

# **Southern Training Organisation Pty Ltd**



**PARTICIPANT HANDBOOK**

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## **Introduction**

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Welcome to Southern Training Organisation Pty Ltd. (STO)

Our organisation assists people in utilising equipment correctly and safely in the workplace.

Our RTO delivers the units of competency from Training Packages:

FWP	Forest and Wood Products
CPC08	Construction, Plumbing and Services
RII	Resources and Infrastructure Industry
TLI10	Transport and Logistics
HLT	Health

Our philosophy encompasses first class customer service and the delivery of premium quality training to all of our clients.

Our trainers and assessors are highly qualified and have extensive experience in their chosen fields, and are here to support you throughout the entire training program.

## **Participants' Rights and Responsibilities**

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STO recognises that Participants have the right to:

- Expect STO to provide training of a high quality that recognises and appreciates their individual learning styles and needs,
- Have access to all STO services regardless of educational background, gender, marital status, sexual preference, race, colour, pregnancy, national origin, ethnic or socio-economic background, physical or intellectual impairment, and religious or political affiliation,
- Have their prior learning, acquired competencies, and experience appropriately recognised in determining their requirements for training and assessment,
- Be advised of the learning outcomes and prescribed assessment tasks for the training program of their choice prior to its commencement,
- Appeal for a review of the results of an assessment,
- Expect to achieve the published learning outcomes from their training program, if they, in turn, devote the necessary time and diligence to it,
- Learn from fully qualified, competent and diligent trainers who observe their responsibility to address Participants' learning needs, assist them to achieve the course outcomes, and assess their Participants' work fairly,
- Learn in an appropriately appointed, safe and clean learning environment, free of all forms of harassment and discrimination,
- Be treated with dignity and fairness,
- Expect that we will be ethical and open in our dealings, our communications and our advertising,
- Expect that we will observe our duty of care to them,
- Efficient handling of administrative matters and in the processing of fees, concessions, refunds etc,
- Privacy and confidentiality, and secure storage of their records in accordance with our policies, to the extent permitted by law.

## **Participants' Responsibilities**

Participants are responsible for:

- Understanding and accepting the enrolment conditions for the courses they undertake.
- Providing accurate information about them at time of enrolment, and to advise us of any changes to their address or phone numbers.
- Paying of all fees and charges associated with their course and providing their own course requirements where notified.

- Recognising the rights of staff and other Participants to be treated with dignity and fairness, and behaving in an appropriate and acceptable manner towards them.
- Regular and punctual attendance.
- Ensuring they attend classes sober and drug free, and smoke only in designated areas away from other people.
- The security of their personal possessions while attending a course.
- Promptly reporting all incidents of harassment or injury to the STO administration office.
- Respecting STO property and observing policy guidelines and instructions for the use of equipment.
- Seeking clarification of their rights and responsibilities when in doubt.

## **Vocational Education and Training Quality Framework**

You are about to consider becoming a participant in the process that can result in achieving a nationally accredited qualification.

This qualification can only be delivered to you by an organisation that has met the required standards of the Australian Skills Quality Authority (ASQA).

The required standards are defined in the Standards for Registered Training Organisations (2015). ASQA audits Registered Training Organisations (RTO's) to ensure compliance against these standards.

A newly registered RTO will be audited within the first 12 months of operation to ensure compliance to the standards and will be re-audited during its subsequent five year registration period.

These standards and the auditing process are intended to provide the basis for a nationally consistent, high quality vocational education and training system.

Compliance with the VET Quality Framework is a statutory requirement for registration of an RTO.

The VET Quality Framework comprises the:

- Standards for Registered Training Organisations (2015)
- Financial Viability Risk Assessment Requirements
- Fit and Proper Person Requirements
- Data Provision Requirements
- Conditions of NRT Logo Use

In broad terms the Standards for Registered Training Organisations (2015) are:

- Standard 1. The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses
- Standard 2. The operations of the RTO are quality assured.
- Standard 3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.
- Standard 4. Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.
- Standard 5. Each learner is properly informed and protected.
- Standard 6. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

- Standard 7. The RTO has effective governance and administration arrangements in place.
- Standard 8. The RTO cooperates with the VET Regulator and is legally compliant at all times.

## **Enrolment**

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All Participants are required to complete an enrolment form prior to the commencement of all training offered by us.

Information from these enrolment forms may be required to be entered into government databases.

STO will only report information as required by Government Legislation or only with your written permission.

## **Induction**

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We conduct a Participant induction prior to the commencement of training and assessment for all qualifications. The induction process will include detailed explanations of the following:

- Details of all STO staff,
- Enrolment Procedures and Unique Student Identifier
- Training and Assessment Procedures,
- Qualifications to be issued,
- Complaints and Appeals Procedure,
- Information about the course content and its vocational outcomes,
- Required Participant behaviour,
- Contact details for absenteeism or other issues.

Confirmation that all the above information was provided and handouts were distributed is required to be acknowledged by the Participant.

At the rear of this Participant handbook is an acknowledgement form that is to be signed and returned to our administration office. This acknowledgement will then be kept on file within your individual Participant file.

## **Legislation**

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We are subject to a variety of legislation related to training and assessment as well as general business practice.

This legislation is continually being updated and, therefore, it is up to each staff member to be aware of this legislation and all of our staff is required at induction to sign an awareness statement to this effect.

