- demonstrating the required skill on a separate piece of material
- holding a piece of work for the student
- offering verbal advice about a particular process
- indicating an incorrect process
- stopping the assessment if the student does not comply with OHS requirements

The assessor must not:

- do any part of the assessment on behalf of the student
- demonstrate the required skill on materials being used by the student for the assessment
- coach or mentor the student through the assessment.

The assessor can interact with the student undertaking a written or verbal question and answer test by:

- explaining questions verbally
- accepting a verbal answer

- indicating which resources (such as reference books) they are to use.

The assessor must not:

- answer a question for the student
- point out specific, relevant information the student is looking for in a resource
- coach or mentor the student through the assessment.

The assessor can stop an assessment in the event of a breach of OHS requirements, or if they consider there is a significant risk of an OHS consequence.

Plagiarism and Cheating

It is a requirement of the assessor to be aware of any possible attempt to plagiarise or cheat in an effort to gain competency. These illicit approaches, if proven, will immediately result in the student be assessed as 'not yet competent' and they will also loose the right to re-assessment. They will have re-register (and pay the appropriate fee) to recover the training material and assessment.

If an assessor suspects plagiarism, then they should take reasonable steps (e.g. using on line plagiarism detection software) to confirm or otherwise whether plagiarism has taken place. A distinction is to be made between incorrect referencing and plagiarism. When plagiarism and or cheating is identified the issue must be raised and the outcome confirmed with the RTO Operations Manager. Students who believe the decision against them is unjust will have the right to appeal as per the Complaints and Appeals policy.

Assessment reasonable adjustments

Master Plumbers will make 'reasonable adjustments' to the assessment process so it does not disadvantage particular students (such as a student with a disability, or with lower language, literacy or numeracy skills). Reasonable adjustments will not undermine the integrity of the assessment.

The table below shows typical difficulties students have, and examples of reasonable adjustments in assessment.

Difficulty	Examples of reasonable adjustments in assessment
Maintaining concentration	- allow additional time - provide access to a scribe - split sessions, on the same or successive days, to prevent the learner working for extended periods - provide a separate assessment venue
Expressing knowledge in writing	- allow additional time - provide access to a scribe - use multiple choice and short answer questions, rather than long answer questions - use models and practical examples - do an oral assessment

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Spelling and/or grammar	• allow additional time
	• provide access to a scribe
	• use multiple choice and short answer questions, rather than long answer questions
	• use models and practical examples
	• do an oral assessment
	• let the student use a computer with a spelling and grammar checker, dictionary and thesaurus
	• use assessment tools such as taped interviews, slide presentations, photographic essays or models
Numbers and numerical concepts	• allow additional time
	• let the student use a calculator
Understanding spoken information and instructions	• allow additional time
	• have rest breaks
	• split sessions, on the same or successive days, to prevent the learner working for extended periods
	• use simple, direct language
	• give instructions step-by-step
	• repeat information
	• ask a student to repeat what they are required to do, to check they understand
	• demonstrate what is required
Communicating orally, for oral assessments	• allow additional time
	• provide access to an interpreter
	• let the student use a computer with a voice synthesiser
	• have someone read the student's work
English language	• allow additional time
	• let the student use a dictionary and thesaurus
	• let the student use a computer with a spelling and grammar checker, dictionary and thesaurus

Source: adapted from Making Assessment Work for Everyone! prepared by Centre for Advancement of Innovative Learning, Brisbane, Qld. 2002.

Reassessment

Master Plumbers will allow a student the opportunity to resubmit or resit an assessment for which they have been assessed as not yet competent. The student can do the assessment again, with a different assessment task, at a time decided by the assessor. There will be no fee charged for a second assessment.

If the student is assessed as not yet competent after the second assessment, the student must re-enrol in the unit and be retrained.

Students who elect to undertake an Assessment Only Pathway and are assessed as not yet competent by the assessor, will not be accorded the opportunity of reassessment. They will be required to re-enrol in the unit and be retrained.

In the case of the independent Restricted Electrical License (REL) assessments, Master Plumbers is required to charge for all reassessment attempts (limit of one reassessment per classification).

Procedures

69. Develop a course calendar

RTO Operations Manager

- In September each year identify the courses intended for delivery in the next year.
- Refer to the training and assessment strategy for each course, to determine:
    - duration
    - delivery method
    - delivery schedule.
- Determine appropriate times for each course by:
    - investigating the intended target audience and their employers, and preferred times
    - reviewing the availability of resources and rooms
    - consulting with trainers/assessors, including about their availability.
- Using the Course resource and equipment checklist for each course, confirm that all resources are available.
- Review all course times, and other bookings at the training facility, to ensure there are no time clashes.
- Determine the course calendar, including the student orientation.
- Create an Outlook course calendar for the year and input dates and times for each course.
- In Outlook, create a trainer's/assessor's roster.
- Circulate the Course calendar and Trainer's/assessor's roster to trainers/assessors, the Administration and the Administration.
- Publish the Course calendar on the website.
- Print out a calendar for each course that can be given out to applicants for enrolment.
- Review and monitor the calendar quarterly and adjust it as required.
- Notify trainers/assessors, the Administration, the Administration and the General Manager Training and Industry Development of any amendments to the calendar or roster.
- File a copy of the Course calendar in each course administration file, with a copy in each course resource library.

70. Prepare a trainer's package

Administration

- About one week before their first session, provide the trainer with:
    - the unit(s) of competency to be delivered

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- o Course training and assessment strategy
- o Course resource and equipment checklist
- o all delivery resources and assessment tools
- o Course lesson plan
- o Student Management System Occurrence attendance report
- o the room allocation
- o *MPF40 Assessment record* (one for each student if applicable)
- o *MPF41 Student course evaluation* (one for each student)
- o *MPF42 Trainer/assessor course evaluation*.

- Arrange to meet the trainer to hand over the package and to organise access to the venue.

71. *Prepare for the session*

Trainer/assessor

- Use the Course resource and equipment checklist to note all details of implementation of this procedure.
- Collect all resources and equipment on the checklist.
- Inspect all equipment, resources and materials to ensure they are in up-to-date, good condition, and they comply with OHS requirements.
- Prepare copies of notes and other resources.
- Identify new or replacement purchases required and note them on the Course resource and equipment checklist.
- File the Course resource and equipment checklist on the course administration file.
- Give the RTO Operations Manager a copy of the amended Course resource and equipment checklist.

72. *Check the venue for OHS*

Trainer/assessor

- Use *PremF01 OHS Hazard identification* to note all details of implementation of this procedure.
- Arrive at the venue at least 10 minutes before the scheduled time, to ensure the room is ready for the class.
- Check you have access to the nearest first aid box.
- Find out who the Designated First Aider is, in the event of an incident requiring first aid.
- Display a notice in a prominent position about occupational health and safety requirements for the use of equipment and resources.
- Review the venue layout for hazards.
- If you identify a hazard(s), take action to minimise or eliminate them. If you cannot do this, contact the Occupational Health and Safety Officer to assess the situation and if necessary arrange to relocate the class.
- If you noted any hazards on the *PremF01 OHS Hazard identification*, give the RTO Operations Manager the completed form.

73.   Start the session

- Use Student Management System Occurrence attendance report and *MPF40 Assessment record* to note all details of implementation of this procedure.

- Start the session on time.

- Use Student Management System Occurrence attendance report to note absences, late arrivals and early departures.

- Have students' complete *MPF10 Course Enrolment form*. Return enrolment forms as required by administration procedures depending on evening or day class.

- Explain OHS requirements, including:

    o   emergency evacuation procedures

    o   where the nearest first aid box is

    o   particular OHS requirements relating to the session, and the use of equipment and materials

    o   the necessity for all students to comply with all OHS requirements

    o   that students must not possess or use, and not be under the influence of, alcohol or illegal drugs

    o   that students must not smoke during class times, and in breaks only in designated areas.

- At the first session:

    o   discuss the learning outcomes and assessment activities with students

- At all times, at all sessions, be on the lookout for any indication that a student may need education and/or welfare support. If you think they may need this support, contact the Student Support and Welfare Officer to discuss the matter with them.

- Give the notated Student Management System Occurrence attendance report to Administration to enter absences, late arrivals and early departures on the Student Management System student record and to notify the student's employer as appropriate.

74.   Explain assessment activities to students

- Read the introductory section of the student assessment guide, so you are familiar with its instructions to students, and are ready to answer any of their questions.

- Hand out the student's assessment guide to each student, at the start of the first class.

- Explain Master Plumbers' policy about the level of assessor intervention permitted.

- Explain that the student's assessment guide indicates the order in which they are to complete each activity. If due to unforeseen circumstances you need to vary the order of assessment activities (such as particular resources not being available), clearly explain the changed order of assessment activities.

- Explain the conditions of assessment, as noted in the training and assessment strategy.

- Explain and discuss the competency, the learning outcomes, the assessment activities and the due date for each assessment activity.

- Refer to and explain if necessary the information in *MPD10 Learner Handbook* about assessment, including:
  - the requirement to be assessed
  - types of assessment
  - the right to appeal assessment decisions.
- Explain that you will complete and sign off each assessment activity after they complete it, and that Master Plumbers will keep all assessment record sheets and make them available to the student, on request.

75. Conduct assessment activities

Assessor

- Provide the students with the assessment tools they need to do the assessment tasks by the due date.
- Tell the student how you will conduct the assessment.
- Establish the special needs of students and make reasonable adjustments that do not comprise the achievement of competency, to the required standard, consistent with the requirements of the Training Package and the training and assessment strategy.
- If the assessment includes a written exam or test:
  - provide a quiet room, where there won't be distractions or interruptions
  - set tables and chairs at a distance from each other
  - have a clock visible, and display the start and finish times of the exam or test on a whiteboard
  - provide writing paper.
- Gather evidence according to the assessment plan, and the rules of evidence (valid, sufficient, current, authentic evidence), to demonstrate competence.
- To effectively synthesise multiple sources of evidence, refer to the recording mechanism in the student's assessment guide.
- Confirm that the assessment evidence is the student's own work by:
  - overseeing practical demonstrations in a classroom environment
  - ensuring the student has signed a declaration that the work is their own
  - verbally questioning students, randomly
  - signing and verifying the assessment activity record.
- For every assessment activity in the student's assessment guide, check that the student has completed all aspects of the task according to the prescribed assessment criteria
- Make a decision about whether the student's completion of the activity is satisfactory or not satisfactory.

