



# **COMPANY POLICY AND PROCEDURE MANUAL**

**2011 Edition**

**Last Reviewed – December 2010**

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**NB: See also Modern Apprenticeships Policy and Procedures Manual**

## Amendments since previous issue of manual

Summary of changes in this edition:		Page
1. Governance and Management Policy	Risk Management Approach added	13
2. Lesson Plan Development Policy	Standard for multi-choice assessment questions added; judgement statements amended	39
3. Document Control Policy	Document archiving updated	54
4. Staff Development Policy	Support for staff study as required by management or as requested by individual staff	71
5. Support and Guidance Policy	Definition of "pastoral care" for Youth Guarantee added	116
6. Moderation Policy and Procedure	Moderation of assessments updated	143
7. Policies with minor changes **	Goals and Purposes, p14 Managing Achievement of Qualifications, p15 LMO Procedure for EFTS, p17, p18 (deletion) Organisation Structure and Staffing, p60-63 Tutoring Method, p83 (12a) Work Experience, p88 Procedure for Enrolments, p103-104	

\*\* Minor changes include small additions, deletions, changes of wording etc. that have been made to reflect current practice that does not change the meaning of the previous policy.

Note: in this manual the Rules and Regulations (Appendix, p161) have been reorganised and slightly reworded with minimal change to meaning or intent.

## Abbreviations used throughout this manual

ACC	Accident Compensation Corporation	LMO	Labour Market Outcome	SCF	Student Component Funding
BCATS	Building, Construction and Allied Trades Skills	MA	Modern Apprenticeship	SDR	Single Data Return
BCITO	Building & Construction ITO	MAC	Modern Apprentice Coordinator	SSB, NSSB	Standards Setting Body / National Standards Setting Body
BRANZ	Building Research Association of New Zealand	MITO	Motor ITO	STAR	Secondary Tertiary Alignment Resource
<b>CMR</b>	Consent and moderation requirements	MoE	Ministry of Education	TEC	Tertiary Education Commission
EFTS	Equivalent Full Time Student	MSD	Ministry of Social Development	TES	Tertiary Education Strategy
EPI	Education Performance Indicator	NSI	National Student Index	TOP	Training Opportunities Programme
G&H	G&H Training Limited	NSN	National Student Number	USIS	Unit Standards in Schools
GST	Goods and Services Tax	NSZQA	New Zealand Qualifications Authority	WINZ	Work and Income New Zealand
ICT	Information and Communication Technology	<b>NZQF</b>	<b>New Zealand Qualifications Framework</b>	WOF	Warrant of Fitness
IEA	Individual Employment Agreement	OFT	Other Full Time Training	YG	Youth Guarantee Programme
IRD	Inland Revenue Department	OSH	Occupational Safety and Health	YT	Youth Training
ITO	Industry Training Organisation	PF	Portfolio		
		PTE	Private Training Establishment		
		RPL	Recognition of Prior Learning		
		RUC	Road User Charges		



# Requirements for Registration

**“The PTE is responsive to the needs of learners and other stakeholders and has the capacity to undertake self-assessment”**



# PTE Registration Policy

## Policy

It is the policy of G&H Training Limited (G&H) to uphold the legislative and policy requirements required for ongoing registration and accreditation as a Private Training Establishment.

## Policy Objectives

The company shall:

1. Comply with the policies and criteria established under Section 253(1)(ca) (NZQA's Student Fee Protection Policy) and other policies established by NZQA under Section 253(1) in regard to registration, course approval, course accreditation and National Qualifications Framework accreditation.
2. Uphold the NZQA policies and eight criteria for ongoing registration as a Private Training Establishment.
3. Maintain current corporate status and advise NZQA promptly of any change of or ownership that affects its registration.
4. Ensure that the management team behaves in a manner that will not bring the company into disrepute or raise conflicts of interest with its educational goals and purposes.
5. Incorporate relevant principles of the Treaty of Waitangi into its culture and activities.
6. Operate a financial structure that supports ongoing financial viability and generates sufficient income through education activities that meet the associated financial commitments.
7. Manage the business so as to focus on the achievement of the company's goals and purposes and make a distinctive contribution to the education sector.
8. Operate to the goals and purposes within our scope of education activities.

## Scope of education activities

G&H intends to provide trades related training that prepares learners to achieve qualifications and move up a staircase of training under the following programmes:

STAR/USIS etc.	Short courses for secondary school students
Targeted training	Training towards qualifications at Levels 2-3 for people who meet the specified entry criteria (e.g. Youth Training, Youth Guarantee, Training Opportunities etc.).
Student Component Funded training	Qualifications at level 4 or above, e.g. The G&H Certificate in Pre-employment Carpentry. (SCF or EFTS)
Training for industry	Training for industry or bodies such as ITOs for people in employment, e.g. block courses or day release classes.
Other trades training and services	Training and services designed to meet the stated needs of government or other stakeholders, e.g. Modern Apprenticeships Coordination, and/or expand the focus of G&H Training Limited to a wider range of trades.
Other training and services	Non-trades related training or services where appropriate opportunities arise.

## Educational needs of learners, employers, and other stakeholders

**Learners:** G&H recognises that learners come with individual needs, goals and experiences. We take steps to identify those needs and provide a training environment and approach that will provide each learner with the reasonable opportunity and means to achieve their learning goals.

**Employers:** G&H recognises that employers expect new employees to have relevant qualifications and suitable skills, knowledge and demonstrated behaviours for safe entry to the industry. G&H provides a training environment to foster these qualities. G&H maintains a network of employers to provide opportunities for learners to undertake workplace training, and to inform

the company about workplace needs and trends in order that we can keep our training relevant and current.

**Other:** G&H recognises that other stakeholders, such as ITOs and government funding and quality management agencies, may require programmes to achieve qualification completion or other educational targets. We focus our endeavours to ensure that these targets are met.

### Educational outcomes sought for learners and other stakeholders

The educational outcomes sought for learners and other stakeholders are stated in our Investment Plan.

### Performance indicators to measure achievement of goals and purposes

The performance indicators that G&H uses to measure our achievements are stated in the Company Goals and Objectives that are reviewed each year and ad hoc as otherwise required. These incorporated the Key Performance Indicators from our TEC-approved Investment Plan, and the self assessment activities required to maintain our registration and accreditation as a PTE.

G&H monitors progress towards achievement of these goals and objectives through our self assessment activities as set out in the Quality Assurance Policy.

### Relationship of non-educational goals and purposes to the provision of education and training

G&H uses a comprehensive set of goals and objectives to support the achievement of all the key performance requirements, educational outcomes and business goals of the company.

### Responsibility

**Managing director:** to ensure that the registration and accreditation requirements of NZQA are met.

**Management team:** to oversee that the company operates so as to meet NZQA registration and accreditation requirements.

### Related documentation and other resources

Documents on file include: This Policy Manual; all other relevant company records.

TEC Tertiary Funding Guide, strategic planning documents and website. MOE website. NZQA Guidelines and website.

PTE Registration Policy

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Provider Details

**PROVIDER NAME:** G&H Training Limited  
**PROVIDER MOE CODE:** 9436  
**LEGAL STATUS:** Limited Liability Company  
**MANAGING DIRECTOR:** Geoff Goodchild  
**DATE OF INCORPORATION:** July 1995

## **CONTACT ADDRESS - Head Office:**

**POSTAL ADDRESS** P O Box 3378, Napier  
**PHYSICAL ADDRESS** 52 Ford Road, Onekawa, Napier  
**PHONE** 0800-876-4664  
06-843-8664  
**FACSIMILE** 06-843-8674  
**MAIN EMAIL** [admin@ghtraining.co.nz](mailto:admin@ghtraining.co.nz)

## **Contact people for student enquiries and assistance:**

- 1 Class tutor (or for female learners - female support person, Head Office)
- 2 Branch manager
- 3 Regional manager
- 4 Head Office - operations manager
- 5 Head Office – managing director
- 6 NZQA

## **Vision Statement**

It is our vision that G&H Training Limited becomes a household name.

## **Internal Mission Statement**

To be the biggest and best provider of trade training, providing unmatched service to learners, employers and industry.

## **External Mission Statement**

The purpose of G&H Training Limited is:

- To deliver industry and capability skills allowing a pathway of lifetime learning, in support of stakeholders and the National Qualifications Framework;
- To provide a staircase for learners from all levels of the community;
- To provide quality cost effective education and training which shall encourage and challenge learners to achieve personal standards of excellence, in a supportive environment where there is respect for the individual and cultural differences of all learners and staff.



## **Criterion One**

# **Governance and Management**

“Governance and management functions are distinct, support academic integrity and are undertaken in the best interests of the PTE and its learners.”



# Governance and Management Policy

## Policy

It is the policy of G&H Training Limited to manage the company in the best interests of its learners and of the ongoing success of the company.

## Policy Objectives

The company shall be managed so as to:

1. Focus on the achievement of our education and training goals and purposes and our distinctive contribution to the Tertiary Education Strategy, as described in the Goals and Purposes Policy.
2. Submit data and documents as required by The Tertiary Education Commission, NZQA and any other organisation with whom we have a funding contract, as described in the Notification and Reporting Policy.
3. Provide accurate and clear information about our education and services to the public, as described in the Student Information and Advertising Policy.
4. Employ staff in management and other positions with skills and experience fit for our goals and purposes, our distinctive contribution to tertiary education, and the services we provide to learners and stakeholders, as described in the Staff Selection Policy.
5. Provide facilities and resources for the wellbeing of students and staff, as described in the Premises policy.
6. Comply with New Zealand laws and statues in relation to all aspects of our business.
7. Manage company records to ensure accuracy, integrity and compliance with relevant statutory requirements, as described in the Document Control and Student Records Policies.
8. Apply a coherent quality assurance system across our business, as described in our Quality Assurance Policy.
9. Manage risk in relation to our special characteristics, business activities and educational provision.

## Risk management approach

Our overall approach to risk management is to collect and monitor data regularly on our key performance areas through our portfolio accountability and reporting system, and to use this information in decision making where there are risks or opportunities. We aim to keep pace with the changing business and educational environment through our stakeholder engagement and labour market and external research activities. We base our main business decisions on sound business practice, using information from all these sources to support our niche place in the trades training sector within the context of the Tertiary Education Strategy. We avoid financial risk through the use of recognised accounting practice.

## Responsibility

**Managing director:** to ensure that G&H Training Limited is effectively managed and that business decision making is appropriately delegated.

**Management team:** to assist the managing director to uphold the G&H policies and procedures.

## Related documentation and other resources

Documents on file include: Current Company Registration Certificate; personnel files; copies of documents submitted to TEC, NZQA etc.; G&H website; student information brochures, internal moderation and self assessment reports; risk management plan.

TEC, MOE and NZQA websites.

**Last review of this policy:** December 2010

**Reviewed by:** DP

**Approved by:** GCG

# Goals and Purposes Policy

## Policy

It is the policy of G&H Training Limited to focus on the achievement of our educational goals, and to contribute to the Tertiary Education Strategy.

## Policy Objectives

The company:

1. Expresses its goals and objectives in a set of key documents which collectively cover the company's planned business direction.
2. Operates systems and procedures to ensure that the performance requirements of its stakeholders are met.
3. Follows procedures to manage the achievement of key goals and objectives.
4. Contributes positively to the goals of the Tertiary Education Strategy.

## Goals and purposes

1. The goals and objectives are set out in the company's Investment Plan, Business Plan and goals, Company Goals, NZQA self assessment requirements, and policy and procedure manuals.
2. There are specific procedures (below) for managing the use of funded places and meeting the requirements of the Educational Performance Indicators (EPIs) in order to maintain or improve our performance in relation to other providers, including course and qualifications completions; retentions; progressions and labour market outcomes; and equitability of achievement for priority groups.
3. The systems and procedures to ensure achievement of all goals and objectives are described in the Organisational Staffing and Structure Policy, and the Quality Assurance Policy.

## Tertiary Education Strategy

1. The Tertiary Education Strategy is a driving force behind the delivery of training and the development of new courses and products for each stakeholder with whom we contract. In particular we aim to:
  - a. Offer flexible and responsive education programmes that enable students to complete high quality qualifications that lead to employment or higher-level education.
  - b. Deliver tailored learning opportunities in an industry-focused learning environment.
  - c. Provide specialised trade qualifications and training.
  - d. Assist students in level one to three qualifications to improve their literacy, language and numeracy skills through embedded literacy and numeracy development.
  - e. Work with schools and businesses to drive innovation.

## Distinctive contribution to the tertiary education network

The company's distinct contribution to the nation's tertiary training is described in our Investment Plan.

## Responsibility

**Managing director:** to ensure that G&H goals and purposes are reviewed, updated and upheld.

**Management team:** to support the achievement of the G&H goals and purposes.

**Portfolio holders:** to contribute to the achievement of the G&H goals and purposes.

## Related documentation and other resources

Investment Plan, TEC and MOE websites.

**Last review of this policy:** December 2010

**Reviewed by:** DP

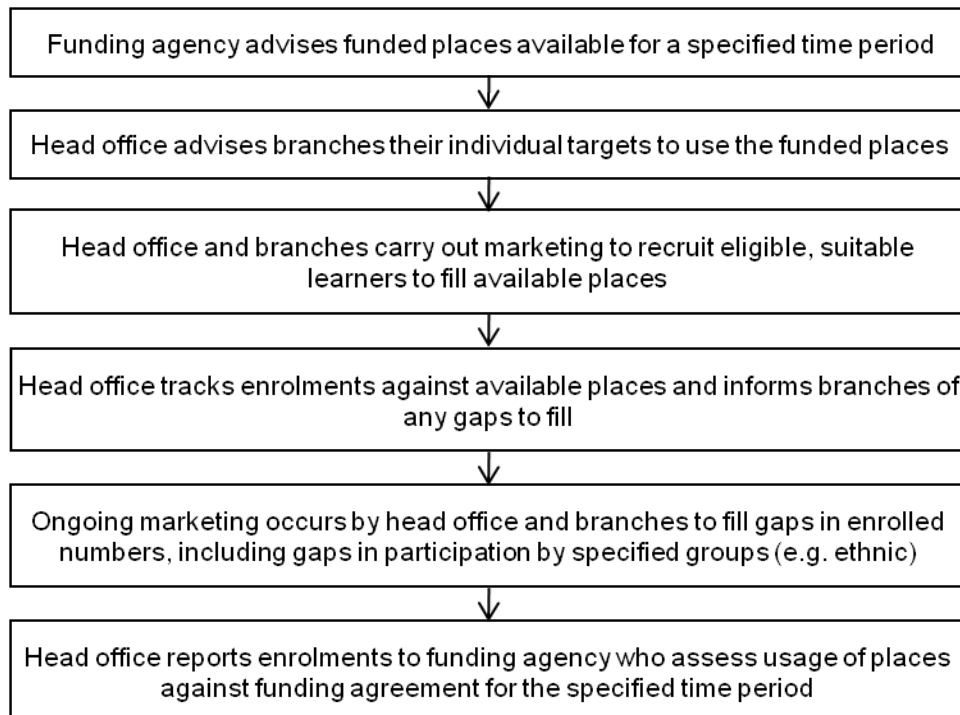
**Approved by:** GCG

# Procedure for: MANAGING USE OF FUNDED PLACES

## Objective

It is our company's objective to make all reasonable efforts to ensure that the places approved for funding can all be used.

## Procedure



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedures for: MANAGING THE ACHIEVEMENT OF QUALIFICATIONS AND CREDITS ON THE NZQF

## Objective

It is our company's objective to make all reasonable efforts to give our learners the opportunity to achieve the qualification or credits that they have enrolled for.

## Definitions

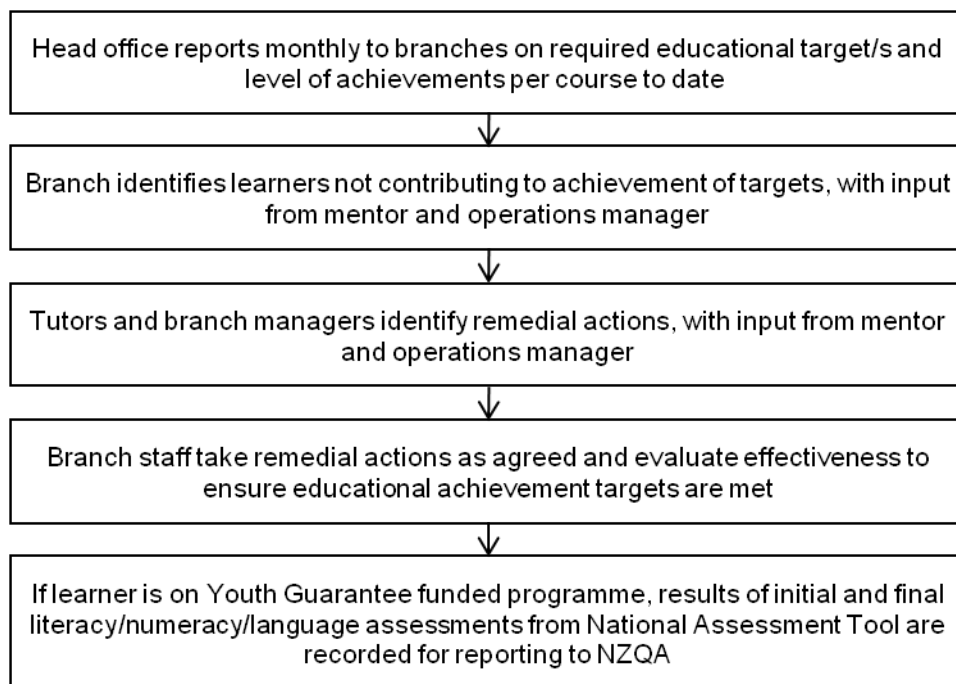
**Qualification (EFTS):** The G&H Certificate in Pre-employment Carpentry. A learner who has completed part of the Certificate on enrolment may enrol for the uncompleted units, and will be awarded the Certificate on completion of all these units.

**Qualification (YT):** The NC in Motor Industry – Foundation Skills L1, or NC in Motor Industry – Entry to Automotive Trades L2.

**Qualification (YT/YG):** The Building Construction & Allied Trades Skills Certificate. A learner who has completed the Certificate may go on to enrol on a G&H Certificate.

**Qualification (YG):** The G&H Certificate in Practical Construction Skills. A learner will be awarded the Certificate on completion of all the compulsory units and sufficient optional units to reach the required number of credits.

## Procedure



Last review of this procedure: December 2010

Reviewed by: DP

Approved by: GCG

# Procedure for: MANAGING THE ACHIEVEMENT OF PROGRESSIONS AND LABOUR MARKET OUTCOMES

## Objective

It is our company's objective to make all reasonable efforts to give our learners the opportunity to progress to higher level training and/or achieve the labour market outcome that their studies at G&H Training Limited have prepared them for.

## Definitions

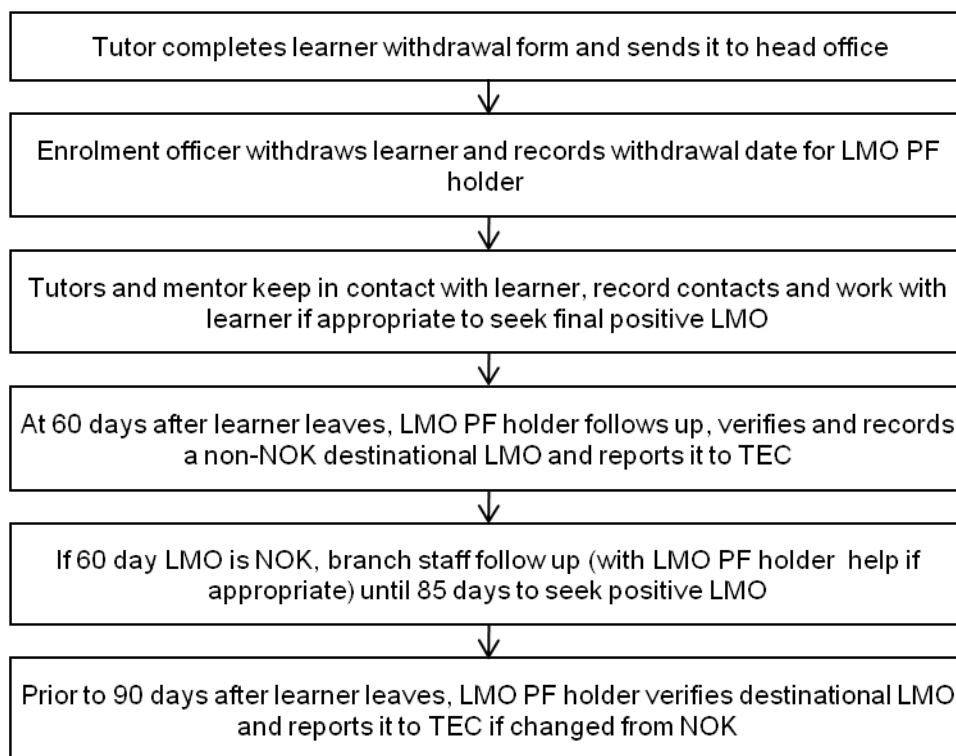
**Verify:** directly confirm with the employer or training provider that the positive outcome claimed was, is, or will be true at time of measurement, and record the verified details for TEC to follow up for audit.

**Relevant:** the learner uses the course content in the employment or further training they have entered.

**Complete the LMO entry:** enter the correct code for the verified LMO in the Final LMO field and, if positive, the verified contact details in the adjoining cell in the LMO system, report as per external stakeholder requirement.

**Destinational outcome:** If a Youth Training leaver enrolls on our EFTS course, the LMO code is OFT and the destinational field states "EFTS." If they re-enroll on the same Youth Training course this or the following year, the LMO code is YOU, and destinational field states "YT".

