



TRAINER & STAFF HANDBOOK

Policies & Procedures

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1 ABOUT MAXIMUM ASSET EDUCATIOAL INSTITUTE OF AUSTRALIA PTY LTD (MAEI)

1.1 Mission MAEI

Our mission is to continuously improve our business and education models and be recognised and maintain a place among the best Registered Training organisations nationally. We want to be known as a VET practitioner of choice among industry and an education provider where clients can rest assured they receive a consistent professional level of training. We aim to exceed client expectations by constantly reviewing and improving our service based on feedback from our clients. Our vision is to build stronger connections with industry by offering quality training and assessment services which are trusted and demonstrate integrity. We will strive to maintain good rapport with regulatory bodies and remain transparent in our operations, which will be conducted legally and ethically at all times.

1.2 Company Vision

Our company vision is to expand our reach beyond VIC in the medium term (3-5 years), initially with a presence in yet to be determined States and Territories.

We have a fluid Business Plan that includes our medium to long term goals in line with our strategic direction. We will continue to grow but our aim is to create a series of programs that can all complement each other and provide extended pathways for our learners and needs based training options for employers.

A focus will also be placed on expanding our capacity to deliver Training Needs Analysis services for industry and employers across a range of specific industries, including skills auditing and skills analysis and delivery of required training services.

Our Vision is to become a provider of choice for training in Australia as we expand, for both individuals and employers. In the current climate in the private training industry in particular, we aim to sit above the uncertainty and mistrust and stand alone as a legitimate provider of quality industry leading training services.

1.3 Code of Practice

As a quality private training organisation, MAEI will adhere to and operate within the Standards for Registered Training Organisations (RTO) 2015. It is our policy at MAEI to provide equal training opportunities to all eligible students regardless of gender, cultural or ethnic background, marital status, physical disability or sexual preference.

MAEI further undertake to provide:

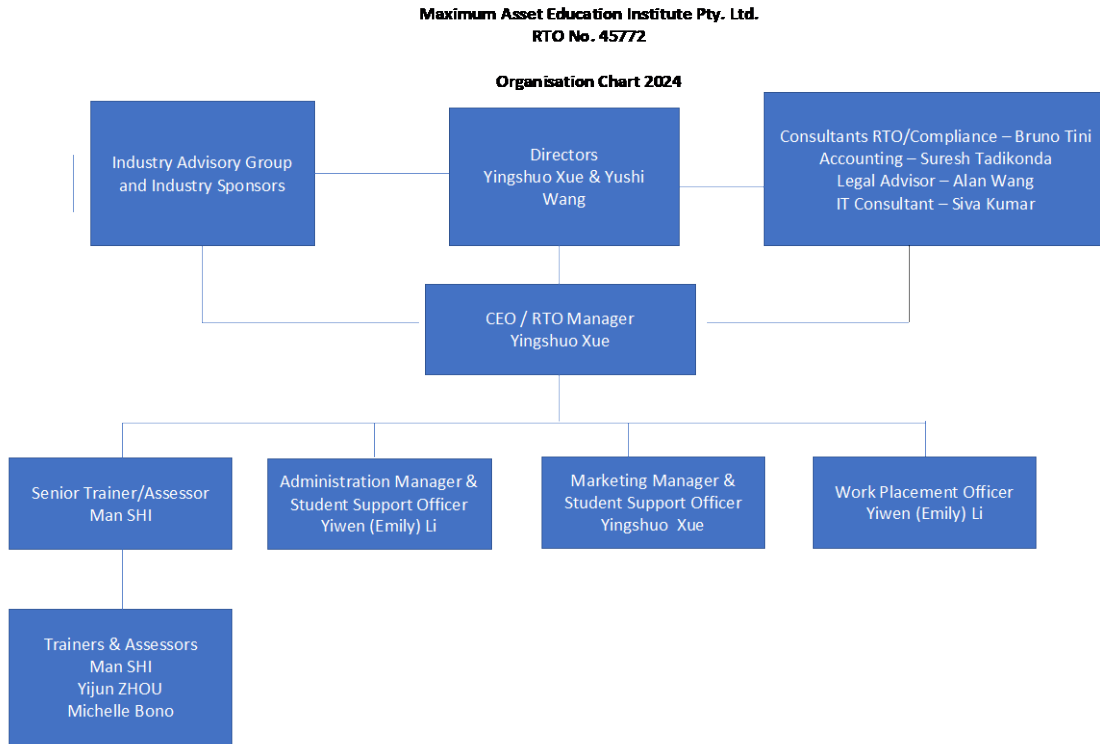
- Qualified, experienced and committed educational and training personnel.
- A learning environment which meets all legislative requirements of State and Federal Government.
- Quality customer service and a focus on continuous improvement. We value feedback from students, and the industry.
- A learning environment which actively encourages the participation of women, Aboriginal and Torres Strait Islander peoples, people from non-English speaking backgrounds, people with disabilities and those seeking employment.
- A supportive and stimulating learning environment where students may pursue their educational and training goals.
- A learning environment inclusive of students who have language, literacy or special learning needs.
- A referral system for students who experience language, literacy or numeracy difficulties and need Foundation Skills support.
- A non-prejudicial and plain English assessment dispute procedure which:
- Recognition of current skills and experience through Recognition of Prior Learning (RPL) and Credit Transfer (CT) arrangements.
- Marketing and advertising which is accurate and ethical.

- A robust system for maintaining the integrity, security and privacy of student records and data.

1.4 Code of Ethics

1. MAEI shall at all times act with integrity in dealings with all clients and members of the community.
2. MAEI shall adopt such policies and practices to ensure the quality of Vocational Education and Training (VET) programs offered are relevant and in accordance with:
 - a) Australian Skills Quality Authority (ASQA) guidelines and the Standards for Registered Training Organisations 2015.
 - b) Commonwealth/State legislation and regulatory requirements.
3. MAEI will ensure:
 - a) the provision of contemporary training methodology to conduct/deliver training
 - b) to only employ qualified training staff and maintain a healthy cadre of training and assessing personnel
 - c) the accuracy of any marketing and promotional advertising material
 - d) compliance with an acceptable refund policy
 - e) compliance with current Workplace Health and Safety and Duty of Care requirements
 - f) the maintenance of adequate records and security of all current and archival records
 - g) client access to their records upon request
 - h) the maintenance and continual improvement of a Quality Assurance System
4. MAEI undertake to maintain quality training and to uphold the highest ethical standards.
5. MAEI undertake to ensure that all students are familiar with and agree to comply with this code of ethics.
6. MAEI shall refrain from associating with any enterprise, which could be regarded as acting in breach of this code of ethics.

1.5 Organisational Structure



1.6 Scope of Registration

[Home](#) > [Organisation/RTO](#) > Organisation details

Organisation details

[Export to Word](#)
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[Notify me of changes](#)

45772 - Maximum Asset Education Institute Pty Ltd as trustee for Maximum Asset Education Trust

Status: **Current (Re-registration pending)**
Registration manager: [Australian Skills Quality Authority](#)

| Code | Title | Usage Recommendation | Extent | NSW | VIC | QLD | SA | WA | TAS | NT | ACT | Intl. |
|--------------------------|---------------------------------------|----------------------|--------------------|-----|-----|-----|----|----|-----|----|-----|-------|
| CHC33015 | Certificate III in Individual Support | Superseded | Deliver and assess | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| CHC33021 | Certificate III in Individual Support | Current | Deliver and assess | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| CHC43015 | Certificate IV in Ageing Support | Current | Deliver and assess | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| CHC43115 | Certificate IV in Disability | Superseded | Deliver and assess | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| CHC43121 | Certificate IV in Disability Support | Current | Deliver and assess | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |

Items per page 10 | 20 | 50 | 100

Displaying items 1 - 5 of 5

URL: <https://training.gov.au/Organisation/Details/?id=45772>

2 EMPLOYMENT CONDITIONS

2.1 Selection Criteria

The selection criteria used in the evaluation of training delivery are outlined below. The criteria are not in any particular order and are not necessarily exhaustive or to be given equal weight.