76. Record an assessment decision

Assessor

- After you make the assessment decision (satisfactory or not satisfactory) for the activity, record it in the assessment result box on the assessment record sheet.

- When the student has completed all the activities for the unit:
  - collect all the assessment evidence
  - make the initial assessment decision and record the result and date on the *MPF40 Assessment record*.
- Return to the RTO Operations Manager the:
  - relevant assessment activity sheet(s)
  - student's assessment evidence, being any documentation in the nature of evidence which was created by the student and which you considered as evidence when making your assessment decision
  - *MPF40 Assessment record*.

77. *Advise a student of an assessment decision*

Assessor

- Advise the student of the assessment outcomes, promptly and in a constructive way, and give them guidance about their future options.
- Provide constructive feedback to the student about their assessment performance.
- If you assessed the student as not yet competent:
  - tell the student what improvement is needed to achieve competence, providing specific information about identified gaps in competence
  - tell the student where practical demonstrations did not provide sufficient evidence of competence, and need to be repeated
  - if appropriate, invite the student to submit further evidence or repeat practical demonstrations to meet the standard of competence
  - negotiate with the student a new date, time and location for another assessment.
- If the student is not satisfied with the assessment result, discuss their dissatisfaction. If discussion does not resolve the dissatisfaction, follow the **Issue a complaint form** procedure.

78. *Secure the venue and equipment*

Trainer/assessor

- After completion of the session, return all equipment to its place of storage.
- Reset the training room, and ensure it is clean and tidy.
- Check that all lights, fans and electrical appliances are turned off (including in the toilet).
- Close and lock all windows and doors.
- Lock the front door if you are the last person to leave the building.

79. *Finalise the session*

Trainer/assessor

- At times determined by the RTO Operations Manager (for example, at the end of every session, week, block or course), return to the Administration:
  - relevant assessment activity sheets from the students' assessment guides

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- o student's assessment evidence
- o *MPF40 Assessment records*
- o delivery resources.
- If the class is the last class of the course:
  - o ensure students return all resources (such as library books)
  - o give each student a *MPF41 Student course evaluation* and ask them to complete it
  - o collect all completed forms and ask students with uncompleted forms to return them to the office
  - o complete the *MPF42 Trainer/assessor course evaluation*
  - o give the Administration the completed *MPF41 Student course evaluations* and *MPF42 Trainer/assessor course evaluation*.

80. Enter results in Student Management System and finalise the course

Administration

- On receipt of student course/unit assessment results from RTO Operations Manager ensure you have received;
  - o all relevant student assessment tasks
  - o occurrence attendance record marked, signed and dated by assessor
  - o *MPF41 Student course evaluations* and *MPF42 Trainer/assessor course evaluation*
- Enter assessment result in Student Management System
- File the tasks in relevant course folder
- Give the *MPF41 Student course evaluations* and *MPF42 Trainer/assessor course evaluation* to the RTO Operations Manager.
- On specified day (weekly) generate an AVETMISS file from Student Management System
- Upload the AVETMISS files, refer to VETtrack procedures document for detailed procedure.

81. Survey employers

Administration

- If appropriate identify the employers of all employer-sponsored students, from their enrolment forms.
- Send the employers a *MPF43 Employer course evaluation* and cover letter and ask them to complete the survey and return it to Master Plumbers.
- If the employer does not return the survey by the date nominated, call them to remind them.
- Give the returned employer surveys to the RTO Operations Manager to review.

82. Input course evaluation and survey data

Administration

- After the RTO Operations Manager reviews the returned surveys, enter data from:

- o *MPF41 Student course evaluations* into the Student course evaluation worksheet in the Evaluation database spreadsheet
  - o *MPF42 Trainer/assessor course evaluations* into the Trainer assessor course evaluation worksheet in the Evaluation database spreadsheet
  - o *MPF43 Employer course evaluations* into the Employer survey worksheet in the Evaluation database spreadsheet.
- File each completed *MPF41 Student course evaluation* and *MPF43 Employer course evaluation* on the file of the student to which it applies.
- File each completed *MPF42 Trainer/assessor course evaluation* on the course administration file.
- Print out each of the worksheets in the Evaluation database spreadsheet and give them to the RTO Operations Manager.

83. *During your training and assessment*

Student

- Read the **Student misconduct** policy carefully, including about what misconduct is, and the attendance requirements. Master Plumbers will report absences, late arrivals and early departures to your employer, if you have one.
- Listen carefully to all OHS requirements the trainer/assessor explains and follow all OHS instructions.
- If you feel you need education and/or welfare support, tell your trainer/assessor, or contact the Student Support and Welfare Officer directly.

84. *About your assessment*

Student

- Your assessor will give you the student's assessment guide at the start of the first class.
- Your assessor will explain:
  - o Master Plumbers' policy about the level of assessor intervention permitted
  - o the order in which you must complete each assessment activity
  - o the conditions of assessment
  - o the competency, the learning outcomes, the activities (including the percentage weighting if appropriate) and the due date for each activity
  - o the paperwork requirements to document the outcomes of activities
  - o how the assessment will be conducted.
- If you have special needs, the assessor will make reasonable adjustments for you.
- After the assessment, the assessor will tell you the assessment outcomes, promptly and in a constructive way, and give you guidance about their future options.
- If the assessor assesses you as not yet competent, they will:
  - o tell you what improvement is needed to achieve competence
  - o tell you where practical demonstrations did not provide sufficient evidence of competence, and need to be repeated
  - o invite you to resubmit written assignments or repeat practical demonstrations to meet the standard of competence

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- o negotiate new dates for assessment or resubmission of assignment(s).

- You can appeal the assessment decision within seven days, in line with Master Plumbers' **Complaints and appeals** policy.

- At the end of the course, the trainer/assessor will ask you to complete a student course evaluation form.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Qualifications / Academic Transcript

Policy

Under the Australian Qualifications Framework—a national framework for consistency and quality in qualifications—Master Plumbers issues:

- a qualification (comprising a testamur and a record of results (Academic Transcript), to a student who successfully completes their program)
- a Statement of Attainment (to a student who only partially completes their program).

Master Plumbers issues Testamur and Academic Transcript in line with the AQF Qualifications Issuance Policy.

Master Plumbers will issue a student who successfully completes **all** the units of competency required for an AQF qualification or accredited course with a qualification that comprises:

- a Testamur
- an Academic Transcript.

Master Plumbers will issue a Statement of Attainment to a student who successfully completes:

- **one or more units** from a Training Package or an accredited short course
- a skill set (identified in a Training Package) which meets a license or regulatory requirement, or which meets a defined industry need.

The AQF qualifications and Academic Transcript Master Plumbers issues include:

- Master Plumbers' name, national RTO code, logo and corporate seal
- the nationally recognised training logo
- if it is a testamur:
    - the code and title of the qualification
    - the industry descriptor and occupational or functional stream, as applicable
    - an AQF logo or the words 'The qualification is recognised within the Australian Qualifications Framework'
- if it is an Academic Transcript:
    - the words 'An Academic Transcript is issued when an individual has completed one or more accredited units'
    - a list of units of competency, showing their full title and national code
- the date of issue
- the authorised signature
- the language of delivery and assessment, if it is other than English.

Master Plumbers' General Manager Training and Industry Development will delegate signing authority to the RTO Operations Manager who has sole responsibility for authorising the issuance of qualifications and Academic Transcript to students.

Master Plumbers' Student Management System Awards register allows it to control, record and report on the qualifications and Academic Transcript it issues, to reissue them if necessary, and to transfer them in the event that Master Plumbers closes. Master Plumbers has a quality

procedure in place to confirm that only learners who have achieved the requirements of the qualification/s and /or unit/s in which they are enrolled are awarded qualifications and statements of attainment.

Master Plumbers provides reports of records of qualifications and Academic Transcript it has issued to its VET regulator, on a regular basis as determined by the regulator.

Master Plumbers archives and stores safely records relating to the issuance of qualifications and Academic Transcript for 30 years.

Master Plumbers meets the requirements for implementing a national Unique Student Identifier (USI).

Master Plumbers will reissue a qualification or Academic Transcript, on written request, for a fee of $20.

Procedures

85. *Confirm qualification or Academic Transcript*

RTO Operations Manager

Prior to any Certificate or Academic Transcript being issued the following process is undertaken.

- Receive completed assessment material from trainers/assessors.
- Review all materials for completeness and sufficiency, referring to the Delivery and Assessment Strategies and associated training materials as required.
- Confirm all documents signed and dated by assessor and learner as appropriate.
- Review occurrence file and prepared Certificate, Academic Transcript from Administration. Check documents for accuracy.
- Sign Certificates.
- Return Certificate, Academic Transcript to Administration to be posted or handed to students.
- File the complete file according to the records management policy.

86. *Prepare a qualification or Academic Transcript*

Administration

- Receive Cross Tab Report/Completed Task Summary Sheet from RTO Operations Manager to enter student results into the Student Management System.
- Access the Student Management System student record to determine whether the student has achieved a full qualification, or if they are to be given an Academic Transcript.
- Using Student Management System, make out a testamur if the student has achieved a qualification, including the:
  - o national course code
  - o Master Plumbers' national provider number
  - o student name
  - o the date of issuance

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- o   Nationally Recognised Training (NRT) logo.
- The Student Management System will list the units of competency achieved within the qualification, with their national codes, on the reverse side of the testamur.
- Using Student Management System, make out a Statement of Attainment if the student has achieved individual units from a qualification or accredited course.
- The Academic Transcript and Statement of Attainment is to be embossed with the Master Plumbers insignia
- The Student Management System will list the units of competency achieved, with their national codes, on the Academic Transcript and Statement of Attainment.
- Check the following information is included:
    - o   the national course code
    - o   the national competency code and title
    - o   Master Plumbers national provider number
    - o   student name
    - o   date of issuance
    - o   Nationally Recognised Training (NRT) logo.
- Have the RTO Operations Manager check all documents and hand sign all qualification certificates
- Post the documentation to the student or hold it for collection.