Current legislation that effects our operations includes but is not limited to the legislation listed below:

- NSW Vocational Education and Training Act (2005 No 100) as amended
- NSW Apprenticeship and Traineeship Act (2001 No 80) as amended
- NSW Anti-Discrimination Act (1977 No 48) as amended
- NSW Self Insurance Corporation Act (2004 No 106) as amended
- NSW Workers Compensation Regulation 2003 as amended
- NSW Occupational Health and Safety Amendment (Dangerous Goods) Act (2003 No 38) as amended
- NSW Occupational Health and Safety Act (2000 No 40) as amended
- NSW Occupational Health and Safety Regulation (2001) as amended

- NSW Work Health and Safety Act 2011 (WHS Act)
- NSW Work Health and Safety Regulation 2011 (WHS Regulation)
- NSW Commission for Children and Young People Amendment Act (2005 No 108) as amended
- NSW Copyright Act (1879 42 Vic No 20) as amended
- NSW Affirmative Action (Equal Employment Opportunity for Women) Act (1986) as amended
- NSW Apprenticeship and Traineeship Regulations (2005) as amended
- Commonwealth Human Rights and
- Commonwealth Skilling Australia's Workforce Act (2005)
- Commonwealth Privacy Act and National Privacy Principles (2001) as amended
- Commonwealth Disability Discrimination Act (1992) as amended
- Commonwealth Human Rights and Equal Opportunity Commission Act (1986) as amended
- Commonwealth Racial Discrimination Act (1975) as amended
- Commonwealth Sex Discrimination Act (1984) as amended
- National Vocational Education and Training Regulator Act 2011

### **Access and Equity**

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We are committed to providing opportunities to all people for advancement in training on an equitable basis, including industries where women are under-represented, people with disabilities, people from non-English speaking backgrounds, Indigenous Australians, and rural and remote learners.

All Participants have equal access to our programs irrespective of their gender, culture, linguistic background, race, socio-economic background, disability, age, marital status, pregnancy, sexual orientation or carer's responsibilities.

All Participants who meet the entry requirements (if applicable) as prescribed by the appropriate National Training Package will be accepted into any program within our scope of registration.

Any issues or questions regarding access and equity can be directed to the STO Chief Executive Officer.

Some examples of our support include:

- We are able to offer Language and Literacy support to Participants who have difficulty with written or spoken English.
- Equally so, we are able to support Participants with numeracy issues.
- The ability to modify learning and assessment tasks to accommodate the unique cultural or personal needs of Participants.

The principles of Access and Equity are covered at our staff induction and regularly reviewed to ensure the correct interpretation and application.

Where our training programs have a limited number of available places, these will be filled in order of completed enrolment applications.

### **Issuing of Qualifications**

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We will issue all VET qualifications and statements of attainment within 30 days of the training programs completion and after receiving all associated course fees. All qualifications and statements of attainment issued by us comply with the standards outlined within the Standards for Registered Training Organisations (2015).

We will only issue VET qualifications and statements of attainment within our scope of registration that certify the achievements of qualifications or industry/enterprise competency standards from nationally endorsed training packages or qualifications, competency standards or modules from accredited vocational courses.

## **Recognition of Prior Learning Policy (RPL)**

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Recognition of Prior Learning (RPL) is the phrase used to describe where skills you have gained previously are recognised and assessed against the units of competency that you are seeking to be assessed against.

This means, if a Participant can show that they already have the knowledge and skills contained within a unit of competency, then that knowledge and skills will be recognised, and that the Participant will be deemed competent for either part of or all of that unit of competency.

Knowledge and skills can be acquired in a variety of ways:

- Through a formal learning process, such as attending school or completing a short course,
- Through work experience, such as being taught on the job how to do something or though
- Life experience or personal experience, such as a hobby or experience at home.

There are no limits on where or how the Participant acquired the skills.

STO has an established RPL process.

1. The potential Participant is informed of the course contents and of the existence of an RPL process prior to enrolment.
2. At time of enrolment the Participant confirms their awareness of the RPL process.
3. If the RPL applicant wishes to make an application for RPL, they are invited to verbally discuss their basis for RPL; the purpose of this is to prevent poorly supported claims from being made and to ensure that the potential RPL applicant is fully aware of the RPL process.
4. If the RPL applicant decides to proceed with the RPL process then they are issued with the appropriate RPL documentation, which contains:
  - a. An RPL application form, which contains the basic information about the application and the units of competency they are making claim for.
  - b. A guide for the portfolio of evidence that the Participant will need to amass to show the support their claim for RPL, any form of relevant evidence is acceptable, i.e.:
    - i. Letters or statements from experts attesting to the applicants ability
    - ii. samples of work or documentation completed
    - iii. certificates from courses attended,
    - iv. details of participation in activities, this may include resumes, or other types of records
    - v. video's demonstrating skills,
    - vi. or any other forms of relevant evidence.
  - c. The portfolio of evidence is assessed by a competent person.
  - d. The assessment is determined in writing and forwarded to the RPL applicant.
  - e. The RPL applicant has an opportunity to appeal if they feel that this is appropriate, in which case the appeal is managed through the Appeal process.
  - f. There is also a RPL feedback from which provides important feedback to the RTO as to the RPL process and its strengths and weaknesses.

At all times qualified staff are available to provide prompt advice and guidance on the requirements of the RPL process.

## **Credit Transfer Policy**

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Credit Transfer is available to all Participants enrolling in any of our courses under our scope of registration.

Credit Transfer – means credit towards a qualification granted to Participants on the basis of outcomes gained by a Participant through participation in courses or nationally training package qualifications with another Registered Training Provider.

## **Mutual Recognition**

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All AQF and VET qualifications and statements of attainment issued by other registered training organisations will be fully recognised by us. However, after a validation process, participants enrolling in our courses will be able to use their existing qualifications issued by other RTO's as Recognition of Current Competency (RCC) or Recognition of Prior Learning (RPL) for our qualifications, provided that the RCC/RPL application complies with the Packaging Guidelines for the qualification being sought.

An example may be that a Certificate III qualification. Units of competency within the Certificate III qualification may be able to be used as RPL or RCC for a Certificate IV course offered by us, effectively reducing the duration of the Certificate IV course.