- Past performance and demonstrated delivery of quality services
- Qualifications, skills and experience: Quality of trainer involved in the delivery of the core service; relevance and currency of training and VET experience and experience and qualifications appropriate to endorsed training components
- Trainers role and suitability: ability to work in a team environment with a diverse student cohort from an expansive background
- Quality and Innovation: Demonstrated organisational commitment to quality improvement, professional development and innovative service delivery
- Delivery Methods: Demonstrated ability to support a range of delivery methods appropriate to the Australian Qualifications Framework and the relevant Training Packages
- Infrastructure: Demonstrated availability to use a wide range of training resources, electronic and print in varying settings and locations
- Resource Commitment: Demonstrated capacity to continue to ensure resources are current and relevant to industry and to remain ahead of change
- Marketing and Promotion: Demonstrated ability to market business services if required.
- Continual compliance with conditions of employment, legislation and direction from CEO.

2.2 Performance Reviews

2.2.1 Policy

Performance Reviews are a tool for MAEI to achieve their commitment to continuous learning, professional and personal development. Based on the outcome of the Performance Reviews objectives will be agreed to and signed by the MAEI member and appraiser (RTO Manager or CEO) to be reviewed at the next Performance Review meeting.

2.2.2 Procedure

When Performance Reviews must be done:

1. Two weeks prior to the end of a new employees' probationary period
2. After three months, successful completion of the probationary period
3. Annually for all other staff
4. If there are concerns related to performance or complaints have been received

Who will do the Performance Review?

- Reviews will be undertaken by the MAEI members immediate Manager in most cases. If the review relates to performance concerns or disciplinary action, then the CEO may also be part of the review panel.

Content and Procedures

- MAEI member will be given two weeks' notice that their performance will be reviewed.
- The reviewer will provide the MAEI member at the same time (2 weeks prior) with the initial review ratings and comment and the MAEI member has one week to make their own comment on the form and return to the reviewer. The form will be used again during the performance interview.
- Objectives and goals for the next period will be set and agreed to by both the appraiser and the MAEI member. These will be signed by both parties.
- If the RTO Manager is not conducting the appraisal, the form will go to them for final approval.

Grievances

- If the employee being appraised does not agree with the outcomes of the Review, he or she may enter into the Grievance Procedure.

2.3 Trainers Fees

All trainers' fees are paid on a fortnightly basis which is transferred to a Bank or other acceptable financial institution (Building Society, Credit Union) of your choice.

Time Sheet or invoice period: Monday to Sunday for 14 days

Time sheet or invoice submission: Must be submitted by 3pm on a Thursday

Paid: Normally the following day, Friday, unless circumstances do not allow.

The timesheets should state the following details before fees can be processed:

- week ending and signature
- hours completed per day and shift start and end times
- For invoices: Bank account details, including BSB and account number, name and an ABN if applicable. State the course taught including code and total hours worked excluding breaks.

It is the Trainers responsibility to ensure the above details are correct.

2.4 Professional Development for Trainers and Assessors (Clause 1.13 & 1.16)

According to Clause 1.13 and 1.16 of the Standards for Registered Training Organisations 2015:

Training and assessment is delivered by trainers and assessors who:

1.13. In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:

- a) vocational competencies at least to the level being delivered and assessed.
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

1.16. The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment.

It is a requirement of all Training and Assessing staff to:

- Hold the full trainers and assessors' qualification, TAE40116 Certificate IV in Training and Assessment.
- Attend induction training with MAEI.

- Attend at least two industry related Professional Development workshops each year, either with MAEI or through their own networks. Attend at least two VET developmental workshops each year to continue to develop their VET knowledge and skills.
- Attend an assessment validation meeting at least twice per year.

It is also a requirement for all trainers and assessors to have acquired the qualification, equal to or above, the level of competency the trainer or assessor is delivering.

Where the assessor does not yet have the qualification required but is currently working towards attaining it, assessment must be validated and awarded by the person who has the required qualifications. Technical Advisors or Industry Advisors who have the necessary skills and experience may be utilised when the trainer/assessor has a current Certificate IV in Training and Assessment but does not have the relevant vocational qualification. That said, **MAEI will make it practice to only employ training staff who have the required vocational qualifications at least to the level being taught.**

Assessors (or at least one person in the assessment team) must satisfy the following requirements to meet industry expectations of vocational competence:

- a) Demonstrate current knowledge and experience of the industry, industry practices, and the job or role against which performance is being assessed.

This may be demonstrated through at least one of the following:

- Have current workplace experience, within the last two years.
- Attendance at professional development or training and education activities focusing on good practice in the relevant industry competencies.
- Participation in professional or industry networks.

- b) Demonstrate current knowledge and skills in assessing against the Training Package in a range of contexts. This may be demonstrated through at least one of the following:

- familiarity with the units of competency in the Training Package to be used by the learner as a basis of assessment.
- recent planning conduct and review of assessment and/or workplace training activities in a workplace context.
- participation in moderation or validation processes.
- Attendance at professional development activities focused on assessment and/or workplace training.

- c) Demonstrate the necessary interpersonal and communication skills required in the assessment process. This may be demonstrated through evidence of one or more of the following:

- attendance in professional development and/or training activities focused on effective communication in assessment and/or workplace training contexts.
- knowledge of language, literacy and numeracy issues in the context of assessment and workplace training.
- recent assessment and/or workplace training activities.

- d) All assessors who are engaged in assessing against the Training Package must be:

- employed by MAEI (signed employment agreements in place).

2.5 Code of Conduct

All employees and contractors of MAEI are expected to perform their duties with efficiency, fairness, impartiality, integrity, honesty, and compassion. This code aims to clarify the conduct expected in the performance of your duties and to provide employees and contractors with a guide to solving ethical issues.

The successful development of an ethical environment relies upon individuals having responsibility for their own professional behaviour taking into consideration the provisions of this Code, policies of MAEI, and expectations of MAEI employees and contractors. If there is any doubt as to the applicability of the Code, or the appropriate course of action to be adopted, the matter should be discussed with the RTO Manager and or CEO.

A number of the obligations and standards set out in this Code are also to be found in legislation. Employees and contractors need to be aware that, in some cases, breach of codes and legislation may involve criminal offences, in others they may amount to serious breaches of discipline and involve the possibility of dismissal.

Employees and contractors should be familiar with the responsibilities, which are a part of their employment, and be aware that sanctions will be applied if these provisions are breached. These sanctions vary from counselling, to suspension, criminal charges or taking civil action.

The main legislation, which is relevant to MAEI, includes:

- Anti-Discrimination Act 1977 (NSW)
- Privacy Act 1988 (Commonwealth)
- Confidentiality Act
- Copyright Act
- National VET Regulator Act 2011
- Industrial Relations (Awards)
- Workplace Health and Safety Act 2011
- Government Information (Public Access) Act 2009
- Australian Consumer Law
- Equal Opportunity for Women in the Workplace Act 1999
- Education and Care Services National Law Act 2010
- Children (Education and Care Services National Law Application) Act 2010
- Ombudsman Act 1974 No 68
- Privacy Amendment (Enhancing Privacy Protection) Act 2012
- Standards for RTOs 2015
- Australian Accounting Standards

2.6 Conflicts of Interest

MAEI should avoid any financial or other interest or undertaking that could directly or indirectly compromise the performance of their duties. Conflicts of interest should be assessed in terms of the likelihood that employees/contractors possessing a particular interest could be influenced, or might appear to be influenced, in the performance of their duties on a particular matter.

MAEI will not routinely involve itself in the private lives of its staff. However, a conflict of interest may arise where a MAEI member engages in activities or advances personal interests at the expense of MAEI's interests or the interests of other employees/contractors.

2.7 Personal and Professional Behaviour

Employees and contractors should perform any duties associated with their positions diligently, impartially and conscientiously, to the best of their ability.

In the performance of their duties, employees and contractors should:

- strive to keep up to date with advances and changes in the body of knowledge and the professional and ethical standards relevant to their area of expertise.
- comply with any relevant legislative, industrial or administrative requirements.
- maintain adequate documentation to support any decisions made.
- treat members of the public and other employees and contractors with courtesy and sensitivity to their rights and provide all necessary and appropriate assistance.
- strive to obtain value for money spent and avoid waste and extravagance in the use of company resources.

- conform with the principles of environmental responsibility; and
- not take or seek to take improper advantage of any official information gained in the course of employment.

When faced with a difficulty in having to implement a policy which is at variance with the employees or contractors own view, employees/contractors should discuss the matter with the RTO Manager and CEO to resolve the issue.

Employees and contractors should not harass or discriminate in work practices on the grounds of sex, age, compulsory retirement, transgender, marital status, pregnancy, family responsibilities, race, ethnic origin, sexual preference, political or religious belief, intellectual or physical impairment, HIV or AIDS.

