

5TH POINT

Candidate Handbook



5th Point Group

Operations | Australia | New Zealand

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5th Point Candidate Handbook

Welcome

Thank you and congratulations for choosing 5th Point to assist you to achieve your training goals.

5th Point is committed to providing high quality standards of vocational education and training. We aim to provide a fun and friendly atmosphere in which to learn.

5th Point will ensure that you will receive the opportunity to fulfil your personal potential during your training and every endeavour will be made by staff to meet your individual needs.

In this handbook you will find information about 5th Point's policies and procedures, together with forms and documents that you may need to refer to and/or complete.

If you have any suggestions on how we can improve our policies and procedures, or identify any other opportunities for 5th Point to improve, please contact one of our Management Team.

We sincerely hope your time at 5th Point Training is a memorable and productive learning experience.

If you require any assistance with understanding the information in this handbook, including our policies and procedures, please do not hesitate to ask your trainer or a member of 5th Point Management for assistance.

Yours sincerely



Leigh Greenwood

Global Operations Director

5th Point Pty Ltd

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1. Introduction

About 5th Point

5th Point was founded in 2002 and has been operating and training within the working at heights sector for the last 15 years. We primarily train the only internationally recognised industrial rope access qualification (IRATA) and hold full membership with IRATA in both training and operations.

Over the last decade, 5th Point has continued to grow and develop, becoming the leading IRATA training company in Australasia, training over half of all IRATA technicians in the region.

We have a purpose built training facility in Brookvale, NSW, with provision for training industrial rope access, working safely at height and enter and work in confined spaces.

5th Point has provided training in various nationally recognised units of competency since 2008, through partnerships with various other Registered Training Organisations (RTO's).

To support our commitment to providing the highest quality of training, in 2014 5th Point made the decision to register as an RTO. We underwent audit and registration in 2015.

We look forward to meeting and exceeding your training needs, including by:

- Delivering custom 5th Point training products and materials
- Utilising only highly skilled and knowledgeable trainers
- Maintaining our trainer experience in relevant operations
- Delivering training in a practical and hands on manner wherever possible
- Understanding industry requirements and pushing for continual evolution of operational processes and associated training practices.

About this Candidate Handbook

This candidate handbook has been prepared to assist you to navigate your training journey with us here at 5th Point.

Relevant sections of our policies and procedures have either been incorporated here or referenced and included as an appendix.

A range of common forms has also been referenced and included as an appendix for easy access where required.

If you have any questions or concerns please don't hesitate to get in contact with your trainer, our administration staff or any other member of 5th Point Management, including the Global Operations Director or RTO Manager.

Key Contacts

Administrative, equipment / PPE and retail sales queries, are to be directed to the General Manager, Deborah Chick (deborah@5thpoint.com.au).

Human resource enquiries, including work health and safety queries or concerns, or complaints / appeals, are to be directed to the RTO Manager, Rebecca Foxen (rebecca@5thpoint.com.au).

Trainers can be reached through the generic email training@5thpoint.com.au.

If you are uncomfortable approaching any other identified contact please feel free to contact the Global Operations Director, Leigh Greenwood (leigh@5thpoint.com.au).

2. Quality and Compliance Strategy

Quality and Compliance Statement

5th Point's *Quality and Compliance Strategy (TR-001)* has been written against the requirements of the VET Quality Framework, which incorporates:

- The Standards for NVR Registered Training Organisations 2015 (the Standards)
- The Australian Qualifications Framework 2013
- The Fit and Proper Person Requirements 2011
- The Financial Viability Risk Assessment Requirements 2011
- The Data Provision Requirements 2012.

Each of the requirements of the VET Quality Framework has been addressed through the implementation of policy statements and operational procedures.

Maintenance of Insurance

5th Point will maintain public liability insurance, at all times, to cover the full scope of its operations, including provision of training / assessment in high risk work environments.

Based on current operations, 5th Point has identified that public liability insurance of \$20 million is appropriate to the full scope of its operations, however this will be reconsidered and confirmed at each policy renewal.

For more information please refer to 5th Point's *Quality and Compliance Strategy (TR-001)*.

Legal Compliance

5th Point will ensure it complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations and that staff and clients are informed of any changes that affect relevant operations.

Although not possible to provide an exhaustive list in this forum, 5th Point acknowledges its responsibilities in the following areas:

- Work Health and Safety
- Provision of Equal Rights and Opportunities
- Anti-Discrimination
- Harassment and Bullying
- Privacy
- Marketing
- Intellectual Property
- Industrial Relations
- Competition and Fair Trade.

For more information please refer to 5th Point's *Quality and Compliance Strategy (TR-001)*.

Provision of Services by Third Parties

5th Point will not enter into any third party arrangements for the delivery of training or assessment.

In the event 5th Point amends this policy, an operational procedure will be developed for the management of third party services.

For more information please refer to 5th Point's *Quality and Compliance Strategy (TR-001)*.

Training Guarantee

5th Point will guarantee to complete all training and/or assessment once the candidate has commenced study in their chosen unit of competency, unless the student submits a formal written request for withdrawal (i.e. letter or email) notifying 5th Point that they wish to withdraw.

3. Enrolments

Course Enrolment

Each candidate is required to complete the Course Enrolment (TG-F01) and pay relevant course fees prior to course commencement.

As well as the Course Flyer and *Course Enrolment Form (TG-F01)*, each candidate will be provided access to this candidate handbook as part of the enrolment process.

On receipt of a completed *Course Enrolment Form (TG-F01)*, the RTO Manager, General Manager or other member of 5th Point Management, will confirm that the prospective candidate has received and understands:

- The information contained in the Course Flyer
- The candidates rights and responsibilities as outlined in the Candidate Handbook (TG-005)
- The applicability of the course to the candidates employment or prospective employment
- The availability of educational and other support services.

For more information please refer to 5th Point's *Candidate Enrolment Policy and Procedure (TG-002)*.

Unique Student Identifier (USI)

5th Point will require all prospective candidates to provide their Unique Student Identifier (USI) as part of the enrolment process. A candidate's enrolment will not be processed until a USI is provided.

5th Point staff must verify the USI and candidates details at www.usi.gov.au.

For more information please refer to 5th Point's *Candidate Enrolment Policy and Procedure (TG-002)*.

Candidate Confidentiality

5th Point is committed to maintaining confidentiality of all candidate information collected, including personal information collected as part of the enrolment process.

5th Point will maintain confidentiality of all candidate information collected, including (but not limited to):

- Personal information
- A candidate's USI
- Statements of Attainment and learning records
- Complaints and appeals.

Candidate information is only to be disclosed with approval from the candidate or for the purpose of providing accurate and complete records to the VET Regulator.

For more information please refer to 5th Point's *Candidate Enrolment Policy and Procedure (TG-002)*.

4. Course Fees and Refunds

Course Fees

5th Point requires prepayment of all course fees to confirm the candidate's place. Therefore full course fees are required to be paid at enrolment.

5th Point proposes to only offer Units of Competency from the VET Framework (i.e. no full qualifications) with no individual VET Framework course fee exceeding \$1500.

The course fees include the cost of relevant materials and provision of a Statement of Attainment.

Please refer to the course flyer for individual unit of competency course fees, including any other relevant fees for administration or materials.

Refunds

Refunds may be made in the following circumstances:

- Candidates have overpaid the course fees
- Prospective candidates have enrolled in training that has been cancelled by 5th Point
- Prospective candidates have withdrawn from the course and provided 7 days notice (in writing) to 5th Point
- Prospective candidate withdraws from the course (without providing 7 days notice) due to illness or extreme hardship and 5th Point Management agree to exercise discretion.

For more information please refer to 5th Point's *Candidate Enrolment Policy and Procedure (TG-002)*.

Withdrawal

Where a candidate withdraws from the course without providing 7 days notice in advance (in writing), the candidate will forfeit the full amount of the course fees to 5th Point.

5. Candidate Support

Identification

The enrolment process is the primary opportunity for identification of candidates requiring access to educational and/or support services.

In particular, LLN Assessments will be conducted at enrolment for all candidates who identify that they may have concerns regarding their language, literacy or numeracy capabilities, or who identify that they may have concerns understanding course content due to English being their second language.

It is the responsibility of the trainer to monitor candidate progress and notify the RTO Manager if any support needs are identified throughout the learning process.

Candidates are also encouraged to express their views about their learning needs at all stages of their learning experience either by speaking to their trainer or the RTO Manager.

Types of Support

Candidate support needs may include, but are not limited to, the following:

- Flexibility of training hours or venue
- Accommodation of physical or learning disability
- Access to materials and equipment
- Assistance with knowledge and understanding of the subject
- Validation of current competencies
- Use of technology or specific equipment to assist learning
- Consideration of cultural beliefs, traditional practices / religious observances
- Referral to support services (i.e. hardship services such as Lifeline or support services for addictions like drugs and alcohol)
- Payment arrangements
- Assistance with language, literacy or numeracy
- Adjustments to physical environment(s).

For more information please refer to 5th Point's *Candidate Support Policy and Procedure (TG-003)*.

3. Certification

Statements of Attainment

5th Point will only issue a Statement of Attainment (or other AQF certification documentation) to a candidate who has been assessed as satisfactorily meeting the requirements of the relevant Unit of Competency Training Package.

Candidates who complete one or more Unit of Competency but not a full set of units required for a qualification are entitled to a Statement of Attainment for the Units of Competency completed.

Unique Student Identifier (USI)

5th Point is not to issue a Statement of Attainment to a candidate who has not provided a USI unless a legislative exemption applies.

Timing for Issue of Statements of Attainment

5th Point will endeavour to issue Statements of Attainment to candidates within two weeks of course completion.

Where 5th Point is unable to issue a Statement of Attainment within two weeks of course completion, the Statement of Attainment will be issued no later than 30 calendar days of course completion.

A Statement of Attainment may be withheld till full payment of all course fees has been received.

Reissue of Statement of Attainment

Candidates are responsible for the safe storage of their Statements of Attainment. If a candidate requires reissue of their Statement of Attainment, a reissue fee of \$40 will be charged.

Credit for Learning at other RTO's

As 5th Point only offers individual Units of Competency, which require regular renewal to meet industry expectations, candidates will be expected to undertake the relevant course and assessment to receive a Statement of Attainment from 5th Point for that Unit of Competency.

7. Candidate and Trainer / Assessor Feedback

5th Point is committed to systematically reviewing and improving its policies, procedures, products and services in order to generate better outcomes for candidates and meet changing industry and sector requirements.

For more information please refer to 5th Point's *Continuous Improvement Strategy* (QA-002).

As part of the continuous improvement process, 5th Point will collect and respond to candidate and trainer / assessor feedback in a timely and considered manner.

The *Training Evaluation Form* (QA-F01) will be distributed to all participating candidates at the completion of each course.

For more information please refer to 5th Point's *Candidate and Trainer Feedback Procedure* (QA-004).

8. Work Health and Safety

Work Health and Safety Statement

5th Point is committed to ensuring a safe and healthy working environment.

5th Point believes that most work-related injuries are preventable and that a zero accident target is not only desirable, but also possible.

5th Point considers nothing more important in the undertaking of work than the prevention of injury or ill health to people in its workplace.

For more information please refer to 5th Point's *WHS Policy and Procedure (HR-002)*.

5th Point's Responsibilities

5th Point accepts primary responsibility for ensuring the health and safety of employees and contractors and others affected by work carried out by its employees and contractors.

5th Point accepts primary responsibility for ensuring that premises under its control, the means of entering and exiting the premises and anything arising from the premises are without risks to the health and safety of any person.

For more information please refer to 5th Point's *WHS Policy and Procedure (HR-002)*.

Incident / Injury Reporting

All incidents and injuries to 5th Point employees or contractors, or occurring on 5th Point controlled premises must be reported by completion of an *Incident Report Form (HR-F08)*.

Completed *Incident Report Form's (HR-F08)* must be provided to the RTO Manager for investigation and reporting.

For more information please refer to 5th Point's *WHS Policy and Procedure (HR-002)*.

First Aid

All Level 3 Rope Access Technicians must hold appropriate First Aid qualifications and will act as work site first aiders.

All other first aiders on each worksite will be identified on the relevant Safe Work Method Statement (SWMS) or other risk assessment documentation.

A first aid kit must be made available at all work sites in a prominent and accessible location.

The location of first aid kits must be clearly advertised at all 5th Point controlled work sites.

For more information please refer to 5th Point's *WHS Policy and Procedure (HR-002)*.

5. Bullying and Harassment

Definitions

Bullying is repeated verbal, physical, social or psychological behaviour that is harmful and involves the misuse of power by an individual or group towards one or more persons.

Examples of bullying include: humiliation, domination, intimidation and victimisation.

Harassment is the systematic act and/or continued unwanted and annoying action by an individual or group towards one or more persons, including threats and demands.

Harassment may occur as a result of race, disability, gender identity, religion, and sexual preference.

Discrimination is treating, or proposing to treat a person or group of persons less favourably than others based on an identifiable difference.

Discrimination may occur as a result of age, race, disability, impairment, gender identity, religion, marital status, pregnancy, parenthood, breastfeeding, political opinion, irrelevant medical record, irrelevant criminal record, sexual preference or association with a person who has, or is believed to have, an attribute referred to in this section.

For more information please refer to 5th Point's *Bullying and Harassment Policy and Procedure (HR-004)*.

Bullying, Harassment and Discrimination Statement

5th Point is committed to ensuring a work and training environment free from bullying, harassment and discrimination.

5th Point will not accept bullying, harassment or discrimination by any person(s) against any other person(s) on a premise under the control of 5th Point.

5th Point recognises that there is an acceptable level of banter between person(s) in the workplace.

All person(s) retain the right to clearly express concerns or dissatisfaction with any actions or behaviour that causes offence, and the offending person(s) must respectfully cease their behaviour.

For more information please refer to 5th Point's *Bullying and Harassment Policy and Procedure (HR-004)*.

Disciplinary Action

All persons who violate this 5th Point's *Bullying and Harassment Policy and Procedure (HR-004)* are subject to removal from premises controlled by 5th Point.

Complaints

Any affected person may make a complaint against any other person (regardless of rank or position) in accordance with the *Complaints Policy and Procedure (TG-004)*.

10. Complaints and Appeals

Assessment Practices

All trainers / assessors must ensure that assessments are completed in accordance with the requirements of the relevant Training Package.

Assessment procedures must recognise equity issues while ensuring the integrity of the assessment process.

Trainers / assessors must advise students, at the commencement of the course, of the elements of competency, the assessment methodology and when the assessments are to be conducted.

5th Point recognises that grievances can arise from time to time and believe that the quick settlement of these matters is in the best interests of all parties concerned.

Appeals

5th Point will respond to all grievances in a timely and fair manner in accordance with relevant processes.

5th Point defines an appeal as an earnest request for reconsideration of a result given by a trainer / assessor due to a belief that the result given was unfair or unjustified.

For more information please refer to 5th Point's *Appeals Policy and Procedure (TG-005)*.

11. Assessment and Recognition of Prior Learning

Assessment Practices

All assessments conducted by 5th Point will be competency based and are designed to determine whether candidates can demonstrate the targeted competencies.

Assessors are responsible for ensuring that all assessments are conducted in accordance with relevant instructions contained in the tools as well as the principles of assessment and rules of evidence.

For more information please refer to 5th Points Assessment and Recognition of Prior Learning (TR-005).

Additional Assessment Opportunities

Where a candidate is deemed not yet competent on completion of their training and assessment and are provided an opportunity to schedule a reassessment (in accordance with the relevant Unit of Competency requirements as set by 5th Point) a date for the reassessment is to be negotiated with 5th Point.

A reassessment fee of \$80 is applicable to all reassessments.

For more information please refer to 5th Point's *Candidate Enrolment Policy and Procedure* (TG-002).