## **Fees and Refund Policy**

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### **Fees**

The commercial terms applicable to a course are negotiated directly with the client/employer.

Any fees due must be paid by the method stated in the contract.

All fees should be paid prior to enrolment or prior to the commencement of training and assessment, whichever comes first.

Where fees are paid in advance, these payment records will ensure that the Participants' payments are recorded separately in our accounting system. STO management will be responsible for ensuring that fees paid in advance are accounted for in a separate STO financial control centre, and are clearly identified within the accounting system.

### **Refunds**

We ensure that a full refund of enrolment fees will be made if a course is cancelled by us

No refund is available where cancellation is made less than five (5) working days prior to the commencement of a course, or to Participants who leave before finishing the course.

Registrations cancelled less than five (5) working days of a course commencement or failure to notify STO of non-attendance will result in the full training fee being charged. Substitute student may be accepted.

Refunds will be considered on a pro-rata basis for Participants who fall ill or are injured to the extent that they can no longer undertake the course providing a supporting Medical Certificate is supplied to us.

However, should Participants wish to finalise incomplete units of competency in a future course the original fee can be used as a credit towards that course within six months of initial payment.



In all other cases, refunds are at the discretion of management and may be negotiated on an individual case-by-case basis.

### **Refund procedure:**

Students are required to complete a 'application for Refund of course fees' Form if they wish to claim a refund.

STO will either approve the refund or decline the refund.

For all approved requests, the CEO will ensure the refund is processed in accordance with usual administration procedures.

Requests for refunds may only be refused in accordance with the policy, and in such case the CEO will inform the student within twenty (20) days of the claim, the reasons for declining to refund the course fees.

Refunds will normally be paid by direct deposit

### **Harassment and Discrimination**

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At all times we will provide an environment that is free from all forms of harassment and discrimination (including victimisation and bullying).

Everyone, regardless of whether they are a Participant, trainer, administration or support staff, is entitled to expect the same rights.

- The right to learn, teach or carry out their duties,
- The right to be treated with respect and treated fairly,
- The right to be safe in the workplace emotionally and physically,
- The right to have all reports of harassment and discrimination to be treated seriously, impartially and sensitively. Harassment and discrimination, including victimisation and bullying, is unwelcome, uninvited and unacceptable behaviour that will not be tolerated,
- The right to inform STO management of any harassment or discrimination and management has the responsibility to take immediate and appropriate action to address it,
- The right to confidentiality and discretion when initiating or becoming involved with a complaint or appeal,
- The right to know, that when ever possible, all complaints should be resolved by a process of discussion, cooperation and conciliation,
- Both the person making the complaint, and the person against whom the complaint has been made, has the right to receive information, support and assistance in resolving the issue.

Participants have the responsibility to:

- Allows other to learn,
- Make our premises safe by not threatening, bullying or hurting others in any way,
- Make the classroom safe by obeying instructions,
- Make our premises safe by not bringing illegal substances or weapons onto our premises,
- Not steal, damage, or destroy the belongings of others.

Victimisation is unacceptable and will not be tolerated. No person making a complaint, or assisting in the investigation of a complaint, should be victimised. Harassment or discrimination should not be confused with legitimate comment and advice (including feedback) given appropriately by management or trainers.

Staff and Participants should not make any frivolous or malicious complaints. All staff and Participants are expected to participate in the complaint resolution process in good notional faith.

## **Definitions**

**'Bullying'** - is unwelcome and offensive behaviour that intimidates, humiliates and/or undermines a person or group. Bullying involves a persistent pattern of behaviour over a period of time and may include verbal abuse, physical assault, unjustified criticism, sarcasm, insults, spreading false or malicious rumours about someone, isolating or ignoring a person, putting people under unnecessary pressure with overwork or impossible deadlines, and sabotaging someone's work or their ability to do their job by not providing them with vital information and resources.

**'Confidentiality'** - refers to information kept in trust and divulged only to those who need to know.

**'Discrimination'** - is treating someone unfairly or unequally simply because they belong to a group or category of people. Equal opportunity laws prohibit discrimination on the grounds of sex, marital status, pregnancy, family responsibility, family status, race, religious beliefs, political conviction, gender history, impairment, age or sexual orientation. Victimisation is also treated as another ground of discrimination.

**'Harassment'** - is any unwelcome and uninvited comment or actions that results in a person being intimidated, offended, humiliated or embarrassed. Equal opportunity laws prohibit harassment on the grounds of sex and race.

**'Personnel'** - refers to all employees either full-time, part-time or casual or contracted to STO.

**'Racial Harassment'** - occurs when a person is threatened, abused, insulted or taunted in relation to their race, descent or nationality, colour, language or ethnic origin, or a racial characteristic. It may include derogatory remarks, innuendo and slur, intolerance, mimicry or mockery, displays of material prejudicial to a particular race, racial jokes, allocating least favourable jobs or singling out for unfair treatment.

**'Sexual Harassment'** - is any verbal or physical sexual conduct that is unwelcome and uninvited. It may include kissing, embracing, patting, pinching, touching, leering or gestures, questions about a person's private or sexual life, requests for sexual favours, smutty jokes, phone calls, emails, facsimiles or messages, offensive noises or displays of sexually graphic or suggestive material.

**'Victimisation'** - includes any unfavourable treatment of a person as a result of their involvement in an equal opportunity complaint. Unfavourable treatment could include: adverse changes to the work environment; denial of access to resources or work.

### **Work Health and Safety Policy**

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The NSW Work Health and Safety Act 2011 (WHS Act) and Work Health and Safety Regulation 2011 (WHS Regulation) prescribes the employers duty of care to provide a safe and healthy working environment for all employees, and the employee's duty of care to take reasonable care for the health and safety of others in the work place. This includes the provision of:

- a workplace that is safe to work in, with working procedures that are safe to use,
- adequate staff training including topics such as safe work procedures, infection control procedures and appropriate hygiene,
- properly maintained facilities and equipment, including the provision of personal protective equipment such as gloves, eye protection and sharps containers where required,
- a clean and suitably designed work place with the safe storage of goods such as cleaning chemicals.