## LMO procedure for TEC targeted funding learners

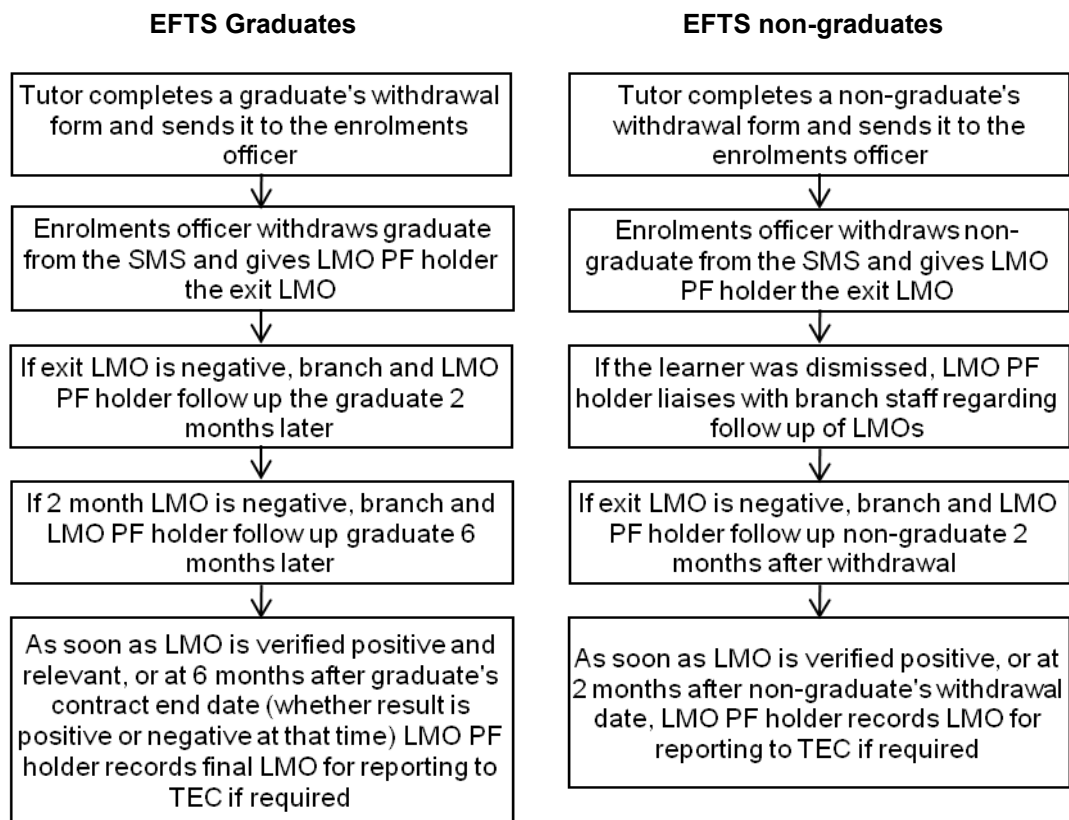


Last review of this procedure: December 2010

Reviewed by: DP

Approved by: GCG

## LMO procedure for EFTS learners



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

## Procedure for:

# MANAGING EQUITABILITY OF ACHIEVEMENT FOR UNDER REPRESENTED OR SPECIFIED GROUPS

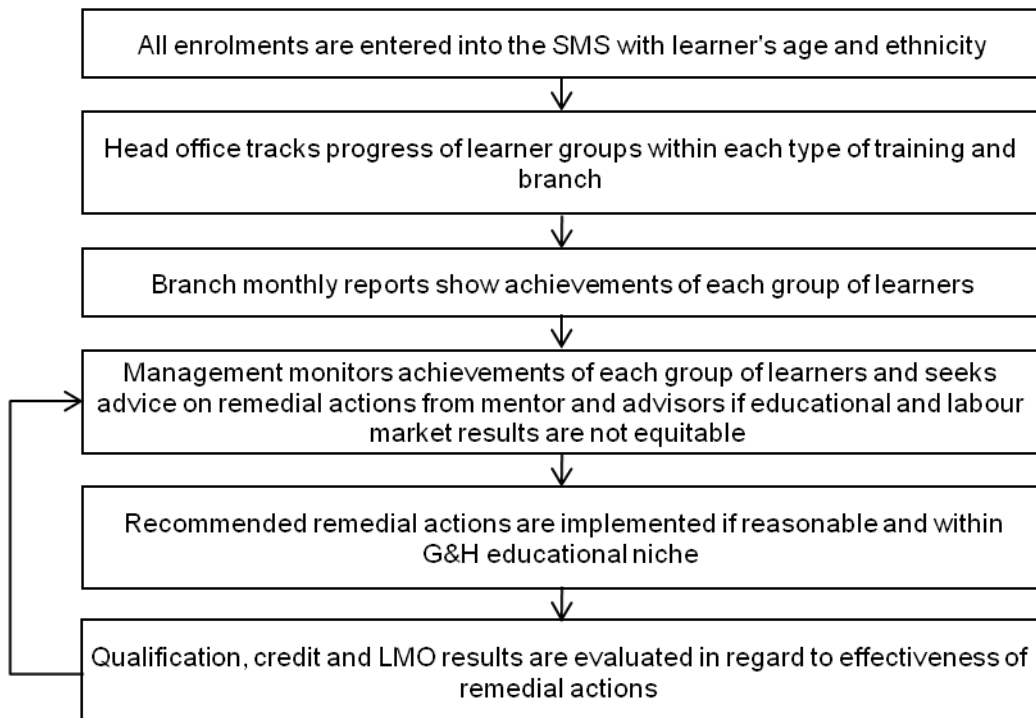
### Objective

It is our company's objective to make all reasonable efforts to ensure that all our learners have an opportunity to achieve qualifications and labour market outcomes that are equitable with those achieved by their cohort of learners.

### Definition

Equitable: at a rate no greater than 2-3% less than the rate achieved by learners in the particular cohort overall.

### Procedure



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG





## **Criterion Two**

### **Finances**

**“Financial management uses sound practices and achieves acceptable financial performance to recognised professional standards.”**



# Financial Practices Policy

## Policy

It is the policy of G&H Training Limited that acceptable financial management practices and performance are applied as per the requirements of the Education Act 1989, section 236 (1) (ba), the current Tertiary Education Commission Funding Guide, and accepted business practice.

## Policy Objectives

### **Accounting**

1. All source financial records are processed on a timely basis and stored in an orderly and accessible manner.
2. Generally accepted accounting practices are adopted and adhered to.
3. Appropriate internal controls are adopted and reviewed as required.

### **Financial reporting**

1. Financial statements are prepared according to Generally Accepted Accounting Practice (GAAP) and comply with New Zealand financial reporting standards.
  - a. In accordance with NZQA requirements a financial management statement is signed by a chartered accountant.
  - b. All government funding and financial reporting requirements in accordance with the Tertiary Education Commission / Ministry of Education, are applied and completed in a timely manner.
2. The annual financial statements and underlying records and systems are subject to external audit by a qualified chartered accountant to ensure:
  - a. Compliance and consistent treatment of GAAP;
  - b. That the financial statements accurately reflect the company's performance and statement of position;
  - c. The internal controls and system are reviewed.
3. Monthly financial reports are prepared on a timely basis and submitted to the managing director for review.
4. Tax compliance work is done by an independent firm of chartered accountants.

### **Financial viability:**

1. Our organisation applies acceptable business and financial practices so that financial viability is maintained as required. The company achieves this by:
  - a. Preparation of a detailed budget for the immediate forthcoming financial year, and an overview budget for the following two years;
  - b. Aiming to operate within acceptable Key Accounting and Financial Management ratios;
  - c. Obtaining review of the financial forecast by the external independent auditor and the annual report of their *Professional Attestation* to NZQA;
  - d. Daily assessment of cashflow by the accountant and managing director;
  - e. Review of financial performance on a monthly basis by the accountant and managing director.

## Responsibility

**Managing director:** to ensure that appropriate procedures are put in place and that this policy is adhered to.

**Accountant:** to complete all financial reporting and provide it to the managing director in a timely manner.

## Related documentation and other resources

All relevant documentation must be recorded and kept on file.

Managing director, accountant, financial records, notice of terms and conditions, Education Act, NZQA website

**Last review of this policy:** December 2009

**Reviewed by:** SA

**Approved by:** GCG

# Budget Policy

## Policy

It is the policy of G&H Training Limited to ensure that forward planning of financial, administrative and physical resources is completed.

Budgets are prepared annually, or when and as required, to make allocations for specific costs relating directly to the delivery of each course. These include specifications of all organisations scheduled in our course development policy, as well as all costs of improvements arising from course evaluation.

## Policy Objectives

Guidelines specified by various organisations such as the Ministry of Education (Section 238A of the Education Act 1989), and Tertiary Education Commission, will be adhered to.

Budgets are to be prepared by the managing director and the accountant and, when necessary, in conjunction with a contracted accountant and an independent auditor.

Forward planning of financial, administrative and physical resource needs is completed.

The annual budget shall align with outcomes and resources and support the company's educational provision and administration.

Budgets will be evaluated monthly to ensure that income and expense items are within budget. Budgets will be evaluated annually to ensure that costing and budget figures were accurate, economical, and relevant to the income and expenses incurred during the year.

## Responsibility

**Accountant:** to ensure that budgets are planned and calculated appropriately and advised to the managing director to allow for the necessary expenses detailed in the Financial Resource Policy, the Administrative Resource Policy, and the Physical Resource Policy.

## Documentation and other resources

All relevant documentation must be completed and recorded and kept on file [e.g. financial records, cashflows, budget records].

## Resources

The Education Act 1989, Ministry of Education, Tertiary Education Commission, company accountant, MYOB.

Last review of this policy: December 2009

Reviewed by: SA

Approved by: GCG

# Financial Resource Policy

## Policy

It is the policy of G&H Training Limited to finance adequate resources, equipment and premises for its education and training services, which meet the requirements specified for the delivery of courses within its scope of accreditation, as per the requirements of the Education Act 1989, section 236 (1)(b) and section 259.

## Policy Objectives

Financial resources are allocated to specific items as and when reasonably required in order to meet the contractual agreements with the Tertiary Education Commission, New Zealand Qualifications Authority, Ministry of Education, Ministry of Social Development, and other funding bodies. Financial resources are made available to ensure delivery standards are met and continuous improvement of our courses and services, equipment, amenities, resources, staffing and training venues occurs.

Financial resources shall be allocated to the following:

- Premises that meet statutory and regulatory standards and are of adequate size and quality for the needs of the number of learners attending the courses being taught.
- Training Materials: development and allocation of teaching and learning resources to enable funded courses to be delivered as contracted.
- Machinery: to enable the maintenance, replacement, improvement or updating required to ensure the safe delivery to industry standards of Tertiary Education Commission and Ministry funded courses respectively.
- All tools, equipment, safety clothing\*, tuition materials and examination costs are provided free of all charge to all learners while enrolled on a course at G&H Training Ltd, unless specified otherwise in course enrolment details. These remain the property of G&H Training Ltd. (*\*Exception = Safety work boots - where learners purchase their own safety boots, clothing and hand tools etc, budgeting advice may be offered*).
- Staff Development: to enable the individual development of each staff member as agreed in their staff development plan.

## Responsibility

**Managing director:** to ensure that financial resources are available to meet contracts.

**Operations manager:** to ensure that resources are provided to meet contracts within budget.

## Documentation and other resources

All relevant documentation must be completed and recorded and kept on file.

The Education Act 1989, Ministry of Education, Tertiary Education Commission, NZQA, company accountant, financial records, computer.

Last review of this policy: December 2009

Reviewed by: SA

Approved by: GCG

# Procedure for: PURCHASING AUTHORISATION

## Objectives

It is our company's objective to develop a 'preferred supplier' system to ensure we obtain the best possible price, and services, for all company expenditure.

All company expenditure should be appropriate to the needs of the learners and appropriate to the needs of the staff to ensure that our services are supplied effectively and efficiently.

These 'costs' must be balanced against the cost of purchasing required items.

To ensure the on-going improvement of our company it is recommended that a list of priority items that will enable the delivery of cost effective training is completed and updated for each training venue annually. Company expenditure for this priority list can then be budgeting accordingly.

## Authorisation Procedure

*For expenditure on ALL items not specified in other procedures:*

1. Obtain approval in principle for the expenditure by emailing the operations manager with a detailed description of the items required, and the reason for the purchase.
2. Once approval to proceed has been granted, obtain a quotation for the expenditure from suppliers. The operations manager may give direction on where to get quotations in case there has been a recent purchase of the same item at a good price, in which case no further quotations may be necessary.
3. Fax a copy of the quotations to the operations manager.
4. The operations manager gives final approval, or will present the authorisation request and all three quotations to the managing director for final approval for spending above delegated amounts or outside of routine circumstances.

In assessing the best quote, consideration needs to be given to a number of factors including price and, where applicable, warranties, delivery charges, after sales service, and/or location of nearest service agent/s.

5. Once final approval of the purchasing requests has been obtained the operations manager will advise how they are to be actioned.

## Important Notes

The advantages of this procedure include:

- By comparing the three quotes, we can establish who is giving the best price and service.
- Detailed reasons for purchase will enable approvals to be considered from the perspective of actual needs rather than assumed needs, and to ascertain forward planning expenditure and budgeting for other branches.
- Spending can be managed so branches can receive the items they need when they need them in order to meet their performance targets, learner and tutor requirements, and health and safety requirements.

## Responsibility

**Operations manager:** to ensure that all branch expenditure is appropriate to the needs of staff and learners and to ensure that all expenditure is authorised appropriately and within budget.

**Branch manager and regional manager:** to create and maintain a priority list of resource requirements and present this to the operations manager for future planning.

**Staff:** to obtain approval from the managing director to purchase any item over a pre-determined budget, in accordance with the company's purchasing procedures.

**Last review of this procedure:** December 2009

**Reviewed by:** SA

**Approved by:** GCG

# Procedure for: PURCHASING OF STATIONERY

## Objective

It is the objective of G&H Training Limited to purchase stationery as cost effectively as possible, ensuring we get reasonable value for money and at the same time minimising paper work and data entry.

Ordering should be limited to one order per month to be placed as required with our preferred supplier/s.

Stationery for branches will be provided on a just-in-time basis and with consideration of prior requests and current conditions at the branch.

## Procedure

### **To order branch monthly stationery supplies:**

- Print an '*Administration Request Form*' from the internet, complete it and fax to head office in accordance with the timetable recorded on the branch *Administration request schedule*, detailing your stationery requirements for the following month.
- Head office will place a bulk stationery order with our preferred supplier on the first working day of each month.
- Our supplier will arrange for stock to be delivered direct to each branch accordingly.
- The contact person at head office for the ordering of stationery is the accountant or other designated person.

### **For any items required urgently during the month:**

- Complete an administration request form and fax to head office.
- Clearly, mark items 'urgent' so that a special order can be made.

## Important Notes

1. Keep a stock of regular items and use the monthly ordering process to replenish these stocks. It is not necessary for branches to hold large quantities of stationery.
2. Purchase order numbers will be issued by head office.
3. Administration request forms are to be forwarded to head office during the month but unless these are marked 'urgent', they will be stock piled for the bulk order at the beginning of the following month.
4. Branch request forms will be reviewed at head office by the accountant. Where the nature and quantity of stationery items ordered are considered inappropriate for the branch's needs, the branch order may be altered with approval from the operations manager. Details of any significant variations to the branch order will be emailed to the branch manager.

**Last review of this procedure:** December 2009

Reviewed by: SA

Approved by: GCG

# Procedure for: STAFF TRAVEL

## Objectives

It is our company's objective to ensure that all staff required to travel out of their region as support staff to other branches, or for other approved company business, are reimbursed appropriately and fairly for travel and accommodation costs, including meals.

## Procedure

### **Travel Costs**

- Where possible, a company vehicle is to be used and fuel costs placed on the fuel card provided.
- The cost of operating a personal vehicle for company business may be reimbursed with prior approval. As a rule, however, staff will be discouraged from using their own vehicles on company business.
- For any other forms of transport, the operations manager must give prior approval as per the 'Purchasing Authorisation' procedure.

### **Accommodation Costs**

- 'Preferred' accommodation suppliers have been identified in several cities and if accommodation is required in these areas we request that you stay at one of these places. The accountant will advise staff where these places are. Arrangements are in place for accommodation costs to be invoiced directly to head office from these preferred suppliers.
- If accommodation is not available with a preferred supplier, or if you need accommodation where no preferred supplier exists, you should obtain approval from the operations manager to stay at an alternative place.
- Staff are responsible for booking their accommodation once approval is granted.
- Before travelling, a purchase order must be completed and the yellow copy forwarded to head office stating the date of travel, the name of the staff member/s travelling, the name of the establishment where they will be staying, and the cost (including GST). In the event that a purchase order cannot be finalised prior to an urgent travel need, this must be done on your return to your branch / office and the purchase order number advised to the accommodation proprietor.
- When booking, provide the establishment with the purchase order number, and confirm that the establishment will forward the tax invoice to head office.

### **Meal Allowances**

- Meal allowances will be approved at \$35 per night per staff member. An exception may apply if, for example, accommodation includes 'bed and breakfast'. Where the cost of a meal is included in an accommodation charge, the company will limit its payment for the meal charged on the account to \$35 per night.
- All meal allowances are claimed on timesheets (not through a purchase order), and are paid with wages.

### **Reimbursements**

- To claim reimbursement for approved travel expenditure, complete and forward to head office a standard purchase order, stating the name of the staff member travelling, the dates and number of nights, and total cost of reimbursement sought. The reimbursement will be paid to the claimant's nominated bank account and advised the same day by email when this is done. Reimbursements are generally paid once a month on the 20<sup>th</sup> unless prior arrangement is made for earlier payment.

### **Tax invoices**

- When staying at accommodation other than with a preferred supplier, or when making purchases as approved in advance, a tax invoice must be obtained and returned to the accounts administrator.

## Important Note

Staff travelling out of town on business are welcome to take family members with them, however the company will not reimburse family members' costs unless agreed in advance by the managing director.

## **Responsibility**

**Staff member travelling:** to supply the correct purchase order numbers for all accommodation and forward yellow copies and orders for reimbursement to head office. It is also the responsibility of this staff member to ensure that all travel costs are kept to a minimum.

**Operations manager:** to approve all inter-city travel and costs.

**Accountant:** to oversee that all claims for staff reimbursement is processed and that appropriate accounts are set up with new suppliers.

**Last review of this procedure:** December 2009

**Reviewed by:** SA

**Approved by:** GCG

Staff Travel Procedure





# Criterion Three

## Resources

**“Physical and learner resources support good educational practice and are current, available and relevant to the learners.”**



# Administrative Resource Policy

## Policy

It is the policy of G&H Training Ltd to allocate administrative resources to enable the smooth running of all courses and services provided by this organisation; and to ensure that all requirements of Tertiary Education Commission (TEC), NZQA, Ministry of Education, and other key stakeholders, are met.

## Policy Objectives

Administrative guidelines will be followed to meet the requirements of the relevant organisations:

- Ministry of Education – Notice of Entitlement
- NZQA Registration and Accreditation Documents
- NZQA Guidelines for the Registration of PTEs
- NZQA How to Maintain Registration as a PTE
- NZQA Accreditation and Moderation Action Plans
- NZQA Unit Standards
- <http://www.minedu.govt.nz>
- <http://www.nzqa.govt.nz>
- <http://tec.govt.nz>
- <http://www.tec.govt.nz/steo>
- TEC – Funding Agreements
- TEC - Investment Plan Guidelines and Funding Application Forms
- TEC – Tertiary Education Funding Guide
- TEC – Single Data Return Manual
- TEC – National Student Index Manual
- TEC – ERS Electronic Receipting System Information Pack
- TEC – Modern Apprenticeships Manual for Coordinators
- ITO Training Guidelines
- G&H Training Limited – Company Policy and Procedure Manual

All documentation will be completed as required by each organisation in regards to: enrolments; withdrawals; funding applications and agreements; notification of results; credit registration; framework hook-ons; changes of circumstances; learner loans and allowances; end of course reports; ad hoc reports; financial records; financial statements; and any other documentation which may be required to be completed at any stage.

Management practices allow us to keep up with all administration required of us as detailed in the administrative resources listed above. This also allows for quality proposal preparation, timely implementation of new processes, marketing and recruitment of appropriate learners, achievement and reporting of learner results etc.

Administrative resources will be evaluated to ensure that all administrative requirements are being met.

## Responsibility

**Managing director** to: ensure that: administrative resources are provided to meet requirements; and reports and proposals to stakeholders are submitted as required.

**Portfolio holders**, in conjunction with the managing director: to ensure that all administration requirements are completed in a timely manner, and to ensure that all documentation is completed and kept on file.

**Regional managers, branch managers, tutors**, in conjunction with the operations manager and administration portfolio holders: to deal with relevant documentation and forward it to the administration staff in a timely manner,

## Documentation and other resources

All relevant documentation must be held and archived at head office [e.g. course records, learner records, moderation records, quality audit records etc.]

Industry accepted / approved Student Management System, quality and performance indicators.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Premises Policy

## Policy

It is the policy of G&H Training Limited to ensure that the training venues are of sufficient size for the number of learners, suitable to the learners' needs, and appropriate for the courses being taught.

## Policy Objectives

G&H will ensure that all premises:

- Are adequate and appropriate to current practices in the relevant industry;
- Meet the reasonable needs of all learners and staff;
- Comply with the regulations relevant to their use, in particular the requirements of the Resource Management Act, the NZ Building Code 1991, and the Health & Safety in Employment Act 1992 and any subsequent amendments.
- Are maintained to meet the safety and quality standards required of an educational establishment;

G&H will also ensure that:

- All amenities are resourced and kept to a high standard of safety and cleanliness to provide a safe environment conducive to learning. All regulations as specified in the Health & Safety in Employment Act 1992, and its subsequent amendments, are adhered to. Health & safety checks on the venue and amenities will be internally moderated as per the Health and Safety Policy.
- The features of the venue shall promote effective theoretical and practical learning and meet statutory and local body requirements.

## Responsibility

**Managing director:** to ensure that all resources assist in providing a safe and conducive learning environment.

**Operations manager:** to ensure that all amenities and venues are of a high standard and all regulations of the Health & Safety in Employment Act 1992 and its amendments are met.

**Regional manager, branch managers and tutors:** to ensure that venues and all amenities are kept clean and safe for all staff, learners and visitors.

**Mentor:** to report to management breaches of this policy that they identify during visits.

## Documentation and other resources

Current BWOF is displayed at venues and all other relevant documentation is kept on file.

Health & Safety in Employment Act 1992, evaluation and internal moderation records, visual inspections.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Learning Resources Policy

## Policy

It is the policy of G&H Training Limited to ensure that the learning resources are adequate, suitable to the learners' needs, and appropriate for the courses being taught.

## Policy Objectives

G&H will ensure that learners are provided with learning resources and equipment that are current and appropriate.

- Resource requirements for new programmes are provided for prior to delivery of the programme. No courses will begin without all necessary requirements being in place. This may be by way of ownership, written lease arrangements, or written agreements with other suppliers and providers, for the provision of the stated requirements;
- Any specific resources requested by an ITO, SSB, NZQA, or any funding body, in respect of our courses, are obtained to allow a variety of learning opportunities for our learners.
- All equipment specified by the relevant ITO or NSSB, as stated in the **CMR**, will be obtained before the delivery of the training. Where necessary, equipment is hired or leased.
- Should machinery or equipment that is required for unit standard assessment not be held by the provider, there will be a written agreement providing G&H Training Limited access to those resources.
- Prior to delivery of new programmes, all equipment is checked as per industry specifications for quality and quantity, as listed by NZQA **CMRs**.

## Study materials

- Learners are provided with study materials (e-learning or paper lesson plans), study notes, classroom libraries, display materials and models etc. that assist them to achieve good learning outcomes.
- Lesson Plans will reflect the current practices of the relevant industry. Where specific lesson plans are provided and/or recommended by an ITO or SSB, then these lesson plans will be obtained and provided for our learners. Lesson plan standards are detailed in the Lesson Plan Development Policy and procedure.
- Library facilities will include resource manuals and text books, current trade magazines and other relevant information such as product catalogues from appropriate supply companies, to provide an up-to-date trade reference library accessible to all learners at G&H training venues.

## Equipment

G&H will ensure that

- Learners use equipment safely during training, as detailed in the Health and Safety Policy.
- All workshop equipment and machinery is maintained to industry standards and all necessary regulations regarding this equipment are adhered to. All machinery and hand tools are adequate and appropriate to current practices in the appropriate industry.
- Machinery and equipment is checked regularly for loss or damage.
- Lost or damaged equipment is replaced or repaired in timely fashion.
- There is a waiting time of no more than 15 minutes for use of computers for e-learning in G&H classrooms or machinery in the workshop. Written feedback is obtained regularly on the level to which learners have had to wait longer than 15 minutes for use of any piece of machinery or for a computer.
- Learner feedback regarding resources is evaluated, and reasonable additional resources will be provided where delays are shown to interfere with the timely completion of compulsory course content.
- The branch laptops are checked daily. Staff are to advise the system administrator of any damage that they find. The system administrator will advise what action to take. No laptops should be sent for repair without this prior discussion. If the branch is advised to return a damaged laptop to head office for repair, there shall be no more than 1 working day between receipt of the damaged laptop at head office and dispatch of a replacement machine to that branch.

