



*creating great leaders*

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# RTO

## Policies & Procedures

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Proteus Education and Training  
RTO ID: 21518

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## 1 Governance Policy

Proteus Education and Training has governance arrangements in place to manage risk and comply with legislative and regulatory requirements within the VET Quality Framework.

1.1 Proteus Education and Training has sufficient governance structures in place to deliver quality training and assessment services and outcomes. Proteus Education and Training has procedures in place to support:

- quality of business planning
- transparency of ownership and management structure
- skills and experience of senior officers and directors, who meet the requirements of Fit and Proper Persons test
- the decision making of senior management is informed by the experiences of its trainers and assessors.

Proteus Education and Training's Chief Executive Officer oversees the management of the RTO and delegates responsibilities to senior officers and management.

1.2 Proteus Education and Training commits to:

Maintaining compliance with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.

- Co-operation with the National VET Regulator:
- in the conduct of audits and the monitoring of its operations;
- by providing accurate and timely data relevant to measures of its performance;
- by providing information about significant changes to its operations;
- by providing information about significant changes to its ownership; and
- in the retention, archiving, retrieval and transfer of records consistent with the National VET Regulator's requirements.

Interactions with regulator:

- Notify of material changes
- Give information that is lawfully requested
- Cooperate with Vet Regulator
- Comply with general directions
- Comply with any other conditions that VET Regulator may impose

1.3 Proteus Education and Training has a management structure that is informed by industry, sound business thinking, transparent decision making and is informed by the experiences of its trainers and assessors. Executive and State Leader Meetings follow a standard agenda to ensure that all key risks and concerns are reviewed regularly and systematically. Trainer/assessor viewpoints are communicated to Management at Educator Day Meetings and via a training report delivered by the RTO Manager.

1.4 The RTO Committee advises the management of the RTO.

Members of the RTO Committee includes

- The CEO
- The RTO Manager
- The Student Administration Manager

The RTO Committee convenes on a quarterly basis and provides formal recommendations and feedback to the CEO subsequent to these meetings.

1.5 The Director Education takes responsibility for the development and review of the facilitators employed by Proteus Education and Training. This Director will facilitate the bimonthly Educator Day Meetings. This Director will make follow up calls to facilitators after completion of a training program.

## 2 Supporting Documents

Organisational Chart  
 Client feedback on programs and trainers  
 Monthly reports from Operations, RTO Manager  
 Standard Agenda for Management Meetings  
 Trainer/assessor professional development

## 3 References

Standard 2.1 8.1

### REVISION RECORD

Version No. 2015 V1		
<b>Approved:</b> RTO Manager	<b>Authorised:</b> CEO	<b>Circulation:</b> Internal Use Only
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## 1 Compliance With Legislation Policy

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1.1 Proteus Education and Training is regulated by ASQA (Australian Skills Quality Authority), the national VET Regulator. Proteus is committed to ensure its management, operations and delivery assessment of its qualifications adhere to the requirements set out in the VET Quality Framework.

The VET Quality Framework is comprised of the following:

- Standards for NVR Registered Training Organisations 2011 - Essential standards for continuing registration
- Australian Qualifications Framework
- Fit and Proper Person Requirements
- Financial Viability Risk Assessment Requirements
- Data Provision Requirements

1.2 Proteus Education and Training complies with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Legislation Includes:

- Commonwealth Disability Discrimination Act 1992
- Commonwealth Age Discrimination Act 2004
- Commonwealth Racial Discrimination Act 1975
- Commonwealth Sex Discrimination Act 1984
  
- Privacy Amendment (Enhancing Privacy Protection) Act 2012
  
- Commonwealth: The Equal Employment Opportunity Act 1987.
- VIC: Equal Opportunity Act 2010
- WA: Equal Opportunity Act 1984
  
- Work Health and Safety Act 2011
- VIC: Occupational Health and Safety Act 2004
- WA: Occupational Safety and Health Act 1984
  
- Fair Work Act 2009

1.3 Proteus Education and Training ensures that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Information for staff regarding the VET Framework and relevant Legislation is included in the initial induction into the organisation. It is also refreshed annual and as changes dictate.

Information for students regarding the VET Framework and relevant Legislation is include din the Student Handbook.

## 2 Supporting Documents

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Student Handbooks  
Induction Procedures

## 3 References

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Standard 8.5, 8.6

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## 1 Insurance Policy

Proteus Enterprises Pty Ltd t/a Proteus Education and Training holds public liability insurance of \$10M and will be reevaluated if required.

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## 2 Supporting Documents

Certificate of Currency

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## 3 References

Standard 7.4

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### REVISION RECORD

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## 1 Financial Policy

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1.1 Proteus Education and Training is able to demonstrate to ASQA, on request, that it is financially viable at all times during the period of its registration.

### 1.2 Protection of Fees

Fees are clearly documented in information provided to the client prior to the training commencing along with our refund policy.

In the event that the client requests a refund, the Finance Manager will review the claim in accordance with our policy and make a decision. Records of refunds are tracked in the MYOB database and can be obtained through the Finance Manager.

### 1.3 Communication of fees

Proteus Education and Training provides the following fee information to each client through course marketing material and Student Handbook

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

### 1.4 Fee in Advance Policy

If an individual student has decided to self-fund their qualification Proteus Education and Training will offer the student the option of following a payment plan. Under this payment plan Proteus Education and Training will not accept more than \$1000 from an individual student prior the commencement of the course. The student will be charged a \$1000 deposit to secure their place in the program.



Proteus Education and Training will then divide the remaining amount owing into installments of no more than \$1,500. These will be taken at 30, 60 and 90 days after the commencement of the program or as otherwise negotiated.

### 1.5 Refunds & Transfers

Payment is required before the commencement of training.

All cancellations/transfers must be received in writing.

Refunds will not be given unless at least 30 working days notice prior to the course commencement is provided.

No Refunds will be given after this date.

A 10% (of total cost) administration fee will be deducted for all cancellations.

If you a student is unable to participate, a substitute participant (transfer) is welcome if written notice is given prior to course commencement but will incur a \$60 administration fee

Transfers will not be available once access has been given to an online course or the online delivery of training and assessment materials.

Proteus Leadership reserves the right change the facilitators/speakers, the advertised price or the venue and will provide notice to participants before the event.

## 2 Supporting Documents

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Marketing Material  
Student Handbooks

## 3 References

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Standards 5.3, 7.2, 7.3

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### REVISION RECORD

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## 1 Certificate Policy

- 1.1 Proteus Education and Training issues to persons whom it has assessed as competent in accordance with the requirements of the Training Package, a VET qualification or VET statement of attainment (as appropriate) that:
- (a) meets the Australian Qualifications Framework (AQF) requirements;
  - (b) identifies the Proteus Education and Training by its national provider number from the National Register (21518) and
  - (c) includes the NRT logo in accordance with current conditions of use.
- 1.2 Proteus Education and Training recognises AQF and VET qualifications and VET statements of attainment issued by any other RTO.
- 1.3 Proteus Education and Training retains client records of attainment of units of competency and qualifications for a period of 30 years.
- 1.4 Proteus Education and Training provides returns of its client records of attainment of units of competency and VET qualifications to ASQA on a regular basis, as determined by the ASQA.
- 1.5 Proteus Education and Training will maintain an auditable-quality register of the AQF qualifications that it delivered that will contain:
- The holder of the qualification
  - AQF qualification by its full title
  - Date of issue
- 1.6 Each Certificate must have:
- name, code and logo of Proteus Education and Training;
  - name of person receiving the qualification;
  - awarded AQF qualification by its code and full title;
  - date issued;
  - authorised signatory;
  - the AQF logo or the words, The qualification is recognised within the Australian Qualifications Framework;
  - the Nationally Recognised Training (NRT) logo
  - the State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts); and
  - Proteus Education and Training's seal/ watermark or corporate

identifier.

1.7 Each Statement of Attainment must have:

- Statements of Attainment include the following features:
- name and code of Proteus Education and Training;
- name of the person who achieved the competencies or modules
- date issued
- a list of competencies (or modules where no competencies exist)
- showing their full title and the national code for each unit of competency
- authorised signatory
- the Nationally Recognised Training (NRT) logo
- the words A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units
- the words These competencies form part of [code and title of qualification(s)/course(s) (this is optional, where applicable)
- Proteus Education and Training's seal/ watermark or corporate identifier.