87.   Reissue a qualification / Academic Transcript

Administration

- Ask the graduate to make their request to reissue their qualification / Academic Transcript/Statement of Attainment using *MPF04 Request for student information*.
- Check the Student Management System Awards register to confirm the graduate was awarded the qualification / Academic Transcript.
- The applicant must provide sufficient evidence so that Master Plumbers can reasonably establish their identity as the legitimate student who is entitled to the Qualification or Academic Transcript. As a guide follow the banking industry identity model of producing 100 points of evidence. This will usually include:
    - o   Photo Identity – e.g. Driving Licence / passport
    - o   Other forms of identity establishing name, date of birth, address.
- Tell the graduate there is a $20 reissuance fee, and that Master Plumbers will reissue their qualification / statement of attainment within 30 days.
- Reissue the qualification / Academic Transcript, signed by the General Manager Training and Industry Development.
- Invoice the graduate.
- File the application and invoice in the student's file.

88.   If you want us to reissue your qualification / Academic Transcript...

Student

- Make your request to reissue your qualification / Academic Transcript in writing.

- You will be required to produce '100 points of identity' to confirm that you are entitled to receive a copy of the Qualification or Academic Transcript.

- There is a $20 reissuance fee.

- Master Plumbers will reissue your qualification / Academic Transcript within 30 days.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Complaints and appeals

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Complaints and appeals

Policy

Master Plumbers deals with all complaints and appeals promptly and constructively, respecting the right of students to complain or appeal if they consider they have been unjustly treated.

Staff must maintain the confidentiality of all complaints and appeals. They must ensure they only disclose details of any complaint / appeal to those who need to be involved in resolving it.

Through its continuous improvement procedure, Master Plumbers will examine the details and outcomes of all complaints and appeals, to improve its services.

All Master Plumbers policies and procedures do not remove any rights that complainants and appellants have under consumer protection legislation. Apprentices also has recourse through the VRQA's complaints process.

Complaints

Master Plumbers considers all complaints promptly. It investigates the complaint (respecting the complainant's privacy and wishes) and tries to mediate with the person(s) involved. If the complaint remains unresolved, Master Plumbers engages an independent mediator.

Master Plumbers will take appropriate action, including disciplinary action, if a complaint is substantiated.

A complainant can appeal Master Plumbers decision about their complaint. Master Plumbers will refer such appeals to an independent person, RTO or panel, with proven mediation and negotiation skills and/or industry expertise.

Appeals

A student can appeal an assessment decision or the outcome of a complaint within seven days of the student being advised of the decision.

If the RTO Operations Manager decides too, after reviewing the assessment evidence, Master Plumbers will arrange for a reassessment by a second, qualified assessor and will notify the student in writing of the reassessment decision. If the student is not satisfied with the reassessment decision, they can lodge a complaint under the **Complaints and appeals** policy.

If a student is dissatisfied with the outcome of a complaint, they may appeal to have the complaint heard externally following the Complaints and Appeals policy.

Procedures

Complaints

88a. Respond to an informal complaint

Often, complaints are informal in nature. A student may complain to a member of staff about a service a facility issue or some behavior they experienced at Master Plumbers. It may be appropriate to take action to resolve the complaint immediately without the need for a formal, written process. All staff must take any informal complaint seriously.

- Listen to the student's complaint. Make every effort to resolve the issue at this point or as soon as possible thereafter.

- Enlist assistance as required to enable student complaint to be resolved. Escalate to the RTO Operations Manager for help in resolution if required.

- Once the issue is resolved the person who took the complaint should explain to the student what has been done to resolve the complaint and also seek confirmation that it has resolved the issue in the mind of the complainant.

- In the event that resolution will take time, regular updates should be given to the complainant.

- At the Training Team Meeting, raise any informal complaints that have been made by students or other stakeholders. Discuss the resolution for each issue as appropriate. This will help Master Plumbers identify recurrent themes or issues. The RTO Operations Manager will consolidate common issues into the Complaints and Appeals Register.

- The RTO Operations Manager should undertake spot checks with students to ensure resolution is complete.

89. Respond to a formal complaint

- Where a complaint is not made informally, or the complainant wants documented action and review, a formal complaint will be lodged.

- On request, advise the complainant to download a *MPF50 Complaint /Appeal Form* from www.plumber.com.au.

- Advise the complainant to complete the form and return it to the office as soon as possible.

- Advise the complainant their complaint will be referred to the RTO Operations Manager. Advise that there is information in *MPD10 Learner Handbook* and *MPD61 Policies and procedures* about how Master Plumbers will handle the complaint.

- If the complainant does not want to complete the form because the complaint involves personal / sensitive issues (such as discrimination, sexual harassment, victimisation or vilification), ask them if they want to make a verbal complaint or appeal. If they do, facilitate a meeting with the RTO Operations Manager to arrange to make the complaint verbally with the General Manager Training and Industry Development.

- Do not disclose that you were asked about making a complaint.

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90.   Hear a verbal complaint

RTO Operations Manager

Note: The General Manager Training and Industry Development will hear verbal complaints involving personal / sensitive issues (such as discrimination, sexual harassment, victimisation or vilification), not appeals against credit or assessment decisions.

- Use *MPF50 Complaint /Appeal Form* to note all details of implementation of this procedure.

- Allow the complainant to bring another person to the interview if they wish.

- Arrange for an interpreter if the complainant feels uncomfortable using English.

- Find a quiet and private place, and allow enough time, to hear the complaint in full.

- Offer the complainant the choice of talking about their complaint with another person, if they feel uncomfortable with you.

- Counsel the complainant about the importance of minimising gossip and using the complaint process to resolve the complaint.

- Hear out the complainant sympathetically and with full attention.

- Get a broad outline of the complaint, followed by a step-by-step account.

- Take accurate notes, using the complainant's own words where possible, including:
  o   the type of complaint
  o   the person or people against whom the complaint is being made
  o   details of the complaint (location, date, brief description of the incident(s).

- If the complainant has a preference for how the complaint might be resolved, what it is: for example:
  o   further investigation
  o   confidential follow up action by the General Manager Training and Industry Development with the alleged perpetrator
  o   conciliation (including an apology)
  o   disciplinary action
  o   reference of the complaint to other authorities (such as the police).

- Advise the complainant that, while respecting the preferences for how the complaint might be resolved, Master Plumbers will act in line with its policies and procedures and its obligations under legislation.

- Check all details in your notes with the complainant.

- Offer the complainant counselling and support services while the complaint is being investigated.

- File the *MPF50 Complaint /Appeal Form* in the Complaints file.

- Record the complaint / appeal in the MPR62 Complaints and Appeals Register

91.   Resolve a complaint internally

RTO Operations Manager

- Use *MPF50 Complaint /Appeal Form* to note all details of implementation of this procedure.

- On receipt of a *MPF50 Complaint /Appeal Form*, investigate the matter which prompted the complaint and/or consult with other persons involved in the complaint, within five working days.

- Negotiate with the complainant (and/or mediate between the complainant and other persons) to resolve the complaint if possible within 15 working days.

- Note each step taken to resolve the complaint on the *MPF50 Complaint /Appeal Form*.

- If the complaint remains unresolved after 20 working days, refer to the **Resolve the complaint externally** procedure below.

- File all documents relating to the appeal on the Complaints file.

- Record/update the MPR62 Complaints and Appeals Register

92.   *Resolve a complaint externally*

RTO Operations Manager

- Use *MPF50 Complaint/Appeal Form* to note all details of implementation of this procedure.

- If the complaint remains unresolved after 20 working days, discuss with the complainant and/or their representative the use of an independent mediator. Depending on the nature of the compliant, this mediator could be from another RTO, Incolink, the union or an external mediation consultancy. The mediator must be independent and satisfactory to both parties. The mediator may be a person or panel.

- Engage the independent mediator and have them:
  - investigate the complaint
  - interview the complainant
  - review Master Plumbers' decision about the complaint
  - form an opinion about the complaint
  - negotiate their opinion with the complainant, to find common ground allowing the complaint to be settled.

- File all documents on the Complaints file.

- Record/update the MPR62 Complaints and Appeals Register

93. *How to make an informal complaint*

Often, complaints are informal in nature. You may have a complaint about a service, a facility issue or some behavior you experienced at Master Plumbers that you don't want to write down but that you want action to be taken on to address the complaint.

- Talk to your trainer/assessor or another staff member at any time to raise your complaint or issue.
- All staff will take any informal complaint you make seriously and will make every effort to resolve the issue.
- In some cases, the staff member may need assistance to resolve your complaint, for example the RTO Operations Manager.
- You will be provided with confirmation that your complaint has been resolved.
- In the event that resolution will take time you will be kept updated of the resolution process.

93a. *How to make a formal complaint*

- Download a *MPF50 Complaint/Appeal Form* from www.plumber.com.au.
- Complete the form and return it to the office, as soon as possible.
- If you do not want to complete the form because the complaint involves personal / sensitive issues (such as discrimination, sexual harassment, victimisation or vilification), you can make a verbal complaint or appeal. To do this, contact Master Plumbers to arrange to make the complaint verbally.
- Master Plumbers staff must handle your complaint confidentially, and supportively.
- We will handle your complaint in the first instance by:
    - o interviewing you (you can bring another person to the interview, if you wish) to offer our support and find out the details of the compliant
    - o finding out if you have a preference for how the complaint might be resolved
    - o offering you counselling and support services if you want them, while the complaint is being investigated.
- We will investigate the matter which prompted the complaint and/or consult with other persons involved in the complaint, within five working days.
- We will work with you (and/or mediate between you and other persons) to resolve the complaint if possible within 15 working days.
- If the complaint remains unresolved after 20 working days, we will:
    - o discuss with you and/or their representative the use of an independent mediator
    - o engage the independent mediator to try to resolve the complaint.
- In the event that you select to go to external appeal Master Plumbers will facilitate the appointment of an independent mediator. The mediator is independent of Master Plumbers. There is a charge for the mediation service.