## Other Resources

Other resources, e.g. support services supplied by external suppliers such as community groups or agencies, shall be provided on an 'as needed' basis to support the learning needs of the student.

## Responsibility

**Managing director:** to ensure that all resources assist in providing a safe and conducive learning environment.

**Operations manager, regional managers, branch managers and tutors:** to ensure that appropriate resources are made available to all learners.

**Operations manager:** to ensure current lesson plans and support materials are provided to learners; to authorise the purchase and repair of lost or damaged equipment or machinery and the purchase of new machinery or equipment.

**Branch manager,** with the assistance of tutors: to arrange for and ensure the maintenance, repair and replacement of equipment at their venue, with prior approval from the operations manager for all purchases.

**All learners:** to promptly report to the tutor or branch manager any lost or damaged machinery or equipment.

**System administrator,** in conjunction with administration staff: to oversee the provision, maintenance and repair of all office and administration ICT equipment and to return working laptops to branches in the agreed time frame.

## Responsibility

**Mentors:** to report to management breaches of this policy that they identify during their visits.

## Documentation and other resources

All relevant documentation must be completed and recorded and kept on file [e.g. evaluation and internal moderation records].

Health & Safety in Employment Act 1992, visual inspections.

Learning Resources Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Lesson Plan Development Policy

## Policy

It is the policy of G&H Training Limited to provide lesson plans that: enhance learning opportunities; reflect current industry practice; are moderated to ensure consistency, quality and fairness to all learners; and uphold the quality and content standards required by NZQA and the relevant Industry Training Organisations.

## Definitions

**Lesson Plan:** The package of materials comprised of the performance criteria, required information and learning content, assessment criteria and guidelines, assessments, and marking guide for a particular unit standard.

**Qualified staff:** For lesson plan content: a staff member who has the trade qualification appropriate to the lesson plan being developed and who has assessment expertise: preferably having completed work place assessor training in accordance with ITO requirements. (See Staff Development Policy, Staff Performance and Appraisal Procedure). For lesson plan development administration: a staff member who is a NZQA or IT specialist and/or who has been trained to use the G&H lesson plan development tools and procedures.

## Scope

This policy shall apply to all lesson plans, unless specified for **either** e-learning **or** paper based lesson plans.

## Policy Objectives

1. Resources are allocated to lesson plan development according to the company's priority business goals and the requirements of its stakeholders.
2. Lesson plans are developed by qualified staff who have industry expertise and literacy / numeracy expertise.
3. Lesson plans for unit standards being offered for the first time are designed from the current version of the NZQA unit standard and **CMR**.
4. The complexity of the lesson plan shall meet the level descriptors as per the qualifications framework.
5. Research into current industry practice is used to inform lesson plan content, design and assessments. Advice may be sought from our industry advisory network. The source of information that is used for lesson plan development and where it is used is documented. The industry advisory network includes:
  - a. Employers who provide work experience and employment for our learners, and the work experience reports;
  - b. Building firm managers and contractors;
  - c. Information about new products and industry trends from building supply companies or websites;
  - d. Building inspectors
  - e. Apprentices, their supervisors and our Modern Apprenticeship Coordinators
  - f. BCITO contact people and publications;
  - g. Publications from the Department of Building and Housing, BRANZ, the Department of Statistics, the Department of Labour, and trade magazines;
  - h. Branch staff and their feedback from their learners and local industry contacts.
6. Where material is sourced externally, acknowledgement is made and copyright is not breached.
7. Where material is used that identifies persons or property, written permission is obtained for use.
8. Carpentry theory is mainly delivered by means of e-learning lesson plans supported by study notes according to the Tutoring Method Policy.
9. E-learning lesson plans contain a mixture of text, photographs and video content where this is appropriate.
10. Lesson plans under development are moderated externally at the request of a specific stakeholder. In the case where G&H intends changing its methodology or assessments, the company first consults the relevant ITO.
11. Prior to final distribution, the correctness, readability level, spelling and grammar, layout, internal coherence and educational soundness of the material and assessments in each lesson plan shall be confirmed through internal moderation before it becomes formally identified as the approved version-for use.
12. The current approved versions of all lesson plans shall be used for training delivery as soon as practicable.

- a. Updated e-learning lesson plans are made available as soon as the approved version is completed. Changes go live the following day
  - b. The currently approved version of each paper-based lesson plan is located on the print server to ensure the correct version is used. The supply of paper versions issued to each branch is managed, and copies of obsolete lesson plans are removed from training venues systematically.
  - c. The updated versions of paper-based lesson plans are either distributed promptly when the learning outcomes required by the updated version cannot be delivered using the old version, or they are phased in as existing stocks are used up or replaced due to wear and tear.
13. When approved lesson plans are made available to branches, all the surrounding documentation is available at that time (e.g. policy updates, information for learners such as Individual Training Plans etc.)
  14. Lesson plans are reviewed regularly to ensure they meet current G&H and stakeholder requirements.
  15. Feedback from lesson plan users is used to correct errors and improve content at development and review times.
  16. The system administrator locates currently approved paper-based lesson plans on the print server to ensure the correct version is issued. The number of paper versions issued to each branch is limited. Copies of obsolete lesson plans are removed from training venues from time to time, ideally annually.

## Lesson Plan Content

Each lesson plan shall cover all the requirements listed on the NZQA unit standard and shall meet the following standards and requirements:

- **Resource materials:** The content needed to cover the elements and performance criteria can be obtained through appropriate resources such as existing lesson plans, books, brochures, product material, NZ Standards etc.

To ensure we do not breach any copyright laws, all resources which have been used to source lesson plan content must be referenced correctly.

**Graphics:** All graphics (diagrams, photographs, hand-drawn examples etc.) must be of such quality that they remain clearly visible and readable in the approved lesson plan.

It is preferable that graphics such as photographs and videos for e-learning lesson plans are produced in house. Where these include identifiable person/s or property, written and signed permission to obtain them and make them available for use in our materials must be gained using the Consent Form.

Photographs or video resources not produced in house must also be used with documented permission, unless they come from a source approved for public use.

**Paper-based material:** When sourcing material from existing resources, relevant sections may be photocopied provided that the parts to be included are clearly highlighted or marked and the Performance Criteria numbers to which the extract refers are stated. Head office will use this appropriately to protect copyright. If using copyright material, a copy of the publisher's page/s with the name of the book, author, edition etc., and the page numbers and diagram labels must be provided so head office can insert the correct references and acknowledgements.

**Photocopied lesson plans** being revised can be written on, and/or sections crossed out if no longer required.

- **Text:** The lesson plan text shall aim for a Flesch Reading Ease score of 60-70 and a Flesch-Kincaid Grade Level of 7-8) as far as is possible, given the technical requirements of the unit standard. If identified for embedded literacy / numeracy, it shall be written to develop literacy / numeracy skills as part of the delivery.
- **Assessment questions:** Questions shall be designed to test the knowledge or skill described in the unit standard (i.e. a learner's spelling skills shall not be tested if the element is about timber characteristics, for example). They shall be designed to test that the learner has mastered all the important points from each element or performance indicator. This is to ensure that competence is awarded on the most sound basis.

The types of questions used must be varied and, according to whether they are for e-learning or paper based assessments, may include multi-choice, drag and drop, sketching, calculations, essay type answers etc.

Common assessment tasks are specific and measurable. I.e.  $\pm$  mm, right or wrong answers. Objectives, tests and assignments must meet industry standards.

For all units updated from 2011, multi-choice questions shall meet the following standard as per international models described by PhD staff, located on the websites of Brigham Young University, University of Texas at Austin, Indiana University Bloomington, Georgia Southern University:

1. The questions shall be of sufficient complexity to test the knowledge of the learner to an appropriately high level and no trivial or trick answer options.
2. Only one or two correct answers per question, with 4-5 choices of answer,

**E-learning assessments:** A bank of assessment questions shall be developed for each e-learning lesson plan from which the computer will select sets of questions for formative and summative assessments.

Each set of questions covers the full range of elements and performance criteria for that unit standard.

For **formative** assessments the computer will randomly select 30% of the total pool of questions for that unit standard for each individual learner's formative assessments and will select 5 questions randomly from this pool for each of their attempts. The types of questions selected should cover the range of types available, though this may be a development over time.

For **summative** assessments the remaining questions from that unit standard bank of questions shall be selected for each attempt by an individual learner, but in different order each time.

For **e-learning assessment question answers:** The answers to e-learning assessment questions must clearly be either right or wrong, so that there can be no confusion about the result for the learner. This is because the computer automatically marks the assessments, so there must be no room for judgement for this to be valid. The proposed questions must thus be carefully moderated prior to inclusion in the assessment.

- **Paper based assessments:** For **formative assessments** there shall be one worksheet per unit standard. Exceptions may be made for units which contain a large number of elements and information. All worksheets must be based on approximately 20-30 minutes of learner assessment time, i.e. 15-20 questions.

Paper-based **summative assessments for carpentry unit standards** may have some questions from the worksheet used in the summative assessment (up to a maximum of 30%), but the remaining questions must be new.

Worksheets and summative assessments are provided with answer sheets and marking schedules, and/or evidence and judgement statements. Exemplars may be provided.

- **Answer sheets:** An answer sheet shall be provided for each paper-based worksheet and summative. The developer and another tutor must check all answers to calculations before including them in the lesson plan document. Where diagrams are required, the developer must provide an original drawing or provide details of the resource material from which it can be located. The answer sheet shall specify the correct or acceptable range of answers to assist makers, and specify the mark/s to be awarded to each question or each part of a question. For example: how many steps it takes to reach the correct answer, (e.g. 6 steps); how many clauses are required in the answer (e.g. 2), whether they must state a specific number out of a particular range of items (e.g. 5 out of 8). All model answers must be worded to cover the content in the lesson plan text.
- **Judgement statements:** Any assessments on G&H paper based lesson plans that require judgements when marking shall be provided with model answers and staff training and assistance as required, in addition to moderation.

Where teaching and assessment materials purchased from an external supplier are used, judgement statements will be provided if necessary to ensure consistency of judgements by G&H Training Limited staff, and these shall be used for the internal moderation of these assessments.

- **Study notes:** Study notes should be designed and provided for each unit standard to: draw learner attention to the key matters they need to learn; aid retention of learning by requiring active input from the learner (e.g. draw a diagram, work out a calculation, fill in key jargon, etc.); and enable future study or reference.
- **Practical Projects:** Ideas for practical projects that can be incorporated into course design should be included. Each project may be compulsory or optional, and this will be made clear to the learners. Include with practical projects any diagrams, illustrations or models, methods and conditions for assessment, and judgement statements. This may be in the form of a checklist.
- **Associated learning resources:** Activities and materials for the development of students' literacy and numeracy skills shall be developed as follows:
  - A range of Level 3 unit standards is specified as the main focus for embedded literacy and numeracy skills development. They are selected according to the opportunities offered by the content for the development of general literacy / numeracy skills as indicated below, and preferably where they can be used for more than one type of course. They shall:

Lesson Plan Development Policy

- Be mapped against the Progressions and inform tutors and students of the literacy / numeracy competency required to complete the unit.
- Have some resources for literacy / numeracy skills development which may be tutor directed, student directed and self marking, required, or optional.
- Recommend particular resources or activities from those available to raise the level of students' skills above their place on the Progressions as indicated by their National Assessment Tool results.
- Include some assessment of language (e.g. industry jargon) as well as industry content.
- These resources are based on the trade-related industry content, and may include:
  - Materials based on industry jargon to teach about spelling, definitions, word building, vocabulary extension, interpreting meaning of unknown words, differences in meaning between words, conceptual relationships between words etc.
  - Materials derived from lesson plan content and industry related publications (brochures, trade magazines, instruction labels etc.) to teach comprehension, relationships between words and ideas, predictive reading, identification of key words and main concepts, text navigating, surveying language and text structure (e.g. of product and safety information), skimming and scanning, selecting relevant information, finding information and interpreting it, reading diagrams and plans etc.
  - Activities to develop writing skills (e.g. site report specifications, health & safety forms, note-taking, diary work records, employee details form, timesheets, job applications).
  - Activities based on worksite practice to develop speaking and listening skills (e.g. asking for help, giving and receiving information, dealing with subcontractors, clarifying and explaining job plans, etc.)
  - Design of personal workshop projects to develop critical thinking skills, e.g. scale drawing, measurement, setting out, estimating and calculating material quantities, cutting to size, specifying tolerances, checking accuracy, identifying requirements and consequences, etc.

### Internal Moderation of Lesson Plans

During the development and updating of all lesson plans, at least one qualified staff member other than the original developer shall moderate the lesson plan against a quality standard checklist. It is preferable that tutors be provided with this opportunity both as a quality check, and as part of their professional development.

If the moderators believe that the lesson plans do not meet the quality standards and criteria required by this policy they must be able to explain why and justify their opinion to the lesson plan developers. In the process of moderation, these differences shall be worked out. In the event that agreement cannot be reached between the developer and the moderator, the operations manager shall seek appropriate advice where necessary from a qualified third party, and make the final decision.

### External Moderation of Lesson Plans

During the development and updating of all lesson plans that involves any change of methodology, at least one expert external stakeholder, preferably the relevant ITO, shall be asked to moderate the proposed methodology.

### Lesson Plan Documentation

The following documentation shall be used in the development and updating of lesson plans and, along with permissions to use materials, should be kept on the lesson plan development file.

1. NZQA Unit Standard.
2. Draft lesson plan - photocopied material labelled correctly for rewording and retyping. This will include revised lesson plans with notes detailed clearly on this.
3. List of resources used.
4. Original hand drawn sketches or diagrams etc. (if required).
5. Original traceable resource material for all diagrams and photographs required.
6. Worksheet with answer sheet and marks.
7. Summative assessment questions with answer sheet and marks.
8. Study notes or handout material.
9. Practical projects and assessment guidelines.
10. Assessment and Judgement Statements.
11. Written feedback from internal and external moderation of lesson plans under development.

Lesson Plan Development Policy

## Reviewing existing lesson plans:

All the lesson plans that are being delivered in training courses will be scheduled for review as follows:

- Carpentry lesson plans: following the external moderation schedule used by the BCITO;
- Engineering lesson plans: 2-yearly after original development;
- Core generic: 5 yearly after development;

AND/OR in the case of any lesson plan:

- At the point where G&H Training Limited is redeveloping it for e-learning;
- At any time as per ITO requirements to ensure that they meet current **CMR** and performance criteria.

Invitations will be issued to qualified staff to participate in the development or review of lesson plans. These staff will be provided with the following when this work is required:

- A copy of our existing lesson plan that is being revised, and
- A copy of the latest version of the NZQA Unit Standard showing all required elements and performance criteria for which the lesson plan and assessments must cover,

**OR – in the case of writing up new lesson plans where nothing was previously available:**

- A copy of the latest version of the NZQA Unit Standard showing all required elements and performance criteria for which the lesson plan and assessments must cover.

## Responsibility

**Operations manager:** this lesson plan development regime is being used; to ensure that qualified staff are allocated for research, development, and moderation of lesson plans, and to give final approval before learners gain access to the material. The operations manager is also to see that lesson plan developers follow this policy, in conjunction with the system administrator, the lesson plan portfolio holder and other appropriately qualified staff.

**Lesson plan developers:** to ensure that they develop lesson plans in accordance with this policy.

**Lesson plan distribution portfolio holder:** to ensure that the correct version (and no other version) of each lesson plan is made available for distribution to tutors.

**Tutors:** to provide feedback to the operations manager about any corrections that are required to lesson plans.

**Policy portfolio holder:** to integrate e- learning requirements into our quality management system.

**System administrator:** to ensure that software development and maintenance are completed to the highest standard in a timely manner; to ensure that the currently approved version of each paper-based lesson plan (as advised by staff) is located on the print server.

## Documentation and other resources

All documentation shall be recorded and kept on file:

- Unit standard and **CMR** requirements, research material used.
- Approvals for use of personal material
- Feedback from lesson plan users.
- Lesson plan versions

Managing director, operations manager, lesson plan portfolio holder, ITOs, lesson plan developers, industry advisory network.

Lesson Plan Development Policy

**Last review of this policy:** December 2010

**Reviewed by:** DP

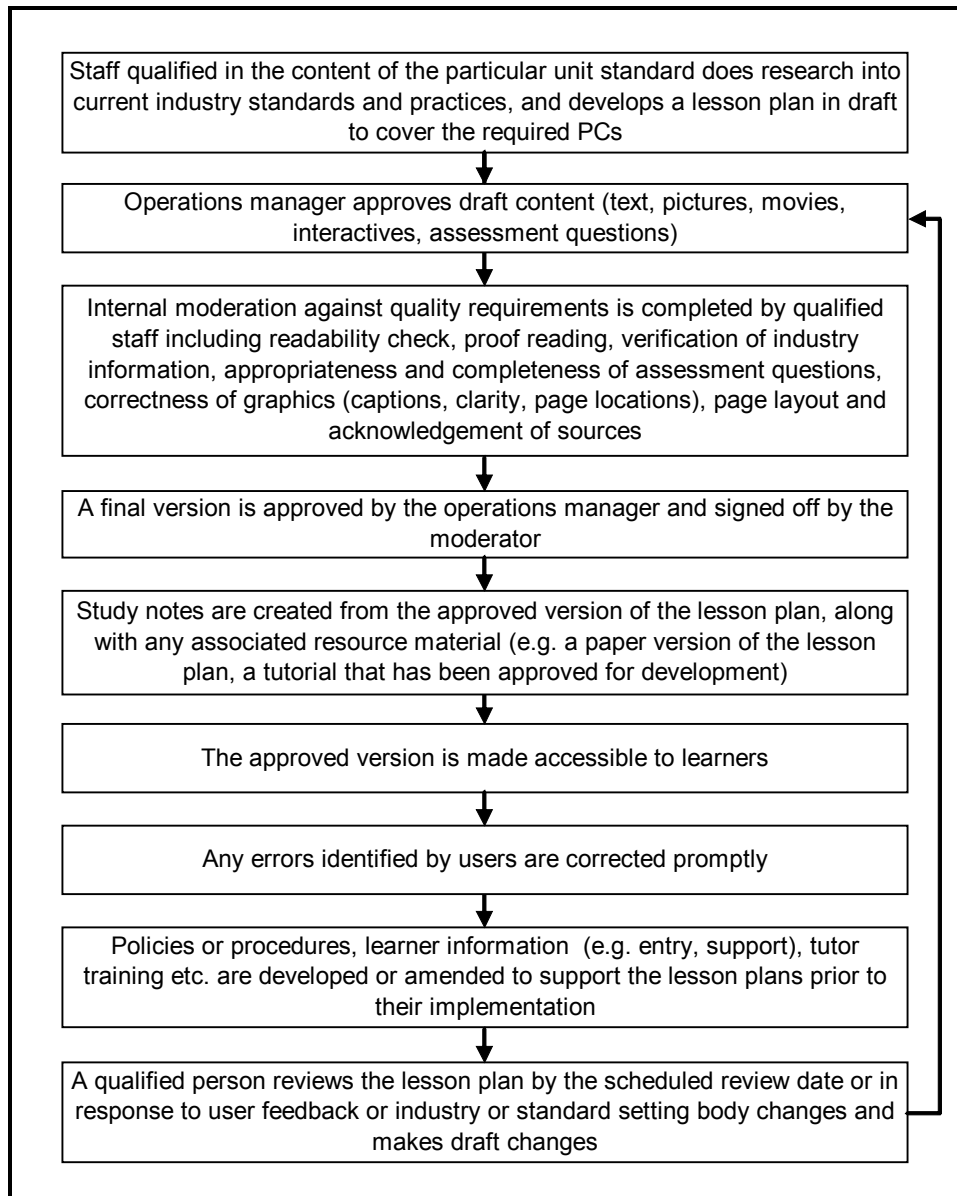
**Approved by:** GCG

# Procedure for: E-LEARNING LESSON PLAN DEVELOPMENT

## Objective

It is our company's objective to develop high quality lesson plans and material and resources for classroom-based learners and for the G&H Web-based E-learners.

## Procedure for e-learning lesson plan development



Last review of this procedure: December 2009

Reviewed by: DP

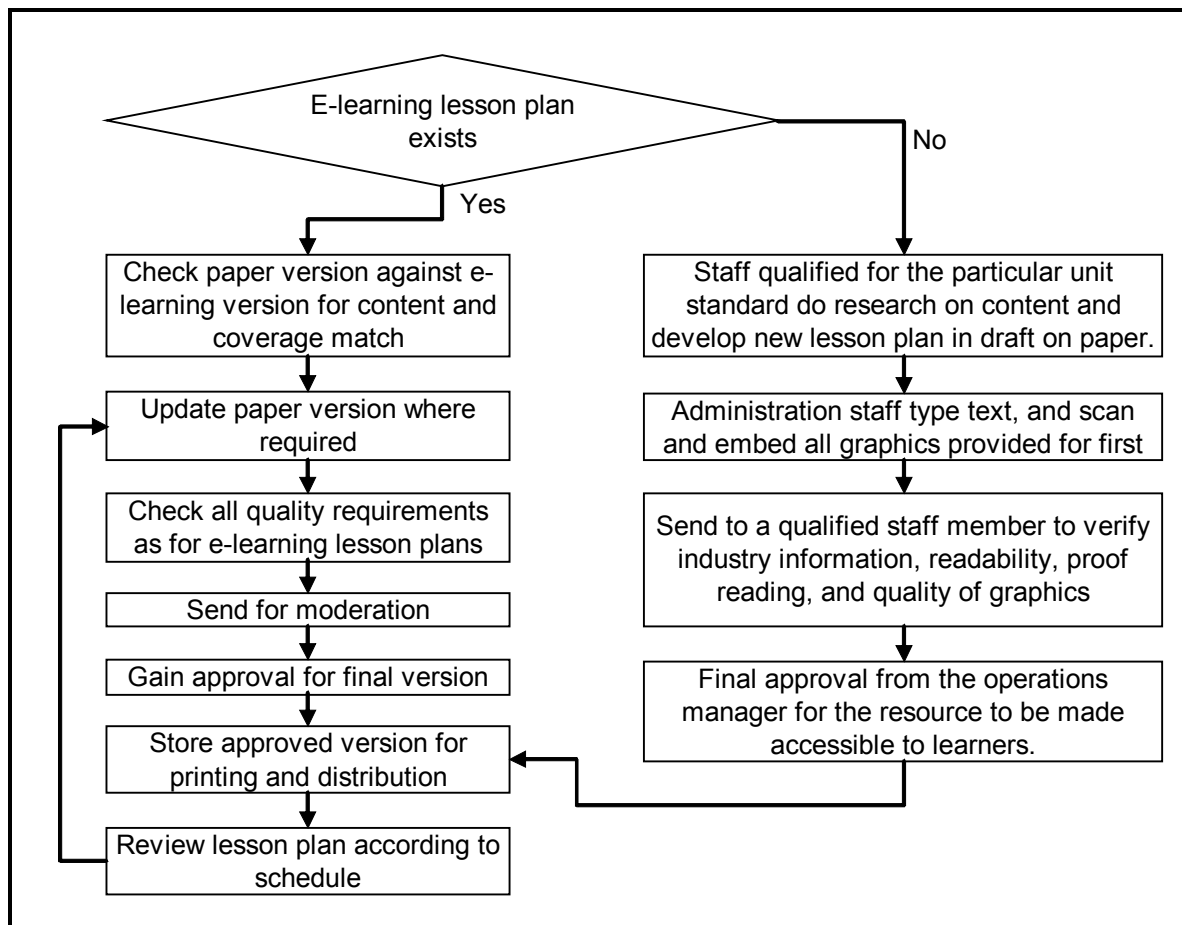
Approved by: GCG

# Procedure for: PAPER BASED LESSON PLAN RESOURCE DEVELOPMENT AND REVIEW

## Objective

It is our company's objective to ensure that our paper based lesson plans are aligned with the content of the e-learning lesson plans where these have been developed, or that they are developed so as to uphold the Lesson Plan Development Policy. It is our objective that these lesson plans are reviewed according to schedule.

