Regulatory Compliance &Governance

Regulatory Compliance & Governance

Key Policies

- Regulatory and Legislative Compliance Policy
- Asqanet Management Policy
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- Business & Financial Viability Policy
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- Documents & Records Management Policy
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Supporting Documents

Regulatory and Legislative Compliance Policy & Procedure

Purpose & Legislative Background

As an RTO registered with the Australian Skills QualityAuthority (ASQA), MAEI is required to comply with:

- VET Quality Framework, including the Standards for RTOs 2015
- Other relevant VET regulations and Commonwealth, State and Territory legislation.

This policy and procedure outline MAEI Institute's approach to ensuring compliancewith the above regulations and legislation and contributes to compliance with Clauses 3.4, 5.4, 7.5, allStandard 8 and Schedule of the Standards for RTOs 2015.

Scope

This policy applies to all current and prospective staff; students and third parties of MAEI.

Policy

1. Registration, ASQA and legal compliance

- MAEI:
  - Will ensure it cooperates with ASQA in line with Standard 8 by always providing truthful, accurate and timely information to ASQA as required. This includes cooperating during an audit, providing quality and performance data and informing ASQA of substantial changes to MAEI within 90 days of the change occurring.
  - Conducts regular internal audits in line with its Compliance Management Schedule to ensure ongoing compliance with the Standards and other relevant legislation and regulations.
  - Will provide a truthful and accurate Annual Declaration of Compliance to ASQA in the format and by the date required by ASQA.
  - Maintains a *VET Legislation & Regulations Register* which outlines the Commonwealth, State and/or Territory legislation and regulatory requirements which are relevant to MAEI, how each is relevant and its impact on staff and clients. The relevant legislation is listed in part 5 of this policy.
  - Informs staff and clients of any changes in VET legislation and regulations which impact them.

- Will submit Total VET Activity Data in line with the National VET Data Requirements unless it is exempt from doing so as stated in the national policy.

- Use PRISMS to manage student enrolments and comply with ESOS requirements.

- Ensures that where there are any changes to agreed services with a student including changes to third party arrangements or changes in ownership of MAEI,it will advise the student as soon as practicable.

- Ensure it reports to the TPS Director and Secretary about the provider and student defaults.

2. **Third-party agreements**

- In relation to any third parties delivering Services on its behalf, MAEI will:

- Ensure it has a written agreement in place with each third party, which outlines the third party's obligations to MAEI and ASQA under the Standards.

- Inform ASQA within thirty (30) calendar days when agreements with third parties commence or come to an end.

3. **Retention, archiving, retrieval and transfer of records**

- MAEI abides by ASQA's General Direction for Retention Requirements for Completed Student Assessment Items (located at GENERAL_DIRECTION_Retention_requirements_for_completed_student_assessment_items_0.pdf (asqa.gov.au) by ensuring that student assessment evidence is retained for at least 6 months from the date the assessment decision was made.

- Should MAEI cease to operate or have its RTO registration expire,withdrawn or cancelled, MAEI will:

- Transfer to ASQA, sufficient digital records so that ASQA can confirm what each student completed during the period of registration. This information will be sent in the form required by ASQA within 30 days of expiry or cessation of operations.

- Return its certificate of registration to ASQA within 10 days of expiry.

- In accordance with Schedule 5 of the Standards, MAEI will retain records ofAQF qualifications and statements of attainment issued for 30 years on its student management system. Current and past students can access these records by contacting ouroffice.

Procedure

1. Notifying ASQA of changes to the RTO

SRTOs: Clause 5.4, 8.1, 8.2 and 8.3.

A. Material changes or significant events

- The need to report material changes and significant events will be monitored during management meetings.

- If there is a material change or significant event that may significantly affect MAEI's ability to comply with the VET Quality Framework, advise ASQA within 90 calendar days. This may be a change to one of the following:
  - Chief Executive Officer, Principal Executive Officer or High Managerial Agent
  - Fit and Proper Person Requirements
  - Financial Administration Status
  - Legal name or legal entity
  - Organisation type
  - Sale of business
  - Ownership and/or control
  - Significant or unexpected turnover of staff
  - Significant changes to MAEI's funding revenue source (e.g. Government funding contract), or
  - Another change not specified elsewhere
- Use ASQA's Material Change or Event form to describe the changes. Additional attachments may be required as outlined on the form.
- Send the completed form to ASQA within 90 calendar days of the change occurring.
- Keep a record of the completed form on file.
- Students should be advised in writing of any changes in ownership to MAEI.

B. Changes to the RTO's details

- If there is a change to any of the following details of MAEI:
  - Trading name
  - Web address
  - Head office details
  - Contact details for the Chief Executive
  - Contact people to be listed on training.gov.au
  - Delivery sites
  - Delivery locations
  - Offshore delivery
- Fill in ASQA's Notification of Change of Provider Details Form and sent it to ASQA within 90 calendar days of the change occurring.
- ☐ Where the change is in relation to relocation, the Change of Provider Details Form must be submitted to ASQA at least 20 working days before the relocation. Notify students where relevant

Where changes include a change to the ownership of MAEI or any other changes that may affect the

provision of agreed services to students, notify students in writing as soon as practicable.

2. Agreements with third parties

Relevant to SRTOs: Clause 8.2 and 5.4

A. Commencing or ending agreements with third parties

- If MAEI either:
    - agrees with a third party to deliver Services on its behalf.
    - ends an existing agreement with a third party to deliver Services on its behalf.
- Clarify whether this type of agreement constitutes a third-party arrangement, by referring to the ASQA Fact Sheet if required https://www.asqa.gov.au/resources/fact-sheets/third-party-arrangements-0
- Ensure a written agreement is established or cancelled with the third party in accordance with the *Policy.*
- Where the third party is an Education Agent, ensure a written agreement is established or cancelled in accordance with the *Policy.*
- Notify ASQA within either of the following timelines, whichever is first and as relevant:
    - within 30 calendar days of the agreement being entered into
    - within 30 calendar days of the agreement ends

- or before the obligations under the agreement take effect

- Ensure the Third-Party Service Arrangement Notification has been duly completed by authorised staff on asqanet under Third Party Service Providers.

- If the provision of agreed services with students will be affected by any changes to third party arrangements, notify them in writing as soon as practicable.

- Reconcile Third Party Provider Records on PRISMS; MAEI Website andASQANET at least once every quarter.

Links:

- ASQA Fact Sheet:

Third-party arrangements | Australian Skills Quality Authority (ASQA)

Third-Party Service Arrangement Notification – Online Form details:

https://www.asqa.gov.au/resources/forms/third-party-service-arrangement-notification-form

3.   **Responding to requests from ASQA**

Relevant to SRTO's: Clause 8.1

   A. Respond to requests from ASQA

- ASQA may contact MAEI to request information about any of its operations. The due date for the information to be provided may be given by ASQA.

- Cooperate with ASQA in providing this information and respond truthfully and on time.

- Keep a copy of the information provided.

B. Participating in ASQA audits

- ASQA will audit MAEI's operations from time to time. Usually uponinitial registration, 12 months (or close to) after initial registration and prior to re- registration. Audits may also occur to monitor compliance for other reasons such as in response to a complaint, because MAEI presents a risk, or because new courses have been requested to be added to the scope.

- Cooperate in the conduct of audits by providing ASQA auditors with access to the information and facilities required. ASQA audits may require access to delivery sites, equipment, staff, materials, student files and other records

4. Internal audits

Refer SRTOs: Clause 8.4 and 8.5

A. Schedule audits

- Schedule audits annually, by adding them to the *Compliance Management Schedule* and setting dates. The auditing schedule should include audits against:

   - The Standards for RTOs 2015

   - Legislation impacting on MAEI

- Staff files

- Student files to ensure students receive the Services detailed in their agreement

- Financial Viability Risk Assessment Requirements

- Ensure the internal audit against the standards is scheduled for a date before the due date of the Annual Declaration of Compliance – refer to point 5 below.

