No.	POLICY NAME	Standards for RTOs 2015 – Specifically	Secondary	Procedures	Forms
1	Access and Equity	**8.5**	**6**	**Nil**	**Nil**
2	Appeals	6.2, 6.3, 6.4, 6.5, 6.6	2.1, 2.2, 2.4,	1. Initial review of appeal 2. Lodgement of appeal 3. Processing an appeal 4. Conduct Reassessment 5. Finalising the Appeal 6. Referral to External Arbitrator	• Appeal Lodgement Form • Appeal Progress form
3	Assessment	1.4, 1.8, 1.12	1.1, 1.3, 1.7, 2.1, 2.2, 2.4	1. Assessment Submission 2. Observable Assessment – Training Environment 3. Observable Assessment – Workplace Environment	• Assessment Received Register • Assessment Outcome Form • Trainee Visit Form
4	Audit	2.1, 2.2, 2.4, 8.1, 8.2		1. Internal Audit 2. External Audit	• Audit Schedule Register
5	Client Information	1.12, 4.1, 5.1, 5.2, 5.3, 5.4			• Client information matrix register
6	Complaints	6.1, 6.3, 6.4, 6.5, 6.6	2.1, 2.2, 2.4	1. Initial review of complaint 2. Lodgement of complaint 3. Processing the complaint 4. Referral to external arbitrator 5. Finalising the complaint	• Complaint lodgement form • Complaint progress form • Complaints register
7	Continuous Improvement	2.2,	2.1, 2.4	1. Submit CI Request 2. CI Management Review and approval 3. Implement CI Action 4. Management approval of changes 5. Implementation and communication 6. Trial and Review CI	• Continuous Improvement Request form • Continuous Improvement Register
8	Enrolments	1.2, 1.7, 5.1, 5.2,	1.12, 5.3, 5.4	1. Initial enquiries 2. Follow-up Initial enquiry	• Enrolment form • Course withdrawal/transfer form

No.	POLICY NAME	Standards for RTOs 2015 – Specifically	Secondary	Procedures	Forms
				3. Processing course enrolments 4. Client withdrawal/deferral	• Client file note • Group booking form • Client induction checklist • Training plan form
9	Evaluation	2.2, 2.4	1.1, 1.5, 1.6, 2.1,	1. Seeking client course evaluation (F2F) 2. Seeking client course evaluation online 3. Seeking staff evaluation 4. Collate evaluation feedback 5. Continuous improvement	• Course evaluation form • Trainer evaluation form • Client assessment evaluation form • Assessor evaluation form • Course report form • Employer questionnaire • Learner questionnaire
10	Financial Management	5.3, 7.2, 7.3, Schedule 6			• Asset register • Suppliers register
11	Issuing Certification	3.1, 3.2, 3.3, 3.4, 3.6, Schedules 4 & 5		1. Issuing Replacement certification documentation 2. Authorisation by Director 3. Processing certification documentation 4. Processing payment 5. Issuing certification documentation 6. Authorisation by Dir Director 7. Processing certification documentation	• Certification Issuance Authority form • Replacement certificate request form
12	Legislation Compliance	8.5, 8.6			• Legislation Register
13	Management of RTO	1.3, 2.1, 2.2, 2.4, 7.1, 7.2, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4 Schedule 3		1. Compliance management 2. Business management	• Business support suppliers register
14	Marketing	4.1, 5.2, 5.1, 5.3 Schedule 4	1.12,	1. Development of marketing materials	• Marketing materials checklist

No.	POLICY NAME	Standards for RTOs 2015 – Specifically	Secondary	Procedures	Forms
				2. Authorisation of marketing materials 3. Implementation of marketing materials	
15	Partnering	2.3, 2.4, 7.3, 8.2	2.1, 2.2,	1. Development, modification of agreement template 2. Completion of written agreement with Third party provider 3. Monitoring the agreement with Third party provider 4. Termination of written agreement with Third party provider	• Partnering agreement template • MOU Register
16	Privacy	8.5		1. Client access to own records 2. Client allowing access of their records to a third party	• Privacy disclosure form • Photo consent form
17	Recognition	1.4, 1.8, 1.12, 3.5	1.1, 1.2,	1. RPL / RCC application 2. Credit transfer application	• Credit transfer application form • RPL Application form
18	Records Management	3.4, 3.6 Schedule 5	3.3,	1. Course records & file 2. Corporate client records & file 3. Client records & file 4. Staff records & file 5. Archiving records	• Training Attendance Form • Course File Checklist • Client File Checklist • Corporate Client File Checklist • Staff File Checklist • Archive Register Form • Course Checklist Form • Nomad File Visit Records Form • Client File Note • Archive Register
19	Refunds	5.3		1. Lodgement of refund – by client 2. Refund of fees – due to course cancellation	• Refund request form • Refund request register

No.	POLICY NAME	Standards for RTOs 2015 – Specifically	Secondary	Procedures	Forms
				3. Management approval for refund 4. Finalise a refund request processing the refund	
20	Staff Policy	1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, 1.21, 1.22, 1.23, 1.24, Schedule 1	1.3, 2.1, 2.2, 2.4		• Staff personal details form • Staff file not form • Trainer/assessor competency mapping • Staff induction checklist form • Staff induction Session sign-off • Staff file checklist • Trainer observation assessment form • Trainer professional development register • Trainer qualification register • Trainer professional development plan • Direct supervision record form • Direct supervision plan
21	Training and Assessment Strategies and Resources	1.1, 1.2, 1.3, 1.4, 1.5, 1.6,	1.8, 2.1, 2.2, 2.4		• TAS Template • Industry Consultation form • Mapping document template • Resource development progress form • Training Resource Register •
22	Training Delivery	1.1, 1.3, 1.7, 2.4	1.5, 1.6, 2.1, 2.2,	1. Scheduling and Set-up of Courses 2. Conducting Training	• Course Checklist form • Course Nomad File form • Course report form • Course Evaluation form • Trainer Evaluation form • Client assessment evaluation form • Assessor evaluation form • Course file checklist

No.	POLICY NAME	Standards for RTOs 2015 – Specifically	Secondary	Procedures	Forms
					• Group Booking enquiry form • Delivery sites register
23	Transition of Training Packages	1.26, 1.27, 5.4	1.1, 1.3, 1.4,	1. Amendment to scope of delivery 2. Transition of clients	Transition qualification form
24	Validation	1.4, 1.5, 1.6, 1.9, 1.10, 1.11, 1.25, 2.2, 2.4 Schedule 2	1.1, 2.1,	1. Validation planning 2. Organising validation meeting 3. Conducting the validation meeting 4. Processing validation meet outcomes	• Validation form • Validation meeting register
25	Workplace Health & Safety	8.5			• Near miss form • Incident report form