Employees/contractors have a duty to report to management any behaviour by another employee or contractor which is in breach of the legal requirements of the other employee or contractors' employment with MAEI.

Management of MAEI are expected to act upon such reports in accordance with this Code and any legal and procedural requirements.

Training staff in particular are to report any of the above occurrences among the student body as this behaviour is not tolerated at any level. Occurrences among students need to be reported to the RTO Manager at the earliest convenience and documented on an Incident Report Form located on the shared drive.

2.8 Use of Official Information

Employees and contractors have the right to expect confidentiality and privacy with respect to personal information obtained by other employees/contractors of MAEI in the course of their employment. All employees/contractors have a duty to maintain confidentiality, integrity and security of official information for which they are responsible.

2.9 Mobile Phones

Unless for emergency situations employees, contractors and students are requested to switch mobile phones to silent whilst attending work placement, as unnecessary calls become a distraction and disturb the facilities clients. This should be made clear to students during induction or Day 1 of training during introductions and administration.

Students should also be encouraged to place phones away completely so as not to be tempted to text or access social media, if students need to take a call for an emergency, then they need to advise their workplace Supervisor and make a call in an appropriate area.

3 TRAINING

3.1 Training and Assessment Strategies (Clause 1.1 – 1.6)

A strategic approach to training and assessment is applied to ensure consistency and compliance are maintained throughout the customisation and development of training and assessment program materials and accredited courses.

When developing or revising a Training and Assessment Strategy (TAS), MAEI engages with industry and students through consultation via meetings, surveys, attendance at industry seminars and work placement feedback documentation. This ensures that the Training and Assessment Strategies adopted are relevant to the identified needs of industry and MAEIs clients.

Senior Management is responsible for developing TAS for qualifications delivered within the Scope of Registration. MAEI has in place a Training and Assessment Strategy template, which is used for all training and assessment development. The TAS template has been developed in accordance with the requirements of Clause 1.6 (a).

Attention to various learning styles, learner prior knowledge, literacy and numeracy issues, equipment and resources, mode of delivery, reasonable adjustment and Recognition of Prior Learning, has been incorporated into the TAS.

Program context, delivery, material and assessment methods are evaluated and adjusted accordingly through a continuous improvement process.

Client groups are provided with feedback on outcomes achieved and provided with ongoing opportunities to contribute to program development through Training Evaluation Forms (AQTF Learner Survey and AQTF Employer Survey) following assessment.

All information contained within organisational promotional materials should be derived from the information contained within the TAS to ensure consistency of information.

Trainers, Assessors and industry consultants are involved in the revision and development of TAS through direct consultation.

Industry Consultation Folders are in place for each Training Package we have on our Scope of Registration. In the Industry Consultation Folders information is stored on: Industry Surveys, Minutes from Industry Meetings, General Communications letters and emails.

3.1.1 Procedure for developing Training & Assessment Strategies

Trainers are required to assist with the development of TAS, in particular the review of the TAS. When developing a TAS the following steps should be followed:

1. Identify Qualification/Unit of Competency/Accredited Course to be updated or added to the Scope of Registration.
2. Undertake industry surveys.
3. Contact the relevant Skills Service Organisation (SSO) for the Training Package to acquire further information on the qualification, industry trends and industry feedback. Read Environmental Scans.
4. Draft the TAS utilising the organisational template addressing each of the following areas:
 - a. define the RTO's target client group/s and describe how it will deliver the training product/s to meet client needs.
 - b. demonstrate how each strategy has been developed through effective consultation with industry.
 - c. demonstrate, using the trainer matrix template, how each proposed trainer/assessor possesses all relevant vocational competencies at least to the level of the training or assessment to be delivered.

- d. list all physical resources and equipment that are accessible at each proposed delivery venue (Workplace partner facilities).
- e. identify the range and format of all delivery and assessment methodologies and resources/tools to be used.
- f. describe how assessment processes, tools and judgements have been and will continue to be systematically validated.

3.1.2 Variations to the approved Training and Assessment Strategy

MAEI recognise that changes may be required to the TAS to meet client and trainer needs. Where changes are required an opportunity for improvement form should be submitted to the RTO Manager for consideration.

3.2 Standards for Registered Training Organisations (RTO) 2015

It is a requirement of employment/contract that all administrative, training and assessing staff have a good understanding of the Standards for Registered Training Organisations 2015. A copy of these Standards can be accessed from MAEI head office either in hard or soft copy, or you can download the Standards from the following website link:

<http://www.comlaw.gov.au/Details/F2014L01377>

If you do not have current knowledge of the RTO Standards, it is recommended that you become familiar with the Standards by contacting the RTO Manager who can assist you in ensuring your understanding is appropriate for your position.

3.3 Training Packages and the Australian Qualifications Framework (AQF)

MAEI is responsible for obtaining and making accessible the most recent versions of Training Packages and Accredited Courses for all qualifications on its scope of registration. Printed and electronic copies of relevant qualifications and units from the MAEIs scope are available from the office as well as a printed copy of the AQF Handbook.

- Access to the Training Packages is available through <https://training.gov.au/Home/Tga>
- Access to the Australian Qualifications Framework Handbook is available through www.aqf.edu.au

3.4 Recognition of Prior Learning (RPL) (Clause 1.12, 3.5, 5.2)

Recognition of Prior Learning is granted as a result of identifying and assessing previous and current informal education and training, work experience and/or life experience and knowledge. Previous learning and the evidence supplied is measured against pre-determined performance indicators contained within the Units of Competency.

To prepare for recognition of prior learning candidates should indicate their decision to apply for recognition as soon as possible after the induction and orientation program. Following is the process for preparing for recognition of prior learning:

In consultation with the trainer/assessor the client should:

- Decide which units(s) are to be recognised
- Provide an Evidence Portfolio in line with and agreed evidence plan
- Seek peer assessment
- Be prepared to 'show, tell and apply' their skills and knowledge

Evidence for recognition of prior learning may include:

- Performance, demonstration, or skills test/assessment
- Workplace or other pertinent observation
- Oral presentation

- Portfolio, logbook, task book, projects or assignments
- Written presentation
- Interview & questions
- Simulations

Candidates will initially be assessed against the performance criteria and critical aspects of evidence for each unit of competency.

RPL candidates must document their claim for competency in sufficient detail to enable the assessor to make clear judgements.

Students are required to sign an Assessment Agreement, which outlines the requirements of the evidence required for proof of competency. Training staff are to explain the process in full to the client, including an explanation of the costs involved and that a non-refundable upfront fee applies to the process irrespective of the assessment outcome.

Once the client is happy to proceed, they are to be given the relevant RPL package to complete and return within 15 working days.

Should clients indicate at enrolment that they wish to apply for RPL, then the trainer needs to address this at the earliest convenience. This can be done by initially asking the student informally what evidence they think they have and can they bring it in at the earliest convenience. It may be the case that the student could have prior formal study and be eligible for Credit Transfer (CT). All applications for RPL and CT are to be logged in the RPL and CT Register on the shared drive and this is to include date RPL pack handed out, date pack is required back and details of the assigned trainer. Once the pack is returned, the date returned is to be noted in the register and the outcome logged in TRUSS RTO (Student Management System).

MAEI must recognise the issuance of qualifications from other RTO toward recognition of current competency. If, however there is some doubt as to the authenticity of the issued qualification, check the RTO's registration on TGA and/or call the RTO to confirm and validate the document.

4 ASSESSMENT POLICY AND PROCEDURE (ASSESSMENT SYSTEM)

4.1 Assessment policy (Clause 1.8 –1.12)

MAEI acknowledges the National Assessment Principles issued under the Australian Qualification Framework and is committed to validity, reliability, flexibility and fairness in assessment processes for the training programs that it delivers to its clients. MAEI aims to provide clients and training/assessment with an assessment system that is as fair and equitable as possible.

MAEI assessments are competency based and are designed to determine whether the candidate can demonstrate the targeted competencies in a workplace setting.

Candidates who are unable to demonstrate competency at a given time or who successfully appeal assessment results may be reassessed at an appropriate later date. Reassessment at MAEI will not attract an additional fee.

MAEI's assessments are set to meet the assessment criteria of the training package or accredited course on which the program is based. Assessment will be undertaken online and in a workplace, as observable performance of tasks. If conducted in the workplace, suitable workplace assessors and assessment procedures are to be used. All assessment materials must be appropriate to the client's needs and program delivery methods.