Appeals

94.   Consider a student's appeal

RTO Operations Manager

NOTE: an appeal is against a decision made by the RTO that the student believes is unjust. This may be an academic decision (e.g. assessment grading) or a complaint resolution decision.

- If a student notifies their intention to appeal an assessment decision or a complaint resolution tell them they may appeal within seven days of the student being advised of the decision.

- On request, advise the student to download a *MPF50 Complaint/Appeal form* from the Master Plumbers website.

- Advise the complainant to complete the form and return it to the RTO Operations Manager as soon as possible.

- In the case of an appeal against an assessment decision obtain a written report from the assessor about the assessment process and how they made their assessment decision.
    - o   If required, arrange for a reassessment by a second, qualified assessor.
    - o   Provide the second assessor with all the assessment evidence.
    - o   If the assessment included practical demonstrations, the second assessor will arrange for the student to do the practical demonstrations again.
    - o   After the reassessment, notify the student in writing of the reassessment decision.

- In the case of an appeal against a complaint resolution, obtain and review all written documentation and evidence related to the original complaint and how the decision was reached.
    - o   If required, arrange for the General Manager Training and Industry Development to review the complaint and resolution.
    - o   After the review, notify the student in writing of the decision.

- If the student is not satisfied with the reassessment or appeal decision, tell the student they can lodge an appeal under the **Complaints and appeals** policy.

- File all documents on the Complaints file.

95. *How to appeal an assessment decision or the resolution of a complaint internally*

Student

- If you want to appeal an assessment decision, or a decision that was made when a complaint you made was heard, tell your trainer/assessor within seven days of being told the decision.

- Download a *MPF50 Complaint/Appeal form* from www.plumber.com.au.

- Complete the form and return it to the RTO Operations Manager as soon as possible.

- For an appeal against an assessment decision, Master Plumbers may arrange for a reassessment by another assessor. If the assessment included practical demonstrations, the second assessor will arrange for you to do the practical demonstrations again.

- For an appeal against a complaint resolution, the issue will be passed to the General Manager Training and Industry Development for review.

- We will advise you in writing of the appeal decision.

- If you are not satisfied with the appeal decision, you can appeal it within seven days, in line with Master Plumbers' **Complaints and appeals** policy.

95a. *How to appeal an assessment decision or the resolution of a complaint externally*

Student

- If you do not agree with the outcome of the Master Plumbers' internal process for handling complaints and/or appeals, then you have the right to have your case heard externally.

- In the event that you select to have your case heard externally, advise the RTO Operations Manager. The RTO Operations Manager will facilitate the appointment of an independent mediator.

- The mediator is independent of Master Plumbers. There is a charge for the mediation service.
    - If you elect to an independent mediation service before exhausting the internal complaints and appeals process, then you will be liable for all fees.
    - If the outcome of the mediation is in your favour, then Master Plumbers will reimburse the payment you made.

- This external mediation service is available to you at any time, BUT if you do not exhaust the internal complaints and appeals process first, then you will be liable for all of the cost of the external service.

- Note that the availability of an external mediation service does NOT remove your right to seek legal advice and take legal action.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

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Quality and continuous improvement

Risk management

Policy

Master Plumbers identifies and complies with all Commonwealth, State/Territory legislation and regulatory requirements relevant to its scope of operation.

Legislative and other compliance

Given the extent of legislation, regulation and guidance applying to the vocational education and training sector, Master Plumbers defines its risks in terms of non-compliance with applicable legislation and regulation. That is, Master Plumbers considers there is legislation and regulation applicable to all risks that arise through its operations. MasterMaster Plumbers must comply with the *Education and Training Reform Act 2006 (Vic)* together with:

- *Australian Quality Training Framework (AQTF) – Conditions and Standards for continuing registration (2013)*
- *Standards for Registered Training Organisations (RTOs) 2015*
- *Education and Training Reform (Skills) Act 2006* and *Education and Training Reform* Amendment *(Skills)* Act (2011)
- *Australian Qualifications Framework (2013) (AQF)*
- Contractual terms agreed with Higher Education and Skills Group (Victoria)

Master Plumbers must comply with the requirements of funding agreements with:

- Higher Education Skills Group (Victoria)

Master Plumbers must comply with the National Skills Standards Council (or its successor):

- application of AQF qualifications issuance policy guidelines
- determination about supervised trainers/assessors.

Master Plumbers maintains a full list of current legislation that relates to the RTO in *MPR01 Legislation Register.*

Master Plumbers must comply with other Commonwealth and state legislation and regulatory requirements, including:

- *Information Privacy Act 2000* (Victoria)
- *Occupational Health and Safety Act 2004* (Victoria)
- *Working With Children Act 2005* (Victoria)
- *Equal Opportunity Act 2010* (Victoria)
- The Australian Consumer Law (Schedule 2 of the *Competition and Consumer Act 2010*)
- taxation law and regulations
- company and incorporated associations law and regulations.

If the student is an apprentice, Master Plumbers complies with the Victorian Skills Commission Policy on Competency Based Completions.

Master Plumbers publishes the most recent audit report from the regulator on its website www.training.plumber.com.au

Master Plumbers will notify any government funding bodies in the event Master Plumbers' registration with VRQA is suspended, withdrawn, cancelled or otherwise ceased.

Master Plumbers will notify all regulatory and funding authorities if at any time it becomes insolvent.

Risk management framework

Risk is managed for the Master Plumbers at an Association level. The RTO provides input to that framework register to ensure that the risks of the RTO are understood and managed.

Master Plumbers manages its financial viability risks by complying with the Financial Viability Risk Assessment Requirements 2011.

To manage its other risks, Master Plumbers conducts internal audits and risk assessments to identify and then plan mitigation process by ensuring the:

- principles underpinning the risk management process (consistency, effectiveness, proportionality, responsiveness and transparency) are followed
- protocols, including:
    - the use of audits
    - the use of current data for risk management and continuous improvement
- risk management steps, being:
    - identification
    - assessment
    - response
    - ongoing review
- identifying risk indicators for:
    - performance (history of audit compliance, data from quality indicators and history of complaints)
    - governance (business planning, ownership and management transparency, and skills and experience of directors and senior managers)
    - supplementary risks (scope of the registration, training that leads to a licensed/ regulated outcome, partnering and subcontracting arrangements, delivering training to students under 18, and compliance with and value of government training contracts)
- use standard nomenclature for:
    - potential risk impact (severe, major, moderate or minor)
    - likelihood (almost certain, likely, possible, unlikely or rare)
    - overall risk rating (based on impact and likelihood, and being extreme, high, medium or low)
    - responses to risk ratings (immediate action for extreme; monitoring and mitigation strategies for high and medium, proportional to the risk; and no response for low).

Master Plumbers aims to be categorised as a 'low risk' provider.

Risk management actions

Procedures and use of current data

Master Plumbers' continuous improvement cycle is based on:

- preparing policies, and the procedures to implement them
- disseminating information about, and providing training in, the policies and procedures
- clear indications in procedures about how data and feedback collected while implementing them contributes to continuous improvement
- analysing and reviewing feedback, and reporting on performance
- implementing the findings of analysis and review.

Master Plumbers' procedures, where appropriate, includes steps to:

- ensure adequate information dissemination and training
- use forms to collect data
- give the completed form to the RTO Operations Manager if the procedure has risk management or continuous improvement implications.

RTO audits

Master Plumbers conducts quarterly hazard audits as detailed in the **Occupational health and safety** policy.

Master Plumbers conducts two internal RTO compliance audits each year, at the beginning of June and December.

Master Plumbers is subject to audit by the ASQA, at times determined by the ASQA.

In addition, Master Plumbers must complete an internal audit using the tool provided by Higher Education and Skills Group (Victoria) within the first six months of delivery each year.

Insurance

Master Plumbers ensures that it provides and maintains insurance cover necessary to carry out all aspects of its operations including:

- workers compensation
- public liability
- professional indemnity
- building and contents
- any other specific insurance required by legislation and/or licensing bodies.

Procedures

96.   *Monitor your own work for risk management*

All staff

- Monitor your everyday work for any systemic issues that suggest a significant risk to Master Plumbers' staff, students, premises or operations.

- If you identify a significant risk, look at the procedure for that work to see if it requires you to complete a *MPF60 Continuous improvement item* and give it to the RTO Operations Manager.

- If the procedure does not require you to do this, note the significant risk on a *MPF60 Continuous improvement item*.

- Give the RTO Operations Manager the *MPF60 Continuous improvement item*.

97. Monitor legislative and regulatory changes

RTO Operations Manager

- Monitor emails from the ASQA, National Centre for Vocational Education Research, VELG Training, Australian Council for Private Education and Training, Australian Chamber of Commerce and Industry and Safe Work Australia for news of legislative or regulatory changes.

- Ensure that all conduct for which you have control conforms with the following:

  o Australian Quality Training Framework (AQTF)

  o Standards for Registered Training Organisations (RTOs) 2015

  o Education and Training Reform (Skills) Act 2006 and Education and Training Reform Amendment (Skills) Act (2011)

- Attend conferences, seminars and committee meetings of Australian Standards, Australian Chamber of Commerce and Industry Education Employment and Training Committee, Australian Construction Industry Forum, , Victoria Department of Education and Early Childhood Development and.

- Monitor the websites training.gov.au, www.aqf.edu.au, www.workingwithchildren.vic.gov.au, www.skills.vic.gov.au, www.amca.com.au, www.training.plumber.com.au and www.pteu.asn.au.

- Document actions required in the *MPR64 Continuous improvement register*.

98. Maintain insurance policies

General Manager Corporate Services

- On receipt of an insurance renewal notice, check that all details are still correct and relevant, and change details as required.