## Procedure



Where a lesson plan is needed for content that will not be delivered by e-learning, the lesson plan developer shall work collaboratively with other portfolio holders to ensure that the material meets lesson plan quality standards and is available to learners within the agreed timeframe.

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Use of Vehicles Policy

## Policy

It is the policy of G&H Training Limited to ensure that each aspect of its operation is adequately resourced in respect of vehicle requirements.

It is the policy of G&H Training Limited that vehicles are driven, serviced and maintained to meet legal and/or lease requirements, and are presented to a standard that upholds the good image of the company.

## Scope

This policy applies to “company vehicles”, being those that are owned, leased or on short term hire.

## Definition

A “vehicle” includes a motor car, van, truck, trailer and any other motorised form of transport.

## Policy Objectives

- Before a vehicle is permitted to be used, it must have on display the required evidence of current registration, warrant of fitness and, in the case of diesel vehicles, sufficient RUC licence for the journeys to be undertaken.
- Vehicles must always be driven in a lawful and safe manner.
- No vehicle may be driven when it is known to be unroadworthy or in a state or condition where it is unlikely to complete its journey.
- Vehicles may only be driven by a member of staff and that person must have a current licence to drive that class of vehicle and have signed the “Agreement for the use of company vehicles” form.
- Vehicles are to be used and allocated in an efficient and cost effective manner.
- Branch vehicles are a key asset of the branch and therefore must always be available for transportation of learners, staff and equipment for the purposes of education, marketing or business.
- Information regarding servicing and emergency contacts is to be kept in the glove box.
- Smoking is not permitted in company vehicles.
- The vehicles will be checked during internal moderations to ensure that they are well maintained and display current documentation.

## Selection and make up of vehicle pool

The company’s operational vehicle requirements will be determined by the operations manager and accountant in consultation with the managing director. The operations manager will liaise and consult with suppliers in selecting the appropriate vehicles. The managing director must give final approval for, and has sole signing rights for contracts of the sale, purchase, lease or hire purchase of vehicles.

Decisions on the composition of the vehicle pool are made on a case by case basis, and may take into consideration:

- The intended purposes for which the vehicle will be used;
- The intended period of use of a vehicle;
- The availability, effectiveness and efficiency of suitable vehicles for purchase or lease;
- Recommendations of the manufacturer.

## Operation and use of vehicles

Vehicles are first and foremost equipment of the company, and therefore must at all times be at the disposal of the company for their intended use. Circumstances where a vehicle may not be available are limited to when it is being serviced, repaired or warranted.

Each vehicle shall have a specified regular driver (the “designated driver”) who is responsible for ensuring that the vehicle is currently compliant with legal requirements, that it is roadworthy and that it is in a clean and well maintained condition.

Where a vehicle needs to be used by more than one person, the designated driver must plan and communicate so that it is available for priority use on an equitable basis.

During times when the designated driver is away on leave, vehicles must be stored at the branch and accessible for staff who need them. Prior approval must be obtained from the operations manager for the vehicle to be stored elsewhere during that period.

The operations manager may instruct that a high usage vehicle be swapped with a lower usage vehicle.

Any files or documents related to company business are to be removed from vehicles parked in the open overnight, to avoid loss of records through theft or break-in.

### **Use of own vehicle for company business**

Prior approval of the operations manager must be obtained before a private vehicle is permitted to be used for business purposes. The operations manager will approve the circumstances in which the vehicle may be used, and the rate of reimbursement for costs incurred. Reimbursement may be at an agreed per kilometre rate, a specific fuel purchase, or the provision of MTA fuel vouchers.

### **Private use of company vehicles**

Branch vehicles must always be available to staff for their intended use. Private use of branch vehicles is therefore not permitted other than by prior approval from the operations manager.

### **Servicing vehicles**

**Leased vehicles:** Under the terms of our lease agreement we are responsible for ensuring that vehicles are kept roadworthy, in top condition and in compliance with all Land Transport regulations. Other conditions apply, for which advice is available at head office:

- Under no circumstances is the company or its employees to perform any repairs or maintenance to a leased vehicle.
- The company is **not** able to permit any repairs or adjustments to be made to the vehicle without prior approval of the lessor, **unless** the total cost is less than \$100.
- The specified preferred service agents must be used for each type of work.
- Leased vehicles are required to be serviced when specified odometer readings are reached.

Our lease agreement covers the cost of:

- All scheduled service checks
- All maintenance and repairs due to fair wear and tear, including wheel alignment and balancing
- Replacement tyres (usually one full set only)
- Annual relicensing and warrants of fitness.
- An emergency breakdown service, including call-out and towing if a leased vehicle fails to start or breaks down. Contact details are in the vehicle glove box.

**Company owned vehicles:** these are to be serviced at intervals determined by the operations manager and the accountant who shall also, in conjunction with branch staff, identify a mechanic or garage for each branch where G&H vehicles are to be serviced. Where applicable, the Service Log book is to be kept in the glove box along with the required driver information.

Vehicles are to be serviced according to the Procedures *for: Vehicle use and maintenance*.

### **Use of fuel cards, and refuelling**

**Ordering cards:** As each vehicle is added to the fleet the accountant at head office orders a fuel card for it from the approved supplier. The fuel card may have a security PIN number. Prior to its expiry, head office will obtain and forward a replacement card to the designated driver.

**Storing fuel cards:** To avoid loss by theft, **THE FUEL CARD MUST NOT BE STORED OR LEFT IN THE VEHICLE.** It is recommended that the fuel card is stored in the key ring holder provided with the vehicle key attached. A replacement card holder can be obtained by emailing the accountant.

Use of Vehicles Policy

**Lost, damaged or stolen cards:** follow the procedure (see *Procedure for Vehicle Use Policy*).

**Refuelling:** It is the responsibility of the driver to ensure that the vehicle has sufficient fuel and oil for the journey to be undertaken, that the valid fuel card for that vehicle is used, and that the appropriate type and grade of fuel are used.

The fuel card is for use at approved stations only, and will generally show:

- The registration number of the vehicle it has been ordered for;
- The expiry date; and
- The authorised driver if there is one, or will state “Any driver” or “G&H Training Limited” if there is no authorised driver.

The restrictions encoded on the magnetic strip will limit the use of the card to the purchase of fuel and oil only. Any other goods or services such as wiper blades or car washes are subject to the *Purchasing Authorisation Procedure*.

### **Road User Charges (RUC) Licence**

Diesel fuelled vehicles are subject to road user levies that are charged according to their gross weight and the distance for which levies are purchased for that vehicle. In the event of a vehicle’s RUC Licence label being stolen, damaged or mislaid, the designated driver may obtain a duplicate from any LTSA-approved agent. The following responsibilities apply:

- The designated driver is responsible for ensuring that the RUC Licence for that vehicle is displayed and valid for the journey to be undertaken.
- The distance on the “Maximum Distance Recorder” must NOT be exceeded. To do so is against the law.

RUC top ups are arranged by the accountant based on the odometer readings recorded on the designated driver’s weekly time sheet.

### **Registration and Warrant of Fitness (WOF)**

To meet legislative requirements, the current Registration and Warrant of Fitness label for each vehicle must be displayed. G&H Training Limited registers its vehicles for 12 months. Should a vehicle’s registration label be stolen, damaged or mislaid, the designated driver may obtain a duplicate from any LTSA-approved agent.

**Registration:** The following conditions apply:

1. Registration of leased vehicles is managed by the lease company and they forward the registration labels to head office prior to the expiry of the current label. The replacement label will be forwarded to the designated driver within five business days of it being received at head office.
2. The accountant is responsible for re-registering and obtaining new registration labels for company-owned vehicles, and for forwarding all registration labels (for leased and company-owned vehicles) to the designated driver of the particular vehicle, prior to the expiry of its current label.
3. The designated driver is responsible for ensuring that the current registration label is displayed. Should a replacement label not be received prior to the current label expiring the designated driver should advise the accountant by email immediately.

**WOF:** The designated driver of a vehicle is responsible for ensuring that their vehicle has a current WOF and for obtaining one from the approved source when required. To ensure no WOFs are overdue, the driver must record the WOF expiry date on their weekly time sheets as a reminder and so that the accountant can monitor the expiry dates and liaise with the designated driver if necessary.

### **When things go wrong**

#### **Driving infringements**

Drivers are responsible for payment of fines that they incur while driving a company vehicle or using their private vehicle for company business.

Infringement and reminder notices are delivered to head office as per the registered user’s address. A copy will be held at head office and the original forwarded to the designated driver for payment by the due date.

Where a designated driver did not incur the fine, the designated driver is to identify the offender and present them with the infringement notice for payment. In case of dispute as to which driver is responsible for the fine, the operations manager may be asked to mediate using each driver’s evidence that they did not commit the offence.

Use of Vehicles Policy

#### **Damage to vehicles**

Where a company vehicle is damaged through involvement in an accident, by theft or burglary, the operations manager is to be informed immediately and , to comply with the company's requirement for good presentation of vehicles, the damage is to be repaired as soon as practicable.

### **Accidents**

The company recognises that there is likely to be a cost to the company for accidents that occur. However the company expects its staff to drive carefully, and to be responsible for their actions. Where a driver develops a history of accidents through carelessness or negligence, then this may give rise to a disciplinary notice, and this will be included in their performance review. They may also be required to pay the cost of the insurance excess or, should the insurance claim be declined, the entire cost of the repair.

**Important note: in the event of an accident in a private vehicle being used for business purposes, damage to the driver's vehicle or any other vehicle/s involved may NOT be covered by the company's insurers. The use of private vehicles for business purposes is at the driver's risk.**

### **Mechanical or emergency breakdown**

Advise the operations manager if any emergency vehicle breakdown occurs. For company owned vehicles the operations manager will advise the required action. For leased vehicles the lease requirements will apply.

### **Responsibility**

**Operations manager:** to ensure that each branch has sufficient suitable vehicles at its disposal to meet its operational requirements.

**Accountant:** to ensure that administration of the fleet is carried out in timely fashion so that all the company's legal obligations can be met.

**Designated driver and branch manager:** to ensure that the vehicles are in legal condition when driven.

**All staff using a company vehicle:** to use the vehicle in accordance with this policy.

### **Documentation and other resources**

All relevant documentation must be completed and recorded and kept on file [e.g. lease contracts, internal moderation data etc.]

Legally required stickers.

Use of Vehicles Policy

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedures for:

## VEHICLE USE AND MAINTENANCE

### Fuel Cards Procedure

#### **Ordering cards**

1. The accountant orders fuel cards for new vehicles from the approved supplier.
2. Prior to the expiry of a fuel card, head office will be provided with a replacement card. The accountant ensures that each fuel card is delivered to the designated driver.
3. The accountant can advise the PIN number at the time of issue.

#### **Lost, damaged or stolen cards**

1. If a card is lost, damaged, declined, or the magnetic strip fails, the designated driver advises the accountant by email promptly.
2. The accountant orders a replacement card and sees that this is forwarded to the designated driver promptly.
3. If a card is stolen, phone the card supplier immediately on their 24-hour number. The designated driver advises the accountant promptly so a replacement card can be ordered and the lost card cancelled.

### Refuelling Procedure

1. The driver ensures they have the correct fuel card for the vehicle for a journey where fuel will be purchased.
2. Ensure that the correct fuel is used, and that the oil and water are sufficient for the journey.
3. At the fuel station, present the fuel card and the odometer reading when making payment.
4. In the case of refuelling a private vehicle being used on company business where reimbursement will be sought, a record of the mileage driven and/or a receipt for the fuel purchased must be included with the purchase order when making the claim.

### Servicing Vehicles Procedure

#### **Leased vehicles**

1. The designated driver books the vehicle into an approved workshop and presents the vehicle for servicing, advising that the vehicle is leased. If provided, the Service Log book is to be kept in the glove box.
2. Should non-routine work be required, the designated driver must obtain prior approval from the operations manager or accountant by email.

#### **Non-leased vehicles**

1. The accountant will email the designated driver saying when a service is due and where it is to be done.
2. If the garage identifies that non-routine work is required, the designated driver is to contact the operations manager or accountant and request approval.
3. The operations manager may instruct that competitive quotes be obtained before additional work is done.

### Road User Charges (RUC) Licence Procedure

#### **Monthly reporting and provision of current labels**

1. The accountant arranges RUC top ups based on the odometer readings shown on the designated driver's weekly time sheet.
2. The designated driver ensures that the RUC licence is displayed in the vehicle as required.

### Registration Procedure

#### **Leased vehicles**

1. The accountant will forward the replacement registration label received from the lease company to the designated driver within five business days of it being received at head office.
2. The designated driver ensures that the current registration label is displayed.

## **Non-leased vehicles**

1. The accountant re-registers company-owned vehicles and obtains the new registration labels prior to the expiry of the current label.
2. The accountant forwards the registration label to the designated driver of the particular vehicle, prior to the expiry of the current label.
3. The designated driver ensures that the current registration label is displayed.
4. Should a replacement label not be received prior to the current label expiring the designated driver advises the accountant by email immediately.

## **Warrant of Fitness (WOF) Procedure**

The designated driver is required to:

1. Renew the WOF at the approved location before its expiry date. The accountant may assist by providing a reminder prior to expiry.
2. When this is done, make a copy of the WOF Checklist and send it to the accountant at head office.
3. Store the original in the glove box of the vehicle with the other documentation.

## **Repairs to Damaged Vehicles Procedure**

1. The operations manager is to be informed immediately of the damage.
2. The designated driver will be instructed to obtain competitive quotes for the cost of repairs.
3. If the damage is less than or around the company's insurance excess, the operations manager will advise the designated driver which quote to accept, and to arrange for the repairs to be carried out immediately.
4. If the damage exceeds the insurance excess, the accountant advises the company's insurance broker and G&H follows the procedure and instructions from the broker. If G&H is advised to proceed, the operations manager or insurance company or their representative will advise the designated driver which quote to accept, and to arrange for the repairs to be carried out immediately.
5. During the period of repairs when the vehicle is not available for use, the branch manager is responsible for arranging with the operations manager access to a temporary replacement vehicle if required.
6. Where repairs will be subject to an insurance claim, the accountant will ensure that an insurance claim form is sent to the driver of the vehicle when it was damaged.
7. The vehicle driver completes the claim form and returns it to the accountant within 5 working days.

## **Emergency Breakdown Procedure**

- Inform the operations manager immediately of the breakdown.

## **Company owned vehicles**

- The operations manager will advise what to do to arrange for assistance or towing, or how to proceed if the breakdown occurs outside the driver's branch area.

## **Leased vehicles**

- Call the number in the driver information pack in the glove box and follow all the instructions given by the Emergency Breakdown Operator.

## **Responsibility**

**Operations manager:** to ensure that the procedures are carried out as described.

**Designated driver:** to see that the vehicle they are assigned is used, monitored and kept in accord with this policy and procedures.

Vehicle Use and Maintenance Procedure

**Last review of this procedure:** December 2009

Reviewed by: DP

Approved by: GCG

# Document Control Policy

## Policy

It is the policy of G&H Training Limited to manage the creation, distribution, updating and storage of its paper and electronic documents to promote a professional company image, to ensure the use of correct versions, to protect document privacy and security, and to allow safe storage and efficient retrieval of archived records.

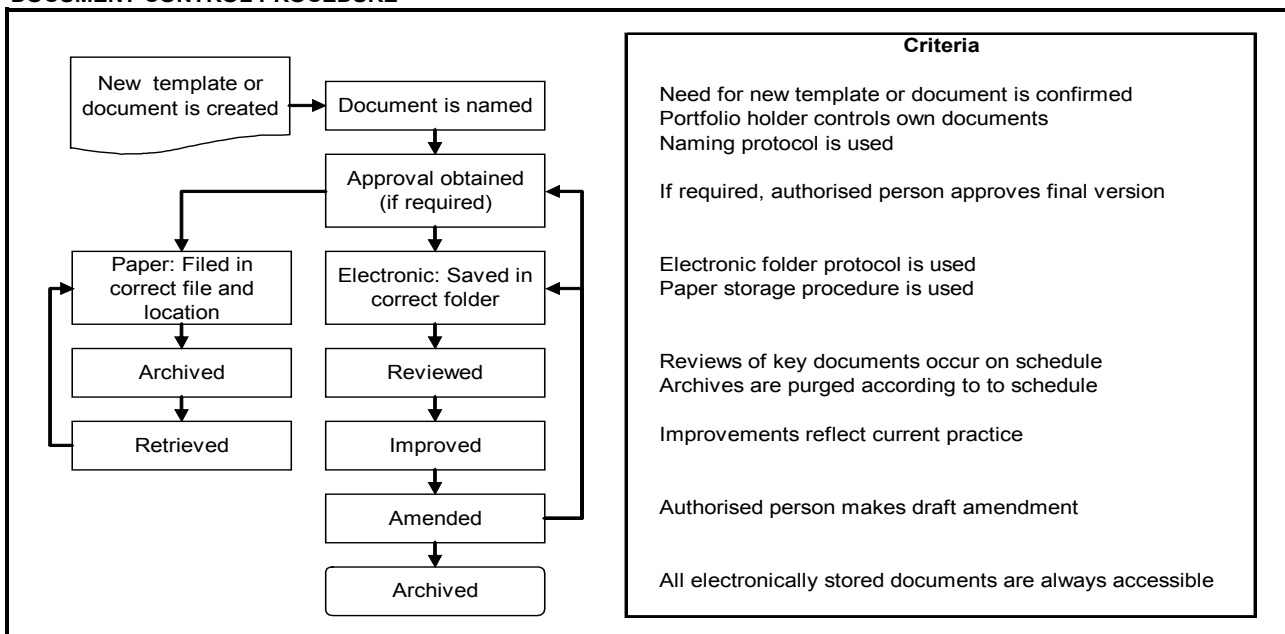
## Scope

This policy covers electronic and paper documentation for internal and external use, other than student records which are covered in the Student Records Policy. Staff's personal notes are excluded from quality control and archiving requirements but are subject to confidentiality and privacy.

## Policy Objectives

1. Key documents are all created electronically and are controlled by the use of templates, limited access to files and folders, naming protocols, a review procedure, and requirement for authorisation prior to distribution.
2. Key documents are issued to all locations where required and obsolete versions of currently used documents are removed from all points of issue or use. The system administrator removes or archives documents promptly upon electronic request, or through an annual archiving schedule.
3. Key documents are located on the intranet for all staff to access and the version of the company policy manual on the intranet is the currently approved version.
4. Lesson plans are managed and maintained as per the Lesson Plan Development Policy.
5. Each staff member creates and files all the documents associated with their portfolio of work.
6. Any information that may need to be accessible for audit, for following up complaints or disciplinary matters, or for the ongoing smooth operation of the company, must be kept on files. Diaries and loose paper are not suitable locations for such material.
7. The system administrator meets requests from authorised staff for location, archiving or retrieval of electronic documents.
8. Head office has an archive system that ensures safe storage, efficient filing and retrieval of all the company's archive records, and secure disposal after the required duration.
9. Documents for external are quality checked before publication to minimise waste of resources.

### DOCUMENT CONTROL PROCEDURE



## Creating new templates, forms and documents

The administration staff at G&H produce the company's documents, including those for or on behalf of branch staff. The policies relating to the creation and archiving of documents apply only to head office administrators unless otherwise specified.

The portfolio holder responsible for company forms ensures that new forms match with other company forms. The intranet portfolio holder ensures that the current version of each administration form is printable from the intranet. Other administration staff may update and save forms in the forms drive, but they must give access to new forms to the intranet and the forms portfolio holders so they can be made available for use.

## Documents for course administration

The administration staff at G&H design, distribute, update and file the documents needed to inform the public about the training available at G&H, recruit and induct learners, manage enrolments, withdrawals, attendance, reporting, teaching and learning, assessment administration, stakeholder feedback, and any other purpose to enable contractual requirements to be met, training and services to be delivered as contracted, and quality standards to be upheld.

## Data collection spreadsheets

Wherever possible, existing databases such as the student management system or online services should be used as the location to collect, store and retrieve data for reporting. Where existing databases do not provide the required data for reporting, or do not generate the reports needed, this should be discussed with the system administrator. If a timely solution cannot be found, existing spreadsheets should be considered as the source of the required data or reports BEFORE any new spreadsheets are created. Any spreadsheets that are created to enable the required data analysis or reporting must be made available on request to other portfolio holders to minimise the risk of double handling, use of outdated data, or conflicting calculations.

## Document consistency

In order to present a consistent image, the company's main documents shall be based on approved templates using the company's agreed font and layout. Templates can only be changed by approved staff. Templates shall be reviewed from time to time and updated as approved by the portfolio holder accountable, in consultation with staff and/or management where appropriate.

There are approved templates or formats for the following:

- Forms to collect specific information
- Minutes of meetings
- Portfolio Reports
- Letterheads
- Memos
- Faxes
- Lesson Plans

The approved or preferred styles for the following types of documents should be used consistently when designing new documentation:

- Individual Training Plans
- Company policy and procedure manual
- Staff timesheets
- Brochures
- Adverts
- Emails
- General data grids e.g. progress reports
- Order forms
- Other as applicable

All other main documents are word processed, and if they do not start from a template they should use Arial font, the G&H Training Limited logo in the header or footer, and document identification (e.g. writer's initials, file name and date) in or near the footer. Layout of documents shall conform to modern business standards.

All unapproved new key documents should be identified as drafts either by a stamp or a watermark. Once there is a finally approved version, all drafts may be disposed of.

Documents for external customers shall be created on the customers' templates where these are provided, and the G&H template formats are not to be used in these cases.

## Naming documents

Documents shall be named so they are easily identifiable, using recognisable abbreviations where possible, and with one space between each element. Each person who creates a document creates a file name for that document. If a standard set of elements is used appropriately and if the order of these is consistent, others can easily locate documents in a shared drive as they know what to look for first

When naming documents, staff should use their initiative to make the file name as clear as possible and keep the file name as short as possible to indicate content.

Document Control Policy

Preferred branch abbreviations are:

Auckland: AKL

Palmerston North: PLM

Hamilton: HAZ

Hawke's Bay: HBR

New Plymouth: NPL

Wellington: WLG

Whangarei: WRE

### Approval of new or amended documents

The managing director, the forms portfolio holder and the system administrator may authorise new company-wide documents. The operations manager, the Modern Apprenticeships National Co-ordinator, the company accountant, and portfolio holders may approve documents for specific work areas, as appropriate.

People presenting draft versions of documents for approval shall ensure that the correct template has been used, the content is factual and clearly expressed, the tone is professional, the document is proofread, and spelling and grammar are checked. People giving final approval for documents should oversee these quality standards.

Standard letters and reports should be used where possible and need no approval for routine use, e.g. cover letters to send signed contracts, offers of courses, etc. However if there is a risk to the company from potential errors (e.g. missing a deadline because of a wrong address, or putting a contract at risk because of wrong content), the person creating the document should get another staff member to check the work before sending it.

### Issuing documents

The managing director authorises the issue of key documents such as the company policy manual, the Investment Plan, etc. which are formally issued to staff with notification. Portfolio holders issue their own key documents. The current version of any company form or template must be made accessible to staff, e.g. through the administration request form, or printable from the intranet. When new or amended key documentation is issued, the portfolio holder responsible advises staff by email or memo how and where to access and use it.