- Assign the responsibility of each internal audit and advise the person accordingly.

B. Conduct and record audits

- Conduct internal audits as scheduled on the Compliance Management Schedule. A qualified external consultant may conduct audits if required.

- Complete the relevant internal audit report template.

- Summarise findings and actions required to maintain compliance.

- Ensure opportunities for improvement have been identified.

- Ensure all internal audit reports are signed and dated by the person conducting the audit and kept on file.

- Report findings to CEO.

C. Act on outcomes of audits

- Identify and agree on the rectifications and continuous improvement actions to be taken as an outcome of the audit.

- Record all recommendations for improvement on the *Continuous Improvement Register*.

- Assign responsibilities for implementing changes and improvements and ensure rectifications are implemented as soon as practicable.

- Monitor action plans to ensure implementation in agreed timeframes and report outcomes at the management meetings.

5. Annual declaration on compliance

Relevant to SRTOs: Clause 8.4

A. Prepare and submit the declaration on compliance

- Refer to ASQA's website to find out the due date for the Annual Declaration on Compliance each year. Mark these dates in your calendar.

- Ensure your CEO's email address as listed on www.training.gov.au is current and accurate prior to the declaration period.

- Review internal audit reports to determine whether MAEI iscompliant.

- Follow the unique URL provided by ASQA to the online form provided in the email.

- Ensure all answers are complete and finalised before clicking submit.

- From the thank you page, download the completed declaration and save it.

B. Finalising your declaration

- ASQA will respond to your declaration at the end of the declaration period.

- If your declaration has not been completed and any follow-up steps are required ensure you follow all instructions or clarify using contact details provided if anything is unclear.

6. Compliance with legislation & VET regulations

Refer SRTOs: Clause 8.5 and 8.6

A. Identify legislation and VET regulations

- MAEI maintains a Legislation & Regulations Register that outlineslegislation and regulations applicable to its operations and scope of registration.

- This register is developed, maintained, and updated by using online resources such as the ComLaw website at www.comlaw.gov.au and the legislation website relevant to each state and territory MAEI operates within.

- The Register is to be reviewed annually to identify any changes and updated accordingly.

- Regulation changes may be notified by ASQA or DESE, and these should also be recorded on the Register.

B. Comply with legislation and VET regulations

- Review the Legislation and Regulations Register annually and record any changes and the impact of those changes on MAEI's students, staff, or operations.

- Changes in regulations and legislation may lead to changes being required in various documents. Identify changes required, which may be in the Student Handbook, other student documents and forms, staff documents and induction plan, and policies and procedures.

- Implement changes.

C. Inform staff and students of legislative requirements and changes

- Ensure staff are informed of the legislative requirements that impact their role with MAEI during their induction.

- Where there are changes in legislative requirements, notify staff via email and at staff meetings.
- Inform students of the legislative requirements that impact their participation in their training and assessment activities during their course induction and in the Student Handbook.
- Where there are changes in legislative requirements, notify students through student newsletters or by written notice such as letter or email.

7. Notifying TPS of provider default

Refer: ESOS Act 2000 Part 5, Division 1, Subdivision A of the ESOS Act

A. Notify TPS via PRISMS

- Via PRISMS, notify the TPS Director and Secretary within 3 business days of the default occurring.
- Provide the details of the circumstances of the default, the details of the students in relation to whom MAEI has defaulted and advice as to how MAEI intends to meet its obligations to students.

B. Notify students

- Notify affected students in writing within 3 business days of the default.
- In the notice, describe the circumstances of the default and information for students on the options that they have which include arranging for the student to be offered in an alternative course (this will be at MAEI expense) or providing a refund as set out in MAEI Fees and Refunds Policy and Procedures, as well as details of the process to follow depending on which option thestudent chooses.

C. Discharge obligations to students

- Where a student notifies in writing of the acceptance of an offer in an alternative course, ensure that the student is placed into the course within 14 days of the default day.
- Where the student identifies in writing that they are seeking a refund, provide the refund within 14 days of the default day and in accordance with MAEI Fees and Refunds Policy and Procedures

D. Notify TPS via PRISMS of the outcome of discharge of obligations

- Notify the Secretary and Director of the TPS via PRISMS within 7 days of either providing a refund to the student or offering an alternative place.
- Include:
    - details of the students that MAEI provided alternative courses for, details of the courses arranged and evidence of each student's acceptance ofa place in an alternative course; or

- Details of the student, the provider provided refunds to and details of the amount of the refund.

8. Quality Indicator and Total VET Activity Reporting

Refer SRTOs: Clause 7.5; 8.1

A. Learner Engagement and Employer Satisfaction data (Quality Indicators)

- Collect Learner Engagement and Employer Satisfaction surveys in line with MAEI's Quality Management Procedures on Feedback.

- Collate surveys, analyse findings and prepare a summary report for ASQA using *ASQA's Quality Indicator Annual Summary Report* which can be downloaded from here http://www.asqa.gov.au/forms.html. Submit it to ASQA by 30 June each year by emailing qidata@asqa.gov.au.

- Keep a copy of the report/s and the date on which they were submitted to ASQA on file.

- For further information refer to ASQA's website http://www.asqa.gov.au/vet-registration/meet-data-provision-requirements/quality-indicator-reporting.html

B. Total VET Activity Data

- AVETMISS-compliant records for all students are collected through the Enrolment Form.

- Competency enrolments and outcomes are recorded in MAEI's AVETMISS-compliant student management system.

- MAEI will report its *Total VET Activity Data* to NCVER by 28 February eachyear.

- Keep a copy of the reports and the dates on which they were submitted on file.

- For further information refer to ASQA's website https://www.asqa.gov.au/vet-registration/meet-data-provision-requirements/total-vet-activity-reporting

9. Retention, archiving and transfer of records

Relevant to SRTOs: Clauses 8.1f), 3.4 and Schedule 5

A. Retention of student assessment items

- In line with ASQA's requirements, completed assessment items relating to each unit or module will be securely retained in the student's file for at least 6 months from the date of the assessment decision.

B. If withdrawing registration as an RTO

- Apply to withdraw registration with ASQA.
- Once the application to withdraw registration has been approved by ASQA:
  - Return certificate of registration to ASQA within 10 days of the day of withdrawal
  - Provide copies of student records to ASQA within 30 days of the day of withdrawal (refer to below).
  - Pay any outstanding ASQA fees within 30 days of invoice.

C. Transferring student records to ASQA upon cessation

- MAEI will meet the following obligations if MAEI's registration:
  - Is voluntarily withdrawn
  - Has lapsed
  - Is not renewed
  - Is cancelled by ASQA
- Within 30 days of MAEI's expiry/cancellation/withdrawal, provide to ASQA an electronic copy of the records for each student who was enrolled in a Course during the period of registration.
- As per the information at Withdraw registration | Australian Skills Quality Authority (ASQA) student records must include the following for each student:
  - Family name, first name
  - Residential postcode
  - Date of birth
  - Student ID number (if applicable)
  - Enrolment and commencement dates
  - Code and title of qualification, course or program student enrolled in
  - Codes and titles of units of competency completed and results (if applicable)
  - Date the certificate or Statement of Attainment was issued (if applicable)
- Send this information to studentenquiries@asqa.gov.au within 30 days of registration expiring/ceasing.

D. Transferring records to another provider

- In the event of closure, records can be transferred to a new registered training provider with consent from the student.
- If transferring a student's records to another provider, MAEI does not need to provide records to ASQA as per the point above.

E. Records of statements of attainment and AQF qualifications

- In line with ASQA's requirements, keep a register on the student management system of all AQF qualifications and statements of attainment MAEI is authorised to issueand those issued.

- In line with requirements, retain AVETMISS data showing records of qualifications and statements of attainment issued for 30 years, such that qualification or statement can be re-issued at any time during these 30 years (while MAEI is still an RTO).