The following procedures and standards must be observed to achieve a safe working and learning environment:

- Maintain a safe, clean and efficient, working environment,
- Implement procedures and practices, in a variety of situations, in accordance with State and Local Government Health regulations,
- Store and dispose of waste according to health regulations,
- Clean walls, floor and working surfaces to meet health and safety standards without causing damage,
- Check all equipment for maintenance requirements,
- Refer equipment for repair as required,
- Store equipment safely,

- Identify fire hazards and take precautions to prevent fire,
- Safe lifting and carrying techniques maintained,
- Ensure Participant safety at all times,
- Ensure procedures for operator safety are followed at all times,
- All unsafe situations recognised and reported,
- Implement regular fire drills and provide first aid facilities to all personnel and Participants,
- Display first aid and safety procedures for all personnel and Participants,
- Report any identified Occupational Health and Safety hazard to the appropriate staff member as required.

### **Competency Based-Training and Assessment**

Competency Based Training is always concerned with what the Participant will be able to do at the end of training. There is not so much concern with what the inputs are or how the Participant got there. So long as the Participant achieves the listed competencies, it does not matter who taught him or her, how or when the training takes place, what resources are used or of what the content material of the curriculum consists.

All assessments conducted by us will comply with the Standards for Registered Training Organisations (2015):

#### **Standard 1. The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses**

- **Competency Based Assessment** - Assessment must take place within a competency based assessment system within established procedures as defined in the Guidelines for Conducting Assessment from the National Training Package for Assessment and Workplace Training (BSZ98) ANTA, 1999,
- **Validity** - Assessment methods will be valid, that is, they will assess what they claim to assess,
- **Reliability** - Assessment procedures must be reliable, that is, they must result in consistent interpretation of evidence from the learner and from context to context,
- **Fairness** - Assessment procedures will be fair, so as not disadvantage any learners. Assessment procedures will:
  - be equitable, culturally and linguistically appropriate,
  - involve procedures in which criteria for judging performance are made clear to all Participants,
  - employ a participatory approach,
  - provide for Participants to undertake assessments at appropriate times and where required in appropriate locations.
- **Flexibility** - Assessment procedures will be flexible, that is, they should involve a variety of methods that depend on the circumstances surrounding the assessment,
- **Recognition of Prior Learning** - Individuals seeking RPL will be able to access an RPL process as described in our Recognition of Prior Learning Information Kit,
- **Cost Effectiveness** - Assessment conducted by or on behalf of us will be completed in a cost effective manner. All of our trainers are responsible for determining issues with respect to cost effectiveness such as the timing and frequency of assessment. Decisions made in this regard are to be made clear to all Participants before they commence their training programs,
- **Comparability** - The review of assessment systems and procedures and the outcomes of assessment will be undertaken at regular periods in order to ensure that they are functioning appropriately. The review process is essential in maintaining comparability of assessment. The comparability of assessment will be addressed within the quality management system. We will utilise a network of consultants to assist in maintaining comparability of all assessments at the delivery level.

## **Assessment Criteria**

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Assessments must provide for applicants to be informed of the context and purpose of the assessment and the assessment process.

This will include but not be limited to information regarding assessment methods, alternative assessment methods if required to accommodate special needs or circumstances.

Information will also be included at the start of each subject as to the assessment processes, number of assessments, types of assessments and the individual weighting of each assessment.

Staff is available to discuss and provide limited professional advice as to the outcomes of the assessment process and guidance on future options. Re-assessment is available on appeal - see further details in the appeal process section.

## **Assessment**

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The assessment process has three types of competency assessment criteria to assess a Participant's competency.

**Observation**, the Participant will be observed performing a series of tasks a number of times to determine their competency.

**Verbal or written questions**, the Participant will be questioned to determine the depth of their underpinning knowledge of the process to ensure that they are competent.

**Assignment or third party report** or some other directed task to allow the Participant to demonstrate their competency.

All assessment tasks must consider any language and literacy issues or cultural issues related to the task.

To provide further guidance, each assessment task will be provided with a cover sheet which will provide relevant information to the assessor and to the Participant.

## **Client Complaints**

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We will deal with any complaint in an effective and timely manner. We have processes in place for all course Participants to lodge complaints in relation to any matter other than academic decisions in relation to any of our courses or services.

The complaint procedure allows for:

- An informal approach to the person with whom the Participant has the complaint.
- An opportunity for the person to formally present his or her case.
- A staff member or the RTO Chief Executive Officer who has not been involved to review the complaint.
- An independent review by an external complaint consultant or appropriate body.

All complaints are recorded in writing and reviewed at Monthly Staff Meetings. All substantiated complaints will be acted upon through the Monthly Staff Meetings.

Results of all complaints are communicated in writing to the Participant stating the reasons for the decision.

A copy of this communication is also kept on file, both on the complaints register and in the Participant's individual file.

### **Complaint Procedure**

1. Speak to the person with whom you have the Complaint with and try to resolve the issue or problem

IF UNRESOLVED

2. Speak to your Trainer

IF UNRESOLVED

3. Speak to the STO Chief Executive Officer.

If required at any stage during the complaint procedure the STO Chief Executive Officer or another member of our staff is also available for confidential appointments to review the complaint. This person may act as a mediator if necessary between Participants or Participants and staff.

If the Participant is still not satisfied with the resolution of the complaint, they are able to seek further assistance from ASQA, whose contact details are:

Complaints team  
Australian Skills Quality Authority  
GPO Box 9928  
Melbourne VIC 3001

### **Discipline**

We will make all attempts to provide our training and assessment services in a spirit of co-operation and mutual respect. There are times however when a disciplinary action must be taken to ensure the safety and well being of all Participants and staff. Trainers should make themselves aware of the procedures, should they become necessary to implement.