### Electronic documents

The company's electronic filing system is designed to facilitate the safe and efficient storage of electronic files and is regularly revised and updated as necessary. The system administrator and the managing director have access to all drives and folders. Other staff have limited access that enables them to create, save or view documents according to their portfolio of work. Access to drives and folders is provided by the system administrator on approval by the managing director or a staff member delegated by these authorisers. Some of the main drives are:

H:\ drive – accessible only to the staff member through their individual log on. Staff are able to create and delete folders and documents on their H:\ drive, and other staff cannot access them.

J:\ drive – the main drive for the company's routine documents, accessible to all head office administrators. Nobody should delete a document created by another user without consulting them and/or the system administrator. The drive relies on good use of the document naming protocol to enable efficient searches.

M:\ drive - minutes of management meetings and monthly portfolio reports to management.

O:\ drive - where the company's forms are created and edited.

R:\ drive – the company's student management system, accessed through desktop shortcuts.

S:\ drive – student records.

V:\ drive – key stakeholder documents, e.g. Investment Plan, NZQA audits, internal moderations, the company policy manual, SDRs, stakeholder feedback, monthly branch reporting, etc.

The electronic system is backed up nightly on hard drives that are stored securely in a fire resistant safe between backups. A weekly backup is stored off site. The system administrator can retrieve documents from the backups.

The electronic file archive system is used mainly for student records.

Electronic documents may be sent without special approval as email attachments provided that:

- They are sent as protected PDF files with Adobe Acrobat standard security, or in the format required by the stakeholder's templates; and
- Printing is disabled unless printing is required by the recipient

In addition, there are several databases with limited access that cover marketing, schools, employers, and reporting that enable efficient data collection, storage and reporting. They are located in On Line Services and are accessible only to people requiring access to support their roles. This is administered by the system administrator and /or the database portfolio holder.

Document Control Policy

## Paper documents

### **Efficient use of resources**

1. In order to minimise the use of paper, all staff should only print electronic documents including emails where this is required to enable a piece of work to be efficiently completed
2. All print runs of multiple copies, especially those using colour print or non-standard paper (e.g. colour, thicker or special quality) **MUST** be test printed in the proposed final version **BEFORE** the final print job is submitted. The draft print **MUST** be checked by a competent colleague to identify **ALL** errors, including:
  - a. Factual accuracy of content, spelling, grammar and punctuation; and Version;
  - b. Readability for sense and language;
  - c. Layout, punch holes, stapling, double or single siding etc.;
  - d. Quality of graphics;
  - e. Any other features requiring a quality check.
3. If errors are identified, a corrected draft **MUST** be checked again by a competent colleague before multiple copies are printed.

### **Sending, filing and storing documents**

When sending documents such as letters or invoices, the signed (if applicable) original shall be sent, and a signed or initialled copy kept on the correct file. It is preferable to stamp 'COPY' on the file copy.

It is preferable to use a filing structure for paper documents that supports the portfolio approach to work allocation and is followed in the archiving system. In principle, files should first be located under a large "umbrella" such as a key stakeholder, followed by specific work area, with related files together.

Key documents such as contracts, correspondence etc. with a specific stakeholder should be in a folder or suspension file labelled with the stakeholder's name, with the documents filed in date order, most recent on top.

Live documents are filed in locations handy to the main user where possible.

The preferred storage arrangement for documents other than learner records (below) is ring binders, labelled according to a standard labelling format stating year, main content, and stakeholder (if appropriate).

Files stored in filing cabinets should also be kept in a rational manner, with suspension files clearly labelled, preferably alphabetically. This is to enable other staff to locate material when necessary.

- Each staff member is responsible for their own filing. They should use a rational, consistent system (e.g. all in ascending date order, or divided by branch, alphabetically by surname etc.) that makes sense to other users.
- Each person should review the files they are responsible for at least annually. They should retain current work, archive material that must be kept, and dispose of unwanted material according to the policy below.

## Emails

The company signature that appears with the user's logon must be used on external emails.

The subject line should clearly indicate the contents of the message.

External emails should be spell checked and grammatically correct, as for all other written communications.

Staff are not required to delete emails. The system administrator archives all the emails annually, and in the event of any of these being required, e.g. as evidence in legal situations, they can be retrieved on request. All staff must therefore maintain a professional level of communication in their emails, and take care to avoid statements that could be found offensive or abusive by the recipient.

Staff may use the email system to send personal messages under the following conditions:

- It is expected the staff will make minimal use of the G&H system for personal email communications.
- Personal messages are accessible to the managing director and the system administrator, and may be used as evidence of overuse or misuse of the system.
- G&H takes no responsibility for the consequences of personal messages being inadvertently sent to the wrong person, or for the content of forwarded messages that have not been completely checked for content.
- Content that is deemed offensive or excessive may result in disciplinary action.

## Faxes

Staff should use the current fax template. In order to ensure that faxes are readable on receipt, type the original document **OR** clearly write in black ink, not close to the page edges as these tend to get cut off in faxes.

Any fax sent through the head office can be retrieved as an electronic copy. The sender will receive a confirmation email when the fax has been sent.

If an original document is received after a faxed copy has been filed, dispose of the fax if it is exactly the same as the original (i.e. no handwritten notes or other changes on either document). If a fax copy is the only copy of a document on file, it must be kept for the required time (see Disposal below). Confirmation of faxes sent need only be kept as evidence if there would be risk to the company by a particular fax NOT being sent as expected.

## Disposing of unwanted documents

Unwanted printed documentation with content that is commercially sensitive, confidential, or subject to privacy legislation, may only be disposed of in the locked shredding bin. This includes financial records; documents that identify an individual such as performance records or learner personal records; or that identify G&H Training Limited such as draft contracts etc. Other scrap paper should be binned in the paper recycling bin or wastepaper baskets. This may include any documentation that is publicly available (e.g. on the intranet, notice-boards, standard letter drafts etc.), or would not put the company at risk or be misused if picked up casually.

Electronic files and folders that are no longer active will be archived in order to be accessible according to legislative and audit requirements.

Key documentation has requirements as to the duration for which it must be kept. Do not dispose of any documentation if it is required to be kept for a specified period of time that has not yet been reached:

- Learner personal and academic records – see Student Records Policy.
- Financial records:
  - Records that may be required by IRD: **7 years**
  - Contract agreements with funding agencies: **7 years**
- Documentation required for moderation:
  - Learners' assessment materials: **3 years**
  - Lesson plans: **3 years**
- Documentation required as part of an audit trail:
  - Evidence that self assessment activity is being carried out: upheld: **4 years**
  - Modern Apprenticeship records: **7 years** from when TEC funding for that Modern Apprentice ended.

Any other documentation likely to be needed as reference when a task has to be carried out infrequently or by a staff member for whom there would be no-one to consult about the correct or normal procedure/s should be clearly identifiable and accessible.

## Archiving and retrieving documents

All documents that the company may need to access in future are to be stored in the electronic archive with a file name that will enable the document or set of documents to be located efficiently should they be needed.

### **Archiving and retrieving electronic documents**

Any electronic documents deleted on the day they were created cannot be retrieved. Any documents deleted a day or more later than they were created can be retrieved on request to the System Administrator. Requests need to be specific as possible regarding the name of the document and where they were last saved. All documents are archived after three years, and they will then take longer to access.

Any electronic archiving system will be maintained so as to make all the records stored in it accessible at all times for the duration required according to the type of document, and shall keep up with technological changes that may make file formats obsolete.

### **Archiving and retrieving paper documents**

Each staff member should annually, or whenever appropriate, identify any paper documents associated with their portfolio that should be kept but do not have an electronic file (e.g. letters from stakeholders), determine an appropriate file name, and refer them to the archive portfolio holder for scanning and electronic storage in a suitable archive folder. The original paper copy can then be appropriately disposed of.

## Accountability for documentation quality

Each portfolio holder is accountable for the accuracy, completeness and correct filing of the documents within their

Document Control Policy

portfolio. Particular care is required with documents related to the critical functions of the company, including educational materials, learner information, finance, contracting, policy, quality and anything subject to external audit.

Portfolio holders are recommended to review all their documentation before issuing it, and to seek the assistance of a competent colleague to check samples of their work from time to time, and to proactively improve their skills, practices and procedures where indicated.

## **Responsibility**

**System administrator:** to maintain system functionality and accessibility and security of the current and archived electronic documents and records.

**Archive portfolio holder:** to oversee the archive of paper documents.

**Policy manual portfolio holder:** to obtain approval for all policies, to ensure that the currently approved version of the policy manual is on the intranet, and that staff are advised of changes to policy.

**Branch manager:** to ensure that assessment and learner personal information records at branches are stored and forwarded correctly, and to replace pages in the current paper based version of the policy manual when these are issued by head office.

**All staff:** to uphold document standards and security, and maintain filing and archiving of their own documents.

**Forms portfolio holder:** to ensure forms contain current required fields and information and present a consistent and professional image for the company.

## **Documentation and other resources**

All relevant documentation must be distributed as required and kept on file.

Managing director, operations manager, portfolio holders; computer system, printers and faxes, all G&H documents.

Document Control Policy

**Last review of this policy:** December 2010

**Reviewed by:** DP

**Approved by:** GCG

# Student Information and Advertising Policy

## Policy

It is the policy of G&H Training Limited to provide information to prospective students and advertise in such a manner that complies with stakeholder guidelines where required. All advertising and publicity material will be consistent with the requirements of the Fair Trading Act, The Privacy Act and the Human Rights Act and provide a true and accurate representation of the organisation and the training offered.

## Policy Objectives

1. Enrolment handbooks and publicity materials produced and distributed by G&H Training Limited are a true and accurate representation of our establishment and the courses currently offered.
2. The logos of the NZQA, the MOE and TEC are not used unless as specified by that organisation.
3. All advertising for specified programmes and services such as targeted training and Modern Apprenticeships must use the logos as supplied and approved by TEC and refer to the training being "Contracted by the Tertiary Education Commission", or similar, as per their recommendation.
4. Advertising for recruitment to new courses may begin as soon as the contract for that training is confirmed. Advertising for recruitment at other times is done in response to the level of vacancies for each type of programme at each branch. This may be done in any of the following formats (according to budget):
  - Direct marketing to schools, community groups, other providers, industry etc by phone, letter, email or fax;
  - Newspaper, radio or television advertising;
  - Contact WINZ for any referrals;
  - Distribute advertising brochures to current learners for their friends and whanau;
  - Adpost and brochure drops to residential addresses;
  - Contact the careers service;
  - Web Marketing
  - Displays at career days and relevant promotions.
5. When advertising fee paying courses, full course and study costs are stated in compliance with the requirements of the Education Act 1989.

## Student information

1. Prospective learners shall be sent on request an enrolment pack with details of qualifications and academic content, entry and selection criteria, total course costs and other financial commitments, fee protection, use of personal information, company contact details and other information that may assist the learner to make a decision as to the suitability of the qualification for their career path, and the enrolment procedure and application forms. (See also Fee Paying Policy).
2. Once a formally enrolled learner first attends class they shall receive an Induction Handbook with further details of studying at G&H, e.g. course operation, responsibilities and consequences, finishing the course, standard of conduct required at G&H venues, complaints and disciplinary procedures, support and guidance available, assessment procedures, etc.

## Responsibility

**Marketing portfolio holder**, in conjunction with the operations manager, to oversee all course advertising and to ensure that all advertisements comply with the requirements of NZQA, TEC, MOE, ITOs, the Human Rights Act and the Fair Trading Act. A copy of each advertisement must be held on file where possible. To assist with student information.

**Student information portfolio holder**: to update and issue enrolment package and student information annually and as required.

## Documentation and other resources

All relevant documentation will be held on file.

Managing director, operations manager, marketing portfolio holder, publicity material, advertising records.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG



# Criterion Four

## Staff

**“Recruitment, management and development of staff ensure sufficient personnel with the necessary skills, experience and knowledge.”**



# Organisational Structure and Staffing

## Policy

To ensure that all the goals and objectives of the organisation are achievable, it is the policy of G&H Training Limited to establish an organisational structure and staffing that facilitates:

- Responsiveness to a rapidly changing business environment;
- Effective performance management of finances, programmes and contracts to meet company goals and stakeholders' needs, both strategic and operational;
- Effective communication among all staff throughout the company;
- Staff accountability for each aspect of company performance by allocating goals and objectives to portfolios;
- Support for all the learners to achieve their learning goals and obtain positive outcomes;
- Compliance with the Employment Relations Act 2000 and the Protected Disclosures Act 2000, and subsequent amendments of these Acts.

## Policy Objectives

1. The structure is established and revised as necessary in order to improve the ability of the company to meet market opportunities and stakeholder needs.
2. Staff and stakeholders are consulted as appropriate in the process of reviewing and changing the structure.
3. The managing director is supported by a management team and an operations management team, both made up of senior staff.
4. An illustration of the current structure is provided on the intranet, and staff are advised promptly when the structure changes and this document is amended.
5. Reporting lines are clear, and staff know what their accountabilities and reporting responsibilities are.
6. Levels of authority, delegation and accountability are negotiated and documented in job descriptions, employment contracts, portfolios, and/or staff appraisal and development reviews.
7. All staff may report directly to the managing director who maintains an open door policy.

## **Staff roles: branches**

Branches shall be staffed to maintain the company's staff student ratio of an average tutor:learner ratio of 1:14 in the classroom, and to enable delivery of contracts with stakeholders. Each current role is described in detail in its portfolio:

- **Regional manager:** oversees the good performance and smooth running of the branches in the region; provides a two-way management and reporting link between head office and branches. Routinely reports to the operations manager and participates as a member of the operational management team.
- **Branch manager:** carries out tutoring duties; maintains the good performance and smooth running of the branch and oversees training delivery, achievement of contract targets, use of resources, marketing, venue presentation, reporting etc. Routinely reports to the regional manager.
- **Tutor:** day-to-day course delivery in each training venue according to the particular training, its targets and constraints, guidance and support needs of the learners to facilitate positive learning and labour market outcomes. Routinely reports to the branch manager.
- **Modern Apprenticeships Coordinator:** recruits and provides services to the Modern Apprentices in the region. Routinely reports to the National Modern Apprenticeships Coordinator in the first instance.
- **All branch staff:** local recruitment and marketing; schools and community contacts; any other role or reasonable duties to support the successful operation of the company.

## Roles: head office

Company administration and secretarial duties are carried out at head office by the administration team in conjunction with the operations manager and the managing director. The administration portfolio roles are:

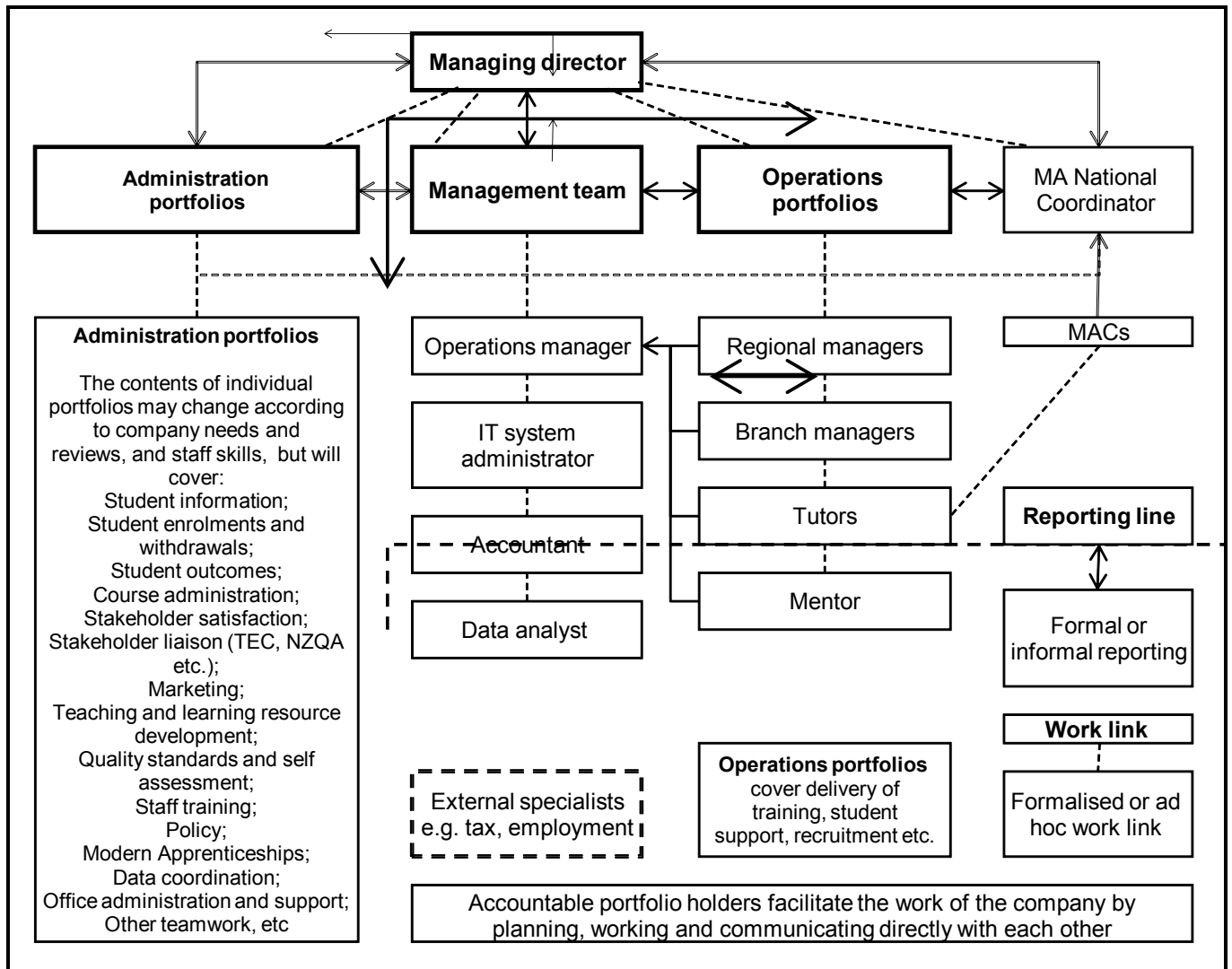
- **Managing director:** has overall responsibility and oversees all management, financial, contractual and administrative functions, obligations and negotiations.
- **Management team:** joint responsibility for ensuring the overall successful operations of the company. The team consists of the managing director, operations manager, accountant, system administrator and quality manager, or otherwise as appointed by the managing director.
- **Operations manager:** jointly accountable with the management team and the operational management team for the delivery of all the company's performance targets. Accountable to the managing director for branch operational matters including overseeing development and delivery of new and existing contracts, and human and material resource requirements.
- **Accountant:** oversees the company's financial processes to enable the decisions on the business strategy of the company to be achieved.
- **Information technology specialist:** oversees the company's information technology system and processes to enable decisions on the technology strategy of the company to be achieved.
- **Administrator:** manages a specified area of work, taking responsibility for planning and organising, data collection, tracking progress, reporting, developmental work, staff training, managing quality etc. Provides information and advice, and makes recommendations to the managing director and other staff members to support the achievement of the goals and objectives of the TES, NZQA and the company. Contributes to teamwork by supporting other portfolio holders, carrying out agreed tasks to meet agreed timeframes to enable the company's target to be met.
- **Mentor:** carries out the support duties at branches as described in the mentor portfolio, assisting management to a) assure the quality of delivery and learner achievement at branches, and b) to train branch staff in the company's operational requirements.
- **National Modern Apprenticeships Coordinator:** manages the Modern Apprenticeships team and their work; provides services to the Modern Apprentices in the region to support the achievement of the goals and objectives of the TES, NZQA and the company.
- **External specialist:** the company contracts experts for advice in legal, financial and human resource risks and obligations etc. as required, to allow sound decision making.

## Planning and reporting to assist governance and management decision making

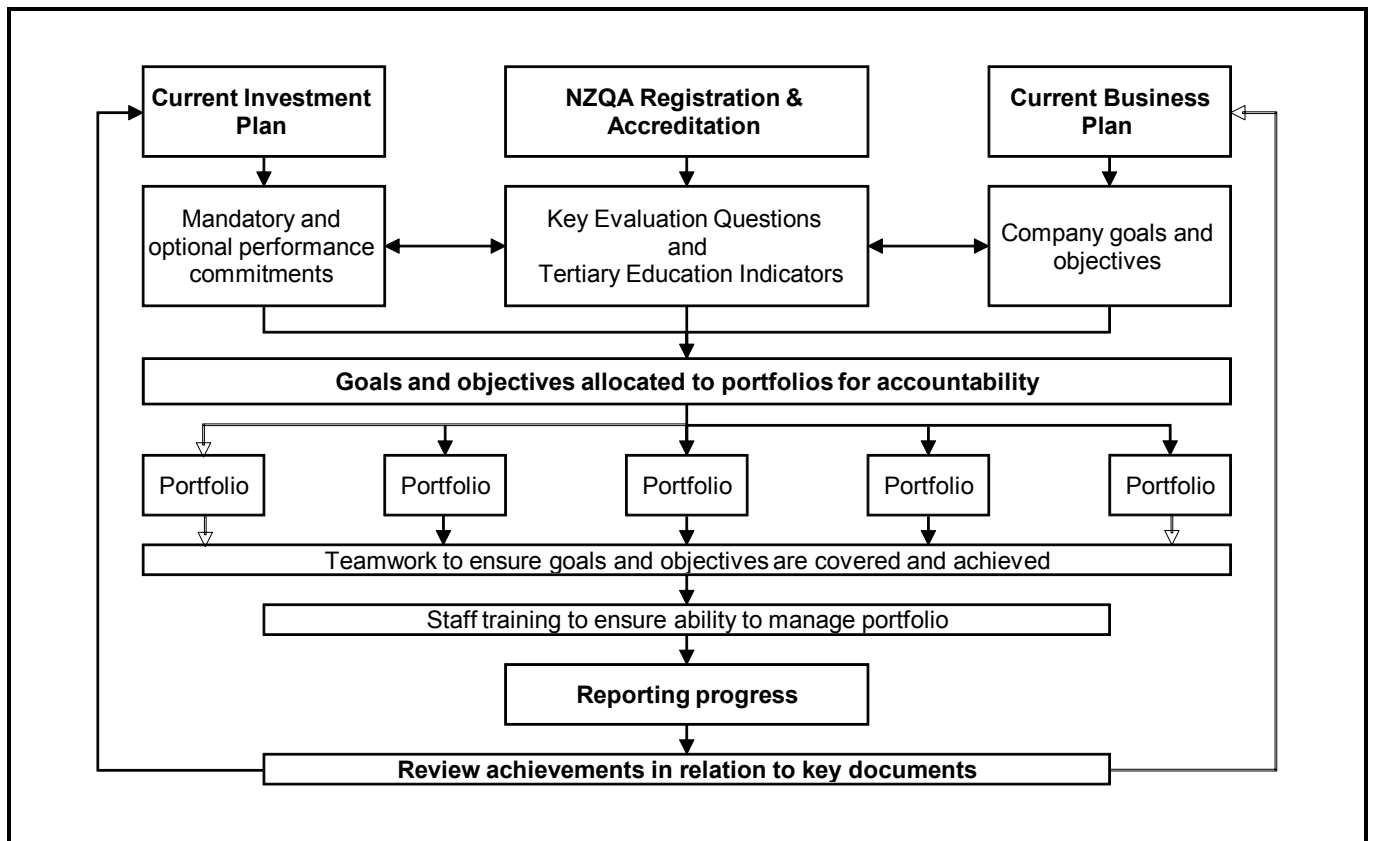
1. Annual planning is carried out to enable the business direction for each calendar year to be set according to the stated requirements of stakeholders and the vision of the company, and the accountabilities to achieve the agreed goals and objectives to be allocated in timely fashion.
2. Progress towards achievement of goals and objectives is monitored according to the Quality Assurance Policy.
3. Meetings are held regularly, ideally at the frequencies stated below, to report, discuss and decide on issues that will enable the company to operate on a continual improvement basis.
  - a. Head office management meets monthly to address issues raised from portfolio reports and activities, and to identify matters for consultation, review and decision making. Minutes of the management team meetings are kept and information is communicated back to staff.
  - b. Branch managers and tutors meet monthly for the purpose of continual improvement of course delivery and performance, staffing, amenities, health and safety, target groups, record keeping and training venue issues etc. Minutes are reported back to head office for action.
  - c. Regional meetings are planned and held at least three times during the year where regional managers and staff raise wider issues and staff training is delivered. Minutes are reported back to head office for action.
  - d. The managing director meets as required with individual managers and portfolio holders to address issues arising, and to approve proposed improvements.