4.2 Assessment Development

Assessment methods will be developed for each program that maximise assessment opportunities and meet the specific needs of each group.

All assessors will be provided access to the relevant Training Package and/or Accredited Course Programs.

Assessments are to be based on the requirements set out in the Training Package as follows:

- Evidence guide
- Assessment guidelines
- Units of Competency
- Elements
- Performance criteria
- Range Statement (if still applicable)
- Employability Skills or Australian Core Skills for Work

Assessments are to be developed in consultation with industry; this may be done by the CEO, RTO Manager, Trainer/Assessor, or a combination of staff.

Units of Competency can be contextualised to suit particular methods, learner profiles, enterprise equipment requirements to meet local needs providing that the integrity of the unit is maintained.

Sub-contractors may, on occasion, be contracted to develop assessment tools, which are to be validated by a minimum of two assessors

4.3 Assessment Delivery

Assessment methods and evidence may include a combination of the following:

- Demonstration/Simulation
- Practical Exercises
- Project Work
- Third Party Feedback
- Oral/Written
- Portfolio Work – including RPL assessment portfolios
- Role plays
- Observations (over time) in the workplace/simulation
- Questions – direct/indirect
- Logbooks, CV, position description
- Journals
- Checklist for evaluation of work samples
- Games/Quiz
- Competency conversations
- Training records
- Interviews/debates
- Production of audio visual/other multimedia applications
- Group discussions
- Short answer list
- Multiple choice
- Open book test
- Documentation (certificates, workshops)

Learners may negotiate assessment methods to allow individual circumstances to be taken into consideration.

Assessment:

- meets the requirements of the Training Package or the accredited course
- is consistent with the TAS
- is valid, reliable, flexible and fair
- focuses on the application of knowledge and skill to the level of performance required in the workplace
- involves the collection of sufficient, valid, authentic and current evidence to enable a judgement to be made about whether competency has been attained

- confirms that workplace and regulatory requirements are met.
- judgements made by assessors against the same competency standards should be consistent.

Assessment results are recorded into the Student Management Database.

4.4 Workplace Assessments

Student files are to remain within the MAEI training main office unless being utilised for workplace assessment.

The assessor is to ensure that the student file is updated with contact details, completed assessment booklets and any other required information at the end of the assessment visit. Completed Assessments are to be placed into the Assessment Tray in the main office.

Student files are to be returned to the office at the first available opportunity following completion of assessment.

Student files are to be returned to the administration staff for recording of assessment results into the SMS.

4.5 Assessment procedure

Students and assessment candidates are notified in advance of assessment dates and times by the assessor/trainer responsible for the assessment, for the conduct of workplace observation and assessment.

The following conditions apply to assessments:

1. Students/candidates who are absent on the day of a class assessment **must notify** MAEI of their inability to attend prior to the assessment time.
2. Students/candidates who know in advance that their assessment tasks cannot be met must inform the member of MAEI responsible for setting the assessment.
3. Students/candidates who have missed an assessment for any reason covered under conditions 1 and 2 must apply for the missed assessment to be rescheduled during class time.
4. If a student/candidate has previously attempted an assessment and has been deemed Not Yet Competent they may apply for reassessment.

4.6 Assessment appeals process

All students/candidates have the right to appeal any assessment decision made by MAEI if they:

- believe that the assessment is invalid and/or
- feel that the process was invalid, inappropriate or unfair.

Before making an appeal, we ask that students discuss the matter with their Trainer in an attempt to reach a decision.

If they are still not happy, they are then entitled to lodge a formal appeal. Once a formal appeal is lodged a third party may be appointed in an attempt to resolve the issue. Any decision recommended by this party will be binding to either party in the dispute.

Learners have the right to a support person to be involved at all times during the appeal or complaint process.

The complete process can be found at **C:\Users\MAEI\Forms**

4.6.1 Assessment Agreement

All individual Units of Competency 'Assessment Validation' forms **must** be signed by the client on completion of assessment of that particular unit of competency. Failure to do this will deem the client Not Yet Competent.

4.6.2 Assessment Tasks – Evidence required to demonstrate competence

All trainer/assessors must provide to clients a description of *each* Assessment task and/or the evidence required to meet *each* unit of competence. This should be done prior to any learning taking place and is best done at the start of each new learning module. Where clustered or holistic assessment is taking place, then an individual Training Plan outlining all Units of Competence and assessment methods should be put in place with the student and explained thoroughly to give a broad overview. Students must understand their assessment tasks, what is required, how much (volume) and when it is due and how to submit.

All assessment tasks or list of evidence must be mapped to each unit of competencies code and title and must meet the training package requirements and Australian Core Skills Framework performance levels.

Assessment tasks and evidence must ensure all:

- Elements are considered in the assessment task/evidence
- Underpinning knowledge is included in the assessment task/evidence
- Critical aspects of evidence are included in the assessment task/evidence

4.6.3 Assessment Tools and Instruments – ‘Mark Off Sheets’

Assessment tools and instruments are ‘mark off’ sheets and are *accountable documents* and provide the basis for valid, reliable and consistent assessments.

These tools and instruments list the performance requirements for each assessment task or type of evidence.

All trainer/assessors MUST supply to the RTO Manager copies of the assessment tools and instruments used to measure each assessment task or piece of evidence.

MAEI provides compliant assessment tools and instruments and these will not be edited or modified unless consultation and approval has occurred with MAEI management.

4.7 On-The-Job Traineeship Assessments

MAEI does not currently have traineeship arrangements in place but has developed this section of the Handbook to cater for that future potential. The Apprenticeship and Traineeship Act 2001 (Sect 13) states:

Duties of employers under apprenticeships and traineeships

- (1) The employer of an apprentice or trainee must, in accordance with the relevant training plan, take all reasonable steps:
 - (a) to enable the apprentice or trainee to receive the work-based component of the required training, in particular by providing all necessary facilities and opportunities to acquire the competencies of the vocation concerned, and
 - (b) to enable the apprentice or trainee to obtain an appropriate qualification for that vocation, in particular:
 - a. by releasing the apprentice or trainee as required for attendance at the relevant registered training organisation, and
 - b. by liaising with the relevant registered training organisation in relation to the apprentice’s or trainee’s attendance and participation in the training provided by the relevant registered training organisation.

An induction should be undertaken with the trainee’s workplace supervisor/employer, outlining the requirements of the various units of competency within the trainee’s training plan, explaining what VET is and the responsibilities of all parties to the traineeship arrangement. A plan should be made as to trainer/assessor visits, frequency of same, what the trainer will be looking for at each visit, what will

transpire at each visit, resources required, and ensure that the trainer will have adequate access to the trainee at these times as well as access to relevant staff, such as the trainee's supervisor/s.

The employer/supervisor should be made aware that VET assessments are undertaken by the VET qualified trainer/assessor who has the required qualifications in order to assess national units of competency according to industry standards.

All workplace visits should be undertaken on a scheduled basis, in collaboration with the employer/supervisor of the trainee.

Documentation which should be on the trainee's file includes:

- Copy of the signed Training Plan (In the case of School Based Traineeships and for those learners under the age of 18, this training plan should also be signed by the trainee's parent or guardian)
- Training and Assessment Plan (scheduling workplace visits and what will be covered during each visit)
- Record of Learning Resources issued to the trainee

4.7.1 Assessment Validation Form

All assessment mark off sheets must be attached to each Assessment Validation Form before a Certificate or Statement of attainment can be issued.