1.8 All non-AQF Certificates issued by Proteus Leadership must be clearly distinct from the AQF Certificates and Statements of Attainment

## 2 Supporting Documents

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AQF Qualifications Issuance Policy  
AQF Qualifications Register Policy  
Record Management Policy  
Certification Issue Procedure  
Certificate Template  
Statement of Attainment Template

## 3 References

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Standards 3.1, 3.2, 3.3, 3.4

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## 1 AQF Qualifications Pathways Policy

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1.1 Proteus Education and Training has a clear, accessible and transparent policies and processes to provide qualifications pathways and credit arrangements for students.

1.2 These policies and processes:

- ensure that pathways into and between qualifications are available to all students for all relevant qualifications
- be made publicly available, widely promoted and easily accessible to all prospective and existing students to enable them to:
  - make well-informed choices between alternative pathways
  - take into account the credit that may be available to them, and
- be regularly reviewed to maximise applicability to new and updated qualifications and to student and industry needs.

1.3 Proteus Education and Training decisions regarding the giving of credit into or towards AQF qualifications will:

- be evidence-based, equitable and transparent
- be applied consistently and fairly with decisions subject to appeal and review
- recognise learning regardless of how, when and where it was acquired, provided that the learning is relevant and current and has a relationship to the learning outcomes of the qualification
- be academically defensible and take into account the students' ability to meet the learning outcomes of the qualification successfully
- be decided in a timely way so that students' access to qualifications is not unnecessarily inhibited
- allow for credit outcomes to be used to meet prerequisites or other specified requirements for entry into a program of study leading to a qualification or for the partial fulfillment of the requirements of a qualification, and
- be formally documented for the student including any reasons for not giving credit.

1.4 Giving credit into or towards an AQF qualification will not impinge upon:

- the integrity of qualification outcomes and discipline requirements, or
- the responsibility of issuing organisations to make decisions on admission, prerequisites or programs of study, and the students' likely successful completion of the qualification.

- 1.5 Credit will be given on the basis of formal individual negotiations between students and issuing organisations or formal negotiated agreements between issuing organisations.
- 1.6 Recognition of prior learning or advanced standing for relevant and current informal or non-formal learning will be available for students and may be used for entry requirements or credit towards an AQF qualification.
- 1.7 Credit can be given to students in the form of block, specified or unspecified credit.
- 1.8 Issuing organisations will systematically negotiate credit agreements with other issuing organisations for any AQF qualifications to maximise the credit available to eligible students for both entry into and credit towards AQF qualifications.
- 1.9 Credit agreements negotiated between Proteus Education and Training for credit for students towards AQF qualifications at any level, vertical or horizontal, will take into account the comparability and equivalence of the:
- learning outcomes
  - volume of learning
  - program of study, including content, and
  - learning and assessment approaches.

## 2 Supporting Documents

Student Handbook

### REVISION RECORD

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## 1 Record Management Policy

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- 1.1 Proteus Education and Training retains has a student records management system (LMS Wisenet) that has the capacity to provide the national VET regulator with AVETMISS-compliant data.
- 1.2 Proteus Education and Training meets the requirements for implementation of a national unique student identifier through its LMS Wisenet and its CRM Salesforce.com
- 1.3 Proteus Education and Training can provide full and accurate current data to the NVR relating to each requirement in DPR5, upon request.
- 1.4 Proteus Education and Training collects data on the quality indicators agreed upon by the Ministerial Council, or its delegate.
- 1.5 Proteus Education and Training provides an annual summary report to the National VET Regulator against the quality indicators.  
  
The annual summary report will be due on 30 June each year and will relate to the previous calendar year's activities.
- 1.6 Proteus Education and Training closely monitors the performance of its Record Management systems and seeks regular improvements.
- 1.7 Student information and records are created on the CRM Salesforce.com by any member of Proteus Leadership staff.
- 1.8 Student records are created on Wisenet by members of the Student Administration / RTO team only and are available for access by the Student to view/make amends.
- 1.9 Proteus Education and Training retains client records of attainment of units of competency and qualifications for a period of 30 years.
- 1.10 Proteus Education and Training places a high value on its systems for Record Management. The LMS Wisenet and CRM Salesforce.com are market leaders in their sectors. SLAs are in place to ensure >99.95% uptime and regular, secure, off-site back ups of all records.
- 1.11 Electronic records of students' interactions with Proteus Leadership are never destroyed.

1.12 Proteus Education and Training Student Outcomes and Assessments for at least 6 months from the date on which the judgment of competence was made and kept and archived electronically. Paper Records are destroyed securely (excluding Certificate Copies).

## 2 Staff Record Management

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2.1 Proteus Education and Training is responsible for ensuring all staff records are accurate, current and up-to-dated and reviewed annually.

### 2.2 Trainer and Assessor Records

2.2.1 Proteus Education and Training is responsible keeping an up-to-date copy of trainer/assessor resumes on file.

2.2.2 Proteus Education and Training is responsible for keeping a verified photocopy of the relevant trainer/assessor qualifications on file. The RTO Manager must sight the original certificate and sign and date the photocopy.

2.2.3 Proteus Education and Training is responsible for keeping a record of all professional development (Vocational/Industry, Training and Assessment and VET) attended by trainers/assessors. Trainers/Assessors are responsible for notifying the RTO Manager of any professional development they have attended that is outside of that provided by or arranged Proteus Education and Training.

2.2.4 Proteus Education and Training is responsible for keeping an up-to-date copy of the Trainer Element Matrix for each trainer/assessor. The Trainer Element Matrix must provide evidence (qualifications, vocational experience and professional development) that the trainer/assessor is able to meet the performance criteria, required knowledge and skills and critical aspects of assessment for all units of competency they are currently teaching or assessing.

## 3 Supporting Documents

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AQF Qualifications Register Policy  
AQF Register  
Trainer Element Matrix

## 4 References

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Standards 1.13, 1.14, 1.15, 1.16, 3.4  
Data Provision Requirements under the VET Quality Framework

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## 1 Accuracy and Integrity of Marketing Policy

- 1.1 The CEO must approve all Proteus Enterprises marketing materials.
- 1.2 Written permission must be obtained from any client or individual person where marketing materials refer to that client or individual.
- 1.3 Proteus Education and Training uses the NRT logo only in accordance with its conditions of use.

The NRT logo is placed as close to the Training Unit code as possible on flyers. The logo on the website is placed on the same page as the code.

- 1.4 Under the guidance of the CEO Proteus Education and Training ensures its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

## 2 Supporting Documents

Marketing Materials  
Proteus Style Guide  
Marketing Design Checklist

## 3 References

Standard 4.1

### REVISION RECORD

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## 1 Continuous Improvement Policy

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Continuous improvement relates to

- Training and Assessment
- Client Services
- Management of Operations

### 1.1 Continuous Improvement of Training and Assessment

Proteus Education and Training collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

### 1.2 Continuous Improvement of Client Services

Proteus Education and Training continuously improves client services by collecting, analysing and acting on relevant data.

### 1.3 Continuous Improvement of Management of Operations

Proteus Education and Training uses a systematic and continuous improvement approach to the management of operations.

Data is collected, recorded, analysed and stored across the following data management programs

- CRM
- Wisenet
- Learning management system

Continuous improvement can also be driven by:

- Audit
- Validation and moderation
- Client complaints and concerns
- Industry consultation
- Risk management and policy/procedure reviews

## 2 References

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Standard 2.2

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## REVISION RECORD

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## 1 Training And Assessment Policy

### 1.1 Development of Training and Assessment

Prior to registration of any Training Package or accredited courses Proteus Education And Training undertakes research to ascertain the viability of delivering the package or course. This research can be made up of:

- Consultation with existing clients
- Consultation with prospective clients
- Internal experience with the course, e.g. at another employer
- Identifying resources required to implement the training and assessment strategies
- Existing data collected from students

From this research a proposal will be presented to the Executive and the RTO Committee to consider. Once approved training and assessment strategies will be prepared for each Training Package/accredited course taking into account the data that has been collected. This ensures that the strategies that are developed and implemented will meet a defined need and not be based on “gut feel” or instinct.

### 1.2 Updates to existing Training and Assessment

Throughout the calendar year improvements to training material suggested by trainers is emailed to the RTO manager and/or Director of Education. Minor changes such as spelling/grammar are fixed immediately. Changes relating to adding/subtracting actual content are recorded to be considered and changed over Christmas and implemented to the new manual.