Organisational Structure and Staffing Policy

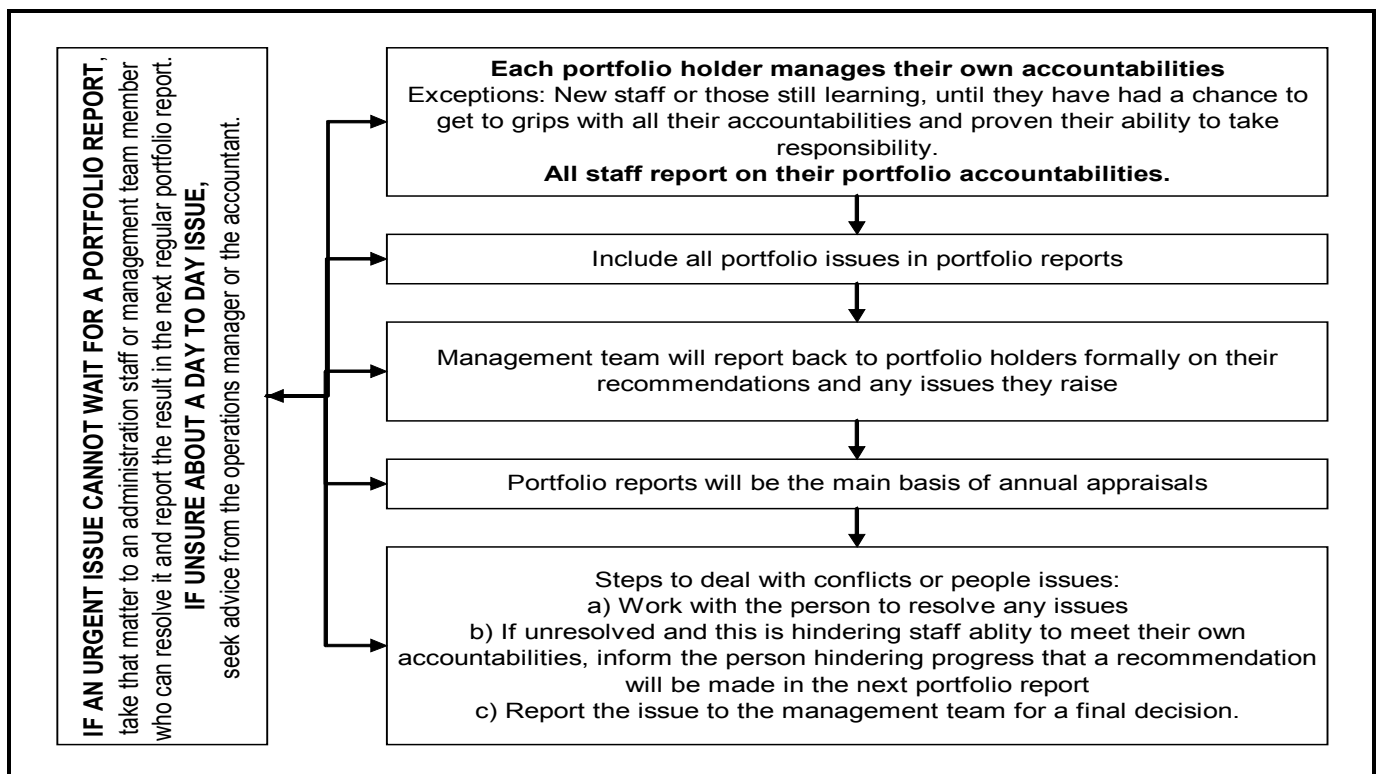
## G&H Training Organisational Structure



## Accountability for achieving goals and objectives



## Portfolio reporting and accountability



## **Responsibility**

**Managing director:** to determine the most effective structure for the organisation, to review and implement this so as to achieve the performance indicators, and to inform staff of structural changes.

**Each staff member:** to undertake the tasks assigned to them in accordance with their employment agreements, portfolio and role, and to carry out the specific duties otherwise agreed between management and the staff member.

**Each portfolio holder:** to ensure that administration and/or tutoring staff are trained in the particular accountabilities they need to understand to enable the delivery of training to meet the strategic and quality requirements of the funding agencies.

## **Documentation and other resources**

All relevant documentation must be recorded and kept on file, [e.g. personnel files, portfolio documents] and the policy manual updated to include the current structure.

Organisational Structure and Staffing Policy

**Last review of this policy:** December 2010

**Reviewed by:** DP

**Approved by:** GCG

# Staff Selection Policy

## Policy

It is the policy of G&H Training Limited that all staff should be selected according to the qualifications and experience they hold to complete the required tasks of that position applied for. All tutoring staff should hold an industry qualification and have appropriate industry training and experience.

## Policy Objectives

1. The company provides conditions of employment whereby:
  - a. Management and staff enjoy a satisfying and productive relationship;
  - b. The health and safety of employees, subcontractors, visitors and students is paramount;
  - c. There are equal employment opportunities for all staff based on their qualifications and experience;
  - d. Matters of misconduct and serious misconduct are dealt with in a fair and reasonable manner and in accordance with the relevant legislation and principles of natural justice \*\*;
  - e. Disputes over the interpretation and application of terms and conditions are resolved amicably and expeditiously.
2. Our recruitment and selection practices, in conjunction with the Staff Development Policy, ensure that the company overall has personnel with the necessary subject and tutoring knowledge; expertise in assessment moderation, knowledge of literacy and numeracy development; experience in educational and quality management; learner support skills; and financial and administration skills. The final decision about the status of an applicant's qualifications remains with the managing director.
3. Staff are recruited, selected and inducted according to the New Employee Procedure.
4. Changes of-position are negotiated with the staff member and follow the Change of Position procedure.
5. All short-listed applicants undergo full interviews as appropriate, where the level of their understanding of the key aspects of the role as well as the cultural issues, target groups, self development, course evaluation and development, team work and continual improvement are considered.
6. Pre-employment checks verify shortlisted applicants' identity, character and credentials.
7. Consideration is given to the demographic mix of staff in relation to the overall learner demographic mix.
8. The staff member appointed shall be the one that most closely meets all the desired criteria.
9. No staff begin work in a position until they have provided their signed acceptance documents to head office.
10. New staff appointed are allocated a "mentor" from the existing staff to assist with their integration into the company.

**All staff**, both at head office and branches, require an appropriate level of computer skills for their portfolio responsibilities that enable them after basic training to:

- Use standard Microsoft applications;
- Operate computerised systems including G&H Training proprietary software (e.g. for student management, reporting etc.);
- Support e-learners with e-learning processes and tasks.

## Requirements for tutoring staff

1. Tutoring staff must have the industry qualifications required by the relevant ITO, or are approved by the ITO as having suitable skills and experience for the position.

For **Carpentry**, the recommended industry qualifications are to include one or more of the following (or be able to demonstrate equivalent knowledge and skills):

*Trade Certificate Carpentry; Advanced Trade Certificate Carpentry; National Certificate Carpentry; National Certificate Carpentry (Advanced).*

For **Joinery** the minimum industry qualifications and experience must consist of:

*Trade Certificate in Joinery or Trade Certificate in Flat Glass or an equivalent qualification and appropriate industry experience, e.g. five years relevant experience since completion of the qualification.*

For **Automotive** staff must be appropriately qualified to teach and assess as per the following:

For Unit Standards up to Level Two, a minimum requirement of:

*New Zealand Trade Certificate or equivalent, or National Certificate (Level 4) or, registration in the trade being delivered.*

For Unit Standards above Level Two, a minimum requirement of:

*New Zealand Advanced Trade Certificate or equivalent, or "A" Grade registration in the relevant trade.*

For **Engineering** related courses, we follow the guidelines of the current **CMR**, and any new tutor must be able to demonstrate an appropriate level of skills, knowledge and experience.

**Other trade** tutors shall hold the necessary qualifications as specified in the NZQA **CMR** for the appropriate qualification being taught.

2. Tutors must have achieved Unit Standard 4098 on appointment or within their first two years at G&H Training.
3. Applicants for tutor positions who can offer qualifications or recent prior experience from among the following shall be given priority consideration for the position:
  - a. Teaching, tutoring and assessment of course industry content.
  - b. Development of students' literacy, language and/or maths skills.
  - c. Support work with young people.
  - d. Basic marketing and administration skills.

Successful applicants may be offered further training in these attributes (refer Staff Development Policy).

4. Tutoring staff appointed must agree to maintain current knowledge and experience of industry practices, technological changes and developments. The company supports this development.

### Requirements for other specialist staff

**First Aid** – We will subcontract with a suitable NZQA registered and accredited provider for the delivery of any first aid unit standards.

**Modern Apprenticeships Coordinators** shall demonstrate

- a) Knowledge of the training system and industry or industries that they are employed to work in;
- b) Ability to relate well to apprentices and employers; and
- c) Communication and marketing skills for promoting Modern Apprenticeships to varied audiences.

### Responsibility

**Managing director:** to ensure that appropriate staff are allocated responsibility for the recruitment of new staff.

**Operations manager:** to ensure that this policy is maintained and that all relative documentation is obtained from new staff and located on the Personnel File.

### Documentation

The minimum documentation that shall be held on the personnel files for each employee includes:

A current employment agreement, job description, IR330 Tax Declaration Form, KiwiSaver application or opt out form, signed health and safety "Employee Duties" form, signed "Agreement for Use of Company Motor Vehicles" form, "Next of Kin Details" slip, current staff development plan and, for tutoring staff, evidence of qualifications.

### Resources

Advertising Records, Job Applications, Personnel Files.

(\*\* Under the principles of natural justice, the seriousness of an allegation is determined by the employer. If a matter is considered to be serious natural justice determines that we must advise the employee of the seriousness of the matter prior to an investigation.)

Staff Selection Policy

**Last review of this policy:** December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: EMPLOYEE APPOINTMENT AND CHANGE OF POSITION

## Objective

It is our company's objective to appoint the best person for the job, and to effectively and efficiently induct them into their role. It is our company's policy to follow a formal procedure when staff change positions within the company.

## Definitions

On flowcharts following, the abbreviations mean: MD = managing director; OM = operations manager; HR – human resources administration portfolio holder; MK = marketing portfolio holder; BM = branch manager; IT = information technology portfolio holder.

## Procedure

(See flowcharts following).

## Responsibility

### **For all positions:**

**Managing director**, delegated to the operations manager: to make the decision to fill a vacancy in the company.

**Operations manager**: to ensure that these procedures are followed.

**Managing director** delegated to the operations manager: to compile the required vacancy advertisements and work with the marketing portfolio holder so they are appropriately placed.

**Staff member interviewing and selecting the new employee**: to ensure and verify the applicant's identity, character and credentials before an offer of employment is made.

**HR administration portfolio holder**: to see that all the company's staff are notified of the appointment, to arrange clothing, payroll, personnel database and personnel file, and to provide recruitment and induction materials as required.

**Operations manager**, in collaboration with the HR administration portfolio holder: to see that the new staff member has a mentor, is properly inducted, and has training sessions from appropriate "experts" on the staff arranged where necessary.

**HR administration portfolio holder**: to ensure that the personnel files are kept up to date and contain all the required documents.

### **For head office staff positions:**

**Persons identified in the flowchart**: to carry out all the steps on the flowcharts above from shortlisting to notifying administration staff. This includes negotiating the correct IEA with the consultant.

**Accountant**: to ensure that the successful applicant's signed documentation is received by head office prior to that person taking up their position, and that this is placed on the personnel file.

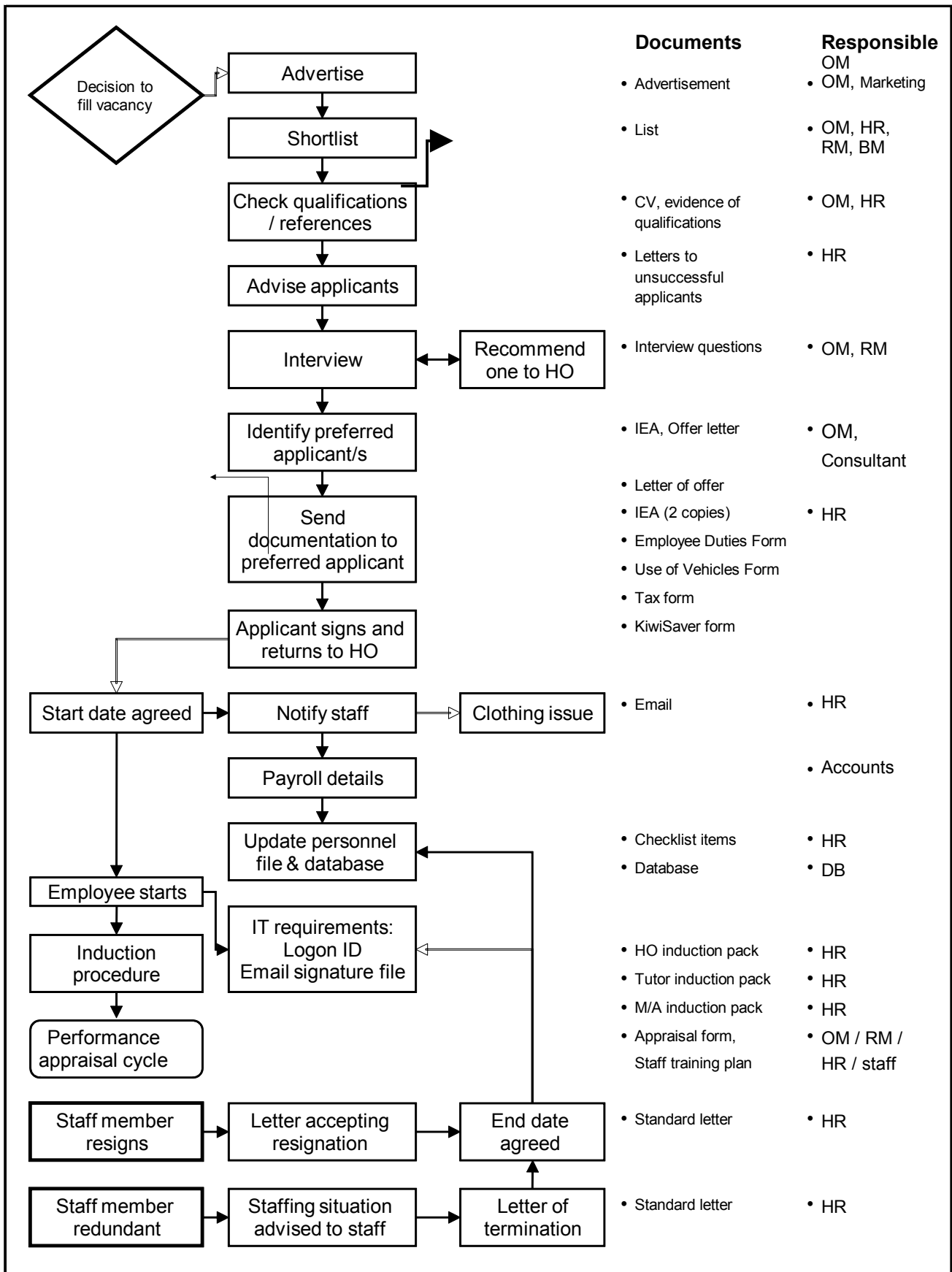
### **For tutoring staff:**

**Operations manager**: may delegate to regional managers and branch managers responsibility for interview and selection of tutors.

**Operations manager**: to carry out all the steps on the flowcharts below from shortlisting to notifying administration staff. This includes negotiating the correct IEA with the consultant.

**Operations manager**: to ensure that the successful applicant's signed documentation is received by head office prior to that person taking up their position, and that this placed on the Personnel File.

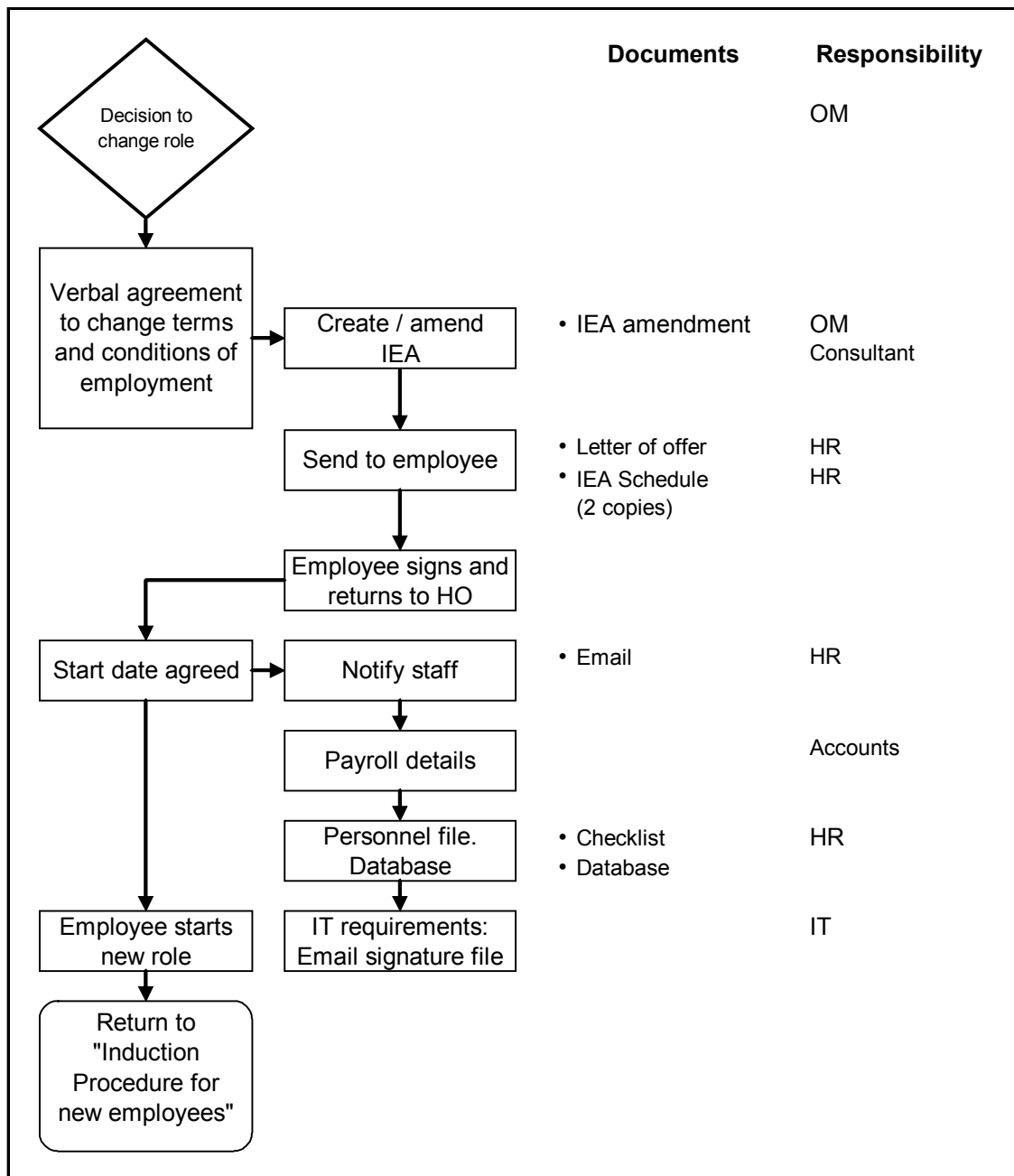
# Procedure for: NEW EMPLOYEE



Last review of this procedure: December 2009      Reviewed by: DP      Approved by: GCG



# Procedure for: CHANGE OF POSITION



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Code of Conduct

## Policy

This Code of Conduct outlines standards of conduct that are expected of all the staff at G&H Training Ltd.

## Policy objectives

1. This code is based on the old saying “Do as you would be done by”. It acknowledges the laws of New Zealand, the Treaty of Waitangi, and the individual world view that each person brings to the company.
2. The principles in the Code are illustrated with examples of the kinds of behaviour expected.
3. Behavioural standards are contained in other documents such as individual employment agreements, the company values, other policies in the Company Policy and Procedure Manual, funding agreements, etc. This Code is intended to supplement those standards, not replace them.
4. Sanctions for misbehaviour and breaches of the Code are contained in individual employment agreements.
5. This Code shall be reviewed from time to time, in consultation with those to whom it applies.

## Principles for all staff at G&H Training Limited

### **Principle 1: to show respect for colleagues**

- To respect the dignity and privacy of all other staff.
- To assist colleagues where appropriate and to act as mentors towards newly appointed staff.
- To speak out if the behaviour of a colleague is seriously in breach of this Code.

### **Principle 2: to provide satisfactory service to the company’s stakeholders**

- To treat all stakeholders with courtesy and respect.
- To exercise initiative, skill and judgement that enables the company to meet the expectations of the funders, purchasers and users of our services.
- To operate the company in a way that supports learners to achieve their educational and labour market goals.
- To avoid any behaviour that could directly or indirectly compromise the standing of the company in its relationships with stakeholders, government agencies, or the public.

### **Principle 3: to maintain and build work-related skills and knowledge**

- To keep up to date with changing industry products, practices and expectations in order to inform learners about current workplace conditions and provide industry with suitably trained entrants.
- To improve understanding of the characteristics and needs of the diverse people we teach.
- To be familiar with current regulations regarding the qualification being taught.
- To undertake formal or informal study to improve the effectiveness of their teaching, assessment and/or administrative procedures.
- To use all available information about one’s performance and its impact on learners and colleagues to continually improve teaching and administrative effectiveness.

## Principles for tutors and mentors

The staff who tutor and mentor learners are expected to follow these principles.

### **Principle 4: to show commitment to stakeholders`**

In relation to learners:

- To manage the classroom and workshop in a professional, positive and respectful way that provides a supportive environment for effective learning and personal development.

- To avoid abusive behaviour toward learners such as threats, swearing or physical discipline.
- To manage complaints and discipline fairly, consistently and with a view to achieving a positive outcome for all stakeholders.
- To establish measurable plans and use suitable teaching methods and materials to ensure that learners meet agreed learning objectives.
- To give individual learners a fair amount of time and attention that supports them to meet their learning goals, in line with the company's Quality Tutoring Standards.
- To cater for the varied learning needs of diverse learners.
- To establish and maintain a network of employers that will provide work experience and employment opportunities to learners, and give learners a realistic understanding of workplace expectations.
- To protect the confidentiality of information about learners obtained in the course of duty, consistent with legal requirements.
- Where appropriate to enable G&H to meet its contracted targets with funding agencies, to provide suitable advice and assistance to former students in their educational and career aspirations.