Examples of when disciplinary action may be required to be taken include when a Participant:

- fails to attend the required minimum number of classes for any course without reasonable explanation,
- brings onto, or consumes on our premises, any drug of addiction or dependence (except drugs prescribed by a qualified medical practitioner),
- brings onto or consumes on our premises any alcohol,
- exhibits any form of behaviour that is adversely affected by the influence of drugs or alcohol,
- damages or removes any property or resources of ours or any training venue hired by us,
- assaults (physically or verbally) any person or persons on our premises or any training venue hired by us,
- fails to comply with any instructions given by a member of staff relating to the safety of any person or persons on our premises,
- exhibits any form of conduct whilst on our premises that is considered to be aggressive, disorderly, disruptive, harassing or interferes with the comfort, safety or convenience of any person who is acting lawfully and entitled to be present,
- enters any part of our premises or any other place to which Participants have access for the purpose of tuition, when not entitled to do so, or having entered, refuses to leave said premises.

When disciplinary action is taken, the STO Chief Executive Officer will notify the Participant of the reason for the action.

- A verbal warning will be given to the Participant and documented on the Participant's individual file,
- Where the behaviour continues after the verbal warning, the Chief Executive Officer will counsel the Participant and a written warning will be provided to the Participant. A copy of this warning will be noted and kept on the Participant's individual file,
- In the event that the behaviour continues beyond the written warning, the Participant will be removed from the training program. Notification of their removal will be made in writing and a noted copy will be placed on the Participant's individual file.

If a Participant wishes to express a complaint in relation to the disciplinary action taken, they have the opportunity to follow our complaint procedure.

We expect that our staff will maintain a professional and ethical working relationship with all other staff, management and Participants. Any breach of our disciplinary standards will be discussed with the member of staff and the Chief Executive Officer and the appropriate action will be taken.

### **Appeals Process**

An appeals and reassessment process is an integral part of all training and assessment pathways leading to a nationally recognised qualification or Statement of Attainment under the Australian Qualification Framework and in accordance with the Standards for Registered Training Organisations (2015).

A fair and impartial appeals process is available to all Participants. If a Participant wishes to appeal his/her assessment result, he/she must first discuss the issue with the Trainer/Assessor, and if the Participant wishes to proceed with the appeal then the Participant should complete an appeals application.

All appeals are recorded in writing, and the results of the appeal process will also be communicated to the Participant in writing including reasons for the decision made.

The appeals process will allow for the Participant to formally present their case, and will also allow for the appeal to be heard by an independent person or panel if requested. A copy of this communication is also kept on file, both on the complaints register and in the Participant's individual file.

### **Grounds for Appeal**

An application for appeal will be considered where:

- A Participant claims a disadvantage because the trainer did not provide a subject outline,
- A Participant claims disadvantage because the trainer varied without consultation or in an unreasonable way the assessment requirements as specified in the subject outline,
- A Participant claims disadvantage because assessment requirements specified by the trainer were unreasonably or prejudicially applied to him or her,
- A Participant is of the view that a clerical error has occurred in the documenting of the assessment outcome,
- A Participant claims that there is a discrepancy between the practical observation and the formal assessment.

If the appeal for re-assessment is proven we will make all necessary arrangements to conduct the re-assessment of the Participant at a time that is mutually convenient for all parties concerned, and if required the appeal will be heard by an independent person or panel.

All appeals are recorded and reviewed at Monthly Staff Meetings.

## **Language, Literacy and Numeracy (LLN)**

We aim at all times to provide a positive and rewarding learning experience for all of our Participants. Our enrolment form asks you to provide information regarding your LL&N requirements or any other special learning needs.

In the event of LL&N being an issue, the Administration Staff will contact the Participant to discuss their requirements.

Our staff will make every effort within their ability to make any necessary adjustments to cater for the Participants special needs, but in the event that the Participants needs exceed the capacity of STO we will refer the Participant to the appropriate organisation to assist them.

## **Participant Training Records Policy**

The purpose of this policy and its attached procedure is for the collection, storage and protection of all the training records of individual Participants and related training and assessment activity requirements.

We are committed to maintaining and safeguarding the confidentiality and privacy of all of our individual Participant's information.

We will ensure that any confidential information acquired by us, or by individuals or committees or organisations acting upon our behalf is safeguarded.

Individual Participant records will be stored in a locked secure office area. Access to individual Participant training records must meet Commonwealth and State Privacy legislation and will be limited to:

- trainers and assessors to access and update the records of the Participants whom they are working with,
- management staff as required to ensure the smooth and efficient operation of the business,
- people as are permitted by law to access these records (e.g. subpoena / search warrants / social service benefits / evidence act).
- Officers from the Department of Education and Training, ASQA or their representatives for activities required under the S Standards for Registered Training Organisations (2015),
- Participants authorising releases of specific information to third parties in writing,
- the Participant's themselves, after making application in writing.

Our electronic records are protected by password access, we further protect our records by maintaining an up to date virus, firewall and other protection software.

We conduct an overnight back up of our computer systems, which is the responsibility of our Administration Assistant.

Our software and / or hardcopy systems will retain Participant results for a period of not less than 30 years. In the event that we cease to operate as a RTO we will transfer all records to ASQA in appropriate format and details as specified by ASQA at the time of ceasing RTO operations.

All other records including, training records, taxation records, business and commercial records will be retained for a period of not less than ten years.

Training records will be collected and stored with our business software.

Should we be required to submit statistical data on our Participants in the future, we will invest in a suitable software package.



## **Participant Support, Welfare and Guidance**

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We wish to ensure that all Participants are supported in their studies to the full extent possible, thus any Participant who is experiencing any difficulties with their studies should see their trainer, or another member of the RTO staff.