Facilitators will suggest updates to Training and Assessment based on:

- Reading of Contemporary Books
- Watching Other Speakers
- Use online Media (TED, Podcasts)

Each year the Director of Education distributes Audio-Visual resources such as PowerPoint slides and videos. Trainers email suggestions to the Director of Education in order to update where appropriate. These are stored on Dropbox or Salesforce.com as the master copies for all to access.

Facilitators are asked to provide feedback on these resources.

### 1.3 Training Tailoring

Trainers have a 10% leeway for editing the delivery. But all accredited programs are having consistent online content and therefore unchanged to maintain integrity.

### 1.4 Client Specific Training

When facilitating in-house programs great care is taken to align the program with the organisational policies and procedures whether they are accredited or not. Proteus Education and Training works closely with the appropriate person usually the HR manager to align the course to HR Procedures (e.g. grievance, recognition etc.). When delivering Project Management facilitators will take into account any existing templates.

When in the pre-program stage with a client multiple telephone and face-to-face meetings are used. The purpose of these meetings is to establish exactly what the needs are before offering a solution. Account Managers will take empirical and physical evidence of their current situation.

Clients may provide information regarding their:

- Training Needs Analysis
- Cultural Surveys
- Leadership Profile
- Performance Review Audits
- Succession Plans

Observations from meetings are recorded in our comprehensive CRM system. This takes meeting notes, proposals and keeps track of client's history.

Throughout the program meetings are scheduled with the Client's representative to discuss how the course is progressing and any changes that need to be made.

### 1.5 Assessment Purpose

The purpose of assessment is to lead to the issue of a qualification or statement of attainment where the learner is assessed as competent against nationally endorsed unit(s) of competency.

### 1.6 Competency Based Assessment

Competency based assessment is collecting evidence and making judgements on whether a learner is able to demonstrate those competencies identified in the stated Unit of Competency.

### 1.7 Assessment Design

1. Proteus Education and Training looks at the assessment criteria for a particular unit and how these apply to the client's workplace.
2. The most appropriate assessment methods are chosen. Proteus Education and Training uses a number of assessment methods including: formative short answer questions which are answered on line, after each content

chunk. Candidates are also required to complete a range of templates in relation to their workplace and to reflect on the learning of the unit and how these relate to the workplace.

3. A mapping exercise is conducted to ensure all assessment criteria are covered. It is important to note that Proteus Education and Training believes in conducting holistic assessments where possible so criteria from a number of units of competency may be covered in one assessment and completion of a single unit of competency may be covered in several assessments.
4. Assessments are designed around the individual, and students work must be their own.
5. Relevant participants or client feedback is reported to the Manager –RTO for continuous improvement purposes.

## 2 Supporting Documents

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Assessment Process  
Training and Assessment Strategies  
Validation of Assessments Checklist Template  
Validation of Assessments Report Template  
Validation Schedule 2016-2019

## 3 References

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Standards 1.2, 1.2, 1.3, 1.4, 1.8

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## 1 Training Assessment Principles

### 1.1 Proteus Education and Training ensures assessment is conducted in accordance with the principles of assessment and the rules of evidence.

**Fair:** Fairness in assessment requires consideration of the individual student’s needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the student to ensure that the student is fully informed about the assessment process. It also includes an opportunity for the student being assessed to challenge the result of the assessment and to be reassessed if necessary.

**Flexible:** To be flexible the assessment should reflect the student’s needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the student; and, support continuous competency development.

**Reliable:** Reliability refers to the degree to which evidence presented for assessment is consistently interpreted and results in consistent assessment outcomes.

**Valid:** Validity is concerned with ensuring that the assessment process is sound. Validity requires that assessment must cover the broad range of skills and knowledge that are essential to competent performance. It must also ensure that judgement of competence must be based on sufficient evidence. In simple terms, it is concerned with the extent to which an assessment decision about a candidate (e.g. competent/not yet competent, a grade and/or a mark), based on the evidence of performance by the candidate, is justified.

**Authentic:** To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the student’s own work.

**Current:** Currency of assessment relates to the age of the evidence presented by students to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the recent past.

**Sufficient:** Sufficiency relates to the quality and quantity of evidence assessed. It

requires collection of appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly.

**Valid:**

Validity is concerned with ensuring that the assessment process is sound. Validity requires that assessment must cover the broad range of skills and knowledge that are essential to competent performance. It must also ensure that judgement of competence must be based on sufficient evidence. In simple terms, it is concerned with the extent to which an assessment decision about a candidate (e.g. competent/not yet competent, a grade and/or a mark), based on the evidence of performance by the candidate, is justified.

## 1.2 Proteus Education and Training Philosophy

- Proteus Education and Training believes in working with our clients to learn about their business.
- Proteus Education and Training builds relationships with workplace specialists and conduct assessments that not only provide evidence of competency but also benefit the client.
- Proteus Education and Training is aware that each organisation is different in the way it operates so Proteus works with our clients to arrange suitable assessment tools & times that fit in with the needs of their business.
- Proteus Education and Training ensures that our assessments meet the guidelines of the national training package.
- Proteus Education and Training assessors work closely with each participant to ensure that they clearly understand what evidence is required for the assessment and the process that will be followed.
- Where possible Proteus only uses one assessor per client in each region for continuity.
- Proteus Education and Training assessors are in constant contact with each other and with our training administrator to receive directives & share experiences.

## 1.3 Principles of Competency Based Assessment

- Endorsed industry/enterprise standards, where they exist form the basis of qualifications in the vocational training and education and training sector.
- Endorsed industry/enterprise standards are the benchmarks for assessment, where they exist.
- Assessment conducted for the purposes of national recognition should lead to a part or full qualification under the AQF.
- Assessment should be undertaken by, or supervised through, a registered provider.
- Responsibility for assessment resides with the body that issues the qualification under the AQF.



- Assessment systems must incorporate mechanisms for recording, storing and assessing assessment outcomes.
- Assessment systems should indicate the units of competency that the individual has attained.
- Assessment systems should incorporate ongoing monitoring and review processes.
- Assessment processes shall provide for the recognition of current competencies regardless of where these have been acquired.

#### 1.4 Responsibilities of Assessors

- Consult with participant on their preparation for assessment if required
- Inform RTO Committee of any issues.
- Provide RTO Committee with relevant information for the reports. And checklists.
- Assess students in an appropriate manner, taking into account any access and equity issues.
- Provide feedback to participants on assessment outcomes.
- Provide feedback to RTO Committee on opportunities for improvement.
- Maintain the required assessment documentation.
- Maintain confidentiality of participant information.
- Meet AQF requirements.

#### 1.5 Responsibilities of Students

- Seek internal assistance where necessary to prepare for assessment.
- Inform assessor if not ready to be assessed.
- Provide feedback to the assessor on opportunities for improvement.
- Appeal where unhappy with the assessment process or outcome.

#### 1.6 Responsibilities of RTO Committee in relation to assessments

- Provide assessors with support and advice
- Provide assessors with appropriate checklists for assessment.
- Inform assessors of deadlines for reporting requirements/issues/appeals and outcome.
- Handle client issues where appropriate.

## 2 Supporting Documents

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Assessment Process  
 Training and Assessment Strategies  
 Validation of Assessments Checklist Template  
 Validation of Assessments Report Template  
 Validation Schedule 2016-2019

## 3 References

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Standard 1.8

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## REVISION RECORD

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## 1 Validation of Assessments Policy

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1.1 Proteus Education and Training is committed to the continuous improvement of its assessment strategy. This commitment has led to the implementation of validation and moderation of our assessment in accordance to the Standards for RTO's 2015. Each training product is validated at least once every 5 years, with at least 50% of products validated within the first 3 years of the 5 year cycle.

1.2 Validation of Assessment is a quality control process to ensure assessment practices meet the principles of assessment:

- **Fairness** – The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
- **Flexibility** – Assessment is flexible to the individual learner by:
  - reflecting the learner's needs;
  - assessing competencies held by the learner no matter how or where they have been acquired; and
  - drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
- **Validity** – Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires:
  - assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
  - assessment of knowledge and skills is integrated with their practical application;
  - assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
  - judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
- **Reliability** – Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

1.3 An Assessment review process is implemented annually to ensure evidence collected for a particular unit of competency meet the requirements in

accordance with the rules of evidence:

- **Validity** – The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
- **Sufficiency** – The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
- **Authenticity** – The assessor is assured that the evidence presented for assessment is the learner's own work.
- **Currency** – The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Moderation of assessment decisions is also conducted as part of this process.