4.7.2 Assessment Validation

MAEI will incorporate the following validation strategies taking into account the requirements of Clauses 1.9. 1.19, 1.11:

- ***Benchmark with other Registered Training Organisations.***
Opportunities to establish cooperative validation activities with other RTO's will be actively pursued.
- ***Engage external advisors and consultants***
MAEI will engage external advisors and consultants at least bi-annually to assist in validation and to provide an external perspective. Advisors will be drawn from the VET industry and/or industry specialists.
- ***Consult with industry specialists***
Industry specialists will be accessed for validation of assessment tasks, tools and processes for industry based critical skill and knowledge assessment. Industry specialists will confirm validity of assessment tasks and process for the target group.
- ***Compare training and assessment resources against other publications***
Products currently used will be reviewed and compared to other available resources to ensure currency and validity.
- ***Co-assessment and cross-assessment by trainers and assessors***
Co-assessment and cross assessment is to ensure consistency of judgement and evidence gathering by assessors. Assessor will complete a critical evidence checklist
- ***Benchmarking of assessment against specific Training Package competence and AQF levels***

Validation against Training Package competencies and AQF ensures:

- the assessment processes and tasks adequately cover all competency requirements
- appropriate use of range of evidence and range statements (if still applicable)
- assessment is appropriate for the specified key competencies and AQF levels being assessed
- the identification of critical evidence that is sufficient, appropriate and fair

A validation meeting will be held in accordance with the Validation Schedule, with RTO management and assessors, to undertake validation of:

- Assessment processes (from enrolment to the issuing of certifications)

- Assessment tools (instructions to learners, assessment activities and tasks, assessment activity recording documentation)
- Evidence gathering processes (types of evidence gathered, sufficiency, validity, reliability, consistency, fairness)

4.7.3 Validation Report

Validation process and activities will be fully documented on an Assessment Validation and Moderation Meeting Form. Validation documentation is to include:

- Date of validation
- Validation participants
- Qualification or material being validated
- Method of validation
- Validation outcomes
- Recommendations
- Implementation timeline for recommendations

Validation report is to be signed off by the RTO Manager or CEO.

4.7.4 Assessment Dispute Procedure

All Trainers and Assessors must ensure all assessments in courses are completed in accordance with Training Package requirements. Assessment procedures must recognise equity issues while ensuring the integrity of the assessment process. Trainers and Assessors must advise students, at the commencement of the course, of the elements of competency, the assessment methodology and when the assessments are to be conducted.

Where a student disputes the result of an assessment, the following procedure is implemented:

| | |
|--------|---|
| Step 1 | The RTO Manager will view the assessment tool to ascertain fairness, validity and reliability |
| Step 2 | The RTO Manager will consult with the trainer/assessor and client individually |
| Step 3 | The client will be advised of the outcome of this consultation process within 2 working days of the dispute being lodged |
| Step 4 | If it is decided that there is a case for review, a suitably qualified, independent assessor will be employed to conduct another assessment. An assessment date will be negotiated with the client. Following the assessment, the client will be advised of the result within 2 working days and that result will be binding and final. |

5 COMPLAINTS AND APPEALS (CLAUSE 6.1-6.6)

MAEI recognises that differences and grievances can arise from time to time and believe that the quick settlement of these matters is in the best interest of all parties concerned and the following steps are implemented to ensure this happens.

5.1 Complaint

Definition: *an expression of discontent, regret, pain, censure, resentment, or grief; against another person or against the systems set by MAEI.*

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

- a) Student to student grievance
- b) MAEI Staff to Student grievance

- c) Student to work placement employer/supervisor grievance
- d) MAEI to work placement employer/supervisor grievance
- e) MAEI to MAEI grievance

5.2 Appeal

Definition: *an earnest request for an appeal against a result given by a Trainer/Assessor, as the student believes that the result given was unfair or unjustified.*

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

- a) Student disagrees with the result given by their Assessor
- b) Student wishes to have their result reviewed by another Assessor
- c) Student wishes to be re-assessed for the same unit
- d) Student wishes to change the unit
- e) Student believes that they were discriminated against by the Assessor

5.3 Procedure for submitting a Complaint and/or Appeal

1. As soon as a grievance or appeal arises, it will be raised and discussed with all parties involved in the grievance, in order to find a solution agreeable to all parties.
2. Grievances should be kept confidential, in order to protect the complainant, and documented onto the *Complaints and Appeals Form*.
3. All *Complaints and Appeals Forms* are to be submitted to the RTO Manager, no matter the outcome, for review at the monthly MAEI meeting.
4. Each appellant:
 - a. Has an opportunity to formally present his or her case
 - b. Is given a written notice of the appeal outcomes, including reasons for the decision
5. If a solution cannot be found the matter is brought before the RTO Manager for resolution, agreeable to all parties.
6. If the RTO Manager is party to the grievance, they will not take part in any discussions or decisions made and the matter will be referred to the CEO.
7. If a solution has not been reached to the benefit of all parties the complainant has the right to representation at an External Review.
8. MAEI is responsible for acting upon the subject of any complaint found to be substantiated.

Complaints and Appeals Forms are to be actioned by the appropriate MAEI member and filed into the Complaints & Appeals Register. A note of the occurrence is also to be entered against the individual student record in TRUSS RTO.

All Complaints and Appeals Forms are to be reviewed during the monthly Quality & Compliance Meetings and improvements are to be identified and implemented according to MAEI Policies and Procedure.

The full policy is available at **C:\Users\MAEI\All Forms** for staff and is also posted on our website in full for students.

6 CONTINUOUS IMPROVEMENT (CLAUSE 2.1, 2.2)

MAEI's continuous improvement approach is systematic and uses data to determine the need for improvements to training and assessment. In order to continually improve our practices MAEI collects and analyses data on a monthly basis, utilising a range of continuous improvement forms, details of these forms are outlined below.

6.1 Continual Improvement Cycle

MAEI review the Standards for Registered Training Organisations 2015 at the monthly Quality & Compliance Meetings. All staff and contractors are encouraged to contribute to the continual improvement of our systems and services by assisting with the review as scheduled on the Continual Improvement Cycle.

If an MAEI member would like to submit an item to be discussed at the Quality and Compliance Meeting they should complete an Opportunity for Improvement Form and submit to the RTO Manager for action. The data from the form should also be logged in the Continuous Improvement Register.

6.2 Enrolment Form and Unique Student Identifier (USI) (Clause 3.6)

All students are required to complete an enrolment form prior to training commencement to ascertain contact details, course of interest, emergency contact details, whether there is any recognition of current competency or recognition of prior learning and to collect the relevant statistical information required for AVETMISS reporting.

The enrolment form also outlines the conditions of enrolment information, including student's rights and responsibilities and MAEI student fee information, including our Refund Policy. Students are required to sign the form to acknowledge their agreement with MAEI terms and conditions. Any MAEI staff member assisting a student to fill out an Enrolment Form must stress the need for the student to read the form in its entirety before signing. MAEI are to check the date and signature is present when the student hands the form back.

As of January 2015, all commencing students require a Unique Student Identifier (USI), which they must provide to MAEI preferably before commencing study or as soon as possible within the first week of training. Students should be encouraged to go to <http://www.usi.gov.au/Pages/default.aspx> to apply for their USI at time of course enquiry and prior to enrolment where possible. On the first day of a new training program the trainer is to check which students do not have a USI during induction administration. Again, the trainer should encourage students to navigate to the website to apply.

For students who are having difficulty obtaining a USI and nominate that MAEI acquire one for them, we are obliged to assist. MAEI staff members should navigate to <http://www.usi.gov.au/Training-Organisations/Pages/create-a-USI-on-behalf-of-a-student.aspx> to complete the process or do this through the functionality built into RTO MANAGER. This will involve sighting and using a valid form of student identification. Once the USI has been created or the Student has given it to you, it must be validated. Our Student Management System is able to automatically validate the USI when it is entered in RTO MANAGER against the individual student record.

Qualifications will not be issued unless we are in receipt of a verified USI. All USI must be entered into RTO MANAGER.

6.3 Complaints & Appeals Form

(Refer to point 5 above)

If a student, trainer or MAEI member is experiencing any difficulties, they are encouraged to discuss their concerns with the **RTO Manager** in the first instance. If it is for a client, MAEI administrative staff will make themselves available at a mutually convenient time if a client wishes to seek assistance.

If a MAEI member or Student wishes to make a formal complaint they are required to complete a Complaints & Appeals Form, which is accessible from the main office or online. Once the form has been completed, the form should be submitted to the **RTO Manager** for actioning.

Complaints and Appeals Forms are actioned by the appropriate MAEI member and filed into the Complaints and Appeals Folder. Each form is then reviewed at the monthly Quality & Compliance Meetings.

6.4 Training Evaluation

At the completion of each training program, Training Evaluation is to be completed by the participants. The Training Evaluation Forms are now issued electronically and are embedded on the MAEI website.

In addition to training evaluation, MAEI will conduct surveys and interviews with industry leaders, clients, learners and other community bodies to identify future needs in training.

The **RTO Manager** will report both positive and negative feedback to the relevant people for discussion. Feedback regarding delivered programs is to be discussed with the trainer that delivered the training with positive feedback being acknowledged. These discussions are to assist in the revision and adjustment of training material and delivery methods and enable to trainers' professional development.