The staff member will ensure that the full resources of the RTO are made available to ensure that the Participant achieves the required level of competency in all accredited courses.

Furthermore Participants seeking advice on Welfare or Guidance on other matters may make an appointment at any time to see the Chief Executive Officer for free advice relating to study on:

- managing your time
- setting and achieving your goals
- motivation
- ways of learning
- coping with assessments
- looking after yourself

Our staff will assist you in how to seek help with local welfare and guidance services.

## **Privacy**

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We operate in compliance with current privacy legislation. All training staff has current knowledge of privacy policies as they relate to an RTO. We will ensure that all required procedures are followed to ensure your rights to privacy.

Any information gathered will only be utilized for the purposes of delivery of training and assessment services and the documentation compliance requirements according to the Standards for Registered Training Organisations (2015).

## **Training Staff**

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We will abide by the Standards for Registered Training Organisations (2015) regarding trainer and assessor qualifications in relation to all training and assessment activities. We will ensure that all training and assessment is delivered by trainers and assessors who:

- a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors; and
- b) have the relevant vocational competencies at least to the level being delivered or assessed; and
- c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

## **Information for Students enrolling in a Licence to Perform High Risk Work course – New South Wales.**

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### **High risk work licensing**

A person requires a high risk work (HRW) licence to perform:

- **Scaffolding** - basic, intermediate and advanced;
- **Rigging work** - dogging; basic, intermediate and advanced rigging;
- **Crane and hoist operation** - tower; self-erecting tower; derrick; portal boom; bridge and gantry; vehicle loading; non slewing mobile; slewing; materials hoist; personnel and materials hoist; boom-type elevating work platform; vehicle mounted concrete placing boom;
- **Forklift operation** - forklift trucks; order-picking forklift trucks;
- **Pressure equipment operation** - basic, intermediate and advanced boiler operation; turbine operation; reciprocating steam engine operation.

The National Standard for Licensing Persons Performing High Risk Work can be accessed and downloaded from "Safe Work Australia"

<http://www.safeworkaustralia.gov.au>

### **The licensing system**

A photographic licence is issued to people who are assessed as being competent to hold the High Risk Work licence (HRW licence), subject to identification checks and verification of age. You must be at least 18 years of age before you can be issued with an HRW licence.

If you wish to work in an occupation defined as high-risk, you will need to be trained to carry out such work by a Registered Training Organisation and assessed by a SafeWork NSW Registered Assessor. At the successful completion of your assessment, you will be able to apply for an HRW licence.

An HRW licence will only be valid for the class(es) of high risk work endorsed on the HRW licence. New classes can be added to the HRW licence, allowing licence holders to work in multiple occupations on a single licence. The licence will allow you to perform this work in any state or territory of Australia.

An HRW licence is issued for a period of five (5) years starting on the date of issue of the first HRW licence class endorsed on the licence. All states and territories will recognise and enforce suspensions and cancellations made in other states and territories.

### **How are students assessed?**

Students will undergo a theory and practical test. Upon successful completion a 'Notice of Satisfactory Assessment' (NSA) will be supplied to the applicant. This is valid as your license only for a period of 60 days. In this time the NSA form should be presented to an approved Australia Post office with the application form (which we will supply), as well as your proof of identity for issue of your permanent SafeWork NSW issued license.

If a student has problems with written English the theory test may be given orally, but arrangements must be made at time of booking.

## **Individual Requirements**

Students must be over 18 years old (training may commence at 17 however the licence assessment cannot be performed until the 18th birthday).

SafeWork NSW appropriate photo identification must be presented on the day of assessment to confirm your date of birth, address and identity as well as other required forms. *For suitable forms of identification see the separate SafeWork NSW fact sheet at the rear of this handbook.*

PPE appropriate to your work site (or if at the training centre long sleeve shirt, pants and your work boots) must be brought to the assessment.

You will be required to pay SafeWork NSW the necessary fee. This fee is not part of the course charge levied by Southern Training Organisation.

It is recommended that application be made soon after assessment as the time for SafeWork NSW to issue the license varies and the NSA is valid only for 60 days. In the case the interim license expires and the permanent license has not been issued, the license assessment must be conducted again with all relevant charges applying once again.

If you are unsuccessful with your assessment a period of 48 hours must elapse before re-assessment can occur, and needs to be completed within 90 days. An additional fee may be charged for a re-assessment.

NOTE: As an approved HRW Provider we must advise SafeWork NSW of the time, date and location of any assessments being conducted, as well as the type of theory assessment (written or oral). SafeWork NSW may exercise their right to have a SafeWork NSW Officer oversee/audit this assessment process.

## **Information for Students enrolling in a Licence to Perform High Risk Work course – Australian Capital Territory.**

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All training in high risk work must be delivered in the form of an accredited course or unit of competency, provided by a Registered Training Organisation (RTO) that has the relevant competency units added to its scope of registration.

Any RTO which intends to provide training in high risk work in the ACT must first enter into an agreement with the Office of Regulatory Services that details the administration arrangements between them.

Persons undertaking training in high risk work must complete a daily training record (logbook) of the high risk work carried out by the trainee, and this record must be signed by the person who supervised the trainee in carrying out that work.

This requirement applies regardless of whether the trainee is undertaking their practical training in the workplace as part of their work (by arrangement with the RTO) or at a training facility which includes a simulated workplace, or a combination of the two.

The Work Health and Safety Regulation 2011 defines "direct supervision" as follows:

- **direct supervision** of a person means the oversight by the supervising person of the work of that person for the purposes of directing, demonstrating, monitoring and checking the person's work in a way that is appropriate to the person's level of competency; and ensuring a capacity to respond in an emergency situation.