1.4 Validation and Moderation forms part of Proteus Education and Training's review of assessment strategies in accordance with the requirements of the Standards for RTOs 2015.

1.5 The Validation and Moderation of Assessment will be conducted by a team of validators. Validators include: CEO, RTO Manager, Student Administration Manager, two facilitators and an external person with knowledge of training packages, compliance, industry knowledge and clients needs e.g. RTO consultant with industry experience.

## 2 Validation of Assessments Procedure

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1. Create Validation Schedule
  - The RTO Manager is responsible for creating a Validation of Assessment schedule, which outlines the dates validation will occur, the units of competency examined and the validators assigned.
2. Brief the Validators
  - The RTO Manager is responsible for emailing a brief to validators. The brief should include: time, date, place, attendees, scope, purpose and duration, name of units of competency being examined.
3. Provide Direction, Documents and Checklist
  - The RTO Manager is to inform validators of the process of validation
  - Provide validators with copies of the *Validation of Assessment Checklist*. By the end of the validation session, each validator will be required to submit 1 checklist for each unit of competency examined to the RTO Manager.
  - Provide validators with the following documents for each unit of competency being assessed: Training and Assessment Strategy, Assessment Instructions, Assessment Activities, Markers Guide, Assessment Mapping Matrix document, Samples of student assessments and the latest unit of competency details from [www.training.gov.au](http://www.training.gov.au)
4. Conduct Validation and Moderation

- Select the a unit of competency and complete a *Validation of Assessment Checklist* following the directions below
  - Following the guidance outlined on the Validation of Assessment Checklist review assessment practices to ensure they meet the principles of assessment:
    - Fairness – the instructions are clear, LLN is assessed, the difficulty is appropriate for the AQF level, and meets the need of students
    - Flexibility – the assessment tools are suitable for student in their workplace context
    - Validity. – the assessments tool address the evidence requirements of the unit of competency i.e. performance criteria, required knowledge & skills, critical aspects of assessment
    - Reliability – the Training and Assessment Strategy clear, and the Markers Guide is correct and aids n consistent marking
  - Review assessment evidence to ensure they meet the requirements in accordance to the rules of evidence:
    - Validity – the completed assessments are relevant for the unit of competency, a variety of assessment methods are used, and skills and knowledge are assessed in an integrated way
    - Sufficiency – the completed assessments provides enough evidence for a judgment of competent
    - Authenticity – the completed assessments is the students own work
    - Currency – the completed assessments shows the students is presently or recently demonstrated competence
5. Repeat Validation Process and Submit to RTO Manager
    - Repeat validation process for the next unit of competency.
    - There should be 1 checklist for each unit of competency examined.
    - All completed checklists are to be submitted to the RTO Manager at the end of the validation session.
  6. Submit Written Report to Executive Team (within 1 month of validation meeting)
    - The RTO Manager is responsible for reviewing all completed 'Validation of Assessment Checklists', and prepare a written report using the '*Validation of Assessment Report*' and submit this to the Executive team.
    - The '*Validation of Assessment Report*' should include: a summary of the outcomes of the validation meeting and a list of actions as a result of the validation. The actions are to specify the task, the person responsible and the due date.
    - There will be 1 report for each unit of competency examined.
  7. Action Changes (within 1 month of reporting to the Executive team)
    - Person(s) responsible to action changes identified on 'Validation of Assessment Report' and report completion of task to the RTO Manager.
  8. Review Changes and Report Completion to the Executive Team (within 2 weeks)
    - The RTO Manager is to review changes to ensure all actions have been carried out correctly and report completion of changes to the executive team.
  9. Record Keeping

- The RTO Manager is responsible for filing all documents in the report in 'Validation' section of the RTO folder.

10. Schedule Next Validation

- The units of competency examined will then be scheduled to be validated within the next 24 months.

### 3 Supporting Documents

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Assessment Process  
 Training and Assessment Principles  
 Training and Assessment Policy  
 Training and Assessment Strategies  
 Validation of Assessments Checklist Template  
 Validation of Assessments Report Template  
 Validation Schedule 2016-2019

### 4 References

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Standards 1.8 - 1.11, 1.21 - 1.25

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## 1 Assessment Process

The assessor is to ensure that the assessment process is flexible, fair, valid and reliable. The following assessment process is to be applied:

1. Assessors are provided with a detailed assessment checklist and benchmarks are set. Assessors are also encouraged where possible to attend or conduct the relevant workshops.
2. The assessor and or training administrator makes contact with each participant prior to the course commencement date to ensure students have received the relevant documents and to clarify understanding of assessment requirements.
3. On the first workshop day, the assessor/trainer once again runs through the assessment process - Regardless of attendance at any face-to-face training the Student completes the online welcome and getting started guide which outlines the assessment process
4. Assessment requirements and guidelines are outlined online and the student submits assessment electronically based on these. The assessment may take place online or in the workplace, but will always be submitted electronically.
5. At the end of the assessment the assessor provides feedback to the student including whether the work is satisfactory. Where the student's work is deemed to be not yet satisfactory the assessor provides further direction and resubmission leading to re-assessment can take place.
6. The assessor records the student's outcomes against their Grade Report on their Online Learning record. The student, assessor and customer support team have access to these.
7. Once all assessment items are completed satisfactorily the assessor will organise issuance of Certificate according to the certification procedure including checking of results.
8. The assessor will be asked to:
  - Review the assessment process;
  - Report on the positive and negative features of the assessment to the CEO; and
  - If appropriate, raise a Continuous Improvement Report for the RTO Committee.

### 1.1 If relevant participate in the reassessment and appeals process.

The assessor must:

- Provide feedback and counseling to the candidate, if required, regarding the assessment outcome or process, including guidance on further options;
- Provide the candidate with information on the reassessment and appeals process;
- Report any assessment decision that is disputed by the candidate to appropriate RTO personnel; and
- Participate in the reassessment or appeal according to the policies and procedures of Proteus Education and Training.

### 1.2 Benchmark of assessment

In accordance with the Business Services training package, the endorsed units of competency are the benchmarks for assessment. As such, each unit of competency being assessed has been unpacked to identify the required knowledge and skills to be demonstrated by the student. These are represented in the formative short answer questions, range of templates and reflections which have been developed by analysing the whole unit including elements of competence, performance criteria, range information, required knowledge and skills and the evidence guide.

To support reliability in the assessment, an assessors guide including model answers for each assessment have been produced.

The assessor must have regard to all assessment benchmarks in their preparation for and collection of assessment evidence.

### 1.3 Recording assessment evidence

The assessor records the student's outcomes against their Grade Report on their Online Learning record. The student, assessor and customer support team have access to these.

Once the assessor deems the Qualification complete he/she will update the Student Record on the CRM. This will trigger the Student Administration team to check the Student's progress and if satisfied all is complete will issue a Certificate. The student administration team will also record the completion status against the record on the Learning Management System for the student to access and for reporting purposes. All 3 systems are independently backed up and monitored by multiple people in the organisation.



## 1.4 Insufficient evidence

If the full scope of evidence cannot be gathered during a module, the assessment should be held open until suitable evidence can be gathered. This may require the assessor to re-schedule a supplementary assessment to maintain the progress of the training program. It is critical that assessments are **not** concluded when there is insufficient evidence to make a valid assessment decision.

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## 1 Credit Transfer Policy

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Student who has previously completed a unit of competency at another RTO may be eligible for a credit transfer. A credit transfer can only be granted if the unit of competency previously completed is deemed to be equivalent to the unit of competency they are applying for according to [training.gov.au](http://training.gov.au)

Should the unit of competency be deemed non-equivalent according [training.gov.au](http://training.gov.au) then the student will need to apply through the RPL process. The previously completed unit of competency can be used as evidence towards their RPL application.