- Ensure backup of AVETMISS data for each year by taking a copy of the AVETMISS data export from the student management system and storing it on the electronic filing system.

- Report records of qualifications issued to ASQA in data reporting as required.

- Ensure students can access their records according to our *Privacy Policy.*

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Change of Scope Policy

Purpose and Legislative Background

This Policy ensures that all the courses registered on MAEI's scope, are currentand accredited.

The Clauses 1.26, 1.27 of the Standards have beencomplied with.

Scope

This policy and procedure apply to all the courses on MAEI's scope of registration. This policy and procedure must be read in conjunction with the Training Package Transition Policy and Procedure.

Policy

The CEO and the Academic Manager will be responsible for managing training package transition and ensuring that MAEI is:

- Subscribing to email updates from the relevant industry council and any other relevant bodies; and
- Regularly checking training package updates on the TGA website
- Subscribing to TGA training package change notification emails
- Subscribing to updates from other sources including Training Packages @ work, NQC, and NSSC

On the occasion that there is a change in a relevant Training Package, the Academic Manager will examine the amendments that have been made and inform the CEO of these changes at the earliest and report it in the subsequent Senior Management Staff meeting. CEO will review the changes needed and approve a course transition plan to implement the new training package requirements as per the college's Transition Policy and Procedure. Specific tasks will be delegated to implement the changes.

Senior Staff will determine any change of college's scope based on the college's strategic plan and direction. CEO will advise the Compliance team/ consultant to review and implement all the changes under its advice.

The scope extension or update will be monitored by the CEO until the changes have been successfully implemented.

Procedure

I. **Extension of Scope**

The procedure sets out essential sets needed to add a new course to MAEI's scope of registration:

1. Executive Committee or CEO decides on which course(s) to be added to the RTO's scope of registration
2. Prepare a course structure and plan through internal consultation
3. Identify additional resource requirements as well as training package requirements
4. Develop a Training and Assessment Strategy
5. Allocate tentative staff and prepare skills matrices
6. Write or purchase course contents/materials
7. Review the course materials to ensure that they meet training package requirements
8. Consult industry stakeholders and obtain feedback
9. Ensure there are no outstanding compliance issues with the registration authority
10. Lodgement of application for amending the scope of registration
11. Process required payments for assessment of the application
12. Dispatch the completed application along with payment to the registration authority

II. Reviewing & Amending Scope of Registration

1. Initiate annual review of RTO
2. Ensure that all the courses are current and accredited
3. Advise the management and relevant faculties if a decision is made to remove any courses from the scope of extension
4. Removal of Course: Applications to amend RTO
5. Advise the management and relevant faculties if a training package is expired (or expiring) and needs to be transitioned
6. Manage course transition process and ensure that the new course materials meet specific training package requirements
7. Identify and implement staff PD requirements if any to address changes in the training package
8. Ensure that adequate documentation is made and kept of all the above processes

Business & Financial Viability Policy

Purpose & Legislative Background

This policy and procedure ensure MAEI meets the requirements of Standard 7 of the Standards for RTOs 2015.. This is achievedby ensuring that the requirements for financial viability, insurance, fit and proper persons, and fee protection are met.

Scope

This policy applies to the entire scope of MAEI.

Policy

Business viability and oversight

- MAEI conducts **annual** business and financial planning to ensure the ongoing viability of the RTO. This process reviews the likelihood of business continuity and MAEI's capacity to continually achieve quality outcomes. During this process, strategic directions may be reviewed to maintain viability.
- Business planning and financial viability will consider whether MAEI has thefinancial resources to:
  - Acquire the assets and physical resources to deliver all qualifications on its scope of registration
  - Employ sufficient appropriately qualified staff to cover the courses on its scope of registration
  - Provide appropriate levels of student services
  - Remain in business to ensure that each student achieves completion
  - Appropriately manage the risks associated with its operations and delivery
  - Meet the above requirements, even in an uncertain environment.

Risk Management

MAEI has developed and implemented a risk management framework, which includes identification, measurement, treatment, monitoring and review mechanisms of all risks associated with running the business. This includes identifying and addressing risks associated withthe calculation of the Tuition Protection Scheme Risk rated premium component.

Risks and control mechanisms are reviewed and re-assessed at least annually.

Fit and Proper Persons

- All Executive Officers and High Managerial Agents of MAEI satisfy the Fit and Proper Person Requirements 2011 and each have made a declaration in accordance with ASQA's requirements and Schedule 3 of the Standards. Any new managers will also be required to meet these requirements and make this declaration.
- All managers employed by MAEI have appropriate authority to ensure that MAEI always complies with the Standards.

Insurance

MAEI holds, always, public liability insurance to cover all training and assessmentactivities it provides as an RTO and will ensure that the insurance is appropriate to MAEI's size and scope of operations.

Protection of fees paid in advance

MAEI protects the fees that are prepaid by students, or on behalf of students, forservices not yet delivered in accordance with Clause 7.3 of the Standards.

Procedures

4. **Business planning, risk and financial viability**

   A. Create/review business plan
   - Each year review the business plan and ensure it aligns with MAEI'sstrategic directions and confirms the ongoing viability of MAEI. Review strategic directions as required to ensure continuity of the business.
   - Consider whether the organisation can meet the requirements set out in the policy at Clause 2.
   - Discuss updates to the business/strategic plan at the management meeting.

   B. Create/ review risk management plan
   - Record risks in the Risk Management Register.
   - Ensure all risks are identified and measured about the Risk Management Matrix (tab included in register)
   - Review all newly identified risks entered into the Risk Management Register at management meetings.
   - Determine how each risk will be treated and document on the Risk Management Register, setting timeframes and responsibilities to ensure the risk is treated.
   - Determine the best monitoring process for each risk and add it to the Risk Register.
   - Review all risks on the Risk Management Register at least annually and record review outcomes and actions on the register.

   C. Financial viability
   - Monitor the ongoing financial viability of MAEI at least quarterly to ensure the ongoing viability of the business. The following common indicators of viability should be considered:
     - Liquidity– including current ratio and cash flow assessments
     - Solvency – including debt to assets assessment, debt to equity assessment
     - Revenue, profit, and cash flow
     - Commercial risk
     - Audit opinion
     - Contingencies
     - Compliance with all its statutory obligations (for example GST, taxation, superannuation, Companies Code)

- Compliance with accounting standards
- Accounting policies – the impact of the organisation's accounting policies on its financial risk
- Review financial viability information at management meetings.
  - If ASQA is conducting a Financial Viability risk assessment at any time or otherwise requests information about MAEI's financial viability, ensure cooperation and provide information as requested to ASQA or nominatedparties (e.g., independent auditors).

5. Fit and Proper Person Requirements

A. Ensure fit and proper person requirements are met
- Ensure each executive officer and high managerial agent meets the Fit and Proper Person Requirements 2011.
- Have each person fill in ASQAs Fit and Proper Person Declaration and store it in the staff member's file.
- Ensure relevant influential personnel, managers, and shareholders, understand that they are required to notify the CEO if there is anything that may impact that person's status as a Fit and Proper Person (FAPP). This item will be raised at each management meeting as a reminder.
- Use ASQAnet to advise ASQA of any changes to the FAPP status of any person within 90 calendar days of the change.

  Refer to this information for more details of the types of changes to be reported to

  ASQA https://www.asqa.gov.au/vet-registration/meet-requirements-ongoing-registration/notify-asqa-changes

B. New managers, directors, and shareholders.
- Before confirming the position, ensure FAPP requirements can be met by the individual.
- Use ASQAnet to advise ASQA of any changes to managers, directors, and shareholders within 90 calendar days of the change.

  Refer to this information for more details of the types of changes to be reported to

  ASQA https://www.asqa.gov.au/vet-registration/meet-requirements-ongoing-registration/notify-asqa-changes

6. Insurance

A. Public liability insurance
- Each year, ensure public liability insurance is paid to an appropriate level and policy covers all training and assessment delivered by MAEI. Ensure theinsurance broker is aware each year of any changes to operations so that full coverage is ensured.
- Mark expiry date in the calendar so renewal is not missed.