The trainee's supervisor must hold either a current and valid High Risk Work Licence for the relevant class of high risk work, or a current and valid National Certificate of Competency which allows the certificate holder to carry out that type of high risk work.

At the end of their training, and upon confirming that the trainee has satisfactorily completed their training, the RTO will arrange for the trainee to be assessed by an approved high risk work assessor.

Upon successfully completing the accredited course or unit of competency, including the assessment, the trainee will be issued with a Statement of Attainment. **The trainee must then apply for their High Risk Work Licence within 60 calendar days of the date of issue shown on the Statement of Attainment.**

### **Minimum Age to Apply for a High Risk Work Licence**

Only persons who are 18 years or older will be able to apply for an ACT High Risk Work Licence. Applicants will be required to provide photographic identification which verifies that they are at least 18 years of age.

### **Restriction on Holding Multiple Licences**

A person may not hold more than one High Risk Work Licence at any time.

When applying for an ACT High Risk Work Licence, you must identify any existing High Risk Work Licence which you already hold. You must also identify any Certificate of Competency which you already hold if that certificate is valid for the purpose of carrying out high risk work in the ACT.

You will be required to surrender any existing High Risk Work Licence and any Certificate of Competency which is valid for the purpose of carrying out high risk work in the ACT, before an ACT High Risk Work Licence will be issued to you. The ACT High Risk Work Licence will include the appropriate classes to allow you to carry out the high risk work which you were authorised to carry out under the surrendered licence or certificate.

If you are issued with an ACT High Risk Work Licence and you later apply for a new licence in another State or Territory, you will be required to advise the workplace health and safety regulator in that jurisdiction that you hold an existing ACT High Risk Work Licence.

An ACT High Risk Work Licence ceases to be valid upon the licence holder being issued with a new High Risk Work Licence from another State or Territory. The licence holder must surrender the ACT High Risk Work Licence within 14 days of the date on which the interstate licence is received.

### **How Do I Convert My Certificate of Competency to a High Risk Work Licence?**

To convert an existing National Certificate of Competency to an ACT High Risk Work Licence, you must apply for the licence in the manner described under "Applying for a High Risk Work Licence" below, and present the original certificate as evidence of your competency.

Your application will not be accepted if your certificate is not recognised as valid on one or more of the following grounds:

- you have already been issued with a more recent Certificate of Competency or with a High Risk Work Licence which authorises you to carry out the same type of high risk work; or
- the certificate has expired and the date of expiry is more than 6 months prior to the date on which you are applying to convert the certificate to a High Risk Work Licence; or
- the certificate has been cancelled, suspended or revoked, or the issuing authority has otherwise declared the certificate to be invalid; or
- the certificate was issued under a State or Territory certification scheme and not under the National Certification System.

### **Applying for a High Risk Work Licence**

All applications for an ACT High Risk Work Licence must be made in person by the applicant at a 'Canberra access' licencing centre

You will also need to present at least two forms of identification (the application form lists the forms of identification that will be accepted) together with evidence of your competency to carry out high risk work, and pay the current application fee.

Evidence of your competency may take the form of:

- A Statement of Attainment for an accredited course or unit of competency in high risk work which was delivered in the ACT in accordance with the Work Safety Regulation 2009; or
- an existing Certificate of Competency; or
- a current and valid High Risk Work Licence; or
- a combination of these.

However, an existing Certificate of Competency cannot be recognised for this purpose if it is not valid on one or more of the grounds listed under "How Do I Convert My Certificate of Competency to a High Risk Work Licence?" above.

If you have provided all of the required information and you are assessed as eligible for a High Risk Work Licence, you will usually be able to obtain your licence immediately.

If you are applying to convert an interstate Certificate of Competency or High Risk Work Licence to an ACT High Risk Work Licence, it may take up to two weeks to obtain your licence, as WorkSafe ACT will need to verify the details of your existing certificate or licence with the issuing authority.

If WorkSafe ACT needs to verify the details of your existing certificate or licence with the issuing authority, you may retain your original certificate or licence until your application has been approved - you will be contacted when the ACT High Risk Work Licence is ready for collection. You will need to surrender your original certificate or licence when collecting your ACT High Risk Work Licence.

## **The Unique Student Identifier.**

From 1 January 2015 all students undertaking nationally recognised training delivered by a registered training organisation will need to have a Unique Student Identifier (USI).

A USI gives students access to their online USI account which is made up of ten numbers and letters. It will look something like this: 3AW88YH9U5.

A USI account will contain all of a student's nationally recognised training records and results from 1 January 2015 onwards. A student's results from 2015 will be available in their USI account in 2016.

When applying for a job or enrolling in further study, students will often need to provide their training records and results. One of the main benefits of the USI is that students will have easy access to their training records and results throughout their life.

Students can access their USI account online from a computer, tablet or smart phone anywhere and anytime.

### **Who needs a USI?**

Students who need a USI include:

- students who are enrolling in nationally recognised training for the first time;
- school students completing nationally recognised training; and
- students continuing with nationally recognised training.

A student who is continuing study is a student who has already started their course in a previous year (and not yet completed it) and will continue studying after 1 January 2015.

Once a student creates their USI they will be able to:

- give their USI to each training organisation they study with;
- view and update their details in their USI account;
- give their training organisation permission to view and/or update their USI account;
- give their training organisation view access to their transcript;
- control access to their transcript; and
- view online and download their training records and results in the form of a transcript.

### **How to get a USI**

It is free and easy for students to create their own USIs online.

While students may create their own USI, training organisations are also able to create USIs for students. Training organisations should do this as part of the enrolment process when students begin studying. Where this service is provided, training organisations will let students know.