In relation to parents/guardians, and the family/whānau of learners:

- To establish open, honest and respectful relationships.
- To respect their privacy.
- To respect their rights to information about their young people, unless that is judged to be not in the young person's best interests.

In relation to society as a whole:

- To promote equality of opportunity for everyone.
- To teach and model those positive values which are widely accepted in society, and encourage learners to apply them and critically appreciate their significance.

### Legislation underpinning this Code of Conduct

In addition to the legislation referred to elsewhere in the Company Policy and Procedure Manual, the following legislation applies to this workplace.

#### *Protected Disclosures Act 2000*

The Protected Disclosures Act 2000 recognises that there may be circumstances when it is difficult for staff to report suspected wrong-doing through the normal channels. This Act is to create an environment that encourages employees to report suspected serious wrong-doing, by providing some protection for the employee. The company will abide by the procedures in the Act to ensure that disclosures are given due consideration and are acted on within a prescribed timeframe.

Serious wrongdoing includes unlawful, corrupt, or irregular use of public funds or resources; conduct that poses a serious risk to public health or safety, the environment, or maintenance of the law (including the prevention, investigation and detection of offences and the right to a fair trial); conduct constituting an offence.

#### *Human Rights Commission Act 1977*

#### *Race Relations Act 1971*

### Documentation and other resources

All relevant documentation must be recorded and kept on file.

Managing director, G&H management teams, individual employment agreement, G&H policies and procedures.

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

Code of Conduct

# Staff Development Policy

## Policy

It is the policy of G&H Training Limited to support staff to build and keep current their knowledge and skills related to industry practices and developments, stakeholder requirements, and technological changes as they apply to their position.

Members of staff are to complete a performance appraisal and development review annually against their portfolio accountabilities.

All staff development requisites specified by NZQA (as referred to in the current **CMRs**), Tertiary Education Commission, the Ministry of Education and other stakeholders for staff training shall be adhered to.

## Policy Objectives

1. All staff members are encouraged to build and keep current the skills and knowledge needed to meet their portfolio accountabilities and improve the efficiency of the company. To enable this:
  - a. A budget and time allowance shall be provided for study that the company requires of a staff member in order to meet a stakeholder requirement or to fulfil their portfolio accountabilities.
  - b. For other study that a staff member wishes to undertake and which the managing director agrees is of benefit to the company, they may negotiate individually a budget for course expenses, normally to be reimbursed on successful completion of the approved study.
2. Tutors and assessors need to complete unit standard 4098 at a minimum in accordance with **CMR** requirements. Some members of staff will be expected to complete 4099 or 11552 where their roles and responsibilities require it and at the discretion of the managing director.
3. Staff development for tutors shall encourage them to develop teaching and tutoring skills, e.g adult education qualifications, literacy / numeracy knowledge or qualifications.
4. Tutoring staff will be expected to read the regular industry updates provided on the intranet, and keep in regular contact with local industry to keep themselves up to date with changes in practice and technology.
5. In house training sessions are provided where staff are required to work to new initiatives or changed job descriptions as it is deemed necessary. All relevant information received from organisations such as NZQA, Tertiary Education Commission, Ministry of Education and industry training organisations etc., are passed on to relevant staff as appropriate to assist course and staff development.
6. Staff understanding of company policy and procedures and company information deemed important for the effective delivery of training, is tested from time to time through in-house assessments. The findings are reported back to staff and management and followed up where a further training need is identified.
7. All staff must complete an annual performance appraisal and development review. From this appraisal, a development programme is agreed upon to enhance the strengths of individuals in the company and assist them to develop all round work-related abilities and skills. [See Staff Performance and Appraisal Procedure.]

## Responsibilities

**Operations manager:** to ensure that all staff complete an annual performance appraisal and development review; to approve appropriate staff training reimbursements.

**Accountant:** to track and report any full time tutors' staff assessment training progress.

**Staff training portfolio holder:** to see that there is provision for in house training and other staff training, in conjunction with the operations manager and other qualified staff.

**All staff:** to undertake any compulsory study required by management, to keep up to date with all industry practices, stakeholder requirements, current knowledge and practical experience as well as any technological changes appropriate to their position, and to participate in an annual performance appraisal and development review.

## Documentation and other resources

All relevant documentation regarding results and records of staff training must be kept on file.

Managing Director, operations manager, portfolio holders, all staff, NZQA, TEC, MOE, personnel records.

**Last review of this policy:** August 2010

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: STAFF PERFORMANCE AND APPRAISALS

## Objective

It is our company's objective to annually, or on an individual needs basis, to evaluate staff performance and assist staff to develop the skills and knowledge to effectively fulfil their portfolio roles.

## Overview

<b>Assessment</b>	Assess current performance against desired performance as per individual employment agreement, portfolio accountabilities, Code of Conduct, feedback gathered.
<b>Analysis</b>	Analyse current performance against desired performance to identify any gaps and reasons why this is happening.
<b>Development</b>	Design and develop a solution that is cost effective and efficient to obtain the desired results.
<b>Implementation</b>	Put the solution into action. Measure and review the effectiveness of it.

## Important Notes:

- To avoid this being just another form to fill out annually, all managers, regional managers and head office staff should record formal discussions held during the year regarding performance and development.
- These notes should be reviewed before completing the Performance Appraisal and Development Report.
- The organisational structure allows informal discussions between staff and management in which issues that arise during the year can be dealt with promptly.

## Procedure

1. A 'Performance Appraisal and Development Record' should be completed for all staff at least once annually.
2. Performance appraisal and development will be completed as follows:

<b>Completed for:</b>	<b>Completed by:</b>
Management team members	Managing director
Regional Managers, mentor	Operations manager
Branch Managers and Tutors	Regional manager
Head office administration staff	Delegated management team member
Modern Apprenticeship Coordinators	National Modern Apprenticeship Coordinator

3. A minimum of SEVEN days notice will be given to staff before any performance appraisal and development review meeting, unless a shorter time is agreed between the parties.
4. The performance appraisal is a formal meeting to review the extent to which the objectives and performance indicators for the year have been achieved.

Performance ratings need to be measured against all key accountabilities detailed in each employment agreement and/or portfolio. The appraisal is essentially an official sign-off that these have been met, or not met. The review may, in conjunction with other measures e.g. motivational behaviour, team involvement, attendance etc, be used as the basis for decisions such as pay reviews, promotion, development, or disciplinary action.

Performance reviews are split into two parts: reviewing objectives and performance indicators from the previous year, and setting those for the upcoming year. Matters for discussion include:

## Procedure/ Continued...

- Have *all* accountabilities been met or exceeded? How were they met or exceeded?
  - If not, what was *not* met? Why was it not met?
  - Have previous staff development plans been met? Have they improved the staff member's capabilities and performance?
  - Are there some employment agreement or portfolio tasks that the employee should formalise in their next staff development plan?
  - Have they demonstrated particular initiative that has enhanced the company's ability to meet its objectives?
  - Review of general conduct and behaviour that does not relate specifically to any one PI.
  - Discussion and development of objectives and performance indicators for the coming year.
5. The interviewer will review the employee's performance for the PREVIOUS twelve months, based on information gained during the year and from any information contained in the personnel file.
  6. A Staff Development Plan shall be agreed between the staff member and the reviewer to address any knowledge or performance gaps identified as a result of the review. Progress against this plan shall be monitored.
  7. If the company requires a staff member to undertake staff training, and if this carries a cost, the company shall fund this training from the available budget. This shall be paid by the company when fees are due.
  8. If the training is at the discretion of the staff member, and is shown to have probable benefit to the company, the staff member may apply to the managing director for reimbursement of all or part of the course fee from the available budget, by negotiation. This may be applied for on presentation of the results of the course showing a pass.
  9. Staff performance appraisal and review reports must be treated with confidence at all times.
  10. Copies of the reports regarding staff reporting to the operations manager must be forwarded to the operations manager at head office immediately after completion.
  11. Copies of the reports regarding administration staff must be sent to the managing director.

## Responsibility

**Performance appraiser:** to keep performance and appraisal development review reports confidential and to forward the reports to head office immediately.

**Accountant** to ensure that the personnel files contain the up to date performance review reports.

Staff Performance and Appraisals Procedure

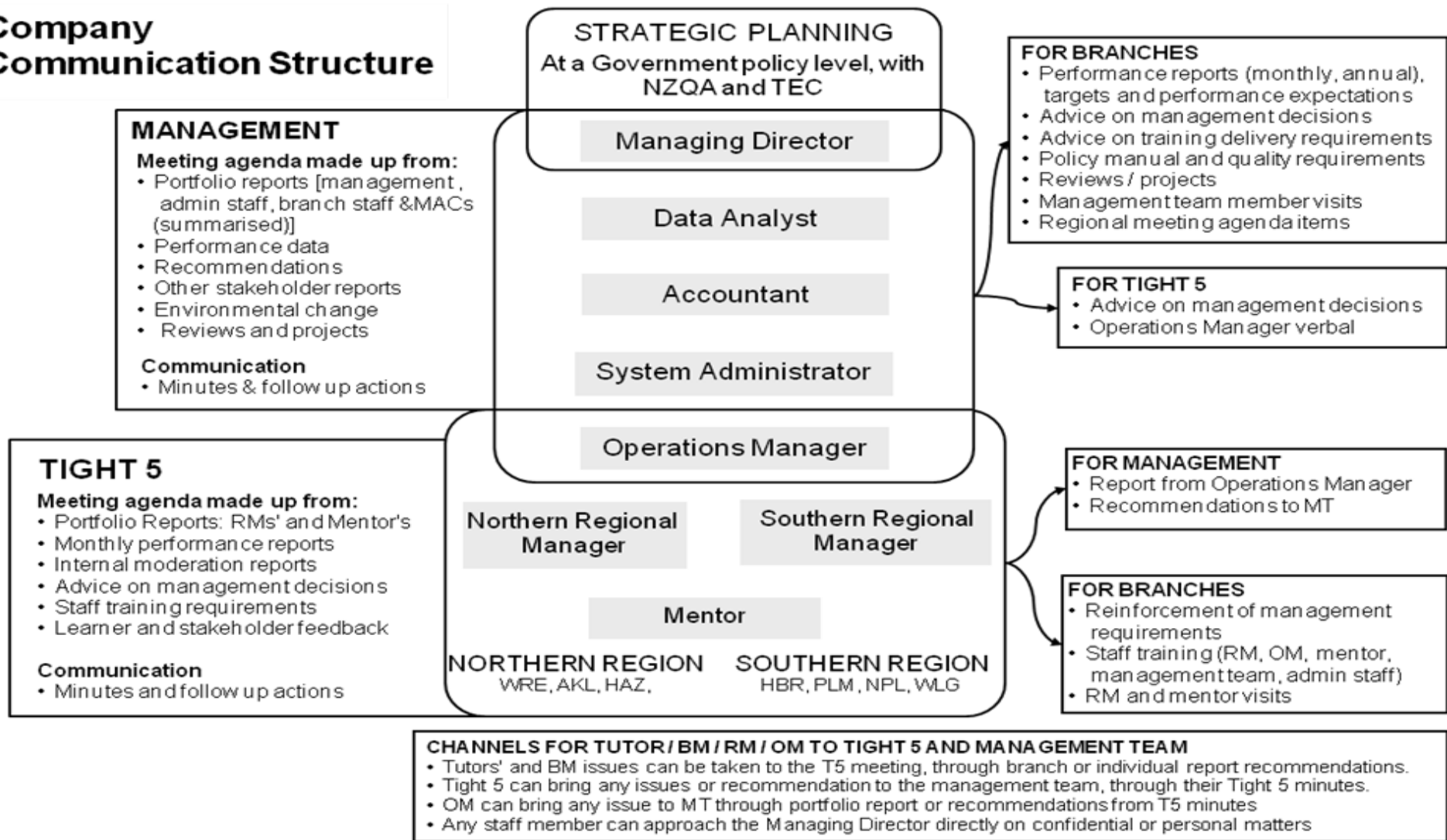
Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG



# Company Communication Structure







## **Criterion Five**

### **Courses**

“Development, design and delivery of courses respond to the demonstrated needs of learners and relevant parties and are consistent with the goals and purposes of the private training establishment.”



# Qualification and Course Development Policy

## Policy

G&H Training Limited will develop new qualifications and courses to meet the requirements of its customers and stakeholders, being **learners, industry and the organisations listed below**, based on the Tertiary Education Strategy, the approved G&H Training Limited Investment Plan, course evaluation, student needs analysis, learner and tutor feedback, industry liaison; labour market research and sound educational practice.

## Policy Objectives

1. Qualification and course developments and improvements are based on the requirements set by various organisations and funding bodies including:
  - New Zealand Qualifications Authority (NZQA)
  - Tertiary Education Commission (TEC)
  - The Ministry of Education
  - Industry Training Organisations
  - National Standard Setting Bodies
  - Ministry of Social Development (MSD), etc.
2. These requirements include qualification and course content and level, course length, funding requirements, teaching and learning strategies, specific resource requirements, and how assessment activities and credit achievements are determined.
3. We consult our industry advisory network as per the Lesson Plan Development Policy to identify changes to industry practices and requirements that will impact on our teaching and learning materials, and ensure that all significant changes are incorporated into lesson plans in timely fashion.
4. Where benchmarks for new developments cannot readily be identified, new programmes will be piloted and evaluated prior to full implementation, in consultation with relevant organisations if appropriate.
5. Qualifications and courses shall be structured so as to provide learners with a progressive and coherent sequence of learning with defined learning outcomes incorporating embedded literacy and numeracy appropriate for the level and type of training.
6. The required approvals and contracts shall be confirmed by the appropriate agencies prior to a particular qualification or course being made available to learners for enrolment.
7. No courses will begin without all necessary requirements being in place. This may be by way of ownership, written lease arrangements, written agreements with other suppliers and providers, for the provision of the stated requirements.

## Responsibility

**Operations manager:** to develop courses in collaboration with key stakeholders and appropriate portfolio holders.

**Administration portfolio holders:** to assist the operations manager to develop courses and to ensure new course development processes are implemented in the timely manner required for them to be delivered to contract.

**Investment Plan writer portfolio holder:** to ensure documentation reflects appropriate course aims and course content information.

## Documentation and other resources

NZQA/TEC approvals, Investment Plan, resource agreements.

All resources as listed in the Administrative Resource Policy.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Course Delivery Policy

## Policy

It is the policy of G&H Training Limited to ensure education services are delivered appropriately in conjunction with the relevant legislation and other mandatory conditions of funding.

## Scope

The parts of this policy that apply to learners enrolled with G&H Web-Based E-learning are marked with an asterisk\*.

The delivery of government-funded courses shall be in accordance with the following:

A) Education Act 1989\*:

- Sections 236(1)(b) and (e) – G&H clearly specifies its education and training services and has adequate and appropriate means to deliver them.
- Section 259 – G&H meets its requirements specified for delivery of courses within the organisation’s scope of accreditation.
- Section 253(1)(c), 292(6) - G&H recognises credit awarded by other organisations accredited to assess against national standards.

B) Additional relevant legislation:

<ul style="list-style-type: none"><li>• Consumer Guarantees Act 1993*</li><li>• Fair Trading Act 1986*</li><li>• Goods and Services Tax Act 1985*</li><li>• Industry Training Act 1992, section 10</li><li>• Health and Safety in Employment Act 1992.</li><li>• Human Rights Act 1993*</li><li>• New Zealand Bill of Rights Act 1990</li></ul>	<ul style="list-style-type: none"><li>• Official Information Act 1982*</li><li>• Privacy Act 1993*</li><li>• Public Finance Act 1989</li><li>• Student Allowances Regulations 1998</li><li>• Student Loan Contract</li><li>• Student loan Scheme Act 1992</li><li>• Tax Administration Act 1994</li></ul>
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C) Investment Plan and associated funding application documentation

D) Current Tertiary Funding Guide

## Policy Objectives

1. Courses are delivered in ways that are relevant to the needs of learners, clients, and other stakeholders.
2. G&H provides flexibility in the provision of education and services to allow a range of people from the community access to training, to meet funding agencies’ contracts according to their regional needs, and to operate training venues in a range of centres to allow further access to training. Flexibility is also offered when negotiating training direct with industry so that the needs of clients can be better met, i.e. times, places, methods. Distance education may be provided as a further option where access to training would be a barrier for some learners.
3. Sufficient resources are allocated to each course to enable delivery to meet the required standards.
4. To assist in meeting learners’ needs, course components are chosen according to the needs and level of the learner, and the pathways offered are supported during and after enrolment so as to enhance each learner’s opportunities to enter an industry apprenticeship or follow their chosen career path.
5. Training is delivered according to the Tutoring Method Policy.
6. Branches are supported to meet their accountability for the successful delivery of the qualifications and courses contracted for their venue.
7. Appropriate assessment methods are used as per our Assessment Policy.
8. Achievement of qualification and course outcomes directly related to the purpose of the course are encouraged above any other form of outcome.

9. G&H uses modern delivery methods and maintains close contact with industry employers, putting a lot of effort into attaining high levels of educational achievement and employment and apprenticeship outcomes.
10. All G&H management staff are regularly provided with reports on the performance of individual branches against the key funding targets for the particular types of training for each branch. The information provided will cover at least the following targets:
  - a. Occupancy of available training places (all courses);
  - b. Achievement of the certificates that can be gained on the course, i.e. the G&H Certificate in Pre-employment Carpentry L 4, the G&H Certificate in Practical Construction L2, the National Certificate in Building Construction and Allied Trades Skills L2, or achievement of the required credits for a TEC Targeted Funding course;
  - c. Achievement of a positive labour market outcome appropriate to the course (e.g. relevant employment or further training for EFTS learners; employment or further training within the specified timeframe for TEC Targeted Funding learners).
11. It is expected that branch managers and staff will use the support, advice, reports and resources provided by company management to successfully achieve the targets for their branch.
12. For the delivery of first aid units, G&H will:
  - a. Subcontract with a reliable and recognised specialist provider to deliver the first aid units , with approval from TEC to deliver as required, and
  - b. Encourage the learners to achieve the first aid content as an expectation of industry.

## **Responsibility**

**Managing director:** to oversee that education services are provided according to this policy.

**Operations manager:** to ensure that individual training plans are prepared for all learners based on their identified needs, and that courses are delivered so as to meet the needs of the stakeholders.

## **Documentation and other resources**

All relevant documentation must be recorded and kept on file.

Funding contracts, scope of accreditation, NZQA framework documents.

Course Delivery Policy

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Tutoring Method Policy

## Policy

It is the policy of G&H Training Limited to provide quality tutoring to the learners on the range of programmes that we deliver by means of a variety of teaching tools and methods, and encourage the use of the tools and methods that are best suited to specific groups of learners or individual learners and that will enhance each individual's opportunity to successfully complete their individual training plan.

## Scope

This policy does NOT apply to learners enrolled with G&H Web-based E-learning unless specified for them.

## Policy Objectives

1. The delivery of education and training to build industry and foundation skills and encourage the best overall individual performance shall be varied according to the needs of each learner and the content being delivered.
2. There shall be a learning environment in which:
  - a. Behaviour modelled by all staff and management encourages hard work, high energy and success;
  - b. Foundation skills are fostered and progress is measured using well described processes and a competency based assessment regime;
  - c. Learners demonstrate measurable changes in behaviour, attitude and self esteem; achieve educational results and move successfully into further training and/or employment.
3. Classroom hours are scheduled so that tutoring time, supervised workshop time and supervised assessment time is available each day.
4. E-learning lesson plans shall be the preferred learning method where these are available.
5. Learners shall be responsible for their own learning with support from the tutor and, as appropriate, the mentor.
6. When determining teaching methods and delivery schedules, the tutor shall take into account the observed individual learning needs of each learner in relation to the successful and timely completion of their course or qualification, and their requests for support.
7. Lesson plans shall be allocated to learners in the order following course modules or, if the structure is not modularised, according to the Individual Training Plan agreed with the learner. Where a learner is on work experience, a unit standard relevant to this placement may be allocated outside the course module structure.
8. Lesson plans are designed to be used under the direction of a content expert tutor. The tutor shall introduce each new lesson plan to each learner that puts the lesson plan in context and covers:
  - a. The key points that will need to be learned and why these are important;
  - b. Any particular quality or safety issues to look out for;
  - c. Whether the lesson plan relates to previous lesson plans that the learner has studied or completed;
  - d. Any particular things that others have found hard to learn and are likely to cause confusion;
  - e. And for carpentry theory if relevant, at what stage of a building project the particular theory is applied.
9. For e-learning: every learner will be proactively guided through the content and checked to ensure the material is well understood prior to being given access to any assessments.
  - a. The tutor shall use the tutor side of e-learning to monitor each learner's progress and assessment attempts so that the following two conditions may be met;
  - b. No learner shall be given access to formative assessments until they have logged on to a lesson plan on at least three separate days and completed all the study notes;
  - c. No learner shall be given access to more than three attempts at a formative assessment without the tutor holding a 1-1 session with that learner to identify and take steps to prepare the learner better for the summative assessment. Such steps may include:
    - i. Verbal question and answer session to identify knowledge or skill gaps, with advice to the learner as to how to learn more e.g. by further reading, site visit, additional practice with study notes;

- ii. An individual tutorial on relevant lesson plan content;
  - iii. Requirement that the learner attend a group tutorial on the subject;
  - iv. Other reasonable remedy suggested by the learner.
- d. No learner shall be given access to a summative assessment until they have satisfied the tutor that they are ready to demonstrate competence, e.g. by the tutor directing them to review their study notes and signing this off, by correctly describing to the tutor 2-3 points that the learner has chosen from the lesson plan; by providing other evidence such as a relevant site visit or work experience report, etc.
  - e. No learner seeking resits shall be given access to more than two attempts at a summative assessment without the tutor discussing the case with the learner and/or mentor and/or operations manager, and agreeing with the learner an approach to improve their likelihood of success at the next attempt.
10. For non-e-learning lesson plans and assessments, a similar approach and procedure is to be followed based on the learner's Individual Training Plan.
11. To develop literacy, language and numeracy skills, tutors are to assess specified learners using the National Assessment Tool within their first week of attendance, and identify their position on the TEC Learning Progressions. From that, they must identify the individual's needs and help them develop their literacy, numeracy and language skills within the Progressions using the G&H trades-related resources alongside the specified lesson plans. They must assess the learner's progress at least once around the mid-point of the learner's course, and again in the week before they leave, using the National Assessment Tool.
12. When providing individual or group tuition, tutors must apply the "Tutoring Principles and Practices" and the "Quality Tutoring Standards" as displayed in each venue. That is, they must seek and create opportunities to:
- a. Plan sessions ahead, and ensure that the required resources are in place to enable delivery as planned.
  - b. Assist the learner to find ways to relate the content of the lesson plan to their own knowledge and experience, and share their own industry knowledge;
  - c. Use the lesson plan content as discussion points to review the work done and to give a broader and deeper understanding of context and importance of the topic;
  - d. Ensure that the learners participate in active learning opportunities such as site visits, guest speakers, work experience, advice about where and what to look for to find examples of the theory being applied, and workshop sessions where real life observations or practice can occur;
  - e. Encourage learners to USE their new knowledge as soon as possible, e.g. as above or by doing their own projects out of class time;
  - f. Steer learners towards additional resources (brochures, trade magazines, plus activities as above) where they can read about, discuss and practice what they are learning;
  - g. Encourage learners to consider WHY, HOW and WHAT the theory means. Encourage them to consider human reactions and consequences if the theory is not properly applied or if practice is below standard;
  - h. Find ways of handling difficult situations where everyone's mana is respected;
  - i. Notice and acknowledge good work;
  - j. Notice and acknowledge positive contributions from learners.
13. Workshop sessions must be arranged so that:
- a. Every student must achieve competence in their induction workshop induction assessment before starting any workshop sessions.
  - b. In early sessions, the learner tries out the tool or machine under full and strict supervision. The tutor advises about and demonstrates to the learner proper use and the consequences of misuse of the equipment and looks for safe practice.
  - c. Once the learner has demonstrated ability to use the tool or machine, the learner may start a project. The tutor will provide appropriate supervision as the project proceeds, offering ongoing advice and assistance as the learner's skill improves, and on the quality of workmanship in relation to industry standards.
  - d. During the course of the project the learner shall be assessed on the safe use of machinery and tools.
  - e. Materials are used efficiently, and learners are taught to keep the workshop in orderly and safe condition.
14. Administration tasks shall on the whole be done outside of classroom hours or when learner supervision is not required. This includes monitoring student progress, allocating e-learning lesson plans and assessments, arranging activities such as site visits and visiting speakers, marketing, locating work experience and labour market opportunities, marking, branch administration etc.