Fee for Recognition of Prior Learning Application

An application for RPL must be accompanied by full payment of the relevant Unit of Competency course fees.

A discount of 10% of the course fees may be applied at the discretion of the RTO Manager where it is determined that assessment of the RPL application will be relatively simple or the candidate is able to attend a previously scheduled assessment for the same Unit of Competency without altering teaching / assessment ratios.

A determination that additional evidence is required to support the RPL application will not incur any further fees.

For more information please refer to 5th Point's *Assessment and Recognition of Prior Learning* (TR-005).

Appendix A – Policies and Procedures

The following policies and procedures are attached to this candidate handbook for your reference if required. Please contact your trainer or a member of 5th Point Management for any further assistance.

- *Continuous Improvement Strategy (QA-002)*
- *Trainer and Candidate Feedback Procedure (QA-004)*
- *Environmental Strategy (QA-005)*
- *WHS Policy and Procedure (HR-003)*
- *Bullying and Harassment Policy and Procedure (HR-004)*
- *Drug and Alcohol Policy and Procedure (HR-005)*
- *Candidate Enrolment Policy and Procedure (TG-002)*
- *Candidate Support Policy and Procedure (TG-003)*
- *Complaints Policy and Procedure (TG-004)*
- *Appeals Policy and Procedure (TG-005)*
- *RTO Quality and Compliance Strategy (TR-001)*
- *RTO Training and Assessment Strategies (TR-002)*
- *Marketing and Information to RTO Candidates (TR-003)*
- *Candidate Certification Policy and Procedure (RTO) (TR-004)*
- *Assessment and Recognition of Prior Learning (TR-005)*
- *RTO Assessment Validation (TR-006)*
- *RTO Data Collection and Reporting (TR-007)*
- *Training Venue Emergency Evacuation Plan (Aus) (TV-003)*

Appendix A – Common Forms

The following common forms are attached to this candidate handbook for your reference and completion if required. Please contact your trainer or a member of 5th Point Management for assistance.

- *Course Enrolment Form (QA-F03)*
- *LLN Assessment (TG-F03)*
- *Training Evaluation Form (QA-F01)*
- *Complaints Form (TG-F04)*
- *Appeal Form (TR-F06)*
- *Incident Report Form (HR-F08)*

12.0 Publication Details

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Policies and Procedures



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QA-002 Continuous Improvement Strategy

1.0 Purpose

1.1 To provide an effective and systematic approach to continuous improvement within the organisation, including collection of relevant information (or data), analysis of that information and application of corrective actions to improve practices.

1.2 To ensure 5th Point is compliant with the Standards for NVR RTO's by monitoring and improving practices through a continuous improvement process and by instilling a culture of compliance.

2.0 Scope of this Policy / Procedure

2.1 This *Continuous Improvement Strategy (QA-002)* is applicable to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on premises under the control of 5th Point.

3.0 Commitment to Continuous Improvement

3.1 5th Point is committed to systematically reviewing and improving its policies, procedures, products and services to generate better outcomes for candidates and clients as well as to meet changing industry and sector requirements.

4.0 Collection of Information

4.1 Relevant information is collected through actively engaging with key stakeholders, around training activity, operational rope access projects and other business processes.

4.2 Information / data is collected through the following mechanisms:

- Annual Internal Audits;
- Candidate Enrolment;
- Candidate and Trainer / Assessor Feedback;
- External Stakeholder Meetings (Training);
- Risk Assessments;
- Quality and Compliance Meetings;
- Operational Client Feedback Discussions (Formal and Informal);
- Management Meetings;
- Informal Feedback.

4.3 Stakeholders from whom relevant information / data may be collected include:

- Management, including the RTO Manager;
- Instructors / assessors;
- Candidates;
- Employers of candidates;
- External consultants;
- Government Departments;
- Industry / sector bodies;
- Operational clients.

5.0 Opportunities for Improvement

5.1 Identification of opportunities for improvement is key to ongoing continuous improvement.

5.2 Opportunities identified may be improvements to any aspect of 5th Point's business, including opportunities arising out of processes, systems or feedback mechanisms.

5.5 All staff are encouraged to identify opportunities for 5th Point to improve its systems, processes or practices and input these in the Continuous Improvement Calendar, regardless of their source.

Note: This process may also be triggered where an operational client provides informal feedback to a 5th Point staff member. This process is however internal and not usually directly utilised by external clients.

6.0 Opportunity for Improvement Process

6.1 Where the data / information collected results in the identification of an opportunity for improvement (OFI), and the identified change is immediately implemented, an event is created in the Continuous Improvement Calendar for the date the improvement was made, which identifies and outlines:

- The OFI;
- Any improvement / action undertaken;
- The source of the OFI;
- The person responsible for the implementation of the improvement / action.

Note: Where the data / information collected results in the identification of an OFI, and the identified change is NOT immediately implemented, an event is created in the Continuous Improvement Calendar for the date the improvement is intended to be made.

6.2 A single recurrence of the event is also to be entered for a period of 1 to 3 months from the date of implementation, at which time a review of the OFI and the implemented change is to be undertaken and the following noted in the calendar event:

- The successfulness of the improvement / action;
- The person undertaking the review;
- Any other points of relevance.

7.0 Interaction with Other Procedures

7.1 Management is responsible for collating data / information collected to be considered at the following Quality and Compliance Meeting.

7.2 There is no need for duplication of this information through the opportunity for improvement process. Information collated as part of another relevant business process (i.e. candidate and trainer / assessor feedback) does not need to give rise to an entry into the Continuous Improvement Calendar, unless this is the best means of tracking and following up identified improvements.

8.0 Internal Audits

8.1 The approach to conducting and reporting on internal audits is outlined in the *Internal Audit Procedure (QA-003)*.

9.0 Candidate Enrolment

9.1 Candidate enrolment, including information collected as part of the process, is outlined in the *Candidate Enrolment Policy and Procedure (TG-002)*.

10.0 Candidate and Trainer / Assessor Feedback

10.1 The approach to collecting and acting on candidate, trainer and assessor feedback from courses is outlined in the *Candidate and Trainer Feedback Procedure (QA-004)*.

11.0 External Stakeholder Meetings (Training)

11.1 Ongoing engagement with external stakeholders, particularly those involved in relevant industry and the working at heights sector, is integral to maintain the relevance of training practices.

11.2 The approach to external stakeholder engagement is outlined in the *RTO Training and Assessment Strategies (TR-002)*.

12.0 Risk Assessments

12.1 Organisational risk assessments are conducted as part of the business planning process.

12.2 Identification of significant opportunities for improvement to business and/or training practices should follow the opportunity for improvement process, however implementation of new controls or small changes to processes will be discussed at the Quality and Compliance Meetings as part of the risk assessment process associated with business planning.

13.0 Quality and Compliance Meetings

13.1 5th Point Management engage in regular informal meetings, with approximately one formal meeting (may be minuted) occurring on a quarterly basis depending on Management staff availability.

13.2 In addition, a formal quarterly Quality and Compliance Meeting will be held in March, June, September and December each year.

13.3 Quality and Compliance Meetings are designed to analyse data / information collected from 5th Points business practices.

13.4 The Quality and Compliance Meeting is a forum for the identification of improvement opportunities and development of a plan / responsibility for their implementation.

14.0 Attendance at Quality and Compliance Meetings

14.1 The Global Operations Director and General Manager are required to attend Quality and Compliance Meetings, with Area Managers and the RTO Manager to attend where identified as applicable. Meeting times may be amended to ensure this occurs.

14.2 In addition, may be desirable that Lead Instructor(s) or other Instructor's attend, depending on the proposed agenda for the meeting.

14.3 All staff will be provided the opportunity to present individual needs, stakeholder feedback in which they have an interest or continuous improvement items, which they have identified.

14.4 Although these meetings are open to all relevant staff, Management may indicate that sections of the discussion are closed to Management only where sensitive business information is to be discussed. The meeting minutes must reflect this.

15.0 Quality and Compliance Meeting Process

15.1 The process for preparing for and closing out a Quality and Compliance Meeting is as follows:

- The Global Operations Director sets the date and time of the next meeting at the end of the previous meeting;
- The date and time for the meeting will be confirmed with all required attendees within 30 days of the meeting;
- At least 7 days prior to the commencement of the meeting, the Minute Taker (usually the General Manager) will:
 - Notify all staff of the confirmed date and time of the meeting;
 - Request any additional agenda items (to be received at least five business days prior to the scheduled meeting);
 - Distribute the agenda to all meeting participants (at least two business days prior to the scheduled meeting).
- During the meeting, the Minute Taker will:
 - Ensure accurate and relevant minutes are kept;
 - Manage attendees and time to ensure all agenda items are considered;
 - Schedule a second part to the meeting to occur within 14 business days if all agenda items are not addressed.
- Following the meeting, the Minute Taker will ensure that:
 - All matters discussed are accurately recorded in the meeting minutes;
 - All matters discussed, including any changes or new actions, are accurately recorded in relevant registers (i.e. Complaints Register, Appeals Register and Opportunities for Improvement Register);
 - All outcomes of the meeting are recorded with a timeframe and responsibility for completion;
 - The recorded minutes are circulated amongst the meeting participants and stored appropriately.

15.2 The following Standing Agenda Items are to be considered at all Quality and Compliance Meetings:

- Complaints;
- Appeals;
- WHS Incidents;
- Student Feedback;
- Trainer Feedback;
- Assessment Validation Schedule;
- Assessment Validation Report(s) and TAS for associated Unit(s) of Competency (where applicable in the last quarter);
- Internal Audit Reports (where applicable in the last quarter);
- Quality Indicators;

- Continuous Improvement Strategy;
- Industry Consultation;
- Changes to Training Packages;
- Compliance Update;
- VET Regulator Requirements and Cooperation Update;
- General Administration and Training Issues;
- Previous Business;
- Business Arising;
- Business Without Notice;
- Date of Next Meeting.

16.0 Operational Client Feedback Discussions (Formal and Informal)

16.1 On completion of all operational rope access projects, the Project Manager or a relevant member of the 5th Point Management Team will either have an informal discussion with the key client contact or hold a formal feedback session with the client.

16.2 Where feedback is determined to only be necessary informally, the Manager must ensure any potentially actionable and relevant feedback is identified as part of the relevant process, usually as an opportunity for improvement.

16.3 Where any concern exists with respect to the client satisfaction following the outcome of the project or work conducted by 5th Point, a formal client feedback meeting must be held, with outcomes documented by 5th Point and any potentially actionable and relevant feedback introduced into the relevant feedback process (i.e. opportunity for improvement or complaints).

17.0 Informal Feedback

17.1 5th Point Management maintain an informal 'open door' culture where any person is welcome to approach the General Manager, RTO Manager or Global Operations Director with feedback of any kind.

17.2 Any significant informal feedback will be communicated to the General Manager and/or RTO Manager to be recorded as part of the opportunity for improvement process and discussed at following Quality and Compliance Meetings (as applicable).

QA-004 Candidate and Trainer Feedback Procedure

1.0 Purpose

- 1.1 To provide an effective and systematic approach to continuous improvement within the organisation, including collection of relevant information (or data), analysis of that information and application of corrective actions to improve practices.
- 1.2 To ensure 5th Point is compliant with the Standards for NVR RTO's by monitoring and improving practices through a continuous improvement process, including implementation of candidate and trainer feedback.

2.0 Scope of this Policy / Procedure

- 2.1 This *Candidate and Trainer Feedback Procedure (QA-004)* applies to: all persons engaged in or conducting training on behalf of 5th Point.

3.0 Candidate / Trainer Feedback

- 3.1 5th Point will collect and respond to candidate and trainer / assessor feedback in a timely and considered manner.

4.0 Candidate Feedback

- 4.1 The *Training Evaluation Form (QA-F01)* is used to collect feedback from candidates on:
- The delivery of training and assessment
 - Training facilities
 - Trainers (skills and training ability)
 - Training resources
 - Overall satisfaction with the course.
- 4.2 The *Training Evaluation Form (QA-F01)* is distributed to all participating candidates at the completion of each course.
- 4.3 These forms are to be collected by the relevant trainer after provision of at least 15 minutes for their completion.
- 4.4 The forms may be returned at a later date (within 7 days) on request of a candidate who requires more time to provide considered feedback.
- 4.5 Additional feedback may be collected via an online feedback form as required.

5.0 Trainer's Report

- 5.1 The trainer is to provide the completed *Training Evaluation Form's (QA-F01)* and the *Trainer's Report (QA-F02)* to Management within 5 business days of the completion of the training.

6.0 Collation of Feedback

6.1 Management will prepare a summary of the training feedback for:

- Discussion with relevant persons
- Presentation at a subsequent Quality and Compliance Meeting.

6.2 Any significant issues and/or opportunities for improvement that are identified are to be recorded in an *Opportunity for Improvement Form (QA-F03)* and actioned in accordance with the relevant process. See the *Continuous Improvement Strategy (QA-002)* for additional information.

6.3 Where a significant complaint is identified, the trainer (in discussion with the Management) or the General Manager is to initiate further communication with the person making the complaint and initiate the complaints process identified in the *Complaints Policy and Procedure (TG-003)*.

7.0 Addressing Feedback

7.1 Management will report both positive and negative feedback to relevant people for discussion.

7.2 These discussions are to assist in the revision and adjustment of training materials and training / assessment practices and form part of a trainer's professional development.

7.3 A summary of the training feedback will be reviewed at subsequent Quality and Compliance Meetings along with any relevant *Opportunity for Improvement Forms (QA-F03)*.

QA-005 Environmental Strategy

1.0 Purpose

1.1 To demonstrate 5th Point's commitment to leading the industry in minimising the impact of its activities on the environment.

2.0 Scope of this Policy / Procedure

2.1 This *Environmental Strategy (BP-003)* applies to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premises under the control of 5th Point.

3.0 Operational Work Sites

3.1 5th Point expects employees / contractors to leave work sites as they were found when they arrived.

3.2 All rubbish is to be removed from site at the completion of work, unless other arrangements have been made.

4.0 Waste and Spills

4.1 5th Point will minimise waste and spills as part of the planning of any operational rope access project, as well as on any premises controlled by 5th point.

4.2 Controls such as containment and isolation should be put in place where appropriate to avoid spills of hazardous substances being released into the environment.

5.0 Flora and Fauna

5.1 Flora and fauna should not be disturbed unless its removal is integral to the completion of the work and prior express permission has been provided by 5th Point Management.

6.0 Toxic Emissions

6.1 5th Point will consider opportunities to minimise toxic emissions when making significant decisions regarding vehicle selection and/or use as well as when selecting power sources (where choices are available).

7.0 Recycling

7.1 5th Point will actively promote recycling internally within the business and externally amongst customers and suppliers.

8.0 *Product and Purchase Decisions*

8.1 5th Point will consider the environmental ethos of suppliers when making significant or ongoing purchasing decisions, seeking companies that minimise the environmental impact of both production and distribution.

9.0 *Environmental Obligations*

9.1 5th Point will take action, as required, to comply with all relevant legislative environmental obligations.

9.2 All actions undertaken by 5th Point to ensure compliance with legislative environmental obligations will be designed to exceed those obligations.

HR-003 Work Health and Safety Policy and Procedure

1.0 Purpose

- 1.1 To ensure 5th Point maintains a safe and productive workplace.
- 1.2 To protect persons on 5th Point controlled premises from risks to health or safety arising out of the activities of employees / contractors at work.
- 1.3 To foster a co-operative consultative relationship between employers and employees on the health, safety and welfare of employees at work.