7. Protection of fees paid in advance

A. Development of payment schedules and invoicing processes

Domestic students

- Develop payment schedules and invoicing processes for each course prior to advertising or accepting enrolments to ensure that:

- no more than $1,500 is collected in advance from any student at any time for services that have not yet been delivered including fees collected prior to the course commencing, and for any fees collected during the course.
- 100% of fees are invoiced at least two weeks prior to the expected completion date (based on course duration) to ensure that students can pay their fees on time.

Academic Quality Assurance Policy

Purpose & Legislative Background

This policy and procedure ensure that MAEI has an effective quality assurance approach and systematically evaluates the services it provides to implement ongoing and continuousimprovement.

This policy ensures compliance with Clauses 1.9, 2.1, 2.2 and 6.5 of Standards for Registered Training Organisations (RTOs)

Scope

This Policy applies to all current and prospective students, trainers and assessors, staff and third parties of MAEI.

Policy

Systematic Quality Approach

MAEI:

- Is committed to ensuring the quality of services provided across all its operations – this includes training and assessment services and processes, student support, customer service and effective management of the business and its staff. This includes ensuring the quality of any services provided on MAEI's behalf by third parties.
- Ensures that effective systems, policies, procedures, and resources are in place to ensure the quality delivery of all services.
- Has convened a management team that oversees the quality of services by MAEI.

Continuous Improvement

- Systematic continuous improvement is a fundamental component of the quality assurance approach used by MAEI.
- Opportunities for improvement will be identified through the following mechanisms:

Regular feedback is collected from students, staff, industry, and employers regularly and data gathered is collated and analysed. Regular feedback is collected through:

- Surveys completed by students at classes
- Surveys completed at the end of a course by students
- Quality Indicator Surveys provided to students halfway through a course

Complaints and appeals will be reviewed to identify the root causes of the incidents and identify areas that need improving to prevent a recurrence.

Internal audits conducted regularly will identify areas in which performance could be stronger.

Management meetings held by MAEI will be used as an opportunity for managersto identify areas that require improvement from their knowledge and what they have learnt from staff.

Outcomes of assessment validation meetings will identify areas where assessment and training

systems and practices can be improved.

Implement a range of strategies for **industry engagement** and systematically use the outcome of that industry engagement to ensure the industry relevance of:

a. training and assessment strategies, practices, and resources
b. the current industry skills of trainers and assessors.

Improvements will be recorded and acted upon continually to ensure MAEI isresponsive to

areas that require improvement.

Internal Audits

As an RTO, *MAEI* is required to comply with the requirements of the VET Quality Framework and the

Standards for RTOs 2015. Regular internal audits are scheduled to monitor ongoing compliance with

these requirements and ensure quality delivery. Refer to our VET Regulationand Legislation Policy

and Procedure for further details about our internal audits.

Procedures

I.   Feedback and Surveys

1. Collect student feedback at the end of each unit/cluster.
    - At the last class of each unit/cluster, provide the *Unit/Cluster Feedback Survey* to all students.
    - The survey is optional however all students should be encouraged to hand back a completed survey.
    - Submit returned surveys to the office for collation.

2. Collect Quality Indicator Surveys from students – Learner Engagement
    - The Quality Indicator Survey will be provided to students at the halfway point of their scheduled course duration.
    - Encourage all students to complete the survey as **MAEI** is required tocollect responses from at least 50% of students.
    - Students should hand in completed surveys in the class.
    - Provide completed surveys to the office for collation.

3. Collect exit surveys or RPL candidate surveys from students upon course completion
    - At the final class of a course provide students with a Student Exit Surveyor an RPL Candidate Feedback Survey (for RPL Candidates). All students should be encouraged to complete and return at least one of these surveys (whichever is most relevant to enrolment type).

4. Collect feedback from staff
    - Request for all trainers and assessors to complete a *trainer/Assessor Feedback Survey* at least twice annually – this asks a range of questions on training and assessment practices.
    - Other staff are asked to provide formal and informal feedback at any time by discussing feedback with their manager or to make improvement suggestions, by filling in a

Suggestion for Improvement Form.

5. Collate surveys using relevant collation tool
   - Throughout the year, completed surveys will be returned.
   - They should be collated using the relevant collation tool quarterly for any surveys received during the preceding period, or at the end of a cluster/ unit/ class-group for a certain cohort.
   - Collate each different type of survey separately.
   - Use the collated data to identify areas that show weakness, and/or require improvement.
   - A summary of the collation should be recorded on the *Feedback Register*.
   - Bring completed analysis to the next management meeting to discuss. This will include planning for implementing identified improvements and discussing all feedback received.

6. Feedback Register
   - The *Feedback Register* is used to record the feedback received by MAEIwhere there is no other suitable place for it to be recorded. For example, information received during a complaint or appeal (which may be considered feedback) will go on the *Complaints and Appeals Register*. The feedback that prompts an improvement item will go on the *Continuous Improvement Register*. General feedback which may be positive ornegative that doesn't require action can be recorded on the *Feedback Register.*
   - The *Feedback Register* will be reviewed at each management meeting for discussion and reflection on how the organisation can learn from the feedback

II. Improvements

1. Continuous Improvement Register
   - The *Continuous Improvement Register* is a master list of all the improvement suggestions identified and acted upon by MAEI.
   - Improvements identified through feedback and surveys, quality indicator data, management meetings, informal suggestions, assessment validation and complaints and appeals will be recorded on the register.
   - The register should be updated regularly with any improvement suggestions madethrough formal and informal streams – such as *Suggestion for Improvement Forms*, surveys etc.
   - At each management meeting, the register will be reviewed.
   - A plan will be put in place for implementing improvements during the meeting.
   - Management meetings will also be used as an opportunity to identify improvements made that may not have been recorded on the register.
   - The plan should be recorded on the register and items marked as complete once the improvement has been made.

2. Complaints and appeals
   - In line with the *Complaints and Appeals P&P*, complaints and appeals incidents should be used as an opportunity to identify areas for improvement.
   - Each complaint and/or appeal will be discussed at management meetings to identify root causes and identify areas in which MAEI can improve and learn from the incident to prevent a recurrence.

3. Assessment validation
   - The outcomes of validation sessions will be used as an opportunity to make improvements to training and assessment systems and practices. Actions identified during assessment

validation should be documented on the *Continuous Improvement Register* and discussed at the next management meeting. Refer to the *Assessment Validation Policy and Procedure*.

III.   Management Meetings

1. Schedule dates annually
   - At the commencement of each year, set dates for the management meetings.
   - Invite all members of the management team to attend.
   - Managers who have conflicting appointments should notify the meeting organiser as soon as possible.

2. Prepare agenda
   - At least 1 week prior to each meeting, develop the agenda.
   - Use the Management Meeting Agenda Template to prepare the agenda and it includes standing agenda items that are to be included at each meeting.
   - Standing agenda items are:
     - Review of last meeting minutes – have all items been actioned?
     - Recent feedback received – collated surveys, feedback register etc
     - Complaints and appeals – discussion of any recent complaints or appeals
     - Recent assessment validation
     - Continuous improvement
     - Recent or upcoming changes in legislation and VET regulations
     - Monitoring of changes to business or operations to inform ASQA about
     - Financial performance
   - The agenda is to be approved by the CEO prior to circulation.
   - Circulate the agenda to all managers along with any relevant attachments and reading material at least 2 days prior to the meeting.
   - Keep a copy of the agenda.

3. Record the meeting minutes
   - Record names of all people who attended the meeting and any apologies.
   - Record a summary of key discussions, all decisions and any actions agreed upon during the meeting.
   - The CEO is to approve the final copy of the minutes prior to circulation.
   - The minutes with any attachments relevant to the meeting are to be circulated to all members of the management team within 1 week of the meeting.
   - Management meeting minutes must be saved.