- Calculate the amount of insurance required and vary the value of the insurance if necessary.

- Pay the insurance premium by the due date.

- File the renewal notice and the insurance certificate in the Insurance file with a scanned copy held on the server.

- If there is a major change in Master Plumbers' operations or assets, immediately advise relevant insurance providers.

99. Monitor data for RTO risk management

RTO Operations Manager

- Implement this procedure by:

  o on receipt, actioning a *PremF01 OHS Hazard identification*, *PremF03 Incident report*, *MPF60 Continuous improvement item* and items received from any

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other source (such as through the suggestion box, in a letter or email, or through a conversation)

- o monthly:
    - confirming with the relevant officer that you have received all the forms and data records listed in the **Policies and procedures index** as required to be given to the RTO Operations Manager
    - reviewing the Complaints and General correspondence files to identify risk
- o twice a year, implementing the **Conduct an internal audit** procedure.

- Review the data from the above sources to identify risks.

- Investigate the risks if necessary and their:
    - o potential impact (severe, major, moderate or minor)
    - o likelihood (almost certain, likely, possible, unlikely or rare)
    - o overall risk rating (based on impact and likelihood, and being extreme, high, medium or low).

- Develop a response to each risk rating:
    - o immediate action for extreme
    - o monitoring and mitigation for high and medium, proportional to the risk
    - o no response for low.

- Report findings and recommendations to the General Manager Training and Industry Development and decide on action.

- For each action decided, follow the **Implement a continuous improvement action** procedure.

- Note all steps of the above process in *MPR60 Risk register*.

- Return all forms and data records to original file as shown by the **Policies and procedures index**.

100. *Monitor the RTO risk register*

RTO Operations Manager

- Any action to mitigate risk identified for the RTO is provided to the General Manager Training and Industry Development for actioning and monitoring.

- Use *MPR60 Risk register* to note all details of implementation of this procedure.

- Weekly, check *MPR60 Risk register* to ensure that staff are meeting due date for actions.

- Consult with relevant staff if due dates are not met and seek advice from General Manager Training and Industry Development about remediation actions.

- Two-monthly, review the *MPR60 Risk register* to determine whether it includes similar actions on the same themes, and whether that indicates that action has not been effective or is symptomatic of a broader continuous improvement need; in which case, implement the **Monitor data for risk management** procedure.

- Forward the RTO risk register to the General Manager Corporate Services for inclusion in the Master Plumbers risk register.

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101. Conduct an internal audit

RTO Operations Manager

- Implement this procedure in January and July each year.

- From the **Policies and procedures index**, identify all procedures relevant to each particular compliance item and the appropriate form, document or file to examine for evidence of compliance.

- Analyse all, or a sample of, data from the above sources to identify instances of non-compliance with the procedure.

- Implement the **Monitor data for risk management** procedure.

- Return all forms and data records to original file as shown by the **Policies and procedures index**.

- For Higher Education and Skills Group Victoria conduct an internal audit using the HESG internal audit checklist available from SVTS website, in accordance with the timeframe listed on SVTS.

- Compile an improvement plan using the HESG internal audit checklist on how to rectify any non-compliance.

- Disseminate the improvements to all relevant staff.

101a. Comply with legislation

Trainer/Assessor

- Ensure that all conduct for which you have control conforms with the following;
  - Australian Quality Training Framework (AQTF) 2013
  - Education and Training Reform (Skills) Act 2006 and Education and Training Reform Amendment (Skills) Act (2011).
- Refer any issues that you may have in terms of risk to the RTO Operations Manager

- Attend conferences, seminars and committee meetings to further develop your professional understanding and stay up to sate with change in your industry or the VET sector. These may include those convened by Australian Standards, Australian Chamber of Commerce and Industry Education Employment and Training Committee, Australian Construction Industry Forum.

- Particular care should be taken around the following to ensure that a high quality service is provided to all students.
  - Training Material
  - Conduct of Assessments
  - Student Welfare issues

Continuous improvement and corrective actions

Policy

Master Plumbers aims to continuously improve the quality of its training, assessment and related services to students, and its business operations, by:

- having robust plans and governance processes, including:
    - for the organisation (such as the business plan, policies and procedures and agreements with other organisations that provide training and/or assessment on Master Plumbers' behalf)
    - for services to students (such as the training and assessment strategies for each course)
- preparing policies, and the procedures to implement them (including forms and documents that derive from the procedures)
- reviewing items that are brought to Master Plumbers' attention which are classified as either Corrective Actions (something that needs repair or immediate rectification) or Continuous Improvement (something that will improve the quality of the service provided in a 'best practice' environment). These will all be recorded and flagged as appropriate.
- reviewing input from various sources to provide input to the Continuous Improvement process. Sources of feedback include:
    - Students – student surveys, informal feedback, Quality Indicators, trainer evaluations, student results
    - Trainers and administration staff – informal feedback, trainer evaluations, trainer and staff meetings
    - Validation and moderation
    - Employer feedback – informal, evaluation surveys and Quality Indicators questionnaire
    - Industry stakeholders
    - Complaints and appeals received
    - Advice from the board of Master Plumbers and PICAC constituent partners
- disseminating information about, and providing training in, policies and procedures including through:
    - *MPD61 Policies and procedures*
    - the Master Plumbers website
    - *MPD10 Learner Handbook*
    - student orientation
    - staff induction
    - staff and trainer/assessor meetings
    - the noticeboards in the staff and students' lunch rooms.
- using data from forms and other mechanisms to collect data and feedback about the implementation of policy and procedures

- analysing and reviewing feedback, and reporting on performance, including through:
    - annual internal audits of Master Plumbers' compliance with NVR standards
    - audits by the VRQA
    - reporting on quality achievements (the annual summary report to the registering body against the three quality indicators)
- implementing the findings of analysis and review including through:
    - the continuous improvement register process
    - professional development activities
    - assessment validation/moderation activities
    - revision of policies and procedures.

The illustration below shows this continuous improvement cycle diagrammatically.

Procedures

102. *Monitor your own work for continuous improvement*

All staff

- Use *MPF60 Continuous improvement item* to note all details of implementation of this procedure.
- Monitor your everyday work for any systemic issues that suggest an idea for improving Master Plumbers' services or operations.
- If you identify an improvement idea, look at the procedure for that work to see if it requires you to note the improvement idea on a form and give it to the RTO Operations Manager.
- If the procedure does not require you to do this, note the improvement idea on a *MPF60 Continuous improvement item*.
- Give the RTO Operations Manager the *MPF60 Continuous improvement item*.

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- At staff meetings, feel free to raise and discuss ideas and issues that may lead to an improvement of Master Plumbers' services.

103. *Help us improve our services*

Student

- Master Plumbers welcomes your suggestions about how we can improve our services.

- You can explain your suggestions to a staff member (such as your trainer/assessor), or drop a note in the suggestion box in the lunch room. However, the best way to give us your suggestion is to write it on a *MPF60 Continuous improvement item*, which you can download from www.training.plumber.com.au.

- You don't have to identify yourself when you provide your suggestion. If you do, we can contact you for further information and to tell you what action will happen as a result of your suggestion.

104. *Monitor data for continuous improvement*

RTO Operations Manager

- Implement this procedure by:
    - on receipt, actioning a *PremF01 OHS Hazard identification*, *PremF03 Incident/injury report*, *MPF60 Continuous improvement item* and items received from any other source (such as through the suggestion box, in a letter or email, or through a conversation)
    - monthly:
        - confirming that you have received all the forms and data records listed in the **Policies and procedures index** as required to be given to the RTO Operations Manager
        - reviewing the Complaints and General correspondence files to identify risk.
    - Identify from the table below activities that can be diarised in the RTO Annual Calendar and ensure they are carried out.

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Stakeholder	Source of feedback	Frequency (diarised)
Student	Course evaluation surveys	End of each course
	Quality Indicator Learner Questionnaire	Annually
	Informal (suggestion box, student input to trainers, CI Form)	Ad hoc
	Statistical review of welfare requests	Annual
	Complaints/Appeals Register	Ad hoc
Trainer / Assessor	Trainer evaluations	Annually
	Staff Appraisal	Annually
	Trainer/staff Meetings	Monthly
Employer	Master Plumber Surveys (if applicable)	quarterly
	Quality Indicator Employer Questionnaire (if applicable)	Annually
Industry	Industry validation of courses	As required based on course development and review
	Industry bodies / Professional development output	As activity happens
ASQA / HESG / VCAA	Quality Indicator Report	Annually
	SVTS internal audit	Annually

- Analyse the data from the above sources within 15 working days of receipt of data to identify opportunities for improvements to policies, procedures and practices; investigate these opportunities as appropriate; and develop recommendations for action. Identify Corrective Action items for issues that need rectification.

- Report findings and recommendations to the General Manager Training and Industry Development and decide on action.

- Assign a priority to implementing the actions.

- For each action decided, follow the **Implement a continuous improvement action** procedure.

- Note all steps of the above process in *MPR64 Continuous improvement register*.

- Return all forms and data records to original file as shown by the **Policies and procedures index**.

- Review corrective actions or continuous improvements to assess effectiveness of action 3 to 6 months after completion (this may vary dependant on risk level of item). Record review findings in register.

105. Implement a continuous improvement action

RTO Operations Manager

- Implement this procedure each time an action item is added to *MPR64 Continuous improvement register,* or as otherwise required by another procedure.

- Consult with relevant staff (preferably at the next relevant meeting) to discuss the proposed action and determine the most effective means of implementing it.

- Undertake other research and investigation required to effectively implement the action.

- Assign the action to the relevant staff member, with an implementation deadline.

- Set a review date (no longer than six months) from implementation, to ensure the improvement action has occurred, and has been effective.

- Follow the **Review and update policies and procedures** procedure to account for changed polices or practices, as a result of a continuous improvement action.

- Note implementation of this procedure in *MPR64 Continuous improvement register*.

106. Review and update policies and procedures

RTO Operations Manager

- Use *MPR64 Continuous improvement register* to note all details of implementation of this procedure.