2.0 Scope of this Policy / Procedure

2.1 This *Work Health and Safety Policy and Procedure (HR-003)* applies to all employees and contractors of the 5th Point Group, including 5th Point Pty Ltd (Aus), 5th Point Ltd (NZ) and 5th Point Operations Pty Ltd, who are engaged in:

- operational rope access, regardless of the location the work is undertaken; or
- Work or training on a premises under the control of 5th Point.

3.0 Work Health and Safety Statement

- 3.1 5th Point is committed to ensuring a safe and healthy working environment.
- 3.2 5th Point believes that most work-related injuries are preventable and that a zero accident target is not only desirable, but also possible.
- 3.3 5th Point considers nothing more important in the undertaking of work than the prevention of injury or ill health to people in its workplace.
- 3.4 5th Point is committed to maintaining compliance with relevant work health and safety legislation and regulations.

4.0 5th Point's Responsibilities

- 4.1 5th Point accepts primary responsibility for ensuring the health and safety of employees and contractors and others affected by work carried out by its employees and contractors.
- 4.2 5th Point accepts primary responsibility for ensuring that premises under its control, the means of entering and exiting the premises and anything arising from the premises are without risks to the health and safety of any person.

5.0 Management Responsibilities

- 5.1 5th Point Management, trainers and supervisors (on operational work) have responsibility for ensuring that 5th Point meets its primary responsibilities identified above at 4.0 *5th Point's Responsibilities*.
- 5.1 Practically, this incorporates:
 - Encouraging employees / contractors to support activities aimed at prevention of workplace accidents, injuries and illnesses
 - Assisting employees / contractors to identify and assess hazards / risks

- Consulting with employees / contractors to manage (through elimination or control) identified hazards / risks
- Assisting with inspections
- Investigating work place incidents, including injuries, illnesses and near-misses
- Remaining well informed about 5th Point's work health and safety performance
- Consulting with employees / contractors about changes in the workplace that may affect health and/or safety
- Raising work health and safety concerns with other management informally, or at management meetings (formally).

6.0 Employee / Contractor Responsibilities

6.1 5th Point expects individual workers (employees / contractors) to:

- Take reasonable care for his or her own health and safety
- Take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons
- Comply with reasonable instructions given by 5th Point, Management, trainers and supervisors (on operational work).

6.2 Practically, this requires employees / contractors to:

- Use safe work practices and procedures
- Use appropriate safety devices, safeguards and equipment provided in the interests of health and safety
- Co-operate in all activities aimed at prevention of workplace accidents, injuries and illnesses
- Report unsafe or defective equipment and/or work arrangements to the Lead Trainer, RTO Manager, General Manager or Global Operations Director
- Report all accidents, injuries, illnesses occurring in the workplace or whilst travelling to or from the workplace including near misses, by completing an *Incident Report Form (HR-F08)*
- Attend periodic training provided or made available by 5th Point, which includes consideration of relevant work health and safety practices.

7.0 Employee Consultation

7.1 5th Point recognises that employees and contractors have the most detailed knowledge of the work processes and the potential hazards in the workplace.

7.2 5th Point engages employees and contractors in the review of policies and procedures, in particular this *Work Health and Safety Policy and Procedure (HR-003)*.

7.3 5th Point has a number of processes by which formal employee consultation may occur with respect to Work Health and Safety. Most of these are outlined in the *Continuous Improvement Strategy (QA-002)*, including:

- The opportunity for improvement process
- Management and employee / contractor meetings
- The *Trainer / Candidate Feedback Procedure (QA-004)*.

7.4 In addition, 5th Point's culture facilitates the informal consultation and communication between employees / contractors and Management in relation to work health and safety matters.

8.0 Work Health and Safety Communication

8.1 5th Point seeks to ensure that all its employees and contractors have a sound knowledge and awareness of the principles and expected work health and safety practices.

8.2 To achieve this outcome 5th Point will:

- Inform all new employees / contractors of the expectations and their responsibilities for work health and safety as part of the induction process, see *Recruitment, Training and Development Policy and Procedure (HR-002)*
- Provide all employees / contractors with access to 5th Point's policies and procedures, including this *Work Health and Safety Policy and Procedure (HR-003)*
- Provide regular safety bulletins on the noticeboards at 5th Point controlled premises (including both the NZ and Australian training facilities)
- Provide access to regular safety bulletins for operational technicians as part of operational site packs (primarily electronically) whereby all personnel will sign off on the *Notice Board Sign-Off Sheet (5P-003)* that they have read and understood the latest safety publications and any relevant new information
- Circulate relevant health and safety information (including safety bulletins) to all applicable employees / contractors, where other distribution of information is not considered sufficient
- Encourage employees / contractors, particularly those in Management positions, to include work health and safety training as part of their annual training and development goals and objectives
- Provide periodic training to trainers and other 5th Point employees / contractors which includes consideration of relevant work health and safety practices.

9.0 Work Health and Safety Hazards and Risks

9.1 5th Point acknowledges the inherent risk associated with working at height, particularly utilising rope access systems, as well as the added risk of conducting training in this environment.

9.2 To promote the effective management of these risks, 5th Point undertakes the following:

- An annual review of the organisational strategic and operational risk assessment incorporated in the *Business Strategy and 3 Year Plan – Aus (BP-001)*, *Business Strategy and 3 Year Plan – NZ (BP-002)* and *Business Strategy and 3 Year Plan – OPS (BP-004)*;
- A risk assessment of each training facility controlled by 5th Point, culminating in a *Training Venue SWMS and Rescue Plan* for each facility (see *TV-001* and *TV-003* for Australia and *TV-002* and *TV-004* for NZ), which are reviewed on a periodic basis;
- A risk assessment (potentially in the form of a Safe Work Method Statement) of each operational rope access contract 5th Point undertakes, see the *Rope Access Operations Policy and Guidelines (RA-001)*.

10.0 Identification and Assessment of Work Health and Safety Hazards and Risks

10.1 5th Point expects all its employees and contractors to take an active role in identifying situations with the potential to cause harm or injury in the workplace.

10.2 An identified risk or hazard is to be reported (recorded) by completion of an *Incident Report Form (HR-F08)*.

10.3 5th Point acknowledges that in many instances the identification of a risk or hazard in the workplace may result in the direct removal of its source and therefore no further action. However,

5th Point encourages employees / contractors to report these, particularly where there is the potential for the same hazard / risk to repeat or the consequence is high.

11.0 Control of Work Health and Safety Hazards and Risks

11.1 Where a potential hazard or risk has been identified, 5th Point Management must take immediate remedial action to eliminate or control the hazard / risk, in accordance with the hierarchy of controls.

11.2 Where immediate action is only temporary, a plan must be made to more permanently eliminate or control the hazard / risk.

11.3 Where significant changes are required to be made to processes and/or equipment, 5th Point must consult with relevant employees / contractors prior to making the change.

11.4 Newly identified hazards / risks must be incorporated into the relevant risk assessment (i.e. organisational or individual training facility), including identification of the relevant control measures implemented.

12.0 Incident / Injury Reporting

12.1 All incidents and injuries to 5th Point employees or contractors, or occurring on 5th Point controlled premises must be reported by completion of an *Incident Report Form (HR-F08)*.

12.2 Completed *Incident Report Form's (HR-F08)* must be provided to the RTO Manager for recording in the *Work Health and Safety Incident Register (HR-R01)*.

12.3 On receipt of an *Incident Report Form (HR-F08)*, the RTO Manager must investigate the incident and propose corrective and/or preventative action as appropriate.

12.4 Where appropriate, the RTO Manager should consult with relevant employees / contractors prior to proposing preventative / corrective actions.

12.5 Outcomes of investigations conducted into incidents must be reported at subsequent Management Meetings in accordance with the *Continuous Improvement Strategy (QA-002)*.

13.0 IRATA Reporting

13.1 All incidents / injuries arising out of IRATA training or operational rope access contracts must also be reported to IRATA within 7 days by the General Manager in conjunction with the Global Operations Director.

13.2 On a quarterly basis, the Global Operations Director will provide the following information to IRATA:

- A summary of hours worked by employees / contractors (both operations and training)
- Indication of any incidents that occurred during the relevant period.

13.3 Hours worked by 5th Point employees / contractors are tracked according to the training course schedule with any operational work added based on timesheets submitted.

14.0 First Aid

14.1 All Level 3 Rope Access Technicians must hold appropriate First Aid qualifications and will act as work site first aiders.

14.2 All other first aiders on each worksite will be identified on the relevant site documentation,, which may include the Pre-Start Talk, the Safe Work Method Statement (SWMS) and/or other risk assessment documentation.

14.3 A first aid kit must be made available at all work sites in a prominent and accessible location.

Note: Where the worksite has an Emergency Response Team (ERT) with sufficient first aid capability and response time, ERT resources may meet this requirement.

14.4 The location of first aid kits must be clearly advertised at all 5th Point controlled work sites.

14.5 The location of first aid kits must be clearly identified in relevant Pre-Start Talk, SWMS or Risk Assessment documentation.

14.6 First aid kits, Pre-Start Talks, SWMS and/or documented Risk Assessments must include the site address, location of the nearest hospital (including its phone number) and the phone number for relevant emergency services.

Note: Where the worksite has an ERT with sufficient first aid capability and response time, documentation of ERT communication location and communication method may meet this requirement.

15.0 Review of the System

15.1 To ensure that 5th Point's work health and safety practices remain effective in providing a safe and healthy work environment, the approach to work health and safety as outlined in this *Work Health and Safety Policy and Procedure (HR-003)* will be subject to periodic review as part of the *Internal Audit Procedure (QA-003)*.

HR-004 Bullying and Harassment Policy and Procedure

1.0 Purpose

- 1.1 To ensure 5th Point maintains a bullying and harassment free workplace.
- 1.2 To ensure all staff, contractors and other persons are treated fairly and with dignity in an environment free from disruption, bullying, intimidation, harassment, victimisation and discrimination.
- 1.3 To promote appropriate behaviour and respectful relationships.

2.0 Scope of this Policy / Procedure

- 2.1 This *Bullying and Harassment Policy and Procedure (HR-004)* applies to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premises under the control of 5th Point.

3.0 Definition of Bullying

- 3.1 Bullying is repeated verbal, physical, social or psychological behaviour that is harmful and involves the misuse of power by an individual or group towards one or more persons.
- 3.2. Examples of bullying include: humiliation, domination, intimidation and victimisation.

4.0 Definition of Harassment

- 4.1 Harassment is the systematic act and/or continued unwanted and annoying action by an individual or group towards one or more persons, including threats and demands.
- 4.2 Harassment may occur as a result of race, disability, gender identity, religion, and sexual preference.

5.0 Definition of Discrimination

- 5.1 Discrimination is treating, or proposing to treat a person or group of persons less favourably than others based on an identifiable difference.
- 5.2 Discrimination may occur as a result of age, race, disability, impairment, gender identity, religion, marital status, pregnancy, parenthood, breastfeeding, political opinion, irrelevant medical record, irrelevant criminal record, sexual preference or association with a person who has, or is believed to have, an attribute referred to in this section.

6.0 Bullying, Harassment and Discrimination Statement

- 6.1 5th Point is committed to ensuring a work environment free from bullying, harassment and discrimination.
- 6.2 Employees and contractors of 5th Point must not bully, harass or discriminate against any other person(s) while undertaking work (regardless of the location of the work).
- 6.3 5th Point will not accept bullying, harassment or discrimination by any person(s) against any other person(s) on a premise under the control of 5th Point.

6.4 5th Point recognises that there is an acceptable level of banter between person(s) in the workplace.

6.5 All person(s) retain the right to clearly express concerns or dissatisfaction with any actions or behaviour that causes offence, and the offending person(s) must respectfully cease their behaviour.

7.0 Disciplinary Action

7.1 Employees / contractors who violate this *Bullying and Harassment Policy and Procedure (HR-004)* are subject to appropriate disciplinary action, up to and including, termination of employment.

7.2 All persons who violate this *Bullying and Harassment Policy and Procedure (HR-004)* are subject to removal from premises controlled by 5th Point.

8.0 Complaints

8.1 Any affected person may make a complaint against any other person (regardless of rank or position) in accordance with the *Complaints Policy and Procedure (TG-004)*.

HR-005 Drug and Alcohol Policy

1.0 Purpose

- 1.1 To ensure 5th Point maintains a drug and alcohol free workplace.
- 1.2 To ensure a safe and productive workplace.
- 1.3 To provide education and treatment about drug and alcohol addiction and effects to employees and others in the workplace.

2.0 Scope of this Policy / Procedure

- 2.1 This *Drug and Alcohol Policy (HR-005)* applies to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premises under the control of 5th Point.

3.0 Zero Tolerance for Work Performed Under the Influence

- 3.1 Employees or contractors must not perform work in any capacity while under the influence of alcohol or illegal drugs.

4.0 Prescription Drugs and Existing Medical Conditions

- 4.1 Prescription drugs, existing medical conditions and allergies must be disclosed to 5th Point prior to commencement of work, or as soon as reasonably practicable. All such matters will be treated as confidential.

5.0 Controlled Substances

- 5.1 The manufacture, distribution, possession, sale, purchase or use of a controlled substance / illegal drugs is prohibited on all premises under the control of 5th Point.

6.0 Employee Assistance

- 6.1 Alcoholism and other substance addictions are recognised as diseases responsive to proper treatment.
- 6.2 Undertaking treatment for alcoholism or other substance abuse will not adversely affect employees / contractors of 5th Point, providing they are able to safely perform their duties in accordance with 3.0 Zero Tolerance for Work Performed Under the Influence.

7.0 Disciplinary Action

- 7.1 Employees / contractors who violate this *Drug and Alcohol Policy (HR-005)* are subject to appropriate disciplinary action, up to and including, termination.

8.0 Complaints

8.1 Any affected person may make a complaint against any other person (regardless of rank or position) in accordance with the *Complaints Policy and Procedure (TG-004)*.

TG-002 Candidate Enrolment Policy and Procedure

1.0 Purpose

1.1 To ensure that, as part of their enrolment, candidates are provided with relevant information that informs them about the training, assessment and support services that are to be provided, including their rights and responsibilities as a student.

1.2 To ensure candidates complete the *Course Enrolment Form (TG-F01 & TR-F01)*, including provision of a Unique Student Identifier (USI) and pay relevant course fees prior to course commencement.

2.0 Scope

2.1 This *Candidate Enrolment Policy and Procedure (TG-002)* applies to 5th Point Management and all persons engaged in or conducting training on behalf of 5th Point.

3.0 Course Enrolment Form

3.1 Each candidate is required to complete the *Course Enrolment Form (TG-F01 & TR-F01)* and pay relevant course fees prior to course commencement.

3.2 On receipt of a completed *Course Enrolment Form (TG-F01 & TR-F01)*, 5th Point must confirm that the candidate has completed the following information:

- Candidate personal details;
- Emergency contact details;
- Course information;
- AVETMISS Reporting questions;
- Acknowledgement of 5th Point's terms and conditions.

4.0 Information on Enrolment

4.1 As well as the Course Flyer and *Course Enrolment Form (TG-F01 & TR-F01)*, each candidate will be provided access to the *Candidate Handbook (TG-006)*, outlining the candidate's rights and responsibilities, as part of the enrolment process.

5.0 Enrolment Discussion and Approval

5.1 On receipt of a completed *Course Enrolment Form (TG-F01 & TR-F01)*, the RTO Manager, General Manager or other member of 5th Point Management, will confirm that the prospective candidate has received and understands:

- The information contained in the Course Flyer;
- The candidate's rights and responsibilities as outlined in the *Candidate Handbook (TG-006)*;
- The applicability of the course to the candidate's employment or prospective employment;
- The availability of educational and other support services.

6.0 Provision of a Unique Student Identifier (USI)

6.1 As part of the enrolment process 5th Point will require all prospective candidates to provide their Unique Student Identifier (USI) on the *Course Enrolment Form (TG-F01 & TR-F01)*.