4. Follow up on actions from management meetings
   - Ensure items in minutes are followed up accordingly. Tasks that arise out of the management meeting should be communicated to relevant people by the relevant manager.
   - Registers should be updated accordingly.

Management action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Documents & Records Management Policy

Purpose and Legislative Background

This policy sets a broad framework for records management at MAEI in accordance with the requirements of the Public Records Office and addresses specific requirements of the Australian Skills Quality Authority and relevant departments for the retention of student records.

It also ensures that appropriate information management and security systems are in place to enable the departments and the staff members to manage their records and documents using an authorised system that is planned, controlled, recorded, and monitored.

The Clauses 3.4, 3.6 (d), 8.1 (f) & schedule 5 of the Standards.

Scope

This policy applies to all paper and electronic documents and records created, maintained, or retained by MAEI, including student records and student assessment records.

Policy

All business and academic records created, processed, or received by MAEI or by individuals acting on its behalf are the properties of MAEI and subject to its control. This includes student records, student assessment records, surveys, internal reviews, reports, and reports compiled by external consultants, independent committees, and honorary bodies.

The records management principles that enable MAEI to maintain a compliant and accountable record-keeping system.

- Must ensure MAEI is compliant and accountable in all areas of business.
- Must be managed, monitored, and audited for compliance.
- Must be assigned to specific officers and implemented.
- Must be reliable and secure.
- Must be systematic and comprehensive; and
- Full and accurate records must be made and kept for as long as they are required for business, legislative and accountability purposes. To meet this principle, records must be created, captured, adequate, complete, meaningful, accurate, authentic, inviolate, accessible, useable, retained and preserved.

All the documents created by authorised persons must be stored and managed in the central and controlled repository of MAEI server-based electronic folder system with appropriate version details as per the college's Version Control Policy.

All documents and records, including emails and other electronic records, created, or received shall be captured/saved and managed in the college's server-based electronic folder system.

All staff must ensure college records are recorded, managed, and disposed of using the records management systems such as Student Management System, and server-based electronic folder system.

MAEI will securely retain and be able to produce in full at audit if requested to do so,all completed student assessment items (paper-based or electronic records, as applicable) for a student for.

The duration of the RTO's assessment appeal period; or

A period of six months from the date on which the judgement of competence for the student was made; or

The duration of the student's enrolment in a course.

> - Whichever is the longer period.

All the students will have access to current and accurate records, of their participation and progress at MAEI, including competency records and results. Past students may request a copyof their records by forwarding a written request to the CEO.

MAEI will retain client records of attainment of units of competency and qualifications for 30 years from the date on which the judgement of competence for the student wasmade, and as per the additional and specific requirements in accordance with the requirements of Schedule 5 (SRTO 2015).

Access and Security

Staff may have access to those records necessary to fulfil their duties.

- Certain records of a confidential nature may have restricted access for the period in which they remain confidential. Access to records will be controlled through password access and access control features of computer software and hardware.
- All requests by external agencies or individuals for access to records of a personal nature, other than their record, will be managed in accordance with MAEI's PrivacyPolicy.
- college records will remain on campus unless authorised by the Chief Executive Officer in writing
- Access shall be restricted and controlled to protect:
    - Privacy of personal information.
    - Intellectual property rights and commercial in confidence information.
    - Legal and other professional privileges.
    - Sensitive business records.
    - Editing and version control of documents
    - Unauthorised alteration or deletion
- Access will be controlled where appropriate/necessary using a variety of techniques, including:
    - Security restrictions on electronic documents.
    - Restricted borrowing of hard copy files.
    - Secured file storage

A backup copy of the college's student management system and electronic documents and records will be kept off the premises as an extra security measure. Off-site backup records will only be accessible by the CEO, or a person authorised by the CEO in writing.

All the students will have access to current and accurate records, of their participation and progress at MAEI, including competency records and results. Current students must make an appointment with Student Support Officer or the Academic Manager to access their records. In most cases, the records can be provided immediately. However, a standard period of 48 hours will apply to student requests from the date/time the access is granted. Past students may request a copy of their records by forwarding a written request to the Academic Manager.

Disclosure of Information

Information relating to a student will not be released without the written consent of the student, or where relevant, the student's parent or guardian accept the requirements of disclosure in assisting with law enforcement agencies.

Disclosure to External Agencies may be made in certain circumstances as below.

Agency	Type of Disclosure
Police	Police may present a request in person or writing. Requests are referred to the CEO of MAEI. Verification of police identification will be made.
Legal firms, real estate agents and finance companies	With the written authorisation of the student.
Ombudsman	Information that the Ombudsman is empowered by law to request.
Freedom of Information	Disclosure under the Freedom of Information Act (October 1985) usually excludes any personal information or identification. Requests must be in writing and state that the information is requested under the Freedom of Information Act. The Institute is allowed 45 days to respond to FOI requests.

Regulatory Agencies	Disclosure as required under the National Vocational Education and Training Regulator Act 2011 (Cth), including during compliance audits.
	No student record or document is removed from MAEI premises without the written authorisation of the CEO.

In all cases where an external body is provided with student records information, documentation of the disclosure will be retained for seven years.

Archiving and Disposal

All student results and records of completion are stored on the college's electronic Student Management System, which has an up-to-date record of all student results.

The college's server is configured to backup all electronic files and data daily. A full server backup of all files is performed each month. Back-up tapes are securely stored in an area physically separated from the server. This ensures that in the case of a catastrophic system failure no more than one day's data will be lost. Hard copies of records, which are required to be stored, are maintained for a seven-year cycle. Records are secured by the Student Support Officer and are only accessed by authorised staff.

All records are identified and segregated into three groups:

- Records to be retained for up to seven years
- Records to be retained for longer than seven years
- Records to be destroyed

Records, such as attainment of units of competency and qualifications that are required to be stored for a period of longer than seven years are retained securely in archival storage and are only accessed by authorised staff.

Records	Retention Period
Application and enrolment forms, copies of supporting documents, personal and contact details, student agreement, student interview records, completed forms for general administrative services, applications for various student services, benefits, support, and general correspondences	7 years following the completion of, or withdrawal from, the last enrolled year

Electronic records of results	Permanent: minimum 30 years

Register of qualifications issued	Permanent: minimum 30 years
Records of attainment of units of competency and qualifications	Permanent: minimum 30 years
AVETMISS Data	Permanent: minimum 30 years
Student assessment items and evidence of participation	The duration of the RTO's assessment appeal period; or A period of six months from the date on which the judgement of competence for the student was made; or The duration of the student's enrolment in a course. - Whichever is the longer period
Student or staff grievances where a penalty or disciplinary action occurred with supporting documents	Permanent
Student or staff Grievances where no penalty or disciplinary action occurred with supporting documents	7 years following the date of the decision
OHS incidents and actions, including work cover claims	Permanent
Policies, procedures, and strategic plans	Permanent
Minutes of executive and other committee meetings	Permanent
Decisions on student transfer request, RPL and course credit outcomes, complaints, and appeals processes	2 years after the student ceases to be an accepted student

Critical incident and remedial action were taken by the RTO	2 years after the student ceases to be an accepted student

General business documents including financial records	7 years after they are prepared, obtained, or transacted, whichever occurs latest

All official records of MAEI are to be disposed of in accordance with the PublicRecords Act 1973. This requires the use of an authorised retention and disposal authority to determine how long records must be kept (8.3), which records may then be destroyed.

The retention, archiving and disposal of college records is to be managed by the person authorised by the CEO.

Audit and Review

A schedule of ongoing records management audits (generally part of an annual internal audit) shall be developed and implemented to ensure compliant record keeping is maintained in all areas of MAEI.

MAEI's electronic records management system shall be reviewed every year toensure compliance and best practice are maintained.