Any complaints or issues that are identified from feedback are to be recorded in an Opportunity for Improvement Form and logged in the Continuous Improvement Register (CIR) for action. Once action has been taken the task needs to be closed off in the CIR and the item needs to be tabled for review and discussion at the monthly Quality & Compliance Meeting.

All Trainers will be given a Trainer's Course Evaluation Form for review and for feedback on training material and delivery methods.

6.5 WHS Incident Report Form

The WHS Incident Report form is utilised to record injuries that occur within MAEI premises or our third-party workplace/training venues and must be completed whenever an injury occurs in either of those environments. The form collects data on the incident, personal details of the person who was injured and further action taken.

In the incident of a student injury, it is the responsibility of the Trainer/Assessor to complete the form with all the relevant details. In the incident of a MAEI member being injured, it is the responsibility of the **RTO Manager** to complete the form with all the relevant details.

Once completed the form should be given to the RTO Manager for actioning and review i.e. reporting it to workers' compensation or Safe Work NSW if it is a 'Notifiable Incident', or to our private insurer. The relevant manager, once any requirements are actioned, will file the form into the Injury Report Register for review at the monthly Quality & Compliance Meetings.

6.6 Industry Consultation Survey

MAEI collects data from industry, through undertaking Industry Surveys. This information is collected to assist with the development of TAS. Please refer to TAS (Point 3 above), which outlines the process for consulting with industry whilst developing TAS. All MAEI members, but in particular the CEO, RTO Manager and Trainers, are to fill out a 'Record of Industry TAS & Assessment Consultation' form located on the shared server, any time they engage with Industry on validation and moderation of training and assessment material and or general feedback on training approach or training requirements.

6.7 Internal Audit Report

Annual scheduled internal audits are undertaken to monitor and review MAEI compliance against the Standards for Registered Training Organisations 2015. The results of the audits are utilised as a quality control measure to ensure that the organisation is compliant with the Standards and any identified non-compliances are referred to the appropriate MAEI member for action. Any non-compliances/observations will be reviewed at the monthly Quality and Compliance Meeting.

Internal audits or self-assessment review are to take place at least bi-annually. One should be conducted at the start of the training calendar year, January or February, to benchmark against the previous year and to set a standard against which to measure for the second audit to take place in November or December.

All internal audit reports are to be given directly to the CEO for attention.

6.8 WHS Attendance Register

The WHS Attendance Register is utilised to record student attendance during training at third party venues. Students are required to sign in and out. This data collection is used in emergency situations to ensure the safety of our students by quickly being able to account for a person's whereabouts.

6.9 Opportunity for Improvement Form

All staff and students are encouraged to complete an Opportunity for Improvement Form if they identify a system, process or procedure requiring implementation or improvement.

The implementation of the actions will be reviewed at the Monthly Quality & Compliance Meetings and any outstanding points are raised on an Opportunity for Improvement Form.

6.10 Student Counselling Form

The Student Counselling form is to be utilised by Trainers, Assessors and Administration staff for recording counselling sessions.

Once the form has been completed the form is to be recorded into the Student Management Database and filed onto the relevant student's file.

6.11 Training Report

In order to ensure MAEI maintains quality of training for its clients, as well as ensuring the decision making of senior management is informed by the experiences of its trainers & assessors, a "Training Report" is to be completed by Trainers & Assessors and submitted to the RTO Manager at the end of each course at a minimum or any other time they feel it is required.

All Trainers & Assessors are required to complete this report following delivery of training, and submit to the RTO Manager.

The Trainers Report includes feedback on the following:

- Training details
- Student attendance and absenteeism
- Planning and improvement
 - Training Resources
 - Work Experience
 - Excursions
 - Guest Speakers
 - Opportunity for Improvement
 - Content
 - Contextualisation
 - Reasonable adjustment
- Student progress
- Student behaviour

The Trainer's Report is reviewed by the **RTO Manager** and relevant details are entered into the Student Management Database.

Each report is then reviewed at the monthly Quality & Compliance Meetings to discuss strategies for improving practices through any issues identified in the reports.

7 FACILITIES

7.1 Administration Office Hours

The Administration Office hours are Monday to Friday, 9am to 5:00pm, except Public Holidays.

The Administration Office closes down during the Christmas/New Year holiday period and generally reopens a week into the New Year. For clarification on these dates, please contact the Administration Office on **+61 3 90219930**.

7.2 Photocopier

A photocopier is available to all trainers for lesson preparation and use during training. Instruction in the use of the photocopier will be given if you are not familiar with its functions.

7.3 Training Resources

MAEI values each trainer/assessor's technical expertise, creativity, initiative and intellectual property rights. Under the terms and conditions of your contract you are required to provide a copy of all written training material utilised to deliver training to the RTO Manager. If approved for inclusion in your training delivery, this information will be kept in the relevant training package folder to ensure compliance with standards

Written material includes workbooks, handouts, activity sheets, reference material resources, PowerPoint presentations etc. and should, where possible, indicate the Unit of Competency Code and Title.

7.3.1 Access to Resources

MAEI have a number of training resources available for trainers and assessors. The Training Resource library includes:

- Training packages relevant to the scope of registration
- DVD's
- Textbooks
- Training and Assessment Resources
- Additional reference materials
- Data projector
- Laptop
- Wi-Fi Internet access

All trainers and assessors are invited to access these resources for course development and delivery.

Any resources leaving the main office premises must be signed out by the Trainer/Assessor in the Resources Register on the shared drive. Resources leaving the premises are to be returned the first day of business after each session and signed back into the Resources Register.

8 STUDENTS

8.1 Enrolments into another course

Students wishing to enrol into another course must follow the MAEI formal enrolment process. Early bookings and special places in courses cannot be made by the trainers on behalf of students.

8.2 Cancellation of Training Programs

Scheduled training programs can only proceed when minimum course numbers are reached, if run face to face. For on-line supported distance learning, candidates can start anytime as part of a rolling intake. MAEI reserve the right to cancel any training programs if numbers are not sufficient or cost-effective.

Where possible sessional, casual or contracted trainers of cancelled training programs will be notified at least 24 hours prior to the onset of the training program; if the program has been cancelled at short notice i.e. on the day of the training program and the trainer in one of the categories above has already committed, they will be remunerated for three hours at their normal hourly rate. The expectation will be that they remain available for the three hours and use that time to conduct validation, marking, training resource development or contact students who need assistance.

8.3 Trainers Folder

Sufficient copies of all forms and documents will be available in the Training Folder prior to the commencement of the training program. However, it is suggested that trainers check these forms before beginning training to ensure sufficient forms are available for all participants.

Trainers must complete all training documentation and **then file the completed documents in the folder provided**, for example all assessments, evaluation forms, etc and return the folder to MAEI administration. All enrolment forms must be with the Administration staff prior to commencement of the course.

Please note: Enrolment forms MUST have correct and clear spelling of the student's full name i.e. the name that is on the student's driver's license or birth certificate, as this is the name that will be issued on their certificate. There may also be legal requirements to establish identity for some government funded training programs mentioned previously, so identification in this case needs to be sighted and checked physically against the student. If students decide after graduation and certificate printing that they would like the name adjusted or changed, then they will be charged a re-print fee as per our fee schedule. Name changes are only allowed if a valid reason and identification is provided.

The Training Folder goes with the Trainer on each occasion of the training program and is **returned** to administration at the end of each course, complete with paperwork sorted and filed.

All trainer/assessors are responsible for ensuring that *accountable assessment documents* are correctly completed. This includes:

- Unit of competency assessment forms for each client
- All assessment tools and instruments for *each* unit of competency or *grouped* units of competency

8.3.1 Workplace Health and Safety (WHS) Attendance Register

For classroom-based training and work placement, a WHS Attendance Register is required to be signed by each client on entry and exit to and from the venue. This 'time -logged' attendance sheet forms part of MAEI emergency and duty of care procedures.

All trainer/assessors should ensure this document is completed for all sessions. Should an emergency occur trainer/assessor's need to follow MAEI *Emergency Evacuation Procedure*.

8.3.2 Identification Validation for Issuance of Qualifications

Identification Validation for issuance of qualifications is vitally important for compliance. Certificates issued must state the student's full name. NO shortened, initialled or preferred names will be accepted. The name issued on the certificate is the same name verified against the students USI, which means it has been created against a form of valid identification. If in doubt about a student's name or identity, ask them to produce the identification they used to create their USI or another form of valid photo identification.