6.2 Where a candidate does not have a USI, the candidate may provide permission to 5th Point, in writing, for 5th Point to apply for a USI on their behalf; a candidate's enrolment will not be processed until a USI is provided or the candidate gives permission to 5th Point.

6.3 Relevant personal information obtained for the purpose of applying for a USI on behalf of a candidate must be destroyed immediately on providing relevant information (including the USI) back to the candidate.

7.0 Verification of a Candidate's USI

7.1 On receipt of the *Course Enrolment Form (TG-F01 & TR-F01)* from a prospective candidate identifying a USI, 5th Point staff must verify the USI and candidates details at usi.gov.au.

7.2 Once the USI has been verified, the staff member must initial and date the *Course Enrolment Form (TG-F01 & TR-F01)* indicating that verification has occurred and may proceed to entering the completed *Course Enrolment Form (TG-F01 & TR-F01)* into the Candidate Record Management System.

8.0 Candidate Record Management System (CRMS)

8.1 Once the *Course Enrolment Form (TG-F01 & TR-F01)* has been received and a candidate's USI has been verified, the candidates details will be entered into the CRMS.

8.2 A candidate's enrolment should be entered into the CRMS as soon as possible after receipt of the completed *Course Enrolment Form (TG-F01 & TR-F01)*, but must be entered into the CRMS within 5 working days.

9.0 Course Fees

9.1 5th Point requires prepayment of all course fees to confirm the candidate's place. Therefore full course fees are required to be paid at enrolment.

9.2 5th Point proposes to only offer Units of Competency from the VET Framework (i.e. no full qualifications) with no individual VET Framework course fee exceeding \$1500.

9.3 The course fees include the cost of relevant materials and provision of a Statement of Attainment.

10.0 Refunds

10.1 Refunds for RTO Courses may be made in the following circumstances:

- Candidates have overpaid the course fees;
- Prospective candidates have enrolled in training that has been cancelled by 5th Point;
- Prospective candidates have withdrawn from the course and provided 7 days notice (in writing) to 5th Point;
- Prospective candidate withdraws from the course (without providing 7 days notice) due to illness or extreme hardship and 5th Point Management agree to exercise discretion.

10.2 Refunds for IRATA Courses may be provided in the following circumstances:

- Candidates have overpaid the course fees;
- Prospective candidates have enrolled in training that has been cancelled by 5th Point;
- Where the cancellation is made with more than 14 days' notice in writing, a refund will be provided or the candidate may transfer to an alternative course. Transfer is only available once, all further transfers will incur an administration fee;
- Prospective candidate withdraws from the course (without providing 14 days' notice) due to illness or extreme hardship and 5th Point Management agree to exercise discretion.

Note: No refund will be payable if 14 days' notice (in writing) is not able to be provided. However, management may identify and publish circumstances in which transfer, less a fee, or partial refund may be made.

11.0 Additional Assessment Opportunities (RTO)

11.1 Where a candidate is deemed not yet competent on completion of their training and assessment and are provided an opportunity to schedule a reassessment (in accordance with the relevant Unit of Competency requirements as set by 5th Point) a date for the reassessment is to be negotiated with 5th Point.

11.2 A reassessment fee of \$80 is applicable to all reassessments.

12.0 Availability of Fee Information to Candidates

12.1 All course fees and other relevant fee information is available to Candidates on the relevant Course Flyer, the 5th Point website, as well as in the *Candidate Handbook (TG-006)*.

13.0 Candidate Support

13.1 The enrolment process is the primary opportunity for identification of candidates requiring access to educational and/or support services.

13.2 In particular, LLN Assessments will be conducted at enrolment for all candidates who identify that they may have concerns regarding their language, literacy or numeracy capabilities, or who identify that they may have concerns understanding course content due to English being their second language.

13.3 Where potential for educational and/or support services is identified please refer to *Candidate Support Policy and Procedure (TG-003)* for further information.

13.4 5th Point is committed to maintaining confidentiality of all candidate information collected, including personal information collected as part of the enrolment process.

14.0 Withdrawal

14.1 Where a candidate withdraws from the course without providing the written notice identified above, the candidate will forfeit the full amount of the course fees to 5th Point, unless specified otherwise by 5th Point.

15.0 Reissue of Statement of Attainment / ID Card (RTO)

15.1 Candidates are responsible for the safe storage of their Statements of Attainment. If a candidate requires reissue of their Statement of Attainment, a fee of \$40 will be charged.

15.2 Candidates are responsible for the safe storage of their ID Cards. If a candidate requires reissue of their ID Cards, a fee of \$50 will be charged.

16.0 Candidate Record Management

16.1 5th Point will maintain confidentiality of all candidate information collected, including (but not limited to):

- Personal information;
- A candidate's USI;
- Statements of Attainment and learning records;
- Complaints and appeals.

16.2 5th Point will maintain RTO candidate information, including USI's, in its CRMS, which is password protected and to which only 5th Point Management has access.

16.3 Any hardcopy records identifying personal candidate information, including USI's, are to be maintained in a secure location to which only 5th Point Management have access.

16.4 Candidate information is only to be disclosed with approval from the candidate or for the purpose of providing accurate and complete records to the VET Regulator.

TG-003 Candidate Support Policy and Procedure

1.0 Purpose

1.1 To ensure 5th Point provides access to educational and support services to assist individual candidates to meet the requirements of:

- IRATA training courses and assessments;
- VET Framework Units of Competency on its Scope of Registration;
- NZQF training offered.

2.0 Scope of this Policy / Procedure

2.1 This *Candidate Support Policy and Procedure (TG-003)* applies to all candidates undertaking training run by 5th Point.

3.0 Identifying Candidate Support Needs

3.1 5th Point Management are responsible for ensuring that the needs of individual candidates are identified and relevant support services are provided.

3.2 The enrolment process is the primary opportunity for identification of candidates requiring access to educational and/or support services.

3.3 During the enrolment process it is the responsibility of administrative staff to identify if potential candidates require access to educational and/or support services and communicate this to the RTO Manager or General Manager.

3.4 It is the responsibility of the trainer to monitor candidate progress and notify the RTO Manager or General Manager if any support needs are identified throughout the learning process.

3.5 Candidates are also encouraged to express their views about their learning needs at all stages of their learning experience either by speaking to their trainer, the RTO Manager, or the General Manager.

3.6 Client needs may also be identified through the following documentation:

- *Course Enrolment Form (TG-F01 or TR-F01);*
- *Language, Literacy and Numeracy (LLN) Assessment (TG-F03);*
- *Training Evaluation Form (QA-F01);*
- *Complaints Form (TG-F04);*
- *Appeals Form (TR-F06);*
- Quality Indicator Surveys.

4.0 Types of Candidate Support

4.1 5th Point will ensure educational and support services are available to be accessed by potential candidates.

4.2 Candidate support needs may include, but are not limited to, the following:

- Flexibility of training hours or venue;
- Accommodation of physical or learning disability;
- Access to materials and equipment;

- Assistance with knowledge and understanding of the subject;
- Validation of current competencies;
- Use of technology or specific equipment to assist learning;
- Consideration of cultural beliefs, traditional practices / religious observances;
- Referral to support services (i.e. hardship services such as Lifeline or support services for addictions like drugs and alcohol);
- Payment arrangements;
- Assistance with language, literacy or numeracy;
- Adjustments to physical environment(s).

5.0 Adjustments to Training and/or Assessment

5.1 5th Point will ensure all trainers / assessors are trained in the educational and support services available to potential candidates.

5.2 Where a candidate support need is identified and an adjustment to training is considered appropriate, trainers are required to, in consultation with the RTO Manager, General Manager, and/or Global Operations Director, adjust training to meet the individuals identified support needs.

5.3 The following process is required to be followed for adjustments to training and/or assessment:

1. Identify support need necessity for adjustment to training candidate;
2. Discuss support needs and proposed adjustment to training with RTO Manager, General Manager and/or Global Operations Director;
3. Document the adjustment to training;
4. Review the adjustment to training with candidate and update if required;
5. Submit the final adjustment to training to the RTO Manager, General Manager or Global Operations Director for approval;
6. Implement and monitor the adjustment to training as identified in the documented adjustment to training;
7. File the adjustment to training on the relevant candidates file.

6.0 Language, Literacy and Numeracy (LLN)

6.1 LLN support is available to provide candidates with advice and support with respect to language, literacy and numeracy. Candidates requiring assistance with their learning should be identified on enrolment.

6.2 An LLN Assessment will be conducted for all candidates who:

- Identify that they may have concerns regarding their language, literacy or numeracy capabilities; or
- Trainers identify as having issues understanding course content.

6.3 LLN Assessments will also be conducted for all candidates who identify that they may have concerns understanding course content due to English being their second language.

6.4 Candidates will also be monitored by trainers to ensure that they understand the course content, and are meeting the assessment requirements.

6.5 The following process is to be followed when undertaking an LLN Assessment:

1. Distribute *LLN Assessment (TG-F03)* with the *Course Enrolment Form (TG-F01 & TR-F01)*;
2. Candidate to complete *LLN Assessment (TG-F03)* and return to 5th Point;

3. The RTO Manager or General Manager, in collaboration with an assessor who holds the TAELLN411 – Address adult language, literacy and numeracy skills unit from the Certificate IV in Training and Assessment qualification, will review the *LLN Assessment (TG-F03)* and identify any difficulties the student may have experienced in completing the tool;
4. Determine from the *LLN Assessment (TG-F03)* tool whether the candidate has the required skills to complete the training and assessment required for the Unit of Competency or course they have enrolled in;
5. If the candidate has demonstrated that they have the skills to commence training, determine whether any adjustments are required to be made to the training to meet the needs of the student (see Adjustments to Training and / or Assessment above);
6. If the candidate does not have the skills to complete training and assessment, determine whether the candidate needs to be redirected to Language, Literacy and Numeracy Training (i.e. the Reading Writing Hotline <http://www.literacyline.edu.au>);
7. Trainers are required to monitor candidate progress to identify needs on an ongoing basis, through assessment tools and course participation, to determine whether further assessment or assistance is required;
8. If a Trainer identifies any LLN barriers they are required to notify the RTO Manager or General Manager as soon as possible so that further assistance can be provided;
9. If required, the candidate may be referred to an external service if the 5th Point is unable to assist with any barriers to learning.

7.0 Adjustments to Training and / or Assessment for LLN

7.1 Trainers / assessors are responsible for:

- Identifying and assisting candidates with LLN difficulties;
- Adapting training and/or assessment tasks to meet the needs of candidates;
- Ensuring that the training and assessment focuses on the training and assessment of the performance criteria and not LLN skills;
- Raising any issues or concerns with 5th Point Management and/or the RTO Manager.

7.2 Depending on the skills and knowledge being assessed and the resources available, a number of options are available to trainers / assessors to adapt to the LLN needs of students or access further support for students, including:

- Accessing or referral to an interpreter;
- Writing in clear and concise English;
- Reading written material to candidates;
- Using signs, graphics and pictures;
- Using video;
- Practical practice and assessment;
- Accessing support from third party providers (i.e. LLN Training).

7.3 Where a LLN adjustment to training and/or assessment is appropriate, the process for undertaking adjustments to training and/or assessment must be followed (see Adjustments to Training and / or Assessment above).

TG-004 Complaints Policy and Procedure

1.0 Purpose

- 1.1 To provide a transparent, efficient and effective approach to resolving complaints.
- 1.2 To make complaints easier to co-ordinate, monitor, track and resolve and to provide 5th Point with an effective tool to identify and target problem areas, monitor complaint-handling performance and make business improvements.

2.0 Scope of this Policy / Procedure

- 2.1 This *Complaints Policy and Procedure (TG-004)* applies to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premises under the control of 5th Point.

3.0 Complaints

- 3.1 5th Point will respond to all grievances in a timely and fair manner in accordance with relevant processes.
- 3.2 5th Point will maintain a complaints procedure to respond to allegations involving the conduct of:
 - The company
 - Trainers and assessors
 - Employees and contractors
 - Candidates.
- 3.3 The complaints procedure will be made available to candidates (students) in the *Candidate Handbook (TG-006)*.

4.0 Definition of Complaints

- 4.1 5th Point defines a complaint as a statement that something is unsatisfactory or unacceptable.
- 4.2 The complaints procedure applies to complaints involving the conduct of:
 - The company
 - Trainers and assessors
 - Employees and contractors
 - Candidates.
- 4.3 5th Point recognises that differences and grievances can arise from time to time and believe that the quick settlement of these matters is in the best interests of all parties concerned.

5.0 Access

- 5.1 The complaints procedure is available to candidates (students) and all staff members, including trainers/ assessors.

5.2 The complaints procedure is also available to all clients and other relevant contractors involved in operational rope access projects 5th Point is engaged on.

6.0 Informal Resolution Process

6.1 If a staff member or candidate is experiencing any difficulties they are encouraged to discuss their concerns with 5th Point Management. Management will make himself or herself available at a mutually convenient time for anyone seeking assistance.

6.2 If a client or other contractor involved in an operational rope access project is concerned about the nature of the work being performed by 5th Point, or the conduct of representatives of 5th Point, they are encouraged to discuss their concerns with the relevant IRATA Level 3 Safety Supervisor, Site Supervisor, Project Manager or member of 5th Point Management.

6.0 Formal Complaints Process

6.1 If a staff member, candidate or other person is unable or unwilling to resolve their concerns by talking to 5th Point Management, a formal complaint may be made.

6.2 A formal complaint requires completion of the *Complaints Form (TG-F04)*, which is also available in the *Candidate Handbook (TG-006)*.

6.3 Once the *Complaints Form (TG-F04)* has been completed it can be submitted to the RTO Manager, or any other member of 5th Point Management, for actioning.

6.4 On receipt of a completed *Complaints Form (TG-F04)* the RTO Manager, or other member of 5th Point Management will implement the following process:

- List the complaint in the *Complaints and Appeals Register (TG-R01)*, including date of receipt of the *Complaints Form (TG-F04)*
- Acknowledge receipt of the complaint in writing to the complainant within 2 days of its receipt, either by email or post, whichever is appropriate
- Initiate a meeting, or meetings, with all parties to discuss the complaint and find a solution agreeable to all parties (within 7 days of receipt of the complaint)
- Communicate the outcome of the meeting(s) to the person making the complaint, including if further investigation is required
- Conduct further investigation into the complaint (within a calendar month of the date of receipt of the *Complaints Form (TG-F04)*)
- Where the RTO Manager or a member of 5th Point Management is party to the complaint, they will not be involved in conducting investigations or any decisions made about the complaint; the matter will be managed by the Global Operations Director
- Where a complaint is found to be substantiated, action must be taken to rectify the subject of the complaint
- If a solution cannot be reached that satisfies all parties, the complainant has the right to seek a resolution under relevant State or Federal law, for example, by making a complaint to the ACCC (www.ACCC.gov.au)
- It may also be possible to lodge a complaint to the Australian Skills Quality Authority (www.asqa.gov.au) providing the complaint relates to 5th Point's activities as a nationally recognised training provider
- The *Complaints and Appeals Register (TG-R01)* and all relevant complaints are to be reviewed as part of the quarterly Quality and Compliance Meetings for the purpose of identifying and implementing opportunities for improvement.

7.0 Support for Complainant

7.1 A complainant has the right to have a support person involved throughout the complaint process, including during the initial discussions.

8.0 Confidentiality

8.1 All complaints are to remain confidential and are only to be disclosed with approval of the complainant for the purposes of resolving the complaint.

8.2 Records of complaints are to be maintained by the RTO Manager and/or General Manager only. Hardcopy records are to be maintained in a secure location to which only Management has access. All electronic records are to be password protected with only Management able to access.