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Version Control Policy

Purpose and Legislative Background

Standard 4 of Standards for Registered Training Organisations (RTOs) 2015 requires MAEI to ensure transparent & accurate information about its services and performance to prospective and current learners and clients. This Policy supports to fulfil the obligations of the said Standard.

MAEI manages a wide range of documentation throughout our operations which arecentred in TAS. To ensure that our representatives are using the correct version of documentation, this version control policy is provided.

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). MAEI is to apply version control to all documentation and tightly control the release and availability of documentation that is approved for use.

Generally, amendments and revisions will need to be approved by completing a Continuous Improvement Form duly authorized by the CEO or Delegate.

Scope

All staff at MAEI must ensure they use the current version of any document.

Policy

Version numbering

The following procedure is to be applied when allocating and tracking the version of MAEI documents:

- All draft documents will initially be numbered Version 0.1
- After each revision, the number to the right of the dot point increases by 0.1 (Version 0.2, 0.3 etc)
- When the document is approved by the QAC committee, the number converts to Version 1.0 and the document is published
- Once published the number to the right will increase with each minor amendment approved (Version 1.1, 1.2 etc)
- A full review of a document will result in the number to the left of the point increasing by 1 and the number to the right of the dot point returning to zero i.e., Version 2.0.
- There may be circumstances when a document may require immediate and significant change. For example, to comply with new legislation or other external factors. In these cases, a change from, Version 1.3 to Version 2.0 will need to be made to show that the new version is a major revision from the previous version.

For example, MAEI-OC-V1.0-Month Year

- MAEI - Organization name

- OC- Organization chart
- V1.0- 1st Version
- Month & Year – Month & Year of the last updated version

Document Footer – (internal documents only)

In all internal documents, the version control number and Month and Year of the amendment are to be indicated in the left-hand margin of the footer section. The version number and date approved are to be updated after each amendment. The date the policy came into effect must remain the date the original version was approved, until the next full review.

Document location and protection

All MAEI documentation is to be tightly controlled in one central file location. This file location should be accessible to all MAEI representatives who are authorised to access and use these documents.

Generally, where documents are used for print purposes, these should be available in PDF format only. Where documents are required to be populated with data electronically, these should be available in an amendable document form but must be protected as 'read only'.

Document distribution

Where documentation must be distributed away from a central location, this is to be conducted systematically and formally with the recipient required to acknowledge the receipt of a new document version and that old versions have been discarded.

Management & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Privacy Policy

Purpose & Legislative Background

MAEI collects and stores personal information on our students and industry clients.MAEI complies with the Privacy Act 1988 (Commonwealth).

This policy describes how MAEI collects, manages, uses, discloses, protects, and disposes of personal information in accordance with the thirteen Australian Privacy Principles (APPs)outlined in Schedule 1 of the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

Scope

This policy applies to all staff, students and third parties involved who will have access to any personal and confidential information and that, such information needs to be protected.

Policy

Privacy policy for students and staff:

MAEI takes the privacy of students and staff members seriously and complies with all legislative requirements. These include the Privacy Act 1988 and the Australian Privacy Principles(effective from 12th March 2014).

- MAEI will retain personal information about student enrolments. Thisincludes students' details, ethnicity and individual needs, educational background.

- MAEI will also retain records of the individual student's training activity inaccordance with the National Vocational Education and Training Regulator Act 2011.

- Personal Information is retained within MAEI's hard copy filing system and computer systems. Information is collected via the enrolment form and through completion of

administrative related forms and based on training outcomes. Hard copy files are secured in lockable filing cabinets which are monitored throughout the day and secured in the evening. Electronic data is retained on MAEI's computer systems and is protected via virus protection software and firewall protection. MAEI will ensure that the data that is backed up continuously to the servers are secure.

- MAEI is required by the National Vocational Education and Training Regulator Act 2011 to securely retain students' details for 30 years from the date the enrolment was completed. The purpose of this is to enable participation in accredited training to be recorded for future reference and to allow the students to obtain a record of their outcome if required.

- In some cases, MAEI will be required by law to make student information available to Government agencies such as the National Centre for Vocational Education and Research or the Australian Skills Quality Authority. In all other cases, MAEI will seek the written permission of the student for such disclosure. If students require their records to be accessed by their parents or any third party, students need to authorize this access in writing, otherwise, this access will be denied.

- Students and staff at MAEI have the right to access the personal information that is being retained.

- Any concerns about how MAEI is managing personal information can be discussed with staff or Senior Management. Students and staff can also make an internal complaint in accordance with MAEI Complaints and Appeals handling Policy and associated procedures.

- Under the Privacy Act, 1988 (Privacy Act) students and staff also have the right to make a complaint to the Office of the Australian Information Commissioner (OAIC) about the handling of their personal information. More information can be found here: https://www.oaic.gov.au/privacy/privacy-complaints.

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect.

Intellectual Property Policy

Purpose & Legislative Background

This policy sets out the framework for protecting and administering the interests of MAEI, staff members and students arising from the creation and use of the intellectual property.

This policy aims to recognise the creative contribution of staff members and students to the development of the intellectual property as well as increase their awareness and understanding of intellectual property rights and obligations.

Clause 8.6 of the Standards for Registered Training Organisations (RTOs) is complied with while implementing this policy.

Scope

This policy applies college-wide in all areas of operations.

Policy

Intellectual property (IP) is the collective name for a group of legal rights, which may be claimed for certain intellectual creations. Specifically, it includes:

- Copyright (which protects computer software, teaching materials, scholarly works and other written, artistic, dramatic, and musical works, film, and sound recordings amongst other things).
- Patents (these protect new inventions of all sorts, including software, biotechnological and engineering advances and, to an increasing degree, business methods.)
- Confidential information, know-how and trade secrets (this can protect all types of information). This is protected under the common law.
- Plant breeder's rights (protecting distinct, uniform, and stable new plant varieties that have been bred).
- Registered designs (these protect the "eye appeal" of an object and must be original).
- Registered and unregistered trademarks (these protect the signs and trading identities of businesses).
- Circuit layouts for computer chips.

Some of these rights such as patents and designs require registration whereas some arise automatically as soon as the work is created (e.g., copyright, circuit layout rights). Other rights such as confidential information need practical steps to keep them protected. Some creations may be capable of protection by more than one legal right

Under Australian law, MAEI is entitled to ownership of intellectual property created by staff, whether members of the academic staff or the general staff, in the course of their employment.

MAEI asserts its ownership of the copyright in learning and other materials produced by staff members in the course of their employment during the nominated and paid employment hours either

on college premises or outside MAEI. Likewise, any intellectual property created or produced outside the nominated employment hours, and without the

use of any of MAEI's internal or external resources, will remain the property of the original creator.

In case of staff members moving on to subsequent employment by another college or institute, MAEI will be willing to allow staff members to use teaching and learning materials for their personal use which they prepared while employed at MAEI.

Where MAEI engages any contractor or consultant, and that contractor or consultant creates any IP (including copyright) as part of that engagement, the intellectual property rights will be determined by a written agreement between MAEI and the contractor/consultant.

Students of MAEI retain the rights to all the works produced by them while studying at MAEI

Where MAEI purchases learning materials from a third party, it will ensure that the license terms are not restrictive, and not a hindrance, in maintaining its academic standards and quality processes such as moderation, validation and modification of the learning materials.

MAEI adheres to the principle that where there is a commercialization opportunity of intellectual property, the originator and MAEI should equally benefit from it.

Staff should be aware that under the general law and the terms of their employment they must not use or disclose any confidential information acquired in the course of their employment, except with the consent of MAEI.

Unless otherwise mutually agreed in writing, or under specific terms, MAEI will not claim ownership of IP derived from work performed outside the course of a staff member's employment.

Use of Copyright Material in Training and Learning

- Provisions under Part VB of The Copyright Act 1968 allow all educational institutions to copy and communicate third party material to distribute to students up to the limits depending on the type of material. MAEI is very conscious about copyright infringement and does not allow any copyright material to be used in the classrooms without appropriate permission or outside of permissible limits under the Copyright Act.