- Implement this procedure if an action item added to *MPR64 Continuous improvement register* requires a change to a policy or procedure.

- Using *MPD61 Policies and procedures,* Identify the policy/policies and procedure(s) affected by the change.

- Draft the required change(s) on a current version of the policy/procedure, using Track Changes, and have them approved by the General Manager Training and Industry Development.

- Save the revised policy/procedure according to the **Maintain version control of documents** procedure.

107. Monitor the continuous improvement register

RTO Operations Manager

- Use *MPR64 Continuous improvement register* to note all details of implementation of this procedure.

- Weekly, check *MPR64 Continuous improvement register* to ensure that staff are meeting due date for actions.

- Consult with relevant staff if due dates are not met and seek advice from General Manager Training and Industry Development about remediation actions.

- Two-monthly, review the *MPR64 Continuous improvement register* to determine whether it includes similar actions on the same themes, and whether that indicates that action has not been effective or is symptomatic of a broader continuous improvement need; in which case, implement the **Monitor data for continuous improvement** procedure.

Governance

Policy

Master Plumbers has governance structures in place to deliver quality training and assessment services and outcomes.

Transparency of ownership / management structure

Master Plumbers is incorporated under the Fair Work (Registered Organisations) Act 2009.

Master Plumbers has an industry-based governance structure administered by a board. Board Members are elected from the Association's National Council which is elected from the members.

The board has high-level strategic and policy control. It is responsible for:

- Master Plumbers' strategic plan
- the appointment of the Chief Executive Officer
- CEO remuneration
- high-level liaison with industry.

Master Plumbers' procedures allocate responsibility to particular officers. The Chief Executive Officer is ultimately responsible for the implementation of policies and procedures. This ensures clear lines of responsibility, from a policy and procedure, to an officer, to the Chief Executive Officer.

Management controls are exercised by:

- allocating responsibility for policies and procedures to particular positions
- the use of forms to implement procedures and collect data and information
- risk management and continuous improvement processes, including review of collected data and information, staff and trainer/assessor meetings, and internal and external audits
- performance assessments
- professional development activities
- discipline policies and procedures.

The board determines the remuneration and conditions of the Chief Executive Officer.

Executive Board oversight

Master Plumbers' Board Members are either the nominee of their business or a Life Member of the Association. Members are elected to the National Council for a two year term with half of that body standing for election each year. Each year the National Council elects the President, Vice Presidents, Treasurer and General Board Members for a one year term.

Master Plumbers accesses independent expertise about vocational education and training by:

- drawing on the experience of the board and, through them, the resources of their organisations

- sharing facilities with Fire Industry Training, Plumbing Industry Climate Action Centre, CEPU Training and Education Centre and the Air Conditioning and Mechanical Contractors' Association

- engaging qualified and experienced trainers/assessors

- joining with other RTOs in assessment validation/moderation activities

- engaging subject matter experts to develop and review delivery resources and assessment tools.

Master Plumbers operates wholly within its jurisdiction of registration.

Business planning

The board is responsible for overseeing development of Master Plumbers' strategic plan: the Chief Executive Officer is responsible for developing the plan. As industry representatives, the board is ideally placed to understand industry competency needs, and current and future levels of demand. It is also ideally placed, to require accurate projections based on realistic assumptions, such as about revenue and student enrolments.

The procedure to develop the business plan and training and assessment strategies require the responsible officer to consider:

- industry need for course, target groups of prospective students and likely levels of demand, determined through emailed surveys to Association members

- the financial resources, staffing and assets required to deliver the plan and training and assessment strategies.

Master Plumbers develops, and the Board approves, an annual budget. It monitors performance against the budget monthly.

Approval to incur expenditure is delegated under the Master Plumbers' Statement of Financial Delegations.

Procedures

109. *Provide induction for senior officers*

General Manager Training and Industry Development

- When a person is appointed to act as a senior officer for the RTO have them complete an ASQA *Fit and Proper person* declaration.

- Induct the senior officer into Master Plumbers using relevant items on the *MPF19 Staff induction checklist*.

- File the ASQA *Fit and Proper person* and the *MPF23 Staff induction checklist* in the Board directors file.

110. *Develop and monitor a business plan*

General Manager Training and Industry Development

- Develop a business plan that applies for the next three years and is finalised three months before the start of the period that the plan covers.

- Review Master Plumbers' current delivery, current student numbers in each course, past expansion and current business plan to form an understanding of Master Plumbers' current operating position.

- Review responses to email surveys of Master Plumbers members about their training requirements.

- Analyse information from the Australian Chamber of Commerce and Industry, Australian Construction Industry Forum and Construction and Property Services Industry Skills Council to determine market and industry trends and forecasts.

- Analyse new and emerging technology, new qualification(s)/unit(s) of competency and any new licensing requirements.

- Conduct further research as required into the training arising from any new and emerging technology, using an email survey Master Plumbers' members.

- Forecast future student numbers, using the above information.

- Determine staffing and resource requirements to meet forecast growth.

- Develop a financial outlook, based on the above information.

- Do a strengths, weaknesses, opportunities, threats (SWOT) analysis of Master Plumbers' operations over the forecast period.

- File the business plan on the Business plans file.

- Write up their business plan using the above information and present it to the board.

- Before each board meeting, review operations against a business plan and prepare a report to the board.

111. Develop and monitor an annual budget

Finance

- Work with General Manager Training and Industry Development to develop budget.

- For the previous year's budget, review every budgeted line against the actual.

- For each course, review the pricing structure based on the previous year's profit and loss, in line with PJTF funding model.

- Amend course fees accordingly.

- Estimate student numbers, considering market trends and industry outlook (using sources such as ACCI, industry bodies and NCVER).

- Determine staffing requirements for course delivery and assessment.

- Determine other expenses for courses (such as materials and equipment).

- Review funding service agreements and purchasing guides to confirm income.

- Prepare month-by-month budget and cash flow forecasts.

- Upload details of budget to Association's finance system.

- File the Annual budget on the Annual budgets file.

- Monitor actual income and expenditure against budget monthly.

- Amend the budget as required to reflect the actual position.

Assessment validation

Policy

Through its assessment validation and moderation policy and procedures, Master Plumbers ensures the assessments it conducts are consistent, valid, reliable and fair, and that assessors make decisions based of sufficient and appropriate evidence.

Validation is the quality review process of reviewing, comparing and evaluating assessment processes, tools and evidence so that assessment decisions are consistent both within Master Plumbers, and across organisations that issue the same qualification. Validation includes:

- checking that assessment processes and tools produce valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements about whether the requirements of the Training Package are met
- if they do not, recommending changes so they do.

The Australian Quality Training Framework (AQTF) emphasises assessment validation, to ensure the quality and consistency of assessment and as a basis for continuous improvement.

Moderation is the process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same unit(s) of competency. It is an active process in the sense that adjustments to assessor judgements are made to overcome differences in the difficulty of the tool and/or the severity of judgements. The table below shows the distinctive features of validation and moderation.

Features	Validation	Moderation
Assessment quality management type	Quality review	Quality control
Primary purpose	Continuous improvement	Bring judgements and standards into alignment
Timing	Ongoing	Prior to the finalisation of candidate results
Focus	Assessment tools and candidate evidence (including assessor judgements) (desirable only)	Assessment tools and candidate evidence, including assessor judgements (mandatory)
Type of approaches	Assessor partnerships Consensus meetings External (validators or panels)	Consensus meetings External (moderators or panels) Statistical
Outcomes	Recommendations for future improvements	Recommendations for future improvements and adjustments to assessor judgements

Source: NQC Code of professional practice for validation and moderation

Master Plumbers validates assessments to ensure that:

- assessments adequately cover all of the relevant information such as performance criteria, range statements and key competencies
- the evidence collected meets the rules of evidence (that it is valid, sufficient, current and authentic)

- students are assessed for the competencies required by the unit(s) of competency
- assessment accounts for the language, literacy and numeracy skills and key competencies at the level required by the unit
- all assessors are assessing competency consistently.

Validation

Initial validation

Master Plumbers conducts assessment validation before the first delivery of a program, by mapping all assessment tasks to the requirements of the units of competency in the program. Master Plumbers engages an external party (either a VET consultant or a trainer/assessor from another plumbing industry RTO) to review this mapping. The Master Plumbers reviews this work in consultation with industry before authorising the program.

Annual validation

Master Plumbers conducts assessment validation meetings at least annually. All Master Plumbers trainers and assessors must attend assessment validation meetings, to ensure they use appropriate assessment activities and make accurate assessment decisions. Other Master Plumbers staff, staff from other RTOs, industry representatives and employers of students also attend the meetings.

The meetings review, compare and evaluate assessment tools and evidence so training and assessment outcomes are consistent within Master Plumbers, and with other RTOs that issue the same qualification. Master Plumbers documents the outcomes of assessment validation meetings, including action taken to improve the quality and consistency of assessment.

In line with National Quality Council's *Code of professional practice for validation and moderation*, assessment validation meetings must be conducted with respect to:

- transparency (the purpose, process and implications of meetings must be transparent or stakeholders)
- representativeness (the meeting must consider a representative sample of assessment tools and judgements)
- confidentiality (information about individual assessors and students must remain confidential)
- anonymity (assessors—who developed the assessment tools and made the judgements—and students—whose work the meeting uses for assessment validation—must anonymous: all information that would identify either students or assessors must be removed from samples used for validation)
- mutual respect and fairness (meetings should be supportive and positive and respectful and fair toward participants, students and assessors: this encourages participation, and ensures participants validate the tools and judgements, not the assessor's ability)
- a focus on purpose (validation should be an educative process, focused on assessment rather than on Master Plumbers' training capability, that provides constructive feedback leading to continuous improvement).

Procedures

113. Plan an assessment validation

RTO Operations Manager

- Use *MPF36 Assessment validation moderation* to note all details of implementation of this procedure.

- Decide if the validation/moderation meeting will be internal to Master Plumbers, or external (involving other RTOs that deliver the same (or related) Training Package qualifications.