9.0 IRATA Complaints

9.1 Where a complaint alleges a breach of the IRATA Rules of Association, the complaint must be made to IRATA in accordance with the requirements of the IRATA Complaints Procedure.

TG-005 Appeals Policy and Procedure

1.0 Purpose

- 1.1 To ensure quality assessment outcomes are achieved and that the principles of assessment and rules of evidence are applied.
- 1.2 To provide a transparent, efficient and effective approach to managing appeals against assessment decisions.
- 1.3 To make appeals easier to co-ordinate, monitor, track and resolve and to provide 5th Point with an effective tool to identify and target problems areas, monitor appeal management and make business improvements.

2.0 Scope of this Policy / Procedure

- 2.1 This *Appeals Policy and Procedure (TG-005)* applies to all candidates undertaking VET Accredited training run by 5th Point.

3.0 Appeals

- 3.1 5th Point will respond to all grievances in a timely and fair manner in accordance with relevant processes.
- 3.2 5th Point will maintain an appeals procedure to manage requests for review of decisions, including assessment decisions.
- 3.3 The appeals procedure will be available to candidates (students) in the *Candidate Handbook (TG-006)*.

9.0 Assessment Practices

- 9.1 All trainers / assessors must ensure that assessments are completed in accordance with the requirements of the relevant Training Package and or the IRATA Training, Assessment and Certification Scheme (TACS).
- 9.2 Assessment procedures must recognise equity issues while ensuring the integrity of the assessment process.
- 9.3 Trainers / assessors must advise students, at the commencement of the course, of the elements of competency, the assessment methodology and when the assessments are to be conducted.
- 9.4 5th Point recognises that grievances can arise from time to time and believe that the quick settlement of these matters is in the best interests of all parties concerned.

10.0 Definition of Appeal

- 10.1 5th Point defines an appeal as an earnest request for reconsideration of a result given by a trainer / assessor due to a belief that the result given was unfair or unjustified.

11.0 Right to an Appeal

11.1 All candidates have the right to appeal any assessment decision made by 5th Point if they:

- Believe the assessment result is incorrect
- Feel that the assessment process was incomplete, invalid, inappropriate or unfair.

12.0 Informal Resolution Process

12.1 Before making an appeal, 5th Point requests that candidates discuss the matter with the relevant trainer in an attempt to resolve the issue.

12.2 If there is no satisfactory outcome for the candidate following discussion with the relevant trainer, the candidate is entitled to lodge a formal appeal.

13.0 Formal Appeal Process

13.1 The formal appeal is initiated by lodgement of an *Appeals Form (TR-F06)* within 7 days of the initial discussion. A copy of the *Appeals Form (TR-F06)* can be found in the *Candidate Handbook (TG-006)* or requested from 5th Point staff.

13.2 The *Appeals Form (TR-F06)* must be submitted to the RTO Manager, or any other member of 5th Point Management.

13.3 On receipt of the *Appeals Form (TR-F06)* the RTO Manager will initiate the following process:

- List the appeal in the *Complaints and Appeals Register (TG-R01)*, including the date of receipt of the *Appeals Form (TR-F06)*
- Acknowledge receipt of the appeal in writing to the candidate within 2 days of its receipt, either by email or post, whichever is appropriate
- Review of the assessment tool to ascertain fairness, validity and reliability
- Consult with the trainer / assessor and candidate individually
- Advise the candidate of the outcome of this consultation process within 2 working days of the dispute being lodged
- Appoint a suitably qualified independent assessor to conduct another assessment. Where applicable an assessment date will be negotiated with the client
- Advise the candidate of the outcome of the additional assessment within 2 working days of the assessment
- Appoint another registered training provider offering the relevant Unit of Competency to arbitrate and reassess participant(s)
- Advise the candidate of the outcome of the arbitration / reassessment within 2 days of its conclusion
- Enter the relevant details of the appeal and outcome into the Complaints and Appeals Register
- Review all appeals detailed in the Complaints and Appeals Register as part of the quarterly Quality and Compliance Meetings for the purpose of identifying and implementing opportunities for improvement.

13.4 Where the RTO Manager identifies that the process is going to take more than 60 days, the RTO Manager will indicate this in writing to the candidate, including the reason for the delay in resolution.

13.5 If a candidate is unsatisfied with the outcome of an appeal, they may initiate a formal complaint under the *Complaints Policy and Procedure (TG-004)*.

7.0 Support for Complainant

7.1 A candidate has the right to have a support person involved throughout the appeal process, including during the initial discussion with the relevant trainer.

8.0 Confidentiality

8.1 All appeals are to remain confidential and are only to be disclosed with approval of the candidate for the purposes of resolving the appeal.

8.2 Records of appeals are to be maintained by the RTO Manager only. Hardcopy records are to be maintained in a secure location to which only Management has access. All electronic records are to be password protected with only Management able to access.

9.0 IRATA Appeals

9.1 Where an appeal is to be made by an IRATA technician against an assessment decision that results in the withdrawal of accreditation, the relevant appeal must be made to IRATA in accordance with the requirements of the IRATA Appeals Procedure.

TR-001 RTO Quality and Compliance Strategy

1.0 Purpose

1.1 To ensure each of the requirements of the VET Quality Framework has been addressed through the implementation of policy statements and operational procedures.

2.0 Scope of this Policy / Procedure

2.1 This *RTO Quality and Compliance Strategy (TR-001)* applies to: all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premise under the control of 5th Point.

3.0 VET Quality Framework

3.1 This *RTO Quality and Compliance Strategy (TR-001)* has been written against the requirements of the VET Quality Framework which incorporates:

- The Standards for NVR Registered Training Organisations 2015 (the Standards);
- The Australian Qualifications Framework 2013;
- The Fit and Proper Person Requirements 2011;
- The Financial Viability Risk Assessment Requirements 2011;
- The Data Provision Requirements 2012.

3.2 The VET Quality Framework was established by the National Vocational Education and Training Regulator, currently ASQA, under the National Vocational Education and Training Regulator Act 2011 (Cth).

4.0 Compliance Statement

4.1 Each of the requirements of the VET Quality Framework has been addressed through the implementation of policy statements and operational procedures as identified in this *RTO Quality and Compliance Strategy (TR-001)*.

5.0 Distribution and Access

5.1 This *RTO Quality and Compliance Strategy (TR-001)* is to be distributed or made available to trainers / assessors, administrative and Management employees of 5th Point.

5.2 Policy statements and operational procedures relevant to candidates will be distributed or made available to candidates in the *Candidate Handbook (TG-006)*.

6.0 Industry

6.1 5th Point operates across a broad range of industries, providing training, access solutions and equipment for:

- Inspection and testing of structures;
- Construction, maintenance and repair;
- Facilities management and building services;

- Geotechnical / civil engineering;
- Media and entertainment.

This is by no means an exhaustive list.

6.2 Therefore, although not strictly correct, references throughout this document to the industry in which 5th Point operates, will be interpreted to refer to the working at height and /or rope access sectors.

7.0 Business Structure

7.1 5th Point currently operates as a financially successful business delivering internationally recognised training and qualifications, which includes third party reporting of candidates, training and outcomes.

7.2 The Global Operations Director will maintain day to day operational control of the business and ensure that 5th Point complies with the Standards at all times.

7.3 The 5th Point Management Team includes:

- Global Operations Director;
- General Manager;
- RTO Manager;
- Area Manager(s)
- Lead Instructor(s).

7.4 Each member of the Management Team is involved in making decisions that have a material impact on the business operations and/or finances.

7.5 All 5th Point Management involved in decisions that have a material impact on the business operations and/or finances will be required to meet the Fit and Proper Person requirements and complete a Fit and Proper Person Declaration for the purposes of achieving RTO Registration.

7.6 The Global Operations Director will ensure that all persons recruited into the Management Team provide sufficient information to ensure they would classify as a Fit and Proper Person and/or sign a Fit and Proper Person Declaration.

8.0 Financial Viability

8.1 5th Point will undertake a Financial Viability Risk Assessment in the format required by ASQA, for the purposes of obtaining RTO Registration.

8.2 5th Point will undertake strategic and operational business planning, including forecasting, on an ongoing periodic basis. This will take the form of a Business Strategy and 3 Year Plan.

8.3 The Global Operations Director is responsible for creating and maintaining a Business Strategy and 3 Year Plan, including financial forecasting, and undertaking ongoing periodic reviews.

8.4 Each Business Strategy and 3 Year Plan will refer to a 3-year period.

8.5 Annual reviews will be undertaken during the 3-year period, with a full reconsideration of strategy on the completion of each 3-year period.

8.6 The Business Strategy and 3 Year Plan will include:

- A Vision Statement, Mission Statement and Goals and Objectives for the period of the plan;
- An outline of the business structure and current / proposed operations;
- An outline of current and projected finances, indicating continuing financial viability;

- An outline of the target market and marketing strategies;
- A date of next review;
- A strategic and operational risk assessment.

9.0 Maintenance of Insurance

9.1 5th Point will maintain public liability insurance, at all times, to cover the full scope of its operations, including provision of training / assessment in high risk work environments.

9.2 The Global Operations Director is responsible for ensuring that sufficient public liability insurance is in place to cover the usual risks associated with 5th Point's operations.

9.3 In addition, the Global Operations Director is responsible for considering and obtaining (where appropriate) other insurance including:

- Workers Compensation;
- Building and Contents / Business Asset;
- Business Revenue.

9.4 Applicable insurance will be reconsidered at each annual review of the 5th Point Business Strategy and 3 Year Plan.

9.5 In determining the appropriate level of cover, the Global Operations Director may rely on advice obtained from relevant third parties, including insurance brokers or specialists.

9.6 Based on current operations, 5th Point has identified that public liability insurance of \$20 million is appropriate to the full scope of its operations, however this will be reconsidered and confirmed at each policy renewal.

10.0 Legal Compliance

10.1 5th Point will ensure it complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations and that staff and clients are informed of any changes that affect relevant operations.

10.2 The Global Operations Director is responsible for ensuring 5th Point complies with relevant Commonwealth, State and Territory legislation and regulatory requirements.

10.3 The RTO Manager is responsible for maintaining current information about compliance obligations relevant to 5th Point's operations and reporting this to the Global Operations Director and 5th Point Management.

10.4 5th Point will ensure the RTO Manager has relevant skills and experience to achieve this through the recruitment process or training and development opportunities.

10.5 Although not possible to provide an exhaustive list in this forum, 5th Point acknowledges its responsibilities in the following areas:

- Work Health and Safety;
- Provision of Equal Rights and Opportunities;
- Anti-Discrimination;
- Harassment and Bullying;
- Privacy;
- Marketing;
- Intellectual Property;
- Industrial Relations;
- Competition and Fair Trade.

10.6 Staff and candidates are advised of their rights and responsibilities according to relevant Commonwealth, State and Territory legislation and regulations in the *Candidate Handbook (TG-006)* and other 5th Point Policies and Procedures.

10.7 The RTO Manager will report any changes to relevant compliance obligations at the Quality and Compliance Meetings.

10.8 Any changes to compliance obligations discussed during the Quality and Compliance Meetings and requiring a change to operations will be communicated to relevant staff and, if applicable, clients impacted by the change.

10.9 All identified changes are to be incorporated into relevant policies, procedures and practices. This includes amendment to policy and procedure documents where applicable.

10.10 5th Point has zero tolerance for non-compliance with legislative and regulatory obligations.

10.11 Any non-compliance is encouraged to be reported through the Opportunity for Improvement Process, or by direct report to the RTO Manager, General Manager or Global Operations Director.

10.12 On becoming aware of any non-compliance 5th Point Management will immediately take steps to ensure the non-compliance is rectified as soon as possible. This may mean calling a special Quality and Compliance Meeting to deal with the matter.

10.13 These statements assist 5th Point to comply with the Standards, in particular the obligations contained in Standard 8: Clauses 8.5 - 8.6.

11.0 Provision of Services by 3rd Parties

11.1 5th Point will not enter into any third party arrangements for the delivery of training or assessment.

11.2 In the event 5th Point amends this policy, an operational procedure will be developed for the management of third party services.

11.3 This statement assists 5th Point to comply with the Standards, in particular the obligations contained in Standard 2: Clauses 2.3 – 2.4.

12.0 Training and Assessment Strategies

12.1 Training and assessment strategy development, implementation and transition / variation, including industry / sector consultation, is managed in accordance with the *RTO Training and Assessment Strategies (TR-002)*.

12.2 These sections of the *RTO Training and Assessment Strategies (TR-002)* assist 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.1 - 1.6, 1.26 and 1.27.

13.0 Training and Assessment Qualifications

13.1 5th Point's commitment not to deliver any AQF qualification or skill set from the Training and Education Package is contained in the *RTO Training and Assessment Strategies (TR-002)*.

13.2 This section of the *RTO Training and Assessment Strategies (TR-002)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.21 – 1.25.

14.0 Assessment Validation

14.1 Assessment validation, including maintenance of an assessment validation schedule and reporting is managed in accordance with *RTO Assessment Validation (TR-006)*.

14.2 The *RTO Assessment Validation (TR-006)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.8 – 1.11.

15.0 Assessment Practices

15.1 Assessment practices and recognition of prior learning is managed in accordance with *Assessment and Recognition of Prior Learning (TR-005)*.

15.2 The *Assessment and Recognition of Prior Learning (TR-005)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.8 and 1.12.

16.0 Staff Recruitment and Retention

16.1 Staff recruitment and retention processes, including performance reviews, minimum qualifications, training and development are managed in accordance with the *Recruitment, Training and Development Policy and Procedure (HR-002)*.

16.2 These sections of the *Recruitment, Training and Development Policy and Procedure (HR-002)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.13 – 1.16.

17.0 Assistant Trainers

17.1 5th Point's commitment not to engage any individuals who are not trainers / assessors to assist in the delivery of VET Framework training and/or assessment is contained in the *Recruitment, Training and Development Policy and Procedure (HR-002)*.

17.2 This section of the *Recruitment, Training and Development Policy and Procedure (HR-002)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clauses 1.17 – 1.20.

18.0 Continuous Improvement Strategy

18.1 5th Point's continuous improvement strategy, including the opportunity for improvement process and management meetings, is outlined in the *Continuous Improvement Strategy (QA-002)*.

18.12 The *Continuous Improvement Strategy (QA-002)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 2: Clauses 2.1 – 2.2.

19.0 Internal Audits

19.1 The approach to conducting and reporting on internal audits is outlined in the *Internal Audit Procedure (QA-003)*.

19.2 The *Internal Audit Procedure (QA-003)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 2: Clauses 2.1 – 2.2.

20.0 Trainer and Candidate Feedback

20.1 The approach to collecting, collating, reporting and addressing trainer and candidate feedback is outlined in the *Trainer / Candidate Feedback Procedure (QA-004)*.

20.2 The *Trainer / Candidate Feedback Procedure (QA-004)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 2: Clause 2.2.

21.0 Candidate Enrolment and Certification

21.1 Marketing and information to candidates are outlined in the *Marketing and Information to RTO Candidates (TR-003)*.

21.2 The *Marketing and Information to RTO Candidates (TR-003)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 4: Clause 4.1 and Standard 5: Clauses 5.1 – 5.4.

21.3 Candidate enrolment and course fees are outlined in the *Candidate Enrolment Policy and Procedure (TG-002)*.

21.4 Candidate record management is outlined in the *Candidate Enrolment Policy and Procedure (TG-002)* and the *Document Control Policy and Procedure (QA-001)*.

21.5 These sections of the *Candidate Enrolment Policy and Procedure (TG-002)* assist 5th Point to comply with the Standards, in particular obligations contained in Standard 3: Clause 3.6, Standard 4, Standard 5 and Standard 7: Clause 7.3.

21.6 This section of the *Document Control Policy and Procedure (QA-001)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 3: Clauses 3.4 and 3.6 and Standard: 6 Clause 6.5.