- MAEI will inform all staff members of copyright obligations in Staff Handbook as well as at the time of new employee induction.

- Public domain information and sources, where available for public or educational/academic use, will allow being used with appropriate citation and acknowledgement.

- MAEI will investigate the possibility of purchasing a Statutory Education licence from The Copyright Agency Ltd (CAL) for introducing a wide variety of material into its

training environment, both in hardcopy and digital format as part of its continuous improvement process. Trainer and assessor opinions and inputs will be sought on the extent of copyright materials required on an ongoing basis.

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Access, Equity & Diversity Policy

Purpose & Legislative Background

This policy ensures that MAEI provides fair and equitable access and opportunity toall its current and prospective students and staff members regardless of their age, sexuality, gender, ethnic background, marital status, religion, political convictions, physical disability, or intellectual impairment. This policy allows them to freely participate in a training and learning environment free from discrimination, harassment, bullying and vilification, which enables all participants to understandthe education program they are enrolled/ to be enrolled in.

All trainees/students will be recruited ethically and responsibly and consistent with the requirements of the National Training Package. Our Access and Equity Policy ensures that trainee/student selection decisions comply with equal opportunity legislation. Appropriately, qualified staff will assess the extent to which the applicant is likely to achieve the stated competency standards and outcomes of the course, based on their qualifications and experience. All members of the community, including priority VET target group members, are actively encouraged to participate in and are supported during our courses.

Scope

This policy applies to all current and prospective students in all modes of delivery as well as the staff members.

Policy

MAEI will ensure that equity principles for all people are implemented through thefair allocation of resources and the right to equality of opportunity without discrimination.

We will increase opportunities for people to participate in the vocational education and training (VET) system, and in associated decisions that affect their lives. Appropriate student support services will be provided to maximize the chances of under-represented students achieving positive learning outcomes and placement/employment in their chosen careers.

To achieve these aims MAEI will:
- Ensure the establishment of non-discriminatory student selection procedures which encourage fair access for members of underrepresented groups priority VET program target groups as identified by the Queensland Department of Employment and Training.
- Ensure access and equity issues are considered during curriculum development.
- Ensure the requirements of individual learners are accounted for in the strategic and operational planning processes.
- Provide learners with the opportunity to be involved in the planning and decision-making processes on matters that affect them.
- Provide training programs and services that are accessible to all people in an environment that is free from harassment.
- Seek to provide access to a broad range of high-quality support services that account for the diversity of clients and the needs of people under-represented in VET.
- Seek to provide opportunities for all people to achieve outcomes that meet their personal

goals.
- Provide access to staff development to assist facilitators who deliver courses to underrepresented groups.

MAEI recognises that equity and diversity considerations and initiatives go beyond extending a helping hand to the 'disadvantaged' and responding to legislative imperatives. Fair and equitable access to Vocational Education and Training (VET) can assist all Australians to gain meaningful employment and participate in the economic and social life in their community. This policy is a mechanism to demonstrate MAEI commitment to State and National equity legislation and policy requirements including:

- Disability Discrimination Act (1992) Commonwealth
- Sex Discrimination Act (1984) Commonwealth
- Racial Discrimination Act (1915) Commonwealth
- National Strategy for the Education of Aboriginal & Torres Strait Islander People 1996 - 2002

Equity

Equity essentially means 'fairness'. In the VET context, it means that people are provided with the opportunity to access, participate, and successfully achieve outcomes. Underpinning the principles of equity is the recognition by MAEI:

- That it is common for people to identify with more than one equity group.
- Of the differences within and between equity groups.
- That each equity group does not experience the same type of disadvantage; and
- There remain many common systemic barriers for equity groups.

Diversity

Diversity recognises that many factors influence the ability of people to participate and succeed in vocational education, training, and employment, including:

- Prior educational experience
- Cultural diversity
- Language and/or learning styles
- Goals and expectations
- Motivation
- Work and social experiences
- Gender
- Values and beliefs
- Religion
- Income
- Age
- Geographic location

This policy aims to address the requirements of all potential and actual learners, seeking to participate in training with MAEI including specific equity groups such as:

- Women
- Indigenous Australian peoples
- People with a disability
- People from non-English speaking backgrounds
- People with English literacy and numeracy needs
- Residents of rural and remote communities

Beyond these groups, and in recognition of diversity, MAEI aims to respond to the needs of the local

community for example:
- Young and mature age people.
- People in transition from institutions.
- Socioeconomically disadvantaged people; and

- People with family responsibilities

Implementation of this policy requires equity and diversity considerations to be embedded into all aspects of MAEI planning and operations.

This may be demonstrated by the development and implementation of strategies for specific equity groups as required by National and State agendas. And where strategies do not exist, the diversity of client/learner needs may be addressed through planning areas such as:
- Resource allocation.
- Support personnel.
- Staff training.
- Curriculum product development and delivery.
- Marketing and promotion; and
- Research

MAEI will monitor and review its equity performance to:
- Comply with national and state legislation and policies.
- Meet national and state reporting requirements; and
- Modify and improve performance to better achieve access, equity, and diversity objectives

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Anti-Discrimination & Sexual Harassment Policy

Purpose & Legislative Background

It is the policy of MAEI to ensure that the Anti-Discrimination Acts of the State Government and Discrimination Acts of the Federal Government are adhered to. These acts include but are not limited to

- the Federal Government Racial Discrimination,
- Human Rights and Equal Employment Opportunity (EEO)
- and Sex Discrimination Acts.

MAEI is an equal opportunity employer. All appointments are made on their merits, without regard to race, age, sex, marital status, or any other factor not applicable to the position.
Employees are valued according to how well they perform their duties, their ability, and their enthusiasm to maintain organisational standards or service.

The organisation does not tolerate any form of discrimination or vilification. All persons on site (including visitors) have the right to an environment free of discrimination, vilification, and harassment.

Scope

This policy applies to all persons including current and prospective staff, students, and visitors of MAEI.

Policy

Sexual Harassment

The policy of MAEI is that sexual harassment is an unacceptable form of behaviour, which will not be tolerated under any circumstances. We believe that all persons on site (including visitors) have the right to an environment free of intimidation and sexual harassment.

Sexual harassment may cause the loss of trained and talented employees and damage staff morale and productivity.

Under the Queensland Anti-Discrimination Act and the Federal Sex Discrimination Act, sexual harassment is against the law.

Vilification

Vilification based on race or religion is simply a public act of hatred – and it's against the law.

It can include things such as graffiti in churches or other public places, speeches, abuse, remarks in the media or on internet sites, gestures, posters, or stickers. For these sorts of things to be considered vilification, they need to be public and invite people to hate others because of their race or religion.

All MAEI employees must ensure that all persons on site (including visitors) are treated equitably and are not subject to vilification or harassment. They must also ensure that people, who make complaints or act as witnesses, are not victimised in any way.

What to do if you are discriminated against or Sexually Harassed?

You have the right to feel safe and to have the full opportunity to achieve your potential in your study. Don't let harassment interfere with your life. If you are being harassed, seek help immediately.

There are several options. Choose the course of action you feel most comfortable with. Do not ignore discrimination or sexual harassment, thinking it will go away – often discrimination just gets worse, and silence may give the impression that discrimination or sexual harassment is acceptable.

You may:
- Tell the person they are making you uncomfortable and ask them to stop.
- Make a complaint to one of the staff from MAEI Or
- Make a complaint under Anti-Discrimination Legislation to Victorian Equal Opportunity and Human Rights Commission https://www.humanrights.gov.au/complaints/make-complaint

  If you have any questions about this or need help completing this form, please contact our National Information Service on 1300 656 419 or 02 9284 9600

Management Action & Responsibility

Refer to the RSA Matrix for details.

The policy must be approved by the CEO before it takes effect

Workplace Health & Safety Policy

Purpose and Legislative Background

The Work Health Safety Act and Regulations require MAEI to provide information, training, and instruction to a worker regarding the nature of work, the risk associated, and the control measures implemented.