## **Steps to create a USI**

The following steps show how students can create a USI:

Step 1 Have at least one and preferably two forms of ID ready from the list below:

- Driver's Licence
- Medicare Card
- Australian Passport
- Visa (with Non-Australian Passport) for international students
- Birth Certificate (Australian)
- Certificate Of Registration By Descent
- Citizenship Certificate
- Immi Card

**IMPORTANT:** To make sure that all of a student's training records together, the USI will be linked to the student's name as it appears on the form of ID used to create the USI. The personal details entered when a student creates a USI must match exactly with those on their form of ID.

If a student has no proof of ID from the list above, they will be required to contact their training organisation about other forms of ID they can accept to help a student get a USI.

Step 2 Have contact details ready (e.g. email address, or mobile number, or address).

Step 3 Visit the USI website at: [usi.gov.au](http://usi.gov.au).

Step 4 Select the 'Create a USI' link and follow the steps.

Step 5 Agree to the Terms and Conditions.

Step 6 Follow the instructions to create a USI – it should only take a few minutes.

Upon completion, the USI will be displayed on the screen. It will also be sent to the student's preferred method of contact.

Step 7 The student should then write down the USI and keep it somewhere handy and safe.



## USI Privacy Notice

If you do not already have a Unique Student Identifier (USI) and you want Southern Training Organisation Pty Ltd to apply for a USI to the Student Identifiers Registrar (Registrar) on your behalf, Southern Training Organisation Pty Ltd will provide to the Registrar the following items of personal information about you:

- your name, including first or given name(s), middle name(s) and surname or family name as they appear in an identification document;
- your date of birth, as it appears, if shown, in the chosen document of identity;
- your city or town of birth;
- your country of birth;
- your gender; and
- your contact details.

When we apply for a USI on your behalf the Registrar will verify your identity. The Registrar will do so through the Document Verification Service (DVS) managed by the Attorney-General's Department which is built into the USI online application process if you have documents such as a Medicare card, birth certificate, driver licence, Australian passport, citizenship document, certificate of registration by descent, ImmiCard or Australian entry visa.

If you do not have a document suitable for the DVS and we are authorised to do so by the Registrar we may be able to verify your identity by other means. If you do not have any of the identity documents mentioned above, and we are not authorised by the Registrar to verify your identity by other means, we cannot apply for a USI on your behalf and you should contact the Student Identifiers Registrar.

In accordance with section 11 of the Student Identifiers Act 2014 Cth (SI Act), we will securely destroy personal information which we collect from you solely for the purpose of applying for a USI on your behalf as soon as practicable after the USI application has been made or the information is no longer needed for that purpose, unless we are required by or under any law to retain it.

The personal information about you that we provide to the Registrar, including your identity information, is protected by the Privacy Act 1988 Cth (Privacy Act). The collection, use and disclosure of your USI are protected by the SI Act.

If you ask Southern Training Organisation Pty Ltd to make an application for a student identifier on your behalf, Southern Training Organisation Pty Ltd will have to declare that Southern Training Organisation Pty Ltd has complied with certain terms and conditions to be able to access the online student identifier portal and submit this application, including a declaration that Southern Training Organisation Pty Ltd has given you the following privacy notice:

You are advised and agree that you understand and consent that the personal information you provide to us in connection with your application for a USI:

- is collected by the Registrar for the purposes of:
  - applying for, verifying and giving a USI;
  - resolving problems with a USI; and
  - creating authenticated vocational education and training (VET) transcripts;
- may be disclosed to:
  - Commonwealth and State/Territory government departments and agencies and statutory bodies performing functions relating to VET for:

- the purposes of administering and auditing Vocational Education and Training (VET), VET providers and VET programs;
    - education related policy and research purposes; and
    - to assist in determining eligibility for training subsidies;
  - VET Regulators to enable them to perform their VET regulatory functions;
  - VET Admission Bodies for the purposes of administering VET and VET programs;
  - current and former Registered Training Organisations to enable them to deliver VET courses to the individual, meet their reporting obligations under the VET standards and government contracts and assist in determining eligibility for training subsidies;
  - schools for the purposes of delivering VET courses to the individual and reporting on these courses;
  - the National Centre for Vocational Education Research for the purpose of creating authenticated VET transcripts, resolving problems with USIs and for the collection, preparation and auditing of national VET statistics;
  - researchers for education and training related research purposes;
  - any other person or agency that may be authorised or required by law to access the information;
  - any entity contractually engaged by the Student Identifiers Registrar to assist in the performance of his or her functions in the administration of the USI system; and
- will not otherwise be disclosed without your consent unless authorised or required by or under law.

### **Privacy policies and complaints**

You can find further information on how the Registrar collects, uses and discloses the personal information about you in the Registrar's Privacy Policy or by contacting the Registrar on (email/telephone). The Registrar's Privacy Policy contains information about how you may access and seek correction of the personal information held about you and how you may make a complaint about a breach of privacy by the Registrar in connection with the USI and how such complaints will be dealt with.

You may also make a complaint to the Information Commissioner about an interference with privacy pursuant to the Privacy Act, which includes the following:

- misuse or interference of or unauthorised collection, use, access, modification or disclosure of USIs;
- and
- a failure by us to destroy personal information collected from you only for the purpose of applying for a USI on your behalf.

For information about how Southern Training Organisation Pty Ltd collects, uses and discloses your personal information generally, including how you can make a complaint about a breach of privacy, please refer to our privacy policy which can be found in the Participants Guide.

(Signature of acceptance by student) \_\_\_\_\_

Name of student \_\_\_\_\_

**Acknowledgement Declaration**

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I acknowledge that I ..... have read and fully understand the contents of this Participant Handbook, which outlines the conditions, my rights and responsibilities as a Participant of Southern Training Organisation Pty Ltd. and that I have also received induction into my training program at Southern Training Organisation Pty Ltd. as outlined on page five of this handbook.

.....  
Name

.....  
Signature

.....  
Date

.....  
Name of Witness

.....  
Signature of Witness

.....  
Date