22.0 Candidate Support

22.1 Candidate support, including LLN, is outlined in the *Candidate Support Policy and Procedure (TG-003)*.

22.2 The *Candidate Support Policy and Procedure (TG-003)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 1: Clause 1.7.

23.0 Certification of Candidates

23.1 Certification of candidates, including information to be include, timing of issue and credit for learning at other RTO's is outlined in the *Candidate Certification Policy and Procedure (TR-004)*.

23.11 The *Candidate Certification Policy and Procedure (TR-004)* assists 5th Point to comply with the Standards, in particular the obligations contained in Standard 3: Clauses 3.1 – 3.6.

24.0 Complaints and Appeals

24.1 The complaints process is outlined in the *Complaints Policy and Procedure (TG-004)*.

24.2 The appeals process is outlined in the *Appeals Policy and Procedure (TG-005)*.

24.3 The *Complaints Policy and Procedure (TG-004)* and the *Appeals Policy and Procedure (TG-005)* assist 5th Point to comply with the Standards, in particular obligations contained in Standard 6: Clauses 6.1– 6.5. Clause 6.6 is not applicable.

25.0 Data Collection and Reporting

25.1 The full data collection and reporting process, including VET Regulator cooperation, is outlined in *RTO Data Collection and Reporting (TR-007)*.

25.2 The *RTO Data Collection and Reporting (TR-007)* assists 5th Point to comply with the Standards, in particular obligations contained in Standard 7: Clause 7.5 and Standard 8: Clauses 8.12 – 8.4.

TR-002 Training and Assessment Strategies

1.0 Purpose

1.1 5th Point will apply a strategic and consultative approach to development and ongoing maintenance of Training and Assessment Strategies to ensure:

- The relevant requirements of Training Packages and the Australian Qualification Framework (where applicable) are met;
- The amount of training is sufficient to enable (potential) candidates to meet the requirements of the Unit of Competency;
- Sufficient trainers / assessors are available to deliver the training and assessment;
- The needs of (potential) candidates are met, including educational and support services;
- Learning resources, facilities and equipment are available and sufficient to enable (potential) candidates to meet the requirements of the Unit of Competency.

1.2 To ensure 5th Point only delivers training and assessment in current Training Packages for individual Units of Competency.

1.3 To ensure 5th Point does not deliver any AQF qualification of skill set from the Training and Education Package.

2.0 Scope of this Policy / Procedure

2.1 This *Training and Assessment Strategies (TR-002)* applies to 5th Point Management and relates to training and assessment of VET Framework courses only.

3.0 Training and Assessment Strategy Development

3.1 Training and Assessment Strategies form the basis of 5th Points training and assessment practices.

3.2 5th Point will develop a Training and Assessment Strategy (TAS) for each Unit of Competency (UOC) on its Scope of Registration. This includes UOC identified for initial registration and any later addition(s) to the Scope of Registration.

3.3 5th Point's process for developing TAS's is as follows:

- Identify the UOC to be added to the Scope of Registration;
- Conduct industry / sector consultation through meetings and/or discussions with potential employers, current and future students and other relevant stakeholders;
- Undertake industry / sector surveys by distributing the survey to potential employers, supervisors or Human Resources Managers within the industry / sector;
- Contact the relevant Industry Skills Council for the Training Package to acquire further information on the qualification, industry trends and industry feedback (where applicable);
- Develop and draft the TAS, utilising 5th Point's template, ensuring each of the following areas are addressed:
 - The target client group(s) and how the training product(s) will be delivered to meet client needs;
 - How each strategy has been developed through effective consultation with the relevant industry / sector;
 - The requirements of the Training Package and how these have been met;

- The amount of training and mode of delivery, including consideration of potential candidates' level of skills and the mode of delivery;
- The trainers / assessors required to deliver the training and assessment;
- The qualifications and experience required of the trainers / assessors;
- The educational support services available to candidates;
- All physical resources and equipment that are accessible at each proposed delivery venue;
- The range and format of all delivery and assessment methodologies and resources/tools to be used;
- The approach to systematic validation of assessment processes, tools and judgements.
- Workshop the draft TAS with 5th Point Management, trainers / assessors and other relevant parties.

4.0 Implementation of Training and Assessment Strategies

4.1 Management are responsible for implementing TAS's for all UOC within the Scope of Registration, including:

- Distribution of the TAS's to 5th Point Management, relevant trainers / assessors and other identified interested parties. Distribution may include communication of a location for access (i.e. communication of availability electronically on 5th Points document management system).
- Periodic monitoring and review of TAS's at Quality and Compliance Meetings. Each TAS will be reviewed at the Quality and Compliance Meeting following the assessment validation for that UOC, see *RTO Assessment Validation (TR-006)*.
- Ongoing improvement of the TAS's through the identification of opportunities for improvement, trainer feedback, candidate feedback or ongoing industry consultation, see the *Continuous Improvement Strategy (QA-002)*, the *Candidate / Trainer Feedback Procedure (QA-004)*.

5.0 Industry Engagements and Consultation

5.1 5th Point operates across a broad range of industries, providing training, access solutions and equipment for:

- Inspection and testing of structures;
- Construction, maintenance and repair;
- Facilities management and building services;
- Geotechnical / civil engineering;
- Media and entertainment.

5.2 Therefore, although not strictly correct, references to the industry in which 5th Point operates, will be interpreted to refer to the working at height and/or rope access sectors.

5.3 When developing or revising a TAS, 5th Point will consult with industry and candidates through meetings, surveys, attendance at relevant industry / sector seminars and feedback documentation to ensure that the TAS's adopted are relevant to the identified needs of the industry / sector and candidates.

5.4 Relevant trainers / assessors must also be involved in the development and revision of TAS's.

5.5 5th Point maintains records of all consultation undertaken relevant to the development / revision of each UOC TAS.

5.6 The tools and resources developed to support each TAS are also subjected to a rigorous validation process, which includes input from trainers (or others) with significant experience in the working at heights sector, see *RTO Assessment Validation (TR-006)*.

6.0 Ongoing Industry Consultation

6.1 5th Point uses a number of other methods to engage with industry including:

- Operating as an IRATA Member company, including access to all relevant information and communication channels (local, national and international);
- Global Operations Director involvement in IRATA International Training Committee and Executive;
- Performance of rope access consulting for a wide variety of businesses across the working at height sector;
- Informal networking, including:
 - Provision of IRATA Training to a large number of businesses across the rope access sector;
 - Strong consulting relationships with a large number of businesses across the rope access sector.

6.2 In addition, 5th Point specifically ensures the skills of trainers / assessors are relevant and current within the industry utilising the following methods:

- Trainers / assessors on part-time or casual contracts with 5th Point, allowing the trainer / assessor to maintain other employment within the industry / sector;
- Involvement of trainers / assessors in delivery of operational projects and consulting services offered by 5th Point.

7.0 Transition of Training Products

7.1 5th Point will only deliver training and assessment in individual UOC's and will monitor and implement changes to applicable Training Packages.

7.2 5th Point will immediately cease training and assessment in UOC's that are no longer current or have been superseded.

7.3 The Global Operations Director, General Manager and RTO Manager are required to register with www.training.gov.au to receive updates when Training Packages are updated.

7.4 When 5th Point receives notification of a new Training Package within 5th Point's scope, a strategy will be put into place to transition to the new package. The strategy will include:

- Reviewing and mapping the old Training Package against the new Training Package;
- Reviewing all training and assessment materials to meet the requirements of the new Training Package;
- Updating all training and assessment materials in consultation with all trainers / assessors and industry (if applicable);
- Undertaking assessment validation;
- Updating the Training and Assessment Strategy to meet the requirements of the new Training Package;
- Updating all peripheral training and assessment materials (i.e. marketing material, forms, statements of attainment) to reflect changes;
- Disseminating updated training and assessment materials to all relevant staff.

7.5 5th Point will delay any scheduled training until the transition to the new Training Package has occurred.

8.0 *Variation of Training and Assessment Strategies*

8.1 5th Point recognises that TAS's may require variation due to an amendment to the relevant Training Package or for as a result of ongoing industry consultation.

8.2 Where changes are identified, these should be recorded in accordance with the relevant procedure and reported at the next Quality and Compliance Meeting. If necessary, a special Quality and Compliance Meeting may be called to reconsider significant changes to a TAS.

9.0 *Training and Assessment Qualifications*

9.1 5th Point will not deliver any AQF qualification or skill set from the Training and Education Package.

TR-003 Marketing and Information to RTO Candidates

1.0 Purpose

1.1 To ensure all marketing and other information provided to prospective candidates is accurate, complete and current and differentiates between VET Framework accredited training and other training provided by 5th Point (e.g. IRATA Training).

1.2 To ensure all marketing and other information provided to candidates (and prospective candidates) is approved by the Global Operations Director, General Manager and RTO Manager prior to distribution.

2.0 Scope of this Policy / Procedure

2.1 This *Marketing and Information to RTO Candidates (TR-003)* applies directly to 5th Point Management and indirectly to all persons undertaking VET Framework accredited training delivered by 5th Point.

3.0 Course Flyers and Marketing Material

3.1 Course Flyers are to include relevant information about the course to be offered, so that the prospective candidate can make an informed decision prior to enrolment.

3.2 Information contained within organisational marketing materials for course delivery is derived from the information contained within the Training and Assessment Strategies to ensure consistency of information throughout the RTO, including Course Flyers and the website.

3.3 Relevant information to be incorporated into Course Flyer's for VET Framework accredited training includes:

- Unit of Competency Title and Code;
- Fees, including course fees and any other charges;
- 5th Point's RTO Code;
- Duration and location of the training;
- Mode of delivery of the training.

3.4 The Nationally Recognised Training (NRT) logo will be included on all applicable course flyers in accordance with the NRT logo specifications.

3.5 All course flyers and other marketing material will differentiate effectively between VET Framework training (NRT) and other training provided by 5th Point (e.g. IRATA training).

4.0 Approval of Marketing Material

4.1 All marketing material, including Course Flyers and information published on the 5th Point website must be reviewed and approved by the RTO Manager to ensure information is accurate, complete and current.

4.2 Facebook posts related to upcoming RTO courses will link directly to the website and will be reviewed by the General Manager to ensure information is correct prior to posting.

5.0 NRT Logo Format

5.1 The NRT logo consists of both the triangular shape and the descriptor. The triangle is not to be used without the descriptor. The typeface is Fritz Quadrata. Under no circumstances is the descriptor to be typeset in any other typeface.

5.2 The complete NRT logo may be varied in size. The size and position of the NRT logo on the final product is at the discretion of the product designer. Although the size of the logo may be varied, the proportions of the triangle and the descriptor in relation to each other may not be varied. Under no circumstance is the logo to be reproduced in mirror image or be rotated.

5.3 Where the NRT logo is reproduced in colour, it must comply with these colour requirements. Deviations from these colours are not permitted, nor are colours to be swapped around or stippled. The only colours to be used are: **GREEN PMS 343; RED PMS 192.**

5.4 Where the NRT logo is reproduced in one colour, it should preferably be in **GREEN PMS 343** or, where this is not suitable, it may be reproduced in black. In some situations the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

6.0 Candidate Handbook

6.1 As part of the enrolment process, each candidate is to be provided access to the *Candidate Handbook (TG-006)*, which outlines the candidate's rights and responsibilities.

6.2 In addition, the *Candidate Handbook (TG-006)* contains information relating to the following:

- Transition of Training Products;
- Assessment Practices;
- Assessment Validation;
- Recognition of Prior Learning;
- Continuous Improvement Strategy;
- Provision of Services by 3rd Parties;
- Candidate Feedback;
- Candidate Enrolment;
- Unique Student Identifier (USI);
- Course Fees;
- Candidate Support Services (including LLN);
- Candidate Record Management;
- Certification of Candidates;
- Credit Transfer;
- Complaints;
- Appeals;
- Insurance;

- Legislative and Regulatory Compliance, including information specific to obligations such as Bullying and Harassment;
- Fire and Emergency Evacuation Procedure;
- Quality Indicator (QI) Reporting;
- Services Agreement;
- Training Guarantee.

6.3 The following forms are available to candidates in the *Candidate Handbook (TG-006)*:

- *Training Evaluation Form (QA-F01)*;
- *Course Enrolment Form (TG-F01 & TR-F01)*;
- *LLN Assessment (TG-F03)*;
- *Complaints Form (TG-F04)*;
- *Replacement Documentation Request Form (TG-F10)*;
- *Appeal Form (TR-F06)*;
- *Incident Report Form (HR-F08)*.

6.4 Where training is of less than one week in duration, candidates will be advised where to access an electronic copy of the *Candidate Handbook (TG-006)* (5th Point's website).

6.5 Where training is greater than a week in duration, candidates will be provided with a copy of the *Candidate Handbook* (hardcopy or electronic) on induction.

TR-004 Candidate Certification Policy and Procedure (RTO)

1.0 Purpose

1.1 To ensure 5th Point only issue a Statement of Attainment (or other AQF certification document) to a candidate who has been assessed as satisfactorily meeting the requirements of the relevant Unit of Competency Training Package.

2.0 Scope

2.1 This *Candidate Certification Policy and Procedure (RTO) (TR-004)* applies to: all persons engaged in or conducting training on behalf of 5th Point.

3.0 Statements of Attainment vs AQF Qualifications

3.1 5th Point will only issue a Statement of Attainment (or other AQF certification documentation) to a candidate who has been assessed as satisfactorily meeting the requirements of the relevant Unit of Competency Training Package.

3.2 The issuance of a Statement of Attainment recognises that candidates do not always study a whole AQF qualification.

3.3 Candidates who complete one or more Unit of Competency but not a full set of units required for a qualification are entitled to a Statement of Attainment for the Units of Competency completed.

3.4 5th Point proposes to only offer individual Units of Competency, therefore Candidates will be provided with Statements of Attainment only and not full AQF certification documentation.

4.0 Issuing Statements of Attainment

4.1 5th Point will only issue candidates with a Statement of Attainment once competency has been demonstrated for a Unit of Competency.

4.2 In determining whether a candidate is competent / not yet competent, the student is assessed against the requirements of the Training Package for the Unit of Competency being undertaken.

5.0 Unique Student Identifier (USI)

5.1 5th Point is not to issue a Statement of Attainment to a candidate who has not provided a verifiable USI unless a legislative exemption applies.

6.0 Timing for Issue of Statements of Attainment

6.1 5th Point will endeavour to issue Statements of Attainment to candidates within two weeks of course completion.

6.2 Where 5th Point is unable to issue a Statement of Attainment within two weeks of course completion, the Statement of Attainment will be issued no later than 30 calendar days of course completion.

6.3 A Statement of Attainment may be withheld until full payment of all course fees has been received.

7.0 Credit for Learning at other RTO's

7.1 As 5th Point only offers individual Units of Competency, which require regular renewal to meet industry expectations, candidates will be expected to undertake the relevant course and assessment to receive a Statement of Attainment from 5th Point for that Unit of Competency.

TR-005 Assessment and Recognition of Prior Learning

1.0 Purpose

1.1 To ensure that 5th Point maintains an assessment system where all assessments conducted for Units of Competency in its Scope of Registration:

- Will meet the assessment requirements of the relevant Training Package
- Are conducted in accordance with the Principles of Assessment (validity, reliability, flexibility and fairness) and the Rules of Evidence (validity, sufficiency, currency and authenticity).

1.2 To ensure that 5th Point offers recognition of prior learning (RPL) where relevant prior education / training (formal or informal), work experience and/or life experience is identified and can be assessed against the performance standards contained in the relevant Unit of Competency.

2.0 Scope of this Policy / Procedure

2.1 This *Assessment and Recognition of Prior Learning (TR-005)* applies to all persons engaged in or conducting training on behalf of 5th Point.