- Determine the meeting participants (which must include all Master Plumbers trainers and assessors, and can include other Master Plumbers staff, trainers/assessors from other RTOs, industry representatives and employers of students; if it is a moderation meeting, trainers/assessors from other RTOs must attend).

- Appoint a facilitator to organise and conduct the meeting.

- Set a date and location for the meeting.

- Invite participants and tell them the date and location of, and agenda for, the meeting.

114. Prepare for an assessment validation meeting

RTO Operations Manager

- Provide each assessor invited to the meeting with three copies of *MPF36 Assessment validation moderation.*

- Invite the assessors to submit at least two samples of assessment activities; each sample should include:

  o assessment tasks (such as written assignment questions, test questions, role play scenarios, problems solving activities, case studies and questions)

  o assessment tools (such as performance checklists, verbal and written questions, portfolio checklists and third party evidence checklists)

  o assessment procedures and resources (a description of how the assessment was conducted and resources required, including cost and time factors)

  o samples of students' evidence (which must be drawn from a range of assessment tools and evidence, not just the best ones)

  o the assessor's decisions, and the basis on which they made the decisions.

- Tell the assessors to remove all personal identification from samples, before submitting them.

- Ask the assessors to complete *MPF36 Assessment validation moderation* for each sample they submit.

- Code the submitted samples for record-keeping purposes.

- Check that all personal Identification has been removed.

- Check that *MPF36 Assessment validation moderation* has been completed for each sample.

- Select a variety of samples for the meeting to validate.

- For each participant, prepare a package containing:

  o the samples, with the *MPF36 Assessment validation moderation*

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      o   the units of competency addressed by the samples.

115. *Facilitate an assessment validation/moderation meeting*

RTO Operations Manager

- Tell participants about Master Plumbers' policy requiring confidentiality, anonymity, mutual respect and fairness, and a focus on purpose.
- Facilitate discussion about the assessment tools, for example by examining if:
  - they addressed the performance criteria for the units being assessed
  - they were appropriate for all types of students
  - some worked better than others
  - assessments by different assessors were consistent and equivalent
  - they can be improved, and how.
- Minute the key findings of the meeting.
- Before closing the meeting, ask participants what they gained from participating in the assessment validation process, and how Master Plumbers could improve it.
- Close the meeting by thanking participants for their involvement, and their contribution to continuous improvement by Master Plumbers.
- Give the RTO Operations Manager a copy of the minutes.

116. *Moderate student's results*

RTO Operations Manager

- If moderation is required, use *MPF60 Continuous improvement item* to note all details of implementation of this procedure.
- After the assessor returns the completed *MPF40 Assessment record,* and assessment evidence samples to the Master Plumbers office, review the class results to determine whether performance is broadly in line with previous years.
- If performance is not in line with previous years:
  - review the outcomes of recent validation meetings to identify possible issues with assessment tools
  - discuss class performance irregularities with the assessor to determine influencing factors.
- If necessary, convene and conduct a moderation meeting, following the **Facilitate an assessment validation/moderation meeting** procedure.
- After the meeting, moderate the class results on the basis of perspectives gained at the meeting to overcome:
  - differences in the difficulty of the assessment tool
  - the severity of assessors' judgements.
- Give the RTO Operations Manager the *MPF60 Continuous improvement item*.

Review date

Master Plumbers reviews and revises this policy as and when required, and at least every 5 years. It last reviewed the policy in November 2018.

Records, document and information management

Policy

Maintenance of records and documents

Master Plumbers maintains accurate, up-to-date and comprehensive records and documents relating to all aspects of its operations. It complies with all requirements of external agencies, and with legal and reporting requirements, that apply to record and document management.

Master Plumbers uses VETtrak's student record management system. Vettrak has the capacity to provide AVETMISS-compliant data.

Master Plumbers' agreement with Ozsoft ensures that copies of student records:

- cannot be withheld from the provider
- can be provided in electronic and print versions, at no cost to the regulator in the event that Master Plumbers ceases operations.

Storage and archiving

Master Plumbers keeps all original documents in lockable filing cabinets within relevant management offices.

Master Plumbers backs up all electronic records instantly using a remotely located backup service, hosted by the organisation's IT provider. All data is stored on disks at the remote location and can be accessed, subject to security, as required.

Master Plumbers keeps all records, except records relating to student results, for seven years. It keeps records relating to student results for 30 years, allowing it to reissue qualifications and statements of attainment if necessary, or for the records to be transferred in the event that Master Plumbers closes.

Version control

Master Plumbers implements version control procedures to ensure that:

- staff members systematically review materials relating to the scope of registration (including Training Packages, training and assessment strategies and learning/assessment materials) to ensure they remain up-to-date and relevant
- key documents, forms, policies, procedures and kits are authorised, numbered and dated, and Master Plumbers records this information in a register, as well as the date of all amendments
- older versions are archived in line with policies and procedures
- all staff members have ready access to current versions of documents they need to perform their duties.

- All documents for Master Plumbers are prefixed "MP" with F for Forms, D for Documents and R for Registers. Thus MPRXX will identify a Master Plumbers' register.

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- The documents are recorded in the *MPR61 Document Register*

Other

For Master Plumbers' policy about the confidentiality of student records, see the **Privacy** policy.

Master Plumbers meets the requirements for the implementation of a unique student identifier. This is supported by our student records management system.

Master Plumbers will make available to regulatory authorities, both federal and state, information required by the Department regarding the organisation's financial position, use of the Funds and / or the capacity of the organisation to deliver the Training Services to government subsidised individuals.

Procedures

117. *Maintain company documentation*

General Manager Corporate Services

- Maintain company documentation, including:
    - o evidence of company incorporation in Australia
    - o registration of business name documentation
    - o physical address of the company in Victoria for the purposes of serving notices
    - o evidence that at least one director have their principal residence in Victoria
- Maintain a library of management resources, including copies of all acts and regulations listed in the **Risk management** policy.

117a. *Maintain files and electronic records*

Administration

- Maintain all files and hard- and soft-copy records referred to in other procedures as the responsibility of the Administration, either directly or by delegation from another officer.
- Maintain the physical addresses of the location of all records, including archives and computer backups
- Maintain SVTS funded student files by using *MPD12 Student file checklist,* ensure each file contains:

    - o Completed enrolment form
    - o Completed *MPD12 Student file checklist*
    - o Receipts for any moneys paid
    - o Guidelines on eligibility completed form and evidence if government subsidised
    - o Copy of concession card evidence if relevant.
- Maintain the contact arrangements for the General Manager Training and Industry Development, including during holidays and other closedown periods.

118. Maintain the security of records, documents and premises

Administration/RTO Operations Manager

- When not being used, store all records, original documents and personnel and confidential files in a locked filing cabinet.

- Keep the filing cabinet keys together with the keys for the premises.

- Lock the office and the building when there are no people inside.

- Follow the **Give a student access to their file** procedure as required.

- Provide access by staff to their own personal files, on request in writing.

- Do not allow students and staff to remove their personal files from the office.

- Allow access to files as directed by General Manager Training and Industry Development.

119. Archive files

Administration

- Archive previous enrolment year's folders/files in Master Plumbers' administration storeroom (with security access) to allow ease of immediate access if required

- Archive folders/files of enrolment year two years previous into archive storage tubs. Identify each tub with a number. Record the contents of each tub.

- Identify the date of destruction for the contents of each tub. Archive all files for seven years, except for company documents listed in the **Maintain files and electronic records** procedure, which must be maintained as current and are not subject to archiving.

- Attach label showing tub number, contents and date of destruction to exterior of tub.

- Store archive tubs in the archive storage room on Master Plumbers' premises.

- Before destroying an archived folder/file, get the permission of the General Manager Training and Industry Development.

119a. Retain and destroy archive materials

Administration/RTO Operations Manager

- All records will be retained (either in current active files or in archive files) based on the table below.

Item	Description	Master Plumbers will	Legislated requirements
Student results and completion data	Records to show each unit of competency and result and the date of result. Record of qualification obtained (if any)	Keep 100% for 30 years	Keep 100% for 30 years as per condition 6 of the AQTF 2013
Qualifications/ Statements of Attainment issued	A record of qualifications obtained (or statement of attainment) issued to each individual student with enough information to reproduce the qualifications/statements of attainment if required.	Keep 100% for 30 years	Keep 100% for 30 years
Student enrolment information/agreements	Hard copy student enrolment forms which include student agreements	Keep 100% for seven years	Keep 100% for seven years
Completed student assessments	All the written/documentary assessment material provided by the student and marking information and competency cover sheets (Including RPL assessment material)	Funded programs keep 100% for three years Fee for Service programs keep for 6 months	For funded programs all to be retained for 3 years following student completion
Assessment tools	Master copy of student assessment tools and assessment procedures and assessors' marking guides/criteria/observation checklist This is to cover the possible requirement to produce evidence as to how a person was assessed as competent.	Keep 100% for seven years	Keep a master copy of all assessment instruments tools/ procedures used for 2 years.

Item	Description	Master Plumbers will	Legislated requirements
Staff Records	All staff records including Skill matrices, copies of qualification and agreements	Keep 100% for seven years	Minimum of 2 years after the cessation of employment or contract
Internal Audit Reports		Keep 100% for seven years	Minimum 2 years after completion and submission to Management
External Audit Reports	Formal reports produced by the regulators auditor.	Keep 100% for seven years	Minimum of 5 years (length of registration before renewal).
Higher Education and Skills Document ation	All documents that may be used as Evidence of Participation and/or Evidence of Enrolment	Keep 100% for the period of HESG contract and seven years after completion of the contract	Keep 100% for period of HESG contract and seven years after completion of the contract
Legal Contracts		Keep 100% for life of contract plus seven years	For life of contract plus 2 years

- Once records have reached the given expiry date, the expired files/records should be collected together and documented.

- The files will be destroyed using a secure document destruction service, only when the list provided is checked and signed off by RTO Operations Manager and the General Manager Training and Industry Development.