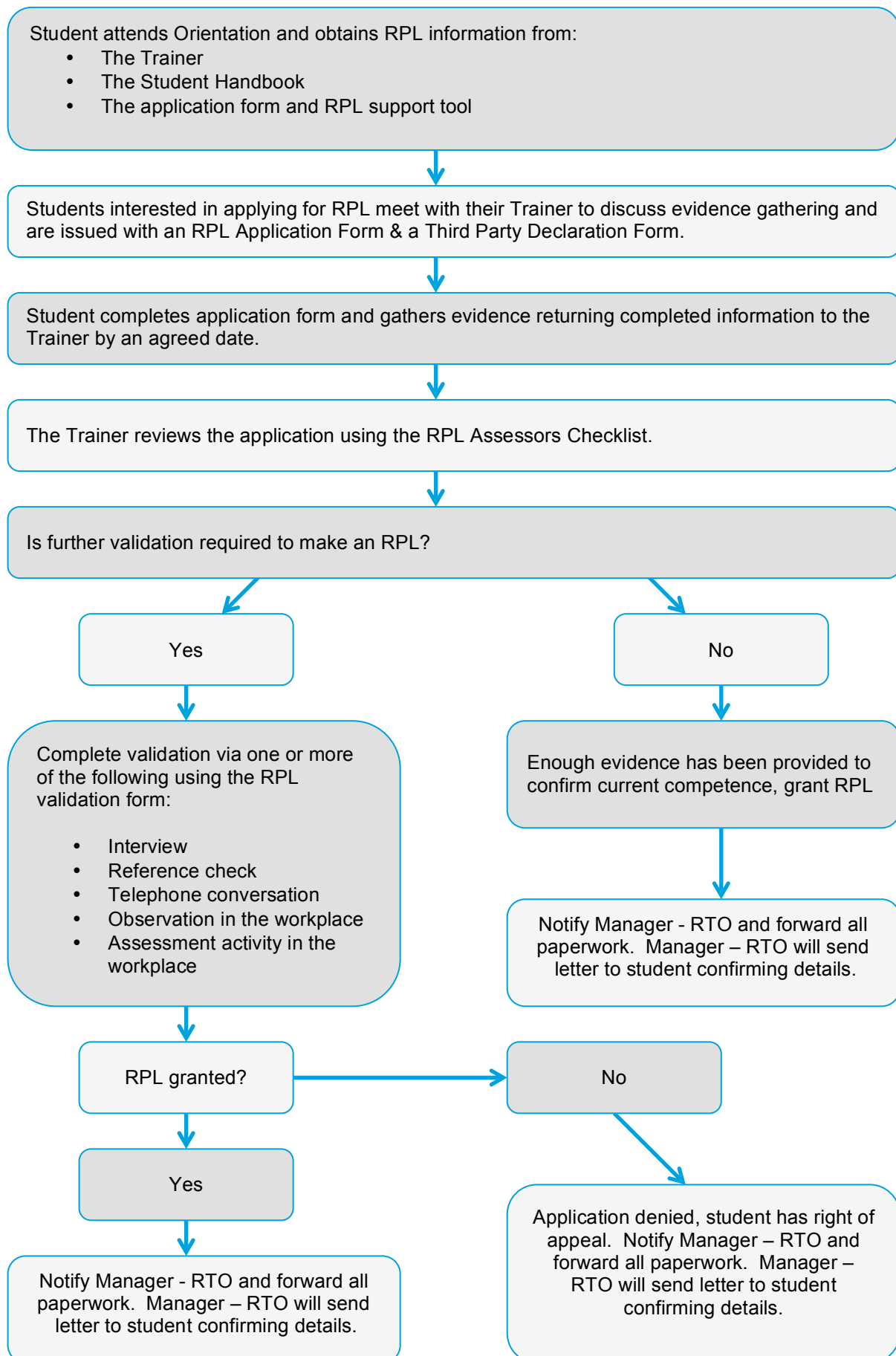
## 2 RPL Policy

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Information on our RPL process is made clear in the student handbook. The information briefly describes what RPL is, the types of evidence to back up claims for RPL and the person to contact for more information regarding RPL.

An applicant using our RPL Application Form has the types of evidence required by them detailed in the Application Form under suggested evidence. Prior to participants completing the application form Proteus discusses and provides guidance on evidence requirements and give examples. Proteus point out that the evidence provided must be authentic (see the original documents if applicable), current (i.e. is prior learning reflective of current practices) and sufficient and valid to be able to assess that competency is achieved. In instances where evidence is hard for an applicant to gather, then Proteus can offer a further interview, written assignment, workplace assessment, and collection of other material.

### 3.1 RPL the Process – A Flowchart



## 2 Supporting Documents

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RPL Application Form  
RPL Assessors Checklist  
RPL Third Party Declaration

## 3 References

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Standards 1.8, 1.12

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## 1 Cheating And Plagiarism Policy

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Cheating means to act dishonestly in any way so that the assessor of the work accepts a student's submission as genuinely representing the student's understanding of, and ability in, the subject concerned.

Plagiarism is to present assessment submissions as your own without acknowledging the source of the content or idea.

Proteus Education and Training is responsible for monitoring student assessments to ensure that there is no cheating or plagiarism. The student administration team is responsible for conducting monthly periodic spot checks to ensure the student assessments are authentic.

Should a student be suspected of cheating or plagiarism, the student administration team will notify the RTO Manager who will then arrange a time to discuss the matter with the student. At that stage, the student will have the opportunity to respond to the allegation made against him/her.

Should the found guilty of cheating or plagiarism, the assessment will be marked as not yet satisfactory, the student will be issued with a formal written warning and asked to re-submit their assessments.

The student's employer may be notified if they are funding the course.

For serious and repeated breaches they can be withdrawn from the course.

## 2 Cheating And Plagiarism Procedure

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1. Student Informed of Policy and Procedure (before enrolment)
  - Prior to their enrolment, all students are provided a copy of the Student Handbook, which contains the Proteus Training and Education Cheating and Plagiarism Policy.
2. Student Declaration of Authenticity (before commencing and during the program)
  - Students are required to sign a Declaration of Authenticity at the start of their course, which states that the work submitted is their own work and not that produced by another person except when reference is made. The declaration will also notify students that their work is subject to random spot checks for cheating and plagiarism.
  - This declaration is found in the 'Getting Started' section of the online program.

- Students are also required to sign a declaration of authenticity at the start of the following assessments tools: short answer questions, knowledge checks, each workplace assessment.
3. Third Party Declaration (before commencing and during the program)
    - Students are required to submit workplace assessments to show that they are capable of performing the skills covered during the program. These assessments are required to be observed, verified and signed off by a third party (e.g. their manager) to ensure the assessment meets the unit of competency rules of evidence– *Validity, Sufficiency and Currency*.
    - Third Party assessors are required to sign a declaration, which confirms they have observed the student undertaking the skill-based assessment. The declaration will also notify the third party that they may be contacted to verify for cheating and plagiarism.
    - Third Party assessors are also required to sign a declaration for each workplace assessment.
  4. Identifying Cheating and Plagiarism (every month)
    - To ensure the work submitted by the student meets the unit of competency rules of evidence *Authenticity, Currency and Consistency*, the student administration team is responsible for conducting monthly periodic ‘spot checks’ of student assessments.
    - Spots checks are performed using the 3 methods listed below:
      - Google – student answers will be entered into Google and checked for cheating or plagiarism. Exact matches or paraphrasing without referencing will be considered as plagiarism;
      - Third Party Calls – Third party’s responsible for signing off the skill-based assessments will be called to verify that they did in fact observe and sign off on the assessment;
      - Colleague Cross Reference - For students who work for the same organisation, answers will be compared to one another to checked for cheating or plagiarism.
    - Each spot check method mentioned above will be conducted on 10 assessments chosen at random from existing students.
  5. Record of Spot Check
    - The student administration team is responsible for noting the assessments that are chosen for spot checks. This is performed by marking the assessments in Moodle and recording notes under the contacts profile in Salesforce CRM.
  6. Suspicion of Cheating and Plagiarism
    - Should a student be suspected of cheating or plagiarism, the student administration team is to report this allegation to the RTO Manager.
    - The student administrator is to report the assessment(s) suspected of plagiarism and source of plagiarism.
  7. Review by RTO Manager
    - The RTO Manager is to review the alleged suspicion and confirm the offense. Should the RTO Manager consider the suspicion to be valid, they will

proceed to informing the student of their offence.