3.0 Assessment Tools

3.1 When selecting or developing assessment tools, 5th Point will ensure that sufficient guidance and information is provided to trainers / assessors for a fair and equitable outcome.

3.2 All assessment tools will be subjected to a validation process, see *RTO Assessment Validation (TR-006)* for more information.

4.0 Assessment Practices

4.1 All assessments conducted by 5th Point will be competency based and are designed to determine whether candidates can demonstrate the targeted competencies.

4.2 Assessors are responsible for ensuring that all assessments are conducted in accordance with relevant instructions contained in the tools as well as the principles of assessment and rules of evidence.

5.0 Principles of Assessment

5.1 The principles of assessment are required to be followed to ensure quality outcomes. Assessments should be fair, flexible, valid and reliable.

5.2 Fairness requires consideration of the individual candidate's needs and characteristics, and any reasonable adjustments that need to be applied to take account of them, see also the *Candidate Support Policy and Procedure (TG-003)*.

It requires clear communication between the assessor and the candidate to ensure that the candidate is fully informed about, understands, and is able to participate in, the assessment process, and agrees that the process is appropriate.

It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary, see also the *Appeals Policy and Procedure (TG-005)*.

5.3 Flexibility requires an assessment to:

- Reflect the candidate'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 candidate;
- Support continuous competency development.

5.4 Validity: There are five major types of validity: face, content, criterion (i.e. predictive and concurrent), construct and consequential.

In general, validity is concerned with the appropriateness of the inferences, use and consequences that result from the assessment.

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. It requires determining conditions that weaken the truthfulness of the decision, exploring alternative explanations for good or poor performance, and feeding them back into the assessment process to reduce errors when making inferences about competence.

Unlike reliability, validity is not simply a property of the assessment tool. As such, an assessment tool designed for a particular purpose and target group may not necessarily lead to valid interpretations of performance and assessment decisions if the tool was used for a different purpose and/or target group.

5.5 Reliability: There are five types of reliability: internal consistency; parallel forms; splithalf; inter-rater; and, intra-rater.

In general, reliability is an estimate of how accurate or precise the task is as a measurement instrument. Reliability is concerned with how much error is included in the evidence.

6.0 Rules of Evidence

6.1 Rules of evidence are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is valid, sufficient, authentic, and current.

6.2 Validity: see principles of assessment.

6.3 Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

6.4 To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the candidate's own work.

6.5 Currency relates to the age of the evidence presented by candidates to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the very recent past.

7.0 Reassessment

7.1 Candidates who are not able to demonstrate competency at any given time, or who successfully appeal assessment results, may be reassessed at an appropriate later date.

7.2 Requirements for reassessment will vary for each Unit of Competency and should be confirmed in the Unit of Competency Training Manual, Assessment Workbook and /or with the relevant trainer.

7.3 Reassessment may attract an additional fee.

8.0 Application for Recognition of Prior Learning

8.1 All applications for RPL are to follow the following process:

- Notification by a potential candidate of the intention to apply for RPL;
- Discussion between the potential candidate, a trainer / assessor and the General Manager and/or RTO Manager to:
 - Determine which Units of Competency are to be included in the RPL application;
 - Determine evidence required to be provided by the candidate to meet the performance criteria for the Unit(s) of Competency.
- Undertake an assessment (or partial assessment) or show, tell and apply skills and knowledge;
- Review evidence and assessment outcome (if undertaken) to determine whether the candidate has provided satisfactory evidence against each performance criteria;
- Issue of certification (where applicable).

9.0 Evidence for Recognition of Prior Learning

9.1 Evidence for RPL may include any of the following:

- Workplace or other observation;
- Oral presentation;
- Portfolio, logbook, task book, projects or assignments;
- Written presentation;
- Interview and questions;
- Simulations;
- Video, photographic (endorsed) evidence;
- Competency conversations;
- Performance, demonstration, or skills test / assessment.

9.2 Evidence must demonstrate the claim for competency clearly against each performance criteria and be in sufficient detail to enable the Assessor to make a clear judgement.

10.0 Fee for Recognition of Prior Learning Application

10.1 An application for RPL must be accompanied by full payment of the relevant Unit of Competency course fees.

10.2 A discount of 10% of the course fees may be applied at the discretion of the General Manager or RTO Manager where it is determined that assessment of the RPL application will be relatively simple or the candidate is able to attend a previously scheduled assessment for the same Unit of Competency without altering teaching / assessment ratios.

10.3 A determination that additional evidence is required to support the RPL application will not incur any further fees.

TR-006 RTO Assessment Validation

1.0 Purpose

1.1 To ensure that 5th Point purchases or develops and maintains training products for all Units of Competency within its Scope of Registration (i.e. all relevant training and assessment materials).

1.2 To ensure that 5th Point develops and maintains an assessment validation schedule and conducts periodic validation of:

- All training products, including assessment tools;
- Assessment practices through consideration of a sample of assessment judgements.

2.0 Scope of this Policy / Procedure

2.1 This *RTO Assessment Validation (TR-006)* applies:

- Directly to 5th Point Management as well as all Trainers and Assessors; and
- Indirectly to all employees and contractors of 5th Point regardless of the location of the work undertaken; and all persons engaged in work or training on a premises under the control of 5th Point.

3.0 Assessment Validation Schedule

3.1 The RTO Manager and/or General Manager will develop and maintain an *Assessment Validation Schedule (TR-F04)*, ensuring that:

- All Units of Competency in 5th Points Scope of Registration are validated within a 5 year period
- 50% of the Units of Competency in 5th Points Scope of Registration are validated within the first 3 years of the 5 year validation cycle.

3.2 The *Assessment Validation Schedule (TR-F04)* will ensure that at least one validation session occurs per year and that each session is of adequate length to ensure validation can occur for at least one Unit of Competency.

4.0 Assessment Validation Participants

4.1 Attendees of assessment validation sessions will include (as a minimum):

- The Global Operations Director;
- The General Manager;
- The RTO Manager;
- An assessment validation specialist (if the RTO Manager does not have previous experience in assessment validation);
- At least one person who has not been directly involved in the delivery of the Unit of Competency since the last assessment validation for that Unit of Competency;
- 2 x Trainers / Assessors with each of:
 - Relevant vocational competency;
 - Current industry / sector skills and experience;
 - Current knowledge and skills in vocational teaching and learning;

- Certificate IV in Training and Assessment, or the relevant assessment component.

5.0 Initial Assessment Validation

5.1 An initial assessment validation conducted prior to commencement of teaching a Unit of Competency will include consideration of:

- Assessment processes and practices (i.e. how the assessment process is to be undertaken);
- Assessment tools (including instructions to candidates, written questions, practical activities and the method of recording assessment outcomes as well as answer guides if available);
- Whether the proposed assessment meets the assessment criteria of the relevant Training Package.

6.0 Ongoing Assessment Validation

6.1 Assessment validation scheduled to occur following the commencement of a Unit of Competency will include all of the same matters considered as part of an initial assessment validation.

6.2 In addition, an ongoing assessment validation will ensure that assessments are valid, reliable and fair; and that decisions about competency are made on the basis of quality of evidence, sufficiency of evidence and the relevance of the evidence collected on the assessment tools.

6.3 This is undertaken through consideration of outcomes of a sample of assessments conducted for the relevant Unit of Competency (i.e. evidence collected and result of recent assessments).

7.0 Assessment Validation Reporting

7.1 The outcome of the assessment validation meeting will be a completed *Assessment Validation Report Template (TR-F05)* for each Unit of Competency considered.

7.2 The *Assessment Validation Report Template (TR-F05)* must incorporate (at the very minimum):

- Date of validation;
- Validation participants;
- Unit of Competency being validated;
- Materials considered as part of validation;
- Method of validation / validation process;
- Validation outcomes;
- Recommendations;
- Implementation time line for recommendations;
- Sign-off by RTO Manager.

7.3 Completed *Assessment Validation Report Template (TR-F05)* are to be submitted to the RTO Manager for consideration at the next Quality and Compliance Meeting.

7.4 Each completed *Assessment Validation Report Template (TR-F05)* is to be accompanied by the relevant Training and Assessment Strategy for review and consideration in light of outcomes of the assessment validation process.

8.0 **Assessment Validation Process**

8.1 The following process is to be followed for each assessment validation meeting:

- Schedule a meeting date and time with relevant participants;
- Select the Unit(s) of Competency to be validated, in accordance with the *Assessment Validation Schedule (TR-F04)*;
- Collect the following tools:
 - Printed copies of the Units of Competency Training Packages;
 - Printed copies of the assessment tools for each Unit of Competency;
 - A printed copy of the *Assessment Validation Report Template (TR-F05)*;
 - A copy of the assessment mapping tool for each Unit of Competency, or template if not available.
- At the assessment validation meeting:
 - Map the performance criteria from the Training Package against the questions and practical tasks within the assessment tools;
 - Determine whether each performance criteria are addressed in a manner that allows the assessor to determine the candidate's competency;
 - Map the assessment evidence requirements from the Training Package against the questions and practical tasks within the assessment tools;
 - Determine whether the assessment evidence requirements are met;
 - Consider whether the tools being assessed satisfy the general assessment requirements, as identified in the *Assessment Validation Report Template (TR-F05)*;
 - Consider whether the tools being assessed satisfy the assessment principles, as identified in the *Assessment Validation Report Template (TR-F05)*;
 - Consider whether the tools being assessed satisfy the rules of evidence, as identified in the *Assessment Validation Report Template (TR-F05)*;
 - Compile a summary of results and recommendations including identification of responsibility and timing for completion;
 - Provide completed *Assessment Validation Report Template (TR-F05)*, copies of relevant tools and sample evidence validated to the RTO Manager for completion and circulation to participants.
- Undertake actions identified, including redeveloping, amending or purchasing new tools if required;
- Review completed *Assessment Validation Report Template (TR-F05)* at the next Quality and Compliance Meeting.

TR-007 Data Collection and Reporting

1.0 Purpose

- 1.1 To ensure 5th Point collects and provides accurate and current information under the Data Provision Requirements.
- 1.2 To ensure 5th Point cooperates with the VET Regulator, providing all required information and data and ensuring it is accurate and truthful.

2.0 Scope of this Policy / Procedure

- 2.1 This *Data Collection and Reporting (TR-007)* applies to 5th Point Management.

3.0 Candidate Management System

- 3.1 5th Point will implement and utilise a Candidate Record Management System that is compliant with the requirements of the Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS).

4.0 Capture Information

- 4.1 All candidates are required to complete a *Candidate Enrolment Form (TG-F01 & TR-F01)* prior to course commencement. This *Candidate Enrolment Form (TG-F01 & TR-F01)* has been designed against the AVETMISS requirements.
- 4.2 Candidates are required to complete all sections of the *Candidate Enrolment Form (TG-F01 & TR-F01)*. This will be checked by 5th Point staff and followed up where necessary.
- 4.3 Information captured during the enrolment process must be entered into the Candidate Record Management System within 2 weeks of a candidates enrolment and will capture relevant candidate information to meet 5th Point's reporting requirements, including a Unique Student Identifier (USI) for all candidates.
- 4.4 The full candidate enrolment process is outlined in the *Candidate Enrolment Policy and Procedure (TG-002)*.
- 4.5 All candidate results will be entered into the Candidate Record Management System within 2 weeks of candidates completing the relevant elements and will capture relevant candidate outcomes.
- 4.6 Candidate record management requirements are outlined in the *Document Control Policy and Procedure (QA-001)*.

5.0 Reporting of AVETMISS Data

- 5.1 At the start of each calendar year, the RTO Manager and/or General Manager will generate a report of training data for submission to the AVETMISS custodian, NCVER. This report will be generated from information recorded in the Candidate Record Management System.
- 5.2 Each annual report will include information about candidates, their training and their outcomes for the previous calendar year.

5.3 This information will be validated (through the AVETMISS Validation Software) and submitted to NCVER prior to the end of February each year.

6.0 Quality Performance Indicators and Records

6.1 In addition to AVETMISS reporting, the RTO Manager will complete an annual summary quality indicator report of 5th Point's performance against learner engagement, employer satisfaction and competency completion indicators to ASQA.

6.2 This report will be generated using ASQA's Quality Indicator Annual Summary Report Template or replacement as available.

6.3 This report will be submitted in accordance with ASQA requirements by close of business 30 June each year for the previous calendar year.

7.0 Responsibility for Compliance

7.1 The Global Operations Director is responsible for ensuring 5th Point cooperates with the VET Regulator as required.

7.2 The RTO Manager and General Manager are responsible for collecting and maintaining information and data for reporting to the VET Regulator.

7.3 The RTO Manager and General Manager are required to report to the Global Operations Director and 5th Point Management on cooperation with the VET Regulator at the quarterly Quality and Compliance Meetings (standing agenda item), including:

- Recent reports to or interactions with the VET Regulator;
- Information provided to the VET Regulator since the last Quality and Compliance Meeting;
- Reports or interactions with the VET Regulator to take place prior to the next Quality and Compliance Meeting;
- Information required to be provided to the VET Regulator prior to the next Quality and Compliance Meeting;
- Any concerns about the ability to provide required information to the VET Regulator and potential solutions.

8.0 Information Requests

8.1 Any information request from the VET Regulator will immediately be brought to the attention of the RTO Manager, General Manager and Global Operations Director.

8.2 The RTO Manager and General Manager, in conjunction with the Global Operations Director, are responsible for agreeing a strategy for a response to be collated and forwarded to the VET regulator. This may occur at a Quality and Compliance Meeting if the timeframe is appropriate, however it is more likely to require a special Management Meeting to be called.

8.3 All information provided to the VET Regulator will be timely, complete, accurate and truthful.

9.0 Audits

9.1 The RTO Manager and General Manager are responsible for ensuring that all relevant information is made available to the VET Regulator in a timely manner during the conduct of audits or any other monitoring activity.

9.2 All information provided to the VET Regulator will be complete, accurate and truthful.

10.0 Changes to Operations / Ownership

10.1 Any change in ownership or substantial change to 5th Point's operations will be reported to the VET Regulator as soon as possible whether or not the change will impact 5th Point's ability to comply with the Standards.

10.2 Any change of this type will be reported immediately to the VET Regulator following the quarterly Quality Compliance Meeting at which it was discussed.

10.3 However, where a change has occurred and the RTO Manager identifies that the next scheduled Quality and Compliance Meeting will not take place within 60 days, the RTO Manager or General Manager will report directly to the VET Regulator and inform the Quality and Compliance Meeting of what has occurred.