8.3.3 Attendance Register

MAEI prepare an attendance register/roll for each class if the class is delivered face to face.

Trainer/Assessors are required to indicate a student's attendance by ensuring the form is completed by each student at each class. This means the students need to physically sign the form and this **MUST** be completed daily. Where a student is absent, the trainer is to attempt to contact the student or ask administration staff to try contact on their behalf. A note is to be made on the attendance sheet indicating the students' absence and then added electronically as a file note against the student entry in the SMS.

Trainers and Assessors must report any classroom incidents (absenteeism, misconduct, bad behaviour, bullying or harassment), or client complaints on the Complaints & Appeals Form.

Student participation (attendance registers) are *accountable documents* and must indicate the student's session attendance. These documents must be scanned into RTO MANAGER against the course as a course document.

Trainers must also mark attendance electronically in RTO MANAGER. Where a student is studying via distance utilising the MAEI Student Portal and Catapult, then a record of their logs is available using the audit trail function. Students log in times and upload and download activity can be tracked and viewed. Trainers must also log all contact and follow up with distance students in the SMS as these contacts and logs will be needed in some cases as proof of participation.

8.3.4 Operational Procedures

MAEI's commitment to compliance towards the standards requires all trainer/assessors and administration staff to manage, maintain and monitor every client and class file according to MAEI records management policy. If in doubt seek guidance from the RTO Manager or Director.

NOTE: All accountable forms are available from the MAEI in the

- Training Folder and
- Shared Server

8.4 Records Management Requirements

Trainers and assessors must collect and accurately complete all accountable documents and maintain them in the Training Folder. All student data and files will then be scanned to the Student Management System and stored electronically on the cloud. Paper based copy will be sent to a contractor for secure destruction or shredded onsite and disposed of. MAEI will keep minimal paper copy on site, this will increase security around student data and implement best practice sustainability principles.

All accountable document templates and forms are stored on the organisation's file server. These templates are version controlled and should you require adjustments to the format to meet specific needs and requirements you will need to discuss this with the **RTO Manager**.

All completed student assessment items are to be kept in hard copy for at least 6 months if not scanned to the SMS. After 6 months, the completed assessment items can either be returned to the student or securely destroyed. Completed assessment items should not be given back to the student within the first 6 months, trainers should ask students to make copies of any completed work prior to submission. Students will be given the opportunity with their trainer to review completed and marked assessment items for feedback, consolidation and validation and then those items need to be collected and retained as per MAEI requirements.

MAEI will adopt the policy that all completed student assessment will be perpetually stored on the cloud through the SMS. Additionally, all other paperwork, including enrolment forms, will also be stored perpetually. This means MAEI will store all data above and beyond the requirements set out in the standards pertaining to records management and retention.

8.5 Risk Assessment and Quality Improvement

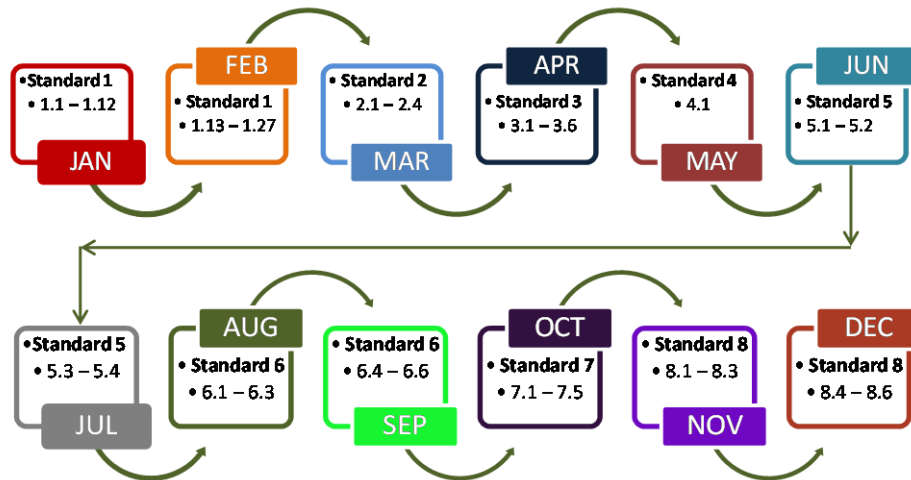
The identification and management of risks is controlled by the following procedures:

- **Continual Improvement Cycle.** Development of appropriate strategies and the deployment of these strategies are undertaken on a monthly basis. Each area is scheduled in the Quality Operational Continual Improvement Cycle.
- **Opportunity for Improvement Form.** All risks should be identified and reported in an Opportunity for Improvement Form (Please refer to your Trainer's Folder)
- **Quality & Compliance Meetings.** Analysis of potential areas of risk is undertaken and discussed during monthly *Quality & Compliance Meetings* and annual *Training and Assessors' Meetings*
- **Annual Internal Audits.** The results of the audits are utilised as a quality control measure to ensure that the organisation is compliant with the MAEIs.

Continuous Improvement Cycle (Risk Approach)

The Standards within this cycle are reviewed on a monthly basis and moderated at monthly Quality and Compliance meetings. All staff and contractors are encouraged to contribute to the continual improvement of our organisational systems and services.

If you would like to submit an item for discussion at the next QCM, then fill out an Opportunity for Improvement Form and submit to the RTO Manager.



9 ACCESS AND EQUITY AND CLIENT SERVICE

9.1 Access and Equity (Standards 5 and 6)

MAEI is committed to access and equity principles in the delivery of its services and within its working environment, in accordance with the Sex Discrimination act 1984, Human Rights and Equal Opportunity Act 1986, Racial Discrimination Act 5 1975, NSW Anti-Discrimination Act and Disability Discrimination Act 1992.

MAEI prohibits discrimination towards any group or individuals in any form, including:

- sex, race, colour, nationality, ethnic descent, ethno-religious, national origin, age, disability, pregnancy
- family and carer responsibilities (dismissal only)
- compulsory retirement
- marital status
- homosexuality and homosexual vilification
- transgender and transgender vilification
- racial vilification
- HIV/AIDS vilification

Programs are designed and wherever possible, facilities are set up to enhance flexibility of delivery in order to maximise the opportunity for access and participation by disadvantaged clients.

In the event of a situation that is considered by either MAEI or clients to be in violation of MAEI Access & Equity Policy, staff and clients are required to report the situation to the RTO Manager. The MAEI CEO will not tolerate abuses of the caveats contained or the examples provided above. For MAEI members, abuse of this element could mean disciplinary action and termination of employment and for students it could also mean disciplinary action and removal from training.

9.2 Client selection, enrolment and induction/orientation (Clause 5.1 – 5.4)

9.2.1 Client versus Student

A client is the person who pays for the training, a student is the person who is enrolled into the training, and sometimes the client is also a student. Clients are responsible for payment of training, including refunds and any other financial requirement. The Student is responsible for completing assessment tasks and participates in training activities.

9.2.2 Enrolment Form

Each student is required to complete an enrolment form prior to course commencement. The form is to be signed by the student stating that they agree with MAEI student policies and procedures, as outlined in the enrolment form. The enrolment form includes information on:

- Literacy and Numeracy
- Privacy and Confidentiality
- Legislative and Regulatory Requirements
- Enrolment & Selection
- Course Fees, Payments and Refunds
- Complaints & Appeals
- Recognition of Prior Learning (RPL) and Credit Transfer

9.2.3 Enrolment & Selection

1. Courses are open to people 16 years and over.
2. The student is responsible for notifying MAEI if they have a medical condition or disability or require assistance in attending a class.
3. A deposit must accompany enrolment to secure a placement.
4. It is the student's responsibility to note the date, time and location of the course as advertised.
5. Courses with low enrolments may be cancelled, every effort will be made to contact students, please ensure their contact details are correct.
6. Requests from the student to transfer or credit their course placement due to changed personal circumstances will be considered and every effort will be made to ensure a placement into an alternative course.
7. If they are unable to complete their course, due to changed personal circumstances, MAEI will make every effort to ensure they are placed into an alternative pre-scheduled course.
8. Students can only join after course commencement date if they meet all prerequisites.
9. MAEI reserves the right to decline admission to a course, terminate a student's enrolment in a class or change a course or tutor at any time without notice.
10. Students participate in courses involving physical activity; work placement, practical demonstrations etc. and do so at their own risk. MAEI's students are covered by public liability and professional indemnity insurance whilst working within the classroom or at work placement.