MAEI is committed to the proper management of occupational health and safety. We will provide a safe and healthy workplace for our staff, students, contractors, and visitors by having a planned and systematic approach to the management of occupational health and safety. Wewill provide the necessary resources for the successful implementation of this policy and its supportive procedures. Occupational health and safety will be managed through MAEI management committee and in close consultation with staff, students, contractors, and visitors.

The policy is not intended to cover the entire scope of situations which may arise in a workplace that relate to safety or hazards. MAEI recognises this and we are committed to applyinga continuous improvement approach to robust policy development.

The objectives of this policy are to ensure that:

- Hazards and risks to health and safety are systematically identified, assessed and, where they cannot be eliminated, are effectively controlled.
- Measures to control hazards and risks to health and safety are monitored and evaluated regularly.
- Staff are engaged and sought to contribute to occupational health and safety matters affecting their health and safety at work.
- Staff, students, contractors, and visitors receive the appropriate information, training, and supervision to understand and carry out their responsibilities safely.

Scope

This policy applies to all students and staff of MAEI. It may also impact other third-party contractors and visitors that come in touch with MAEI.

Policy

Students have an obligation under the Occupational Health and Safety Act 2004 and Occupational Health and Safety Regulations 2017.

- Students MUST NOT act in a manner that endangers the health and safety of themselves or any other person while at a course being run by MAEI
- Students MUST carry out safety directions given by members of MAEI.
- Students MUST NOT willfully or recklessly interfere with anything provided in the interests of health and safety at MAEI

NOTE: *Students who do not comply with these legal requirements are in breach of the OHS Act and can be fined under its legislative requirements. Such persons are also in breach of the Student Rules*

and can face disciplinary action.

The following guidelines are provided as a basis for safe practice in the training and assessment environment. The guidelines are particularly relevant to students, trainers, and assessors.

- Know and observe details of emergency response and evacuation plans.
- Do not undertake activities that may cause injury to self or others
- Be responsible for your actions
- No smoking at the training and assessment facilities or offices
- Report all potential hazards, accidents and near misses to the RTO staff
- No consumption of alcohol within training and assessment facilities or during the conduct of training and assessment
- Always keep training and assessment areas neat
- Seek assistance if you volunteer to lift items e.g., move furniture in a training area.
- Observe hygiene standards, particularly in eating and bathroom areas.

Electrical equipment:

- Electrical equipment that is not working should be reported to RTO staff.
- Electrical work should only be performed by appropriately licensed or trained personnel. Students, trainers, and assessors should not undertake any task related to fixing electrical equipment such as lighting or electrical training aids.

Fire safety:

- MAEI will undertake to communicate the procedures involved in evacuationand the location of fire equipment to students at each facility for each training and assessment event and users of the office at least twice each year.
- All users of a training and assessment facility need to be familiar with the location of all EXITS and fire extinguishers. Users will consult available maps to determine their location.
- It is the user's responsibility to understand fire drill procedures displayed around the premises.
- Users are asked to attend any sessions on fire safety procedures and the use of fire safety devices.

First aid:

- Provision for first aid facilities is available where training is delivered.
- All accidents must be reported to staff.
- The accident and any aid administered must be recorded by the staff involved.

Computer facilities:

- Extended periods of work with computers can result in general fatigue and eye strain. Repetitive tasks and incorrect posture will result in consistent aches and pains.
- Current occupational health and safety guidelines indicate that people working for long periods at computers should organise their work to allow a five to ten-minute rest every hour. This rest should include a change of position and stretching exercises as appropriate.
- Posture can be improved by adjusting chair height so that the operator's feet are comfortably placed on the floor (or footrest) and your arms are at an approximately 90-degree angle.
- The screen should be positioned to avoid reflection from lights and windows and at a suitable distance so that it can be easily read.

Lifting:

- Students, trainers, and assessors are encouraged not to lift anything related to the training

and assessment provided by MAEI unless they do so voluntarily and takeall responsibility for any injury caused.

- Never attempt to lift anything that is beyond your capacity.
- Always bend the knees and keep the back straight when picking up items.
- If you have experienced back problems in the past do not attempt to lift heavy objects at all. Ask someone else to do it for you.

Work and study areas:

- Always ensure that all work areas are clean and clear of clutter to avoid the danger of accident by tripping or falling over.
- Place all rubbish in the bins provided.
- Ensure that kitchen bench spaces are left clean and tidy and that all dishes are washed.
- Do not leave tea towels or any cleaning cloths in a bundle on the benchtops or draped near any bin.
- Do not sit or climb on any desks or tables.

Training Safety Procedures

MAEI will achieve its training safety objectives by applying procedures that assistmanagers, staff, students, contractors, and visitors to carry out their responsibilities.

Hazard management procedures

This procedure aims to provide a practical guide to the identification, assessment, control and monitoring of workplace safety hazards. A hazard is defined as a source or a situation with a potential for harm in terms of human injury or ill-health, damage to property, damage to the environment, or a combination of these. Hazards may arise from a variety of sources within a workplace. Sources of hazards may include equipment, the work environment, work systems and work procedures.

Workplace hazards can be categorised as follows:

- Physical e.g., noise, radiation, light, vibration
- Chemical e.g., poisons, dust
- Biological e.g., viruses, plants, parasites
- Mechanical/electrical e.g., slips, trips and falls, tools, electrical equipment
- Psychological e.g., fatigue, violence, bullying

To manage the workplace safety hazards at MAEI, the following steps are to beapplied:

Step 1 - Identify hazards.

Select a method to identify hazards. This may include:

    – Asking the question, 'Does this task/training activity/situation / event have the potential to

harm a person?' or 'What if?' For example, "What if a person were to attempt to lift thisheavy object from the top shelf?"

- – Conduct a review of records of past accidents and near misses.
- – Conduct regular walk-through visual inspections of the workplace. Look at each task the workers do to see if any hazards are present, such as handling loads, using chemicals orequipment.
- – Observe workers performing their tasks and the activities involved, such as training activities, cleaning, maintenance, and inspection, as more hazards may become apparent. This also provides an opportunity to see whether the workplace procedures forperforming tasks are being followed by workers, or whether workers are taking shortcuts.
- – Consult workers about any near misses or events that have not been reported,unreported minor injuries or health complaints.
- – Research the hazards associated with the relevant industry to identify the commonpotential hazards.
- – Conduct (or arrange for) basic testing, measuring and samples of the workplaceenvironment.

When collecting information to identify hazards, consider the following:

- – Competency and level of training of workers and whether it is adequate.
- – How people use, clean, service or repair equipment and materials.
- – How equipment is used to complete tasks and where it is located.
- – How people could be hurt directly and indirectly by the various workplace aspects.
- – How waste materials are or should be disposed of.
- – The serviceability of substances, equipment, materials, and premises may affect theirsafety.
- – The long-term health effects rather than an immediate injury, for example, exposure toloud noise over some time.

Step 2 - Assess and prioritise the risks.

Assess the likelihood of an event occurring by asking questions such as:

- – How would circumstances arise that would make the event likely?
- – Where would the event be likely to occur?
- – When are people exposed to the hazard?
- – How does exposure vary over time or by location and personnel involvement?

When considering the likelihood of an event occurring, align it to the likelihood

that most applicationsuse the Likelihood Assessment Table.

Assess the potential consequence resulting from an incident by asking questions such as:

- – How much harm the hazard could do?

Management Action & Responsibility

This policies and procedures must be approved by the CEO prior to implementation.

Policy development	Compliance Manager
Policy implementation	Staff (teaching and non-teaching)
Policy monitoring	Compliance Manager & staff
Approval	CEO

Version History:

v1.0	Initial development
V2.0	Include Management Action & Responsibility
Policy monitoring	Compliance Manager & staff
Approval	CEO

Next review date: July 2025