8. Student Informed and Provided Opportunity to Respond (within 7 days of Allegation)
  - The RTO Manager is responsible for arranging a time to speak/meet with the student to discuss the allegation.
  - During this meeting the student is given the opportunity to respond to the allegation.
  - As a result of the meeting. Once of the following actions will occur:
    - i. The allegation is dismissed and the assessment is marked.
    - ii. The response to the allegation is considered invalid, the assessment is marked not yet satisfactory, the student is issued with a formal written warning by the RTO Manager and asked to re-submit their assessment.
  - If the student's employer is funding the course they may be notified.
9. Re-submission of Assessment (within 14 days of Allegation Outcome)
  - The student will be given 14 days to re-submit their work.

### 3 References

Standard 1.8, 6.1, 6.2,6.3, 6.4, 6.5, 6.6

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## 1 Unique Student Identifier Policy

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- 1.1 Proteus Education and Training is responsible ensuring all students have a valid USI before conferring a qualification or statement of attainment on that student
- 1.2 Proteus Education and Training may apply for USI on behalf of a student, however any personal information collected solely for the purpose of applying for a USI on behalf of a student must be destroyed.

## 2 Unique Student Identifier Procedure

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1. Collecting USI
  - Student USI will be collected as part of the enrolment process, the field can be found on the student enrolment form
2. Verify USI
  - The student administration team is required to verify the USI supplied by a student on the USI registry website to ensure is it correct and accurate <http://usi.gov.au/help-centre/training-organisation-help/Pages/help-with-verifying-usi.aspx#>
  - Successful verification is when the USI, the First Name, Family Name and Date of Birth you have entered match the information in the USI registry
3. Enter into Wisenet
  - The student administration team is responsible for enter the USI number into Wisenet
4. Apply on behalf of the student
  - Should Proteus be requested to apply for USI on behalf of the student they will follow the following procedure
    - i. Obtain driver license and personal details for the student as required for creating a USI
    - ii. Apply for USI on behalf of the student via the USI registry website. The students new USI will be emailed directly to them
    - iii. Destroy any personal information which you collected solely for the purpose of applying for a USI on behalf of a student

## 3 References

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Standard 3.6



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## 1 Support Services Policy

### 1.1 Language, Literacy & Numeracy Policy

Proteus Education and Training courses are delivered using the English language. Proteus Education and Training is responsible for ensuring all students have adequate Language, Literacy and Numeracy (LLN) skills to enable them to undertake a Proteus qualification.

Prior to their enrolment into any qualification, all prospective students are required to undertake an LLN test conducted by Proteus Education and Training. The tests used is based on LLN tests produced by Precision Consultancy and uses the *Australian Core Skills Framework* (ACSF), which is a comprehensive tool designed to assist both specialist and non-specialist English language, literacy and numeracy practitioners describe an individual's performance in the five core skills of learning, reading, writing, oral communication and numeracy. Proteus Education and Training has identified that student studying Proteus accredited courses will require ACSF level 2-4 skills.

Please visit the Department of Industry website for more details

<http://www.industry.gov.au/skills/AssistanceForTrainersAndPractitioners/AustralianCoreSkillsFramework/Pages/default.aspx>

ACSF provides a consistent national approach to identifying and developing the core skills in three diverse contexts; personal and community; workplace and employment; and education and training. In particular, it offers:

- shared concepts and language for identifying, describing and discussing the core skills
- a systematic approach to benchmarking, monitoring and reporting on core skills performance.

Should a prospective student be identified as requiring additional LLN assistance, which is beyond what can be met by Proteus Education and Training they will be referred to an Adult and Community Education provider in their state (please refer to list of LLN support organisations).

#### 1.1.1 Language, Literacy & Numeracy Procedure

##### 1. Brief the Prospective Student

- Provide prospective students with a Student Handbook. This includes information informing the prospective student that they are required to complete an LLN test prior to their enrolment.
2. Conduct LLN Test
    - Two weeks prior to enrolment, prospective students are required to undertake an LLN test. This test involves completing a series of questions to ensure the prospective student has the necessary LLN skills.
  3. Make a Judgment
    - The RTO Manager is responsible for reviewing the test answers, completing the *LLN Test Assessment Record* and making a judgment about the prospective student's LLN skill level.
  4. Inform Result
    - The RTO Manager will then discuss the result with the prospective student, in which there will be two outcomes:
      - i. Students who are identified as not requiring LLN assistance will proceed to enrolment
      - ii. Students who are identified as requiring LLN assistance will be referred to an Adult and Community Education provider in their state. (refer to List of LLN support organisations)
  5. Recording The Outcomes
    - All test and assessment records are to be retained in the students file as evidence that a LLN assessment has been undertaken.

## 1.2 Reasonable Adjustment

The student's individual needs must be determined during the preparation for the assessment. If the student has individual needs, the assessor is to make suitable adjustment to the assessment to allow for these differences whilst maintaining the integrity of the evidence gathering process. The student's individual needs and the adjustment applied are to be recorded within the assessment agreement, which is discussed further in this specification.

Flexibility is encouraged, ensuring that candidates get the opportunity to demonstrate their ability to meet the competency. Assessors should use the evidence gathering tool to ensure alternative practical components are comprehensive.

## 2 Supporting Documents

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LLN Test  
LLN Assessment Record  
LLN Markers Guide  
LLN List of Organisations

### 3 References

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Standards 1.2, 1.3, 1.7, 5.1, 5.2

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## 1 Customer Service Policy

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### 1.1 Training And Assessment

Clients can access Proteus Education and Training through a variety of mediums for instance: call, email personally, email to [online@proteusleadership.com](mailto:online@proteusleadership.com), enquire through the website, or use the Wisenet/Moodle contact tools. They are usually enquiring about technical issues with being unable to use the system, or about understanding the course content.

If a client contacts us through [online@proteusleadership.com](mailto:online@proteusleadership.com) / website, or by call into the office the Student Administration Team will deal with. Or forward to the relevant course-coach where the question relates to the actual course content.

- All course-content related questions are to be answered by the relevant Course-Coach
- All technical support questions will be answered by Student Administration Team
- If query is addressed to the trainer then the Student Administration Team will liaise with Course-Coach before contacting.

### 1.2 Customer Service Turnaround Times

- Assessments are to be marked within 14 days of receipt.
- Certificates are to be posted within 21 days of confirmation of completion.
- Technical support is to be provided within 48 hours of notification.
- Client support is to be provided within 48 hours of notification.

### 1.3 Client Relationship Management

All client relationship management for Proteus Education and Training is done through the CRM system at Proteus Leadership. A relationship begins at the initial point of contact between Proteus Leadership and a person or company. The CRM records marketing, meetings, phone calls, sales, event history, progress reports, client details and notes. All content is backed up locally and internationally every 15 minutes. There is a 99.99% up time.

## 2 References

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Standard 1.7

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## 1 Complaints And Appeals Policy

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Proteus Education and Training is committed to providing a learning and working environment in which complaints are responded to promptly and with minimum distress and maximum protection to all parties. As part of its commitment to creating a supportive and open organisational culture, Proteus Education and Training is committed to ethical and responsible management, transparency in its decision making processes, and a visible, accessible and fair complaints process. Proteus Education and Training views customer complaints as providing an opportunity to review and improve its policies and practices, and also to gain insight into customer levels of satisfaction.

Proteus Education and Training will follow a Complaints Process that is:

- **fair:** the rights of vocational education and training consumers are recognised, including the right to be heard and the right to an impartial decision
- **accessible:** the complaints handling process will be readily accessible to consumers
- **visible:** the process for lodging, handling and responding to complaints will be well publicised to staff, consumers and providers
- **comprehensive:** the relevant circumstances and information surrounding a complaint will be investigated to the level warranted by the severity of the complaint
- **responsive:** the complaints handling process will be responsive, and target timeframes for handling complaints will be established and monitored
- **accountable:** there will be appropriate monitoring and reporting of complaints received
- **constructive:** preventative and corrective action will be taken to eliminate the root causes of complaints.

### 1.1 Lodging A Complaint

Complaints must be lodged in writing through the Complaints Form.

A complaint may be made about:

- Administration processes and/or
- Training and Administration staff

Customers may wish to seek advice and assistance from Proteus Education and Training in lodging a complaint.

### 1.1.1 Complaint Handling

Proteus Education and Training handles all complaints in a confidential and impartial manner. Where appropriate, complaints will be resolved at the lowest possible level of management, however, Proteus Education and Training recognises that some complaints are most appropriately dealt with at a more senior level, e.g. complaints of victimisation or unlawful discrimination.

Complainants are informed of their right to consult or utilise services of a person of their choice from outside the RTO for support or advice during the complaint process.