120. Maintain version control of documents

RTO Operations Manager

- Maintain a soft copy and a hard copy of all current Master Plumbers documents, in a Document reference folder, for staff reference.

- Record document number, name and version information in the *MPR61 Document Register*

- On receipt of a change to a document approved by the General Manager Training and Industry Development:
  - o   make the changes to the current version of the document
  - o   ensure that the changed document has the date changed on the footer
  - o   move the superseded document to the Superseded folder in the Document reference folder
  - o   remove the hard copy of the superseded document from the hard Document reference folder and stamp it 'Superseded'
  - o   print a hard copy of the changed document and file it in the hard Document reference folder, together with the Track Changes document with the General Manager Training and Industry Development's approval.

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- Implement the **Disseminate information** procedure to communicate changes to those affected by the change.

Financial management

Policy

Master Plumbers uses rigorous financial management procedures to ensure it continues to be financially viable and can:

- employ staff to administer, deliver and assess all the qualifications on its scope of registration
- provide student services
- remain in business, so every student can complete their course.

Master Plumbers produces, and monitors its expenditure against, an annual budget.

Master Plumbers' accounts are certified, at least annually, by a certified practising accountant or chartered accountant who is registered as an auditor with the Australian Securities and Investment Commission.

Master Plumbers makes its financial reports available on request to the registering body. Master Plumbers also complies with funding agreements and publishes all course fees on its website.

Master Plumbers holds a small amount of petty cash on the premises for expenses under $100. Larger expense claims are submitted, considered and paid if approved.

Procedures

121. Receive payments from creditors

Administration

Payment processing relating to RTO only. Other payments outside this scope.

Payments by cheque

- On receipt of a cheque, determine the invoice to be paid (if it is not clearly identified) by:
  - seeing if there is an outstanding invoice for the cheque payee in Vettrak
  - if the name on the cheque is not that of an outstanding debtor, seeing if there is an attached remittance advice referring to the invoice being paid
  - if it is a company cheque, use Vettrak to determine which students are from that company and have outstanding debts
  - if necessary, calling the company to determine which invoice is being paid.
- Receipt the payment in VETtrak
- Bank the cheque: bank cheques at least weekly and bank all cheques on hand before month end.

Payments by credit card

- Credit card payments can be made in person, over the phone or written on a remittance advice.

- Determine either by the remittance advice or asking the person which invoice the payment refers to.

- Process the payment through the VETtrak secure pay portal.

- Receipt the payment in VETtrak.

Payments by direct deposit

- Check the bank account daily to determine what payments have been received.

- The bank account reference may be the invoice number, the person's name or company name.

  - o If the bank account reference is the person's name determine through VETtrak which invoices are outstanding

  - o If the bank account reference is a company's name determine through VETtrak which students work for that company and have outstanding invoices. If necessary, ring the company to determine which invoice(s) are being paid.

- Receipt the payment in VETtrak.

All payments

- If a payment is for a training fee or charge, make a receipt out, and send it, to the payee. File a copy of the receipt on the student's file.

122. Pay general debtors

Finance

Payments on invoice

- Check that details on the invoice are correct.

- Stamp the invoice and complete the Arrow account details and breakdown the amount if more than one account.

- Have an authorised person approve and sign the invoice.

- Make the payment by:

  - o remitting the payment electronically, or

  - o Printing a cheque and having two authorised signatories sign it before it is posted.

- File the paid invoice in the payables file, in alphabetical order.

123. Pay wages

Finance

- Ensure the staff member has completed a tax declaration, with a tax file number.

- Make sure the staff member completes and lodges a time sheet for the fortnightly pay period is not on a regular salary

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- In CHIP, record the hours worked, the rate of pay, the gross amount, the tax deducted, the superannuation payment (if any), and any other deductions or payments (such as car allowance and union fees) and the net wage.

- Generate pay slips in CHIP.

- Have an authorised person approve the payment.

- Make the payment electronically.

- Email a copy of the pay slip to the staff member.

124. *Pay tax*

Finance

- In Arrow, each quarter, print a GST report for the quarter and check the allocated tax codes for errors.

- Prepare a business activity statement.

- Lodge the business activity statement.

- Ensure the payment is made by the due date.

- File the business activity statement in the Payables file.

125. *Pay superannuation*

Finance

- Identify all staff members for whom superannuation payments must be made.

- Ask these staff members to provide details of their superannuation fund.

- In CHIP, each month, print out a transaction report for superannuation payable for each staff member.

- Check for any amounts that are salary sacrificed or extra superannuation after tax amounts.

- Lodge the monthly superannuation details with the CBUS Clearing House.

- Have an authorised person approve the Clearing House lodgement

- Make the payment electronically to the CBUS Clearing House.

Reporting

126. *Reconcile bank statement and prepare a monthly financial report*

Finance

Reconciliation relating to RTO only. Other reconciliations outside this scope.

- Obtain the bank statement for the previous month.

- Enter in Arrow any interest for the month, from the bank statement.

- Reconcile bank statement in Arrow by:

  o ticking off cheques that appear on bank statement and corresponding cheque stubs

- - ticking off receipts that appear on bank statement and ensuring they match the cheques deposited, merchant card reconciliation and direct deposits.
- Check that Arrow closing balance matches bank statement end of month balance.
- Find and fix errors if the two balances do not match.
- File the bank statement and the monthly bank reconciliation under *Bank reconciliations* in the Accounts folder.
- Print a receivables reconciliation and file in the Monthly Accounts folder.
- Print a balance sheet and profit and loss statement with month and year-to-date for issuing to the Finance Committee.

127. Organise audit and tax return

Finance

- Contract accountant to complete audit and tax return for organisation.
- Provide to the accountant all Master Plumbers' financial records.
- Provide any other information the accountant asks for.

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Information dissemination and marketing

Policy

Master Plumbers ensures that all marketing and advertising is undertaken in an ethical manner and provides clear and accurate information regarding the training programs and services within its scope of registration.

Policies and procedures

The primary reference document for how Master Plumbers conducts itself, at both the policy and procedural levels, is this document, *MPD61 Policies and procedures*.

Using the material in this document, Master Plumbers produces and makes available to relevant parties the following documents, ensuring the material in them is entirely consistent with this document:

- *MPD10 Learner handbook*, which draws material relevant to students from this document, with minor grammatical amendments to create a written style suitable for students

- *MPD22 Trainer/Assessor handbook,* which draws material relevant to staff from this document, with minor grammatical amendments to create a written style suitable for staff

- *MPD61 Policies and procedures* (this document) is made available on Master Plumbers website.

Information dissemination

Master Plumbers disseminates policy, procedural and regulatory (ASQA, AQF, NSSC, HESG SVTS updates) information, using the relevant products above, to:

- staff members, through staff induction and staff and trainer/assessor meetings, and through professional development activities

- students, through orientation sessions

- the board, contractors, consultants, work experience students and visitors, through induction

- all people, through the website, notice board postings, and memos and circulars.

Course promotion

Master Plumbers adheres to the advertising and marketing requirements of:

- ASQA Guidelines

- Higher Education Skills Group

- use of nationally recognised training logo.

Master Plumbers takes an ethical approach to the marketing of its services and products. It provides clear and accurate information to students. It does not knowingly distort, conceal or provide false information, nor attempt to mislead students, through its marketing and advertising activities.

Master Plumbers' advertising and marketing material distinguishes between those training and assessment services that lead to AQF qualifications and statements of attainment, and those that do not.

Master Plumbers only advertises AQF qualifications that it has on its scope of registration.

For Master Plumbers' policy about the use of the nationally recognised training logo and descriptive words, and the AQF logo, see the **Qualifications / statements of attainment** policy.

Master Plumbers only refers to students or other persons and organisations in its marketing and advertising material with their written permission.

Master Plumbers ensures that all promotional material relating to government subsidised training acknowledges the training is delivered with Victorian and Commonwealth Government funding and does not use the Victorian Government's logo without prior written approval.

Master Plumbers ensures that all promotional material contains the RTO legal entity and/or trading name and TOID.

Procedures

128. Develop marketing materials

General Manager Training and Industry Development

- This procedure covers course brochures, website content, course flyers and other marketing media that promote Master Plumbers training delivery
- All prospective advertising and marketing activities are discussed with Master Plumbers Marketing Manager and/or PICAC Marketing coordinator as relevant to establish the need for the activities and the type of material to be produced.
- In September each year, review the current course (website) brochures and determine required changes.
- For a new course, prepare text using a relevant current course brochure as a template. Include information about:
    - entry requirements
    - general statement about what the course covers
    - the qualification / statement of attainment that results from the course
    - the course calendar
    - the fees and charges for the course
    - the requirement to sit a language, literacy and numeracy (LLN) test.
- In October and April provide information for the Plumbing Industry Climate Action Centre calendar by:
    - writing a short course descriptor for each course
    - providing the course descriptor and course calendar to PICAC
    - reviewing and approving a proof of the calendar.
- The Master Plumbers Marketing Manager and/or PICAC Marketing coordinator will create the draft version of the marketing materials and return to General Manager

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Training and Industry Development together with *MPF66 Marketing materials approval* form for review, feedback and/or approval.

- Complete *MPF66 Marketing materials approval* form as appropriate and return to Master Plumbers Marketing Manager and/or PICAC Marketing coordinator to allow publication.

- Use *MPF66 Marketing materials approval* form to seek amendment to existing marketing publication when required.

- File copies of all marketing materials and approvals in the Marketing folder.

129. Using student images or quotations

Administration

- If Master Plumbers propose to use images (photographs or digital images) and or quotations with students then they can only do so with approval of the individual

- Student must complete the *MPF16 Copyright permission and release* form giving express permission before material is used.

- The completed form should be filed on the student file.

130. Using your picture or words

Student

- From time to time Master Plumbers may want to use a picture of you or use a statement you have made as a part of its publicity.

- Before they do so Master Plumbers will ask you and ask you to complete a simple approval form, *MPF16 Copyright permission and release form*.

- This is purely voluntarily on your part and you may choose to complete the form or not.

- No image or quotation will be used without your express permission.