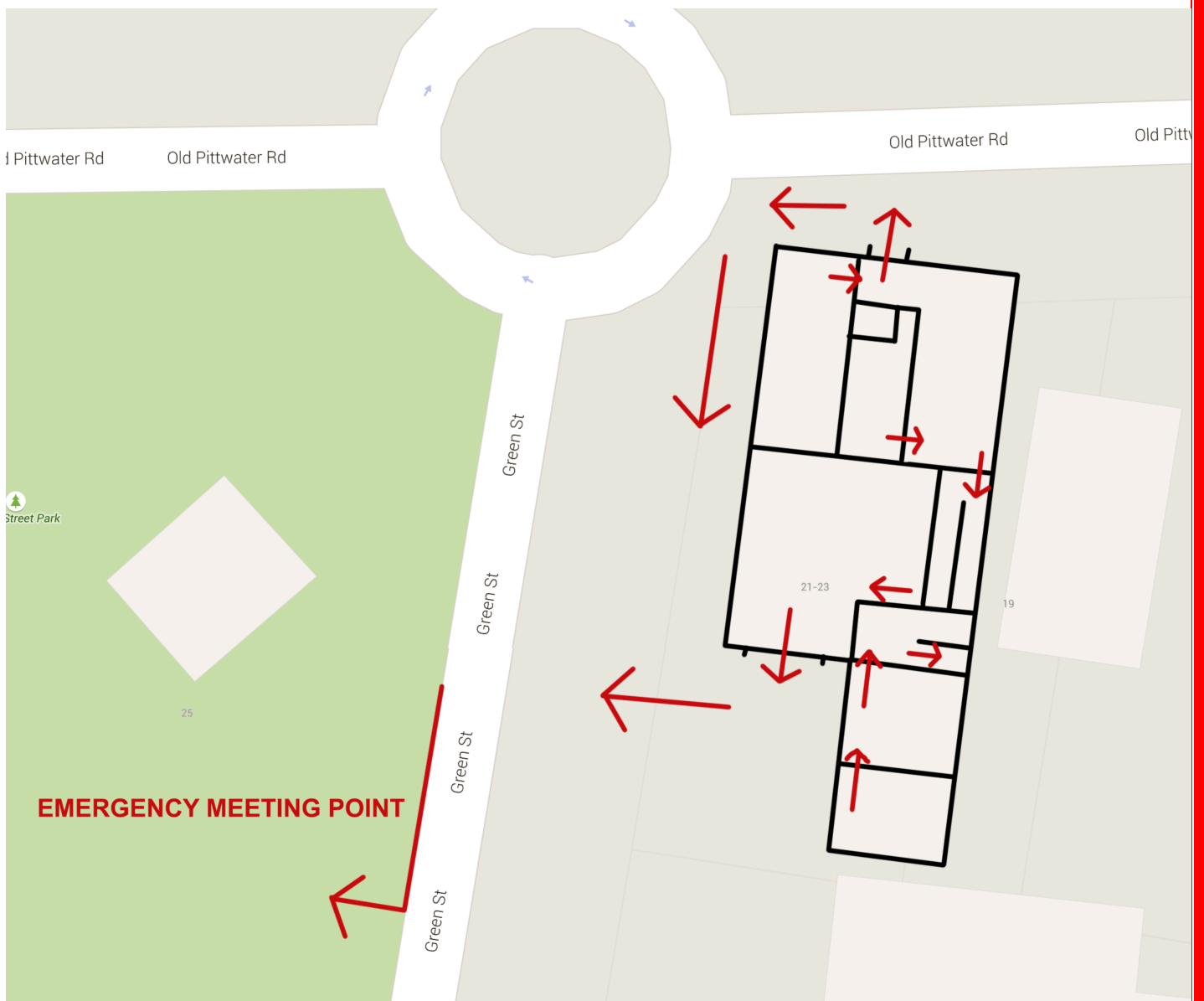
11.0 Annual Compliance Declaration

11.1 The RTO Manager and/or General Manager will prepare an annual declaration on compliance with the Standards, including statements that 5th Point:

- Currently meets the requirements of the Standards across its Scope of Registration;
- Has training and assessment strategies in place to ensure that all current and prospective candidates will be trained and assessed in accordance with the requirements of the Standards.

11.2 The declaration will be signed and approved by the Global Operations Director prior to provision to the VET Regulator.

EMERGENCY EVACTUATION PLAN



- In case of fire, earthquake or other emergency, please evacuate the building and carefully cross Green Street, and meet at the emergency meeting point (Green Street Park).
- If undertaking rope access, please follow the direction of your Instructor to descend safely and then head to the Emergency Meeting Point (Green Street Park).

PLEASE DIAL 000 IN CASE OF EMERGENCY



Common Forms



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RTO Course Enrolment Form

Candidate Personal Details

Surname or Family Name												Date of Birth				D	D	/	M	M	/	Y	Y	Y	Y
												Gender				<input type="checkbox"/> Male				<input type="checkbox"/> Female					
First Given Name												Middle Name													
												Phone													
Email Address												D/Licence or PP													
Address																									
												Suburb													
												State/territory								Postcode					

Emergency Contact Details

Full Name																							
Contact Phone												Relationship											

Course Information

USI Number																							
<input type="checkbox"/> RIIWHS204D Work Safely at Heights												<input type="checkbox"/> RIIWHS202D Enter and Work in Confined Spaces											

Study Reasons

Of the following options, which BEST describes your reason for undertaking this course? (Tick ONE box only)

<input type="checkbox"/> To get a job	<input type="checkbox"/> To try for a different career	<input type="checkbox"/> To get into another course of study
<input type="checkbox"/> To develop by existing business	<input type="checkbox"/> To get a better job or promotion	<input type="checkbox"/> Personal interest/self development
<input type="checkbox"/> To start my own business	<input type="checkbox"/> I wanted extra skills for my job	<input type="checkbox"/> Other reasons

Employment Details

From the following categories, which best describes your current employment status? (Please tick)

<input type="checkbox"/> Full time employee	<input type="checkbox"/> Employed (unpaid worker in family business)
<input type="checkbox"/> Part time employee	<input type="checkbox"/> Unemployed (seeking full time work)
<input type="checkbox"/> Self employed (not employing others)	<input type="checkbox"/> Unemployed (seeking part time work)
<input type="checkbox"/> Employer	<input type="checkbox"/> Unemployed (not seeking work)

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Cultural Background

Do you speak a language other than English at home?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, please specify.		
How well do you speak English?	<input type="checkbox"/> Very Well	<input type="checkbox"/> Well
	<input type="checkbox"/> Not Well	<input type="checkbox"/> Not at all
Do you require language, literacy or numeracy assistance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Country of Birth	City of Birth	
Are you of Aboriginal or Torres Strait Islander descent?	<input type="checkbox"/> Neither	<input type="checkbox"/> Torres Strait Islander
	<input type="checkbox"/> Aboriginal	

Education

What is your highest completed level of school?	<input type="checkbox"/> Year 12	<input type="checkbox"/> Year 11	<input type="checkbox"/> Year 10
<input type="checkbox"/> Never attended school	<input type="checkbox"/> Year 8 (or below)	<input type="checkbox"/> Year 9	
What year did you complete that level?		Are you still attending school?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Since leaving school, have you completed any of the following qualifications?			
<input type="checkbox"/> Bachelor degree or higher degree	<input type="checkbox"/> Cert. III (or trade certificate)		
<input type="checkbox"/> Advanced diploma or associate degree	<input type="checkbox"/> Cert. II		
<input type="checkbox"/> Diploma (or associate diploma)	<input type="checkbox"/> Cert. I		
<input type="checkbox"/> Cert. IV (or advanced certificate / technician)	<input type="checkbox"/> Other Certificate		

Disability

Do you consider yourself to have a disability, impairment or long-term condition?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, please tick:		
<input type="checkbox"/> Vision / Blindness	<input type="checkbox"/> Hearing / Deafness	<input type="checkbox"/> Physical
<input type="checkbox"/> Mental Illness	<input type="checkbox"/> Acquired Brain Impairment	<input type="checkbox"/> Intellectual
<input type="checkbox"/> Learning	<input type="checkbox"/> Medical Condition	<input type="checkbox"/> Chronic Illness
<input type="checkbox"/> Other (Please specify)		
If you require assistance for a disability, please give details:		

Acknowledgements

I have received and read course information relating to the course in which I have enrolled, including: physical requirements; payment / cancellation terms and conditions; and details of complaints and appeals processes.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I am able to safely undertake the activities, including practical activities, involved in the course in which I have enrolled without limitation from any pre-existing mental or physical condition.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I consent to 5th Point taking photos and/or video recordings during my training course. I understand that these photos may be used for promotional purposes, including being published on the website and/or social media.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Signed	Dated	D D / M M / Y Y Y Y

Staff Use Only

USI Verified (date / initial):

Details Entered (date / initial):

QA-F03 Opportunity for Improvement Form

Personal Details		
Name:		
Phone:		
Email:		
Best Contact: (Please Circle)	Phone	Email

Do you wish to remain anonymous? (Please Circle)	Yes	No
Would you like to be informed about the outcome of your idea? (Please Circle)	Yes	No

Opportunity for Improvement	
Date:	
Member Company No.	
Nature of Opportunity Identified: (Please use additional pages if required)	

Opportunity for Improvement

Proposed Solution: (Please identify how this opportunity could be leveraged to benefit 5th Point)

Signed:

Please return completed form to the RTO Manager.

For additional information about 5th Point's opportunity for improvement process please see the *Continuous Improvement Strategy (QA-002)* available in the *Candidate Handbook (TG-006)* on our website.

Administrative Use Only

OFI Received By:

Date Received:

Method Communicated:

In Person

In Writing

Entered into OFI Register:

Yes

No

Signed:

TG-F03 Language, Literacy and Numeracy Assessment

Personal and Course Enrolment Details

Candidate Personal Details	
Surname or Family Name	Date of Birth
	D D / M M / Y Y Y Y
	Gender
	Male Female
First Given Name	Middle Name
	Phone
Email Address	

Course Information	
Course Title	Course Code

Cultural Background	
Do you speak a language other than English at home?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please specify.	
How well do you speak English?	<input type="checkbox"/> Very Well <input type="checkbox"/> Well <input type="checkbox"/> Not Well <input type="checkbox"/> Not at all

Language, Literacy and Numeracy Assessment

Question 1.

Briefly describe, in an email to a friend or colleague, the benefits of undertaking this course (100 words or less):

Question 2. Please read the following paragraph and answer the questions below:

Steve completed school at the age of seventeen and wanted a job that would allow him to travel the world. Steve is now nineteen years of age and is considering a career in the industrial rope access industry. Steve enjoys being outdoors, and goes rock climbing regularly with friends. He is looking at gaining the appropriate training to ensure that he can work overseas. He wants to attend a 5-day course to become a qualified IRATA rope access technician.

How old is Steve now?	
How old was Steve when he left school?	
What does Steve enjoy doing with his friends?	
What is the duration of the course Steve wants to attend?	

Question 3.

Bob left home at 7am this morning to drive to the training centre from his house in Freshwater. He drove past his local shops to get himself a coffee on the way and stopped for 10 minutes to read the paper. This side trip extended the distance that Bob had to drive by 3km. He arrived at the training centre shortly before 8am.

What time did Bob arrive at the training centre?	
What distance was his trip extended by?	
How long did Bob stop to read the paper?	
What did Bob go to the local shops for originally?	

Question 4.

There are four containers of milk in the fridge. Which one has more milk? (Tick the appropriate box)

<input type="checkbox"/> A 1L Carton which is half full	<input type="checkbox"/> A full 500mL Carton
<input type="checkbox"/> A 4L Jug which is a quarter full	<input type="checkbox"/> A 2L Jug which is two thirds full

Question 5.

5th Point is having an equipment sale and you want to buy the cheapest helmet available. Which helmet would you buy? (Tick the appropriate box)

<input type="checkbox"/> Helmet 1 – \$100 with a 10% discount	<input type="checkbox"/> Helmet 2 – \$100 with \$10 off
<input type="checkbox"/> Helmet 3 – \$200 with 50% off	<input type="checkbox"/> Helmet 4 – \$100 reduced by $\frac{1}{4}$ of the price





Question 6.

Which is longer? (Tick the appropriate box)

Minutes vs. Seconds:	<input type="checkbox"/> 180 seconds	<input type="checkbox"/> 4 minutes
Hours vs. Minutes	<input type="checkbox"/> 90 minutes	<input type="checkbox"/> 2 hours
Meters vs. Centimetres	<input type="checkbox"/> 3 meters	<input type="checkbox"/> 120 centimetres
Kilometres vs. Meters	<input type="checkbox"/> 5 kilometres	<input type="checkbox"/> 2800 metres

Question 7.

Please draw a line from the sign to the action identified.

	There may be cows on the road
	Please do not smoke on the premises
	Hazards present do not enter
	Speed bumps ahead

Staff Use Only

Reviewed by:

Date / Initial:

Determination (Please Circle): Commence Training

Commence Training
with Support

Redirect to LLN
Support Services

Identify Training Support to be Provided (if applicable):

Communicate to candidate?

Y / N

Date / Initial:

TG-F04 Complaints Form

Personal Details			
Complainant Name:			
Street Address:			
Phone:			
Email:			
Best Contact (please tick):	Phone <input type="checkbox"/>	Email <input type="checkbox"/>	Post <input type="checkbox"/>
Date Complaint Made:			

Details of Complaint	
Nature of Complaint: (Please use additional pages if required)	
Outcome Sought: (Please identify any outcome or action you would like to see)	

5th Point Group

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Don't forget to include:

- The time and date the incident occurred
- The activity you were undertaking at the time of the incident
- The location you were in when the incident occurred
- Details of the person the complaint is made against (if any) and your relationship with that person.

Has an attempt been made at informal resolution?Yes ☐No ☐**If yes, who was approached:**

Please return completed form to the RTO Manager or another member of 5th Point Management.

For additional information about 5th Point's complaints procedure please see the *Complaints Policy and Procedure (TG-004)* available in the *Candidate Handbook (TG-006)* on our website.

Administrative Use Only

Complaint Received By:

Date Received:

Method Communicated:

In Person

In Writing

Investigated By:

Action Taken or Required:

Date Action Completed:

Outcome Communicated to Complainant:

Yes

No

Signed:

TR-F06 Appeals Form

Personal Details			
Name:			
Street Address:			
Phone:			
Email:			
Best Contact (Please Circle):	Phone	Email	Post
Date of Appeal:			

Details of Appeal	
Nature of Appeal: (Please use additional pages if required)	
Outcome Sought: (Please identify any outcome or action you would like to see)	

Details of Appeal

Don't forget to include:

- The time and date the assessment (and assessment decision) occurred
- The assessment part, activity or reason provided for the assessment decision
- The location the assessment was conducted
- Details of the Assessor.

Was the appeal raised with the Assessor at the time? (Please Circle) Yes / No

If yes, please provide details:

Please return completed form to the RTO Manager or another member of 5th Point Management.

For additional information about 5th Point's appeals procedure please see the *Appeals Policy and Procedure (TG-005)* available in the *Candidate Handbook (TG-006)* on our website.

Administrative Use Only

Appeal Received By:

Date Received:

Method Communicated

In Person ☐

In Writing ☐

Investigated By:

Date Investigated:

Candidate:

Consultation:

Trainer / Assessor:

Administrative Use Only				
Assessment Review:	<i>Was the assessment fair, valid and reliable?</i>			
Outcome of Assessment Review?	Assessment Decision Confirmed		Appeal Approved	
	<i>E.g. Arrangements made for candidate to re-sit course.</i>		<i>E.g. Arrangements made for candidate to re-assess on assessment part / task where fail occurred.</i>	
Outcome of Assessment Review?				
Outcome Communicated to Appellant:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date:	
Name / Signature:				
Action Taken or Required: <i>I.e. Arrangements made for candidate to re-sit course or to re-assess on assessment part / task where fail occurred.</i>				
Date Action Completed:				
Action Completed By:				
Communicated to Appellant:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Date:	
Name / Signature:				

HR-F08 Incident Report Form

Incident Details			
Date:	Time:	Location:	Risk Assessment / SWMS Ref:

Description of Incident (please describe what occurred):

Details of Injured Person(s) (if any):			
Name:			
Phone / Email:			
Capacity:	Candidate	Third Party	Employee / Contractor

Details of Injuries (if applicable):

Response to Incident / First Aid Performed:
--

Details of Witness (if any):			
Name:			
Phone / Email:			
Capacity:	Candidate	Third Party	Employee / Contractor

Trainer / Level 3 Supervisor Details:	Other Witness Details (if any):

Proposed Cause of Incident:

OFFICE USE ONLY**Person Completing Incident Report (name and position):****Person Undertaking Investigation (name and position):****Proposed Cause of Incident:****Preventative Response (proposed action to prevent reoccurrence of incident):****Response Implemented:** **Y / N** **Date:****Implemented By:** **Signed:**