### 1.1.2 Timeframes

Proteus Education and Training will achieve resolution of a complaint within 4 weeks of the complaint being lodged with the appropriate person in authority.

If it is not possible to achieve resolution within this timeframe, the complainant will be advised of this, and will be kept informed of the progress of the matter.

### 1.1.3 Complaint Resolution

Customers will receive written advice of the outcome of their complaint. All outcomes will be applied consistently across Proteus Education and Training.

A mutually acceptable resolution is reached through conciliation or mediation. In some cases, the complaint cannot be substantiated and no further action will result.

## 1.2 Lodging An Appeal

Appeals must be lodged in writing through the Appeals Form.

### 1.2.1 Appeal Handling, Timeframes and Resolution

In the case of an appeal, you will be acknowledged within 48 hours and a meeting is arranged between the student and an independent RTO representative, who has no connection with the appeal, within 7 days. The student is approached prior to the meeting and informed of the person(s) hearing their appeal, date and time of the meeting. This allows the student the opportunity to request changes to the appeals person(s), date or time of meeting.

With the venue, personnel, date and time established, the appeals process can begin. A quick summary of the appeal by the independent RTO representative, then the student presents their case, clarifying any issues as they arise. When their appeal has been delivered, questions may be asked to either provide more information or to clarify what has been stated. At the conclusion of the meeting the student will have had every opportunity to present their case and provide all supporting evidence as required.



A decision will either be given at the conclusion of the meeting if it is a straightforward case or within 24 hours for more complex cases. In the case of more complex appeals the independent RTO representative will notify the student via telephone of the decision. In both instances the independent RTO representative at the meeting will write a formal appeals letter stating the appeals outcome(s) and reasons behind the decision. The appeals letter is then posted to the student by registered post to ensure they receive the documented outcomes.

If a satisfactory decision cannot be met by both parties (student or independent RTO representative) an independent arbitrator will be appointed.

### 1.3 Documentation

All documentation relating to complaints will be kept strictly confidential and will not be accessible to anyone who is not directly involved in handling the complaint. Any material about the outcome of the complaint will be placed on the appropriate customer and/or personnel file in accordance with the requirements of the Policy on Employee Records and the Policy on the Privacy of Records, and will only be accessible to authorised officers of Proteus Enterprises and the individual concerned.

## 2 Supporting Documents

Complaints & Appeals Form  
Complaint File

## 3 References

Standards 2.2, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6  
The National Code of Good Practice for Responding to Complaints about Vocational Education and Training

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## 1 Equity And Access Policy

Proteus Education and Training strives to provide equity and access to all students without discrimination.

Proteus Education and Training is committed to the principle of equal opportunity in education, training and employment and welfare for staff, students and prospective students of Proteus Education and Training and will continue to develop equal opportunity practices and programs compatible with its overall goals and responsibilities. This commitment is consistent with the principles of justice, equity and the pursuit of excellence which should apply in a training organisation and conforms to the spirit and intent of equal opportunity and anti-discrimination legislation. The policy is designed to support the principle that staff are selected or promoted according to merit.

Proteus Education and Training accepts that it has a responsibility to create an educational and employment environment free of discrimination.

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## 1 Transition of Training Package Policy

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- 1.1 The RTO Manager is responsible for monitoring the status of changes to Training Packages.
- 1.2 The RTO Manager is responsible for managing the changes to areas of operations that may be affected by the change of a Training Package following the 'Transition of Training Package' procedure and ensuring the transition of the revised or new Training Package is managed in a systematic way.
- 1.3 The RTO Manager is responsible for applying for the addition (through ASQA) of the revised or new qualifications / units of competency to Proteus Education and Training scope of registration as soon as possible.
- 1.4 Superseded Training Package qualification or unit of competency
  - 1.4.1 Proteus Education and Training is responsible for ensuring that the transition response to a superseded Training Package is carried out within six months of the date of publication on [www.training.gov.au](http://www.training.gov.au). In exceptional circumstances Proteus Education and Training will complete all transition activities within 12 months of the date of publication.
  - 1.4.2 Continuing students - students who are enrolled in a qualification or unit or competency which is superseded part way through a training program are to be offered and encouraged to transfer their enrolment to the new qualification once it is obtained on the Proteus Education and Training scope of registration. Students are not to be disadvantaged in any way and students choosing to remain enrolled in superseded qualification or unit of competency are to be supported in their decision.
  - 1.4.3 New students - enrolments in new qualifications or new units of competency are to commence as soon as possible to allow students to access the most current qualification and to minimise the period that students enrolled in a superseded qualification are being managed.
  - 1.4.4 Teach-out – Proteus Education and Training may continue to deliver training and assessment services and issue awards to current students of the superseded qualification who would have been genuinely disadvantaged if required to transfer to the replacement qualification, for up to 6 months after the expiry of the transition period for its replacement. No teach-out provisions apply to superseded units of competency. Students who have not completed a superseded qualification within 18 months or a superseded unit of competency within 12 months following the date of publication of the

superseded Training Package must be immediately issued with any eligible AQF testamur and transferred to a new qualification.

- 1.4.5 Minor Transitions – for minor transitions such as the change to the code for a unit of competency e.g. BSBHRM401A to BSBHRM401B the following ‘Transition of Training Package’ procedure will still apply, however the time frame will be much shorter.

## 2 Transition of Training Package Procedure

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1. Monitor the Status of Training Packages (monthly)
  - The RTO Manager is on the notification list to receive email alerts from [www.training.gov.au](http://www.training.gov.au) regarding any updates to training packages.
  - The RTO Manager is to monitor the status of Training Packages to remain aware of changes in the revised or new Training Package and how these might affect Proteus Education and Training scope of registration.
2. Report Transition of Training Package (monthly)
  - If there are any changes to a Training Package, the RTO Manager is to report this to the Proteus Executive team on the RTO Monthly Report.
  - Changes to a Training Package may include:
    - i. Change of names, code or title of unit of competency;
    - ii. Change to packaging rules for qualifications - changing the requirements in relation to the allocation of core and elective units;
    - iii. Merging of two units of competency into one;
    - iv. Change to pre-requisites, co-requisites or entry requirements;
    - v. Change to assessment guidelines;
    - vi. Deleted/Expired Training Package
3. Determine an Action Plan (within 1 month of Report Changes)
  - Once the change has been confirmed and reported, the RTO Manager is to determine an action plan for reviewing, understanding and updating all changes to relevant areas of operations. Note, for deleted/expired qualification or units of competency the action plan and changes must be initiated immediately.
  - Changes are to be planned for:
    - i. *Training and Assessment Strategy* - to ensure higher level changes are made i.e. additional industry consultation, new preferred electives. [Documents affected may include: Training and Assessment Strategy document]
    - ii. *Training and Assessment Materials* - to ensure they remain current and satisfy the Training Package requirements. [Documents affected may include: Mapping documents, Workbooks, Online program, Markers Guide]
    - iii. *Other Student Administration Documents and Systems* that may be affected by the change in the Training Package. [Documents may include: Student Handbook, Marketing Collateral, Wisenet unit offers, Certificates, Websites, Trainer Element matrix]
4. Report Changes (immediately at Completion of Action Plan)

- Create a Transition of Training Package Business Case for the Proteus Executive team. Include: objective, scope, action plan, suggested timeframe and person(s) responsible.
5. Action Changes (within 2 Months of Reporting Changes)
    - The person(s) responsible are to implement changes as outline in the action plan.
    - All completed changes are to be reported to the RTO Manager.
  6. Communicate Changes to Staff (within 7 days Completing Changes)
    - Email all Proteus Training and Education staff (including trainer and assessors and student administration teams) to notify them of the transition of the Training Package and the changes to documentation. This is to ensure that staff can provide students with correct information and support students through their transition.
  7. Communicate Changes to Clients (within 7 days of Communicating to Staff)
    - Email all continuing students to notify them of the changes to the Training Package and what this means for them. This is to ensure that students are aware and have fully considered all the options available to them. Students are not to be disadvantaged in any way.
  8. Report Completion to Executive team (within 7 days Communicating to Clients)
    - The RTO Manager is to report to the Executive team at the completion of the transition of Training Package. This is to ensure the Executive team is aware of the completion of the transition.