9.2.4 Induction and Orientation

All trainers are required to deliver an induction session using the Student Induction presentation, and the Student Handbook, as a guide to explain MAEI administration and emergency response policy and procedure.

All trainer/assessors are required to induct (advise) students about the requirements of the course/qualification/program. This information should include:

- Timetable indicating times and venue.

- Learning and assessment strategies for each unit of competency.
- Evidence and/or assessment tasks mapped to each unit of competency.
- Proposed assessment dates.
- Learner's, trainer's and assessor's responsibilities
- Resources and references required/distributed to undertake the training
- The method, level and procedure for assessment
- Information relating to RPL/RCC and mutual recognition appropriate to the course/qualification.

Under the terms and conditions of the contract trainers' agreement with MAEI, all trainers and assessors are responsible for managing, maintaining and monitoring student induction.

10 WORKPLACE HEALTH AND SAFETY (WHS)

MAEI take a positive approach to WHS and are required by law to ensure high standards of WHS in the workplace. Our WHS Policy and general WHS induction training are examples of our commitment. The two key points to remember in order to work in a safe environment include:

- Perform all work duties in a manner that ensures individual health and safety and that of all other employees.
- Encourage fellow employees to create and maintain a safe and healthy environment.

The objective of this Workplace Health and Safety Awareness section and accompanying reference material is:

- To emphasise the importance MAEI attaches to Workplace Health and Safety.
- To give you an overview of the main provisions of the Work Health and Safety Act 2011.
- To alert you to the typical health and safety hazards you may encounter.
- To give you some advice in avoiding accidents and putting your health and safety at risk.
- It is not intended to be comprehensive or cover all the hazards you may encounter whilst at work, but it does highlight the most common issues.
- It is no way intended to replace proper safe practices, work instructions or safety training.

The objectives of the Workplace Health and Safety Act 2011 are as follows:

- to secure and promote the health, safety and welfare of people at work,
- to protect people at a place of work against risks to health or safety arising out of the activities of persons at work,
- to promote a safe and healthy work environment for people at work that protects them from injury and illness and that is adapted to their physiological and psychological needs,
- to provide for consultation and co-operation between employers and employees in achieving the objects of this Act,
- to ensure that risks to health and safety at a place of work are identified, assessed and eliminated or controlled,
- to develop and promote community awareness of Workplace Health and Safety issues,
- to provide a legislative framework that allows for progressively higher standards of WHS to take account of changes in technology and work practices,
- to protect people (whether or not at a place of work) against risks to health and safety arising from the use of plant that affects public safety.

10.1.1 Legislative and Regulatory Requirements

- When undertaking work experience, the student acknowledges that they must observe the employers WHS Policies and all workplace practices, as instructed by the employer, including Equal Rights, Equal Opportunity and the Anti-Discrimination Acts.

- The student acknowledges that they must observe MAEI policies and procedures, according to State and Federal Government legislative and regulatory requirements, as set out in the Student Handbook.

10.2 Duties relating to health, safety and welfare at work

10.2.1 Duties of the employer

1. Employees

An employer must ensure the health, safety and welfare at work of all the employees and contractors of the employer.

That duty extends (without limitation) to the following:

- ensuring that any premises controlled by the employer where the employee/contractors work (and the means of access to or exit from the premises) are safe and without risks to health,
- ensuring that any plant or substance provided for use by the employees/contractors at work is safe and without risks to health when properly used,
- ensuring that systems of work and the working environment of the employees/contractors are safe and without risks to health,
- providing such information, instruction, training and supervision as may be necessary to ensure the employees'/contractors' health and safety at work,
- providing adequate facilities for the welfare of the employee/contractors work.

2. Others at workplace

An employer must ensure that people (other than the employees of the employer) are not exposed to risks to their health or safety arising from the conduct of the employer's undertaking while they are at the employer's place of work. In this context we mean students as well.

10.2.2 Duties of the employee/contractor

An employee/contractor must, whilst at work, take reasonable care for the health and safety of people who are at the employee's/contractor's place of work and who may be affected by the employee's/contractors acts or omissions at work.

An employee/contractor must, while at work, co-operate with his or her employer or other person so far as is necessary to enable compliance with any requirement under this Act or the regulations that is imposed in the interests of health, safety and welfare on the employer or any other person.

10.3 Hazard Identification

Everyone is responsible for identifying and reporting hazards, which includes students, sub-contractors and employees of MAEI. If you identify a hazard, please report it to either your RTO Manager or the administration office. You will be required to complete either an *WHS Injury Report Form* or a *Hazard Identification Report Form*.

It is important all staff report any injury immediately, by completing a *WHS Injury/Accident Report Form*, which is located in the *Trainers Folder* or in the *Administration Office* on the shared server. If any staff have any concerns or notice a condition or practice that seems unsafe, it is important it is brought to the attention of the RTO Manager or an Administration staff member of MAEI.

If the potential hazard is one that is noticed by an MAEI staff member or an MAEI student while operating at a third-party venue, then the Primary Point of Contact (WHS Officer, Supervisor, Registered Nurse) for the venue is to be notified in the first instance and all venue procedure is to be followed. Once that has

occurred, the MAEI staff member is to fill out the necessary internal paperwork for MAEI to document the occurrence and look at anything to improve safety and wellbeing for staff and students.

A point of note that any potential electrical hazard needs to be treated with the utmost urgency as it could threaten life.

10.4 Emergency Procedures

An emergency situation may be described as an incident that has the potential to cause loss of life or serious injury to personnel, or major damage to equipment or property. An emergency situation develops suddenly and unexpectedly and requires immediate action to bring under control.

In the event of an emergency, if practical, save human life or prevent the emergency from escalating e.g. remove people from the area, fight the fire with appropriate firefighting equipment or turn off services.

10.4.1 Accidents (Reporting)

- A First Aid Kit is located in the Administration Office at the MAEI main office and a travelling First Aid kit will be taken to all third-party venues. For work placement, students will inducted on-site.
- In the Trainers Folder is an Incident/Accident Report form. If there are any accidents during class, please notify the **RTO Manager** as soon as possible and complete the form to record the details.
- If assistance is required for an emergency situation outside Administration Office hours, the RTO Manager may be contacted by mobile.
- Accidents and incidents arising from electrical faults are classed as Notifiable Incidents and also need to be reported outside MAEI to the relevant statutory authority. All electrical short-circuits and shocks need to be reported within 7 days, either verbally or in writing.

10.4.2 Fire Emergency

If the emergency situation involves a fire the following points should be remembered if attempting to fight the fire:

- When using a fire extinguisher do not aim the nozzle at the centre of the fire. Work from near edge and with a sweeping motion drive the fire to the far edge.
- Do not stand down wind or downhill of a fire.
- If there is any chance of chemicals or explosives in the fire, evacuate the area.
- If there is any doubt about it being an electrical fire, treat it as an electrical fire.
- If unable to immediately control the situation it must be reported by available means such as, telephone, etc.
- You must notify your name, type of emergency, location of the emergency and assistance required.
- Never take any unnecessary risks in attempting to control the situation. Evacuate first.

You need to make yourself aware of Emergency Procedures, the location of fire extinguishers or hose reels and the location of the Evacuation Meeting Point. This especially applies when training at a third-party venue. Trainers should conduct a familiarisation tour of the site, so they are aware of the emergency response procedures for the venue, including emergency exits, emergency muster point and location of emergency equipment.

10.4.3 Evacuation Procedure

In the event of an emergency situation e.g.: a fire, bomb threat, gas leak, each employee/contractor is required to follow the Evacuation Procedures below.

- Upon notification to evacuate, e.g. alarm or a warning from the Fire Warden, each employee/contractor is to await further instructions from the Fire Warden (if applicable at Third Party venue).
- Once the Fire Warden has given instructions to evacuate each MAEI member should:
 - follow the Fire Warden to the Evacuation Meeting Point
 - leave the building in an orderly manner, and
 - meet at the Evacuation Meeting Point indicated on the signs located around the building.
- Upon arriving at the Evacuation Meeting Point please await further instructions from the Fire Warden or the Emergency Services.
- Please do not leave the Evacuation Meeting Point until you are instructed to do so, as a roll call will be initiated to ensure that there are no employees/contractors or students left behind in the building.

If there are any aspects of this Handbook you would like to improve upon or comment on, please complete an Opportunity for Improvement Form and forward to the Administration Office.

YINGSHUO XUE

CEO – MAEI

March 2024