### 3 References

Standards 1.26, 1.27  
General Direction for Transition and Teach Out

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## 1 Version Control Policy

- 1.1 Proteus Education And Training uses a variety of software to create documents such as In-Design, Word Documents, HTML and PDFs. These are then stored on Dropbox for policies and procedures, Salesforce (for trainers and assessors to access), or Moodle for Training and Assessment purposes.
- 1.2 All hardcopy training materials are created through In-Design and are strictly version controlled. They will follow the naming protocol of Program Code - Year - Module - Version – Page. Each time a change is made the Version number changes a whole unit e.g. from 2 to 3.
- 1.3 Online Training and Assessment materials are regularly updated. Copies of superseded content are kept on the Moodle Online Learning Management System. Changes to spelling, grammar or non-accredited additional resources are not reflected in numbering. The version number is recorded in the Course ID on both Moodle and Wisenet and is the beginning of the Course ID e.g. 1402.

## 2 End of Year Process

### 2.1 Checklist

- Pre-Christmas: Remind all Trainers/Assessors to send their suggestions for continuous improvement through to the Director of Education for consideration
- Pre-Christmas: All materials/suggestion for continuous improvement of training and assessment are delivered to Director of Education and RTO Manager
- Pre-Christmas: All materials/suggestion for continuous improvement of RTO Policy and Procedures are delivered to the RTO Manager and CEO
- Post Christmas: Update all students' Commencing Course ID (CCID) from '3 Commencing enrolment in the qualification or course' to '4 Continuing enrolment in qualification or course from a previous year':  
[http://help.mywisenet.com.au/AVETMISS:\\_Bulk\\_update\\_Commencing\\_Course\\_ID](http://help.mywisenet.com.au/AVETMISS:_Bulk_update_Commencing_Course_ID)
- Post Christmas: Back up / archive previous years Master copies on Moodle
- Post Christmas: Update the Master copies on Moodle for the new year based on the changes made by the Director of Education and RTO Manager
- Post Christmas: Update the RTO Policy and Procedures as directed by the RTO Manager and CEO

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## 1 Staff Management Policy

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### 1.1 Recruitment

Staff recruitment: Before recruiting staff the required competencies for the vacancy are identified. From this employment advertisements are developed which contain the required competencies as part of the selection criteria. Applicants are then interviewed and assessed against these competencies.

### 1.2 Induction

When new staff are recruited, they undergo an induction session conducted by the CEO and/or other senior department staff. This induction covers all our policies and procedures. A Staff Induction list is used to ensure Proteus consistently gives the same information.

RTO induction is completed by the RTO Manager to ensure the new staff member understands the VET Framework and relevant legislation.

As part of this induction the new staff member is presented with a copy of the RTO Policy and Procedures, Student Handbooks and relevant User Guides.

### 1.3 Professional Development

Each year a Staff-Planning days are held where all members of the staff meet together to discuss the future of the organisation and any improvements.

Every two months a National Educator Day is held and lead by the Director of Education to develop the trainers and facilitators at the organisation.

All staff are encouraged to attend Professional Development courses run by Proteus Leadership and other providers.

All facilitators will attend a training program for the course that they will be delivering and be coached by the Director of Education. They may also have an internal mentor.

### 1.4 Performance Management

At Proteus Enterprises Pty Ltd, Performance Management is a two-way process between the management and employees, negotiated between both parties and focussed on the achievements of agreed goals.



## 1.5 Verification of Trainer and Assessor Qualifications

A list of RTO trainers and assessors is maintained on the RTO Trainer and Assessor List. This list details qualifications and experience in a clear, concise format. Photocopies of stated qualifications are kept on file (if photocopies are not kept then the originals are sighted and the issue date recorded in the list and signed off by the verifying officer). Experience is verbally assessed when a new trainer/assessor is employed and depending on stated experience a challenge test may be conducted to verify stated claims.

## 2 Supporting Documents

Induction Policy  
Trainer and Assessors Matrix  
Trainer and Assessor Element Mapping

## 3 References

Standards 1.13, 1.14, 1.15, 1.16, 1.21, 1.22, 1.23

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## 1 Workplace Health And Safety Policy

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Proteus Education and Training is committed to ensuring that all legislative requirements are met and are committed to the integration of health, safety and welfare into workplaces and work practices.

Proteus Education and Training will, as far as it is reasonably practicable, provide and maintain:

- A safe workplace and a safe and healthy working environment.
- Safe systems of work.
- Adequate facilities in accordance with regulations and accepted Australian Standards.
- Information, instruction, training and supervision to ensure all employees are safe from injury and risk to health.
- Information to employees (in appropriate form and languages) on health, safety and welfare in the workplace.

### 3.2 Communication of Legislation

Applicable Legislation:

- Work Health and Safety Act 2011
- VIC: Occupational Health and Safety Act 2004
- WA: Occupational Safety and Health Act 1984

Legislation is communicated to staff and clients through

- Induction Programs
- Course Advertising Information
- Student Handbook

### 3.3 Health and Safety in Courses

Proteus Education and Training values the health and safety of students throughout this training course. At Proteus all selected venues and training locations for public programs meet current Australian Standards and regulations for:

#### **Emergency Evacuation**

In the case of evacuation please follow the instructions of a Venue Staff Member. All Proteus Staff are briefed on relevant evacuation procedures, by a venue representative, prior to the commencement of the course.

## **WHS**

Proteus Education and Training works closely with all venues to ensure the environment remains safe and risks are eliminated, following the venue's internal WHS guidelines.

## **Food and Beverage**

Each venue is responsible for providing clean and hygienic food and beverages. If at any time a student is not satisfied they are to alert Proteus Staff. Students are requested to make Proteus Education and Training aware of any special dietary requirements two weeks prior to the course commencement.

## **Facilities Minimum Requirements**

Through the use of the Venue Checklist document Proteus Education and Training ensures that training is conducted at the highest quality venues and that at a minimum the following requirements meet current Australian Standards at all venues selected for public programs:

- Evacuation Policy & Procedures
- Emergency Policy & Procedures
- Fire Emergency & Evacuation
- WH&S Safety Requirements
- Car parking Standards
- Public & Private Liability Insurance

Proteus Enterprises Pty Ltd has a minimum \$10,000,000 Public Liability Cover in place.

## **2 Supporting Documents**

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Induction Programs  
Course Advertising Information  
Student Handbook  
Insurance Policy  
Venue Checklist

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## 1 Privacy Policy

Proteus Education and Training appreciates and highly values the relationship it has with our students. As an important part of this relationship, Proteus is committed to protecting the personal information that clients entrust.

Proteus Education and Training seeks to observe the privacy safeguards laid down by the Australian Privacy Principles 2014 when collecting, storing, using and disclosing personal information. Proteus also gives individuals access and correction rights in relation to their personal information in compliance with the Privacy Amendment Act 2012.

## 2 Supporting Documents

Privacy Amendment Act 2012

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## 1 Disciplinary And Bullying Policy

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1.1 To ensure all course students receive equal opportunities and gain the maximum from their time with us, these rules apply to all people that attend any of our sessions. Any person(s) whom displays dysfunctional or disruptive behaviour may be asked to leave the session and/or the course.

Dysfunctional behaviour may include:

- Continuous interruptions to the trainer whilst delivering the course content.
- Smoking in non-smoking areas.
- Being disrespectful to other students.
- Harassment by using offensive language.
- Sexual harassment.
- Acting in an unsafe manner that places themselves and others at risk.
- Refusing to participate when required in group activities.
- Continued absence at required times.

Any person who is asked to leave a session or course has the right of appeal through the appeals process.

### 1.2 Bullying policy

Proteus Education and Training is responsible for ensuring a safe and healthy learning environment for all students. Proteus does not and will not tolerate any form of bullying or harassment.

Harassment generally involves conduct, comments or displays that make you feel intimidated, humiliated, offended, embarrassed, belittled, degraded or otherwise causes offence.

Should a student feel they are being harassed by a Proteus Staff member they should inform another Proteus Staff member who will assist the Student access the Complaint Form. Should a facilitator be found guilty of bullying or harassment, their employment may be terminated.

Should a student feel they are being harassed by another student they are advised to inform their facilitator. The facilitator will be responsible for notifying the offender of their action(s) and the affect they having on the fellow student. If the bullying or harassment is serious and continues despite being told by the facilitator, that student will be asked to leave the classroom, their enrolment will be terminated and all fees paid will not be refunded.

## 2 Supporting Documents

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Complaints Policy  
Complaints & Appeals Form

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