Tutoring Method Policy

## Tutoring methods and tools

Tutoring methods and tools used at G&H training venues shall include all the following. Tutors are expected to make use of them all on a regular basis as appropriate:

1. Lesson Plans - All lesson plans are available to classroom-based learners through e-learning or, where these have not yet been developed or are not available, as paper based materials.

E-learning lesson plans are available to learners enrolled on G&H web-based E-learning.

2. Tutorials - Sessions with learners, either group or individual, or group teaching on a topic of common need. (Communication with tutors and peers, listening skills, confidence building, individual accountability).
3. Literacy, language and numeracy development activities using the G&H trades-related resources.
4. Whiteboard - Notes and sketches delivered either formally or informally. (Note taking, information finding, planning, individual motivation, self management, problem solving).
5. Practical demonstrations – Delivered and repeated as necessary. (Paying attention, comprehension).
6. Workshop – to provide basic practical skills and knowledge of the course content through completing the currently approved projects; to gain competency in the use of tools and materials; to reinforce understanding of workplace safety (industry and foundation skills, communication with tutors and peers, listening skills, confidence building, individual accountability, self management, problem solving, application to the task).
7. Work experience – On-site with suitable employers in the industry relevant to the training (industry and foundation skills, employer relations).
8. Site Visits - To present real life examples that improve the learners' understanding of the theory content of the course. (Listening skills, information finding, reports written up after discussions where verbal conversation is transferred into written language).
9. Formative assessments (e-learning 5 questions or paper based worksheets) - To ensure that the lessons are being understood and that learners are meeting the objective's criteria. (Comprehension, application to the task, literacy/numeracy).
10. Summative assessment – to confirm that learners have taken in and retained information taught on the course and met the performance criteria specified.
11. Models - To show construction and potential faults. (Visualisation skills from plans and ability to absorb information, enhance teamwork, peer communication).
12. Photocopied material - Homework, reference materials etc. (Literacy, information finding).
13. Reference books - Reference books and trade magazines are available to learners. (Information finding, enthusiasm, individual motivation, ability to absorb information).
14. Visiting Speakers - Presentations and group discussions on topics that support the development of relevant foundation and industry skills. (Listening skills, information finding)
15. Folder - Learners (including G&H Web-based E-learners) build their own resources. (Self-management, motivation, pathways planning, reliability).

## Responsibility

**Tutors:** to ensure that the policy is upheld, and use the most appropriate tutoring method based on the needs of the individual learners.

**Operations manager,** in conjunction with branch managers, regional managers and the mentor: to monitor and ensure that all tutors fulfil their responsibilities as detailed in policy.

## Documentation and other resources

All appropriate documentation will be kept on file.

Managing director, operations manager, regional managers, branch managers, tutors, needs analyses, all classroom and workshop resources, worksheets, summative assessments.

Tutoring Method Policy

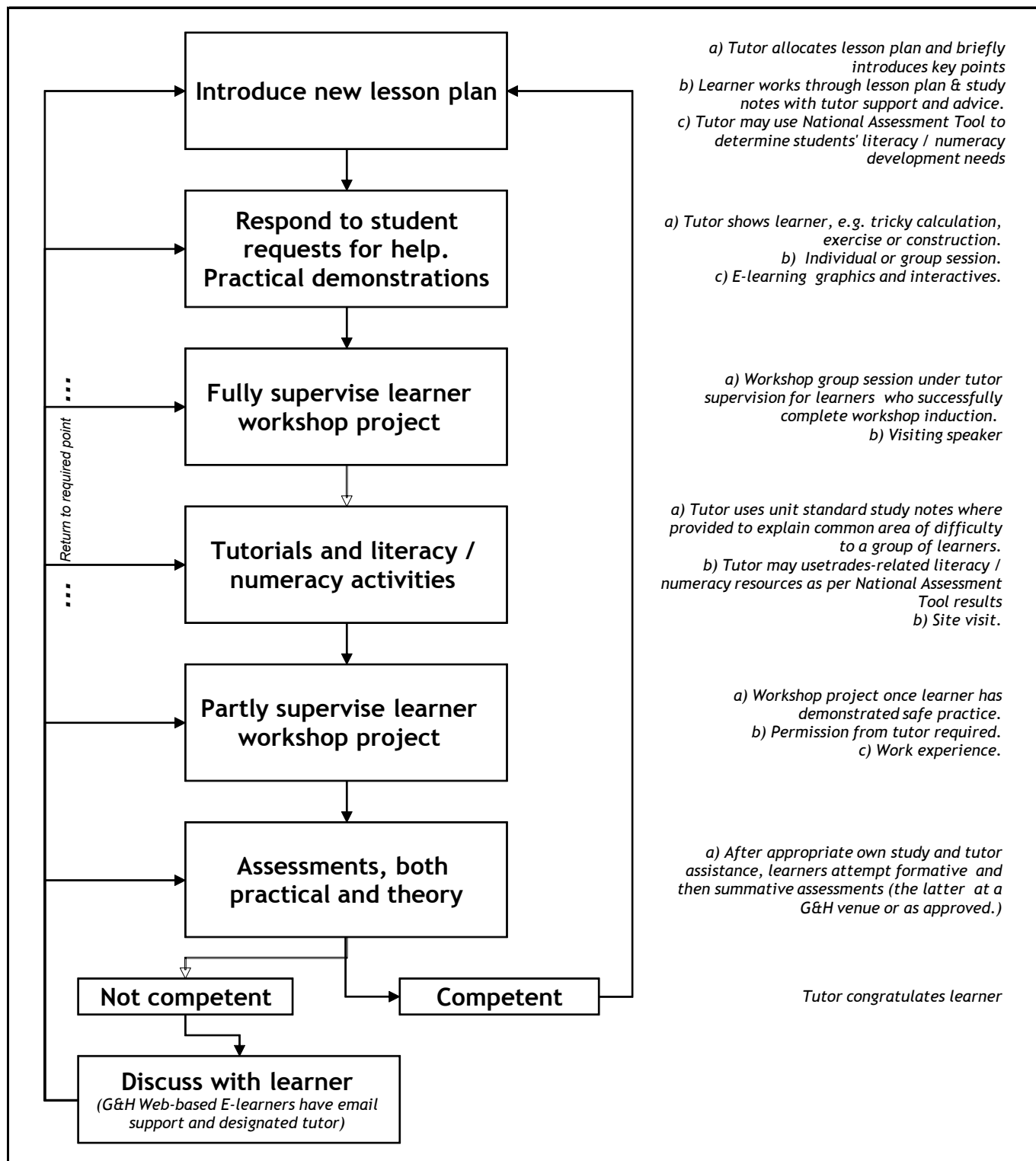
Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Tutoring Procedure 1

This procedure aims to give learners working towards the G&H Certificate in Pre-Employment Carpentry L4 the basic jargon, knowledge and skills for the industry with some practical content that will help them understand the theory. Most learners are expected to manage their own learning, with continual tutor and mentor support. Tutors are expected to apply the Tutoring Method Policy at each step. (The flow diagram may not always follow every step in exact order, and it does not apply to G&H Web-based E-learning study outside a G&H venue).



**More than one lesson plan can be in progress at the same time.**

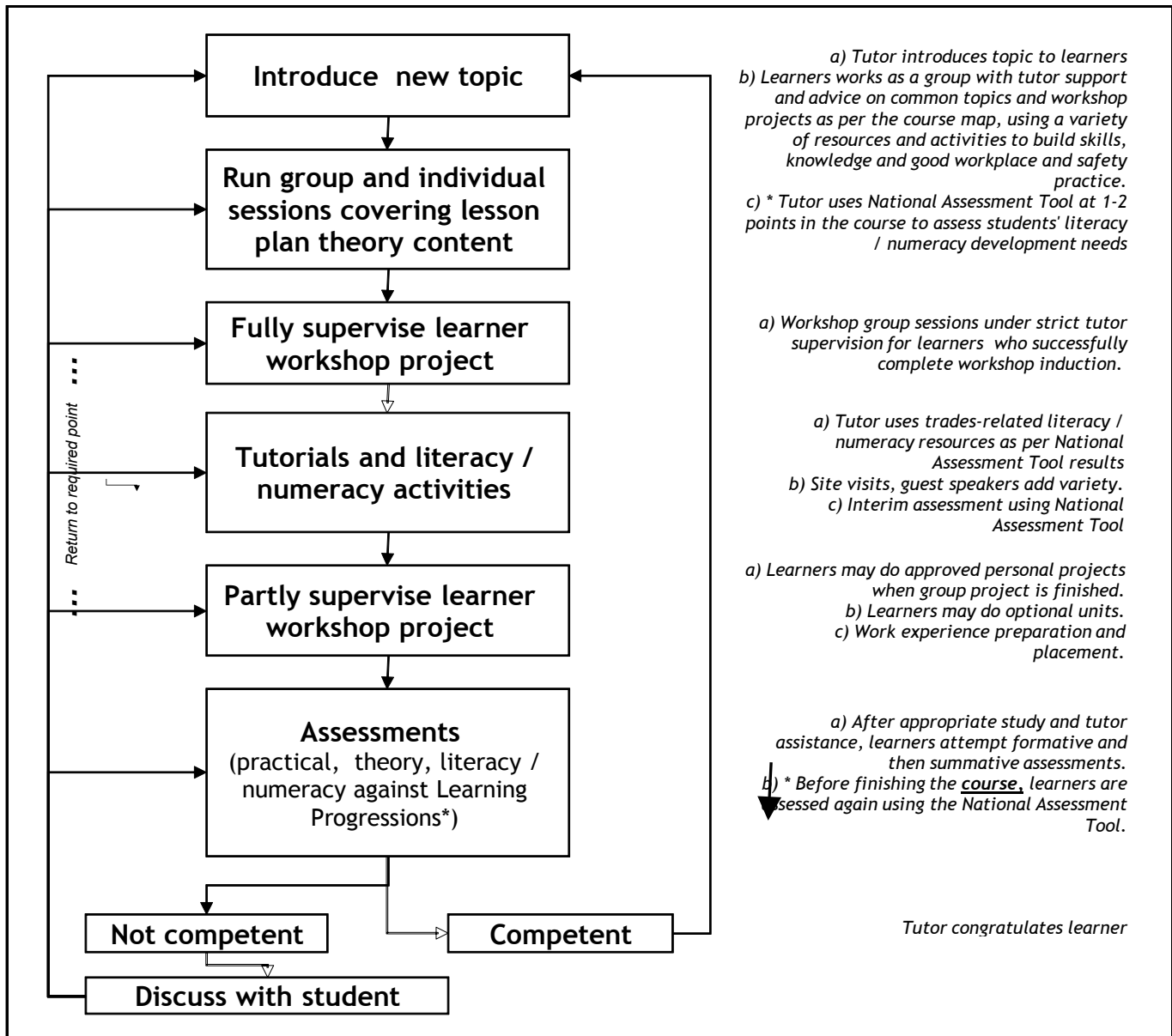
Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Tutoring Procedure 2

This procedure aims to give learners working towards the G&H Certificate in Practical Construction Skills and the National Certificate in Building Construction and Allied Trades Skills L2 a basic level of practical skills, jargon, knowledge, literacy, numeracy and work skills to enable them to enter paid employment in the industry. Most learners are expected to work to their individual training plan with a high level of tutor and mentor support. Tutors are expected to apply the Tutoring Method Policy. (This flow diagram may not always follow every step in exact order).



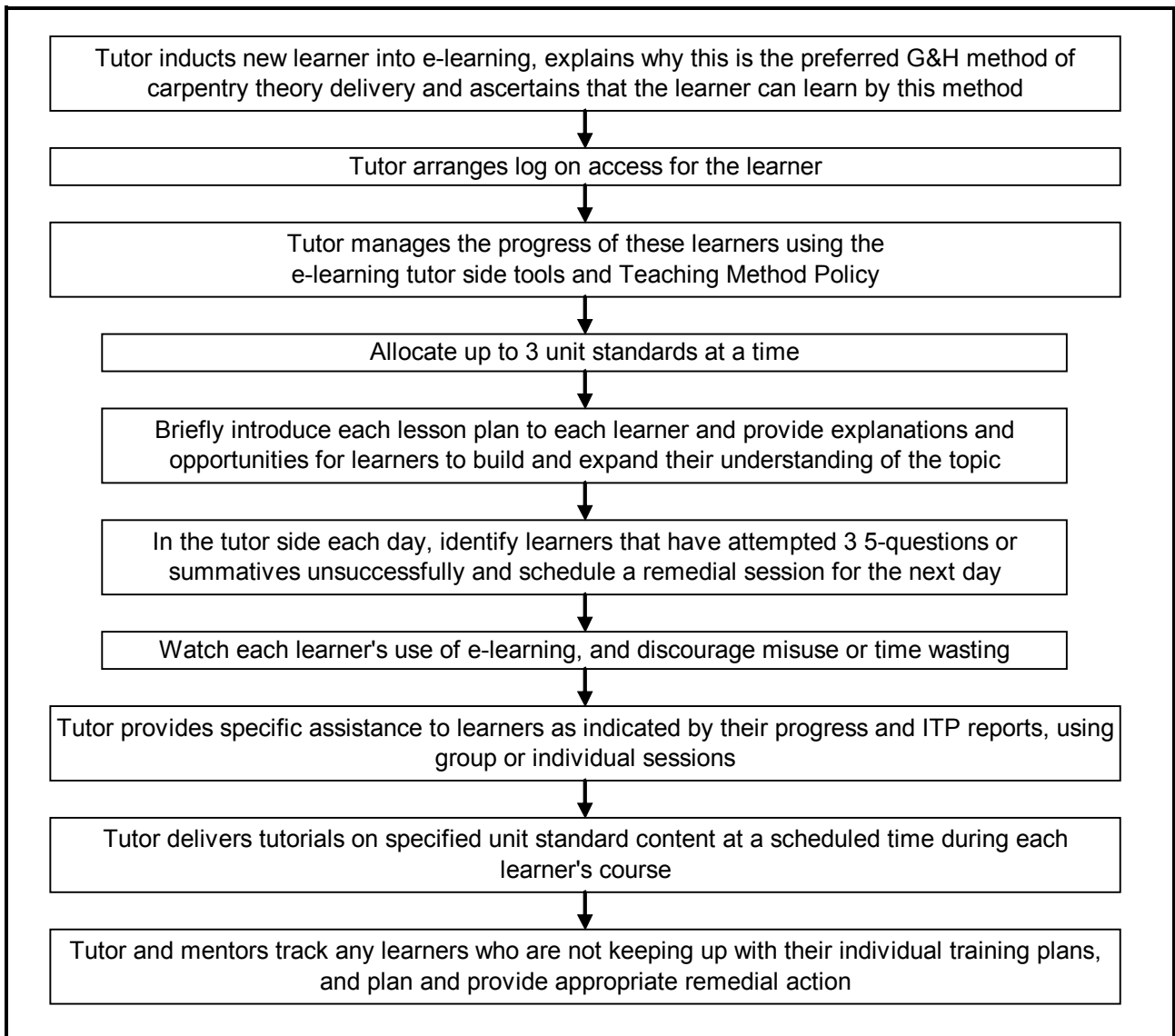
**More than one topic can be in progress at the same time.**

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: USE OF E-LEARNING FOR CARPENTRY THEORY



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Work Experience Policy

## Policy

It is the policy of G&H Training Limited to offer off-site practical and work based components to all learners in such a manner that complies with all ITO and funding agency guidelines.

All regulations specified by the Health & Safety in Employment Act and its amendments are adhered to, and work experience employers are notified regarding ACC.

## Scope

This policy does not apply to learners enrolled on G&H Web-based E-learning.

## Policy Objectives

### **On-the-job Work Experience**

The purpose of work experience training is to: Introduce learners to potential employment; introduce employers to potential employees / apprentices; expose learners to the realities of the work place as part of their pathways plan; provide learners with a chance to practice skills and develop competencies that link in with theory, and motivate work-ready learners.

Work experience is to be arranged when:

1. A work-ready learner has not yet done work experience; and/or
2. A suitable employer has requested a work-ready learner for work experience with a view to employing them as an apprentice or worker.

Time allocated to EFTS learners for work experience may be for up to 40% of their total training time available, i.e. a maximum of two days per week.

For TEC targeted funded students, work experience is for 20% of their total training time and should begin as soon as possible after their enrolment when they have demonstrated work readiness.

Where a learner is struggling to keep up with theory, work experience may be adjusted to suit the individual.

Work experience is required of all learners, but is not a condition of completion of the G&H Certificate in Pre-employment Carpentry or of completing the course requirements of Youth Guarantee or Youth Training.

### **Tutors have the following main responsibilities in regard to work experience:**

1. To assist learners to find and arrange suitable and equitable work experience opportunities.
2. To make efforts to prepare learners for workplace realities during the normal delivery of training by reinforcing appropriate language, behaviour and skills.
3. To ensure that a staff member from the branch has visited every work experience employer prior to arranging a placement to ascertain the kind of learner that would be acceptable on the site, the kind of work available, and that the employer is of suitable good character as a role model, operates a safe worksite, and is likely to provide supervised training without exploitation.
4. To assess each learner for work readiness prior to placing them on work experience to ensure that they are ready for type of work available and are not likely to injure themselves or anyone else due to lack of safety skills. A learner may be regarded as work ready when they have:
  - a. Completed a workshop safety induction, hand tool induction, and power tool and machinery inductions;
  - b. Completed some unit standards relevant to the course content covering knowledge and use of tools, and site safety. (E.g. for carpentry: 12997, 12998, 12999, 13001);
  - c. Got up to speed with their individual training plan.
  - d. Demonstrated relevant foundation skills including:
    - Reliability (e.g. by having attended regularly and punctually for at least two consecutive weeks; and advised the tutor of any absences in accordance with the Rules and Regulations);
    - Listening skills – to ensure they will pay attention to the employer;

- Verbal communication skills – to ensure they will be able and confident to ask good questions;
  - Ability to follow instructions – so they will behave as the employer explains;
  - Team work – so they cooperate and show they are aware of and able to work with other people.
5. To consider the personality, skills and interests of each work ready learner in relation to the available work experience opportunities, and refer only those who are suitable to a particular employer.
  6. To arrange for a written agreement, stating the kind and structure of training to be offered with measurable objectives, to be signed by the learner.
  7. To induct the learner into the conditions, expectations, rights and responsibilities of the particular agreement, and to ensure that the learner and the employer each understands their roles and obligations. In particular, to make clear to the learner that they are on a training course and not in employment, thus they are not to receive wages for work experience, and that because they are not employed, if they are injured on site they should report the injury as a non-work injury.
  8. To monitor all work experience and keep a written record after the first two days on the placement, and then monthly, to assess the relationship between learners and the work experience employer and that the learner is receiving the agreed training. Additional informal monitoring shall be carried out as required and steps taken promptly to address and remedy any complaints or risks that are reported.
  9. To provide the learner with a work experience record book where they collect evidence of their work experience and to sign it off after each attendance at work experience, checking that progress is being made and recorded. When the learner is leaving, the tutor copies the Work Experience Report page/s, files these with the learner's other written work, and returns the original to the learner.

**Learners have the following main responsibilities in regard to work experience:**

1. To find work experience opportunities with the assistance of the tutor, and undertake up to 2 days per week work experience once they have been assessed as work ready and are up to speed with their individual training plan.
2. To sign and abide by the work experience contract.
3. (EFTS learners): To supply their own safety boots, apron and apron tools before being permitted to attend workbased training.
4. To find his or her own way to work experience, wear appropriate clothing and provide their own food and drink for the day.
5. To report to the work experience employer by 7.30 a.m. if they are unable to attend work experience that has been arranged that day.
6. To take the record book to every work experience placement and keep it up to date (fill it out and get it signed by the tutor).
7. To develop their literacy / numeracy skills for and apprenticeship through writing up their work experience record book as a documented record that may contribute towards a CV or a record of work for the future.
8. To discuss work experience with their tutor weekly and report safety or other risks or difficulties promptly.

**Employers have the following main responsibilities in regard to work experience:**

1. To induct the learner into the particular work site, ensuring that they understand who they report to, how the site safety plan applies to them, how things like tools, clean ups and break times are organised, and what their role and responsibility is during the work experience.
2. To provide tea and coffee to the learner and offer normal smoko and lunch breaks.
3. To obtain G&H approval prior to participating in any arrangements outside the hours specified below, or to taking learners out of the district for work experience.

**G&H Training has the following main responsibilities in regard to work experience:**

1. To provide work experience documentation.
2. To supply safety boots, an apron and apron tools for work experience to each learner on a targeted funding course. These boots and tools remain the property of G&H Training Limited and learners will be invoiced for the cost of repair or replacement in the event of not returning all items in the condition they were lent.

## Work Experience Contracts

In addition to specifying all relevant points above, the work experience contract between the employer, the learner and G&H must state that work experience complies with the following terms and conditions:

1. No learner on work experience shall displace any employed person in the workplace.
2. Hours of work experience are to be between the hours of 7.30am and 5.30pm.
3. The total work experience must not exceed 8 hours per day.
4. Employers who have learners on their work sites are not paying wages and therefore not liable for ACC levies to account for injuries to learners.

## Work based components within the workshop

1. Practical objectives that are completed within a workshop environment must be designed as closely as possible with the realities of the relevant industry.
2. Workshop safety is given a high priority and therefore no learner may use any piece of machinery unsupervised until that learner has shown competency in the use of each particular piece of machinery.
3. Unsafe acts are monitored and followed up with additional assessment or training by tutors.
4. No learner shall be permitted to attend workshop sessions unless they wear all the safety clothing and equipment required. That is:
  - a. All carpentry learners – EFTS, targeted training: safety boots, ear muffs, and anything else required by the workshop safety signage.
  - b. Youth Training automotive and engineering learners: safety boots, ear muffs, overalls, goggles and anything else as required by the safety signage in the workshop.
5. Trade talks are to be arranged on a regular basis to provide information on product knowledge.

## Other workplace learning

Site visits are arranged regularly to provide learners with direct examples of work relevant to their current learning.

Site visits are used as a learning tool to develop learners' knowledge of the industry, its jargon and work site conditions, and to develop their literacy skills through their site visit reports.

## Responsibility

**Operations manager:** to ensure that this policy is adhered to and oversee that all learners receive the opportunity to complete work experience where possible, in accordance within ITO and funding agency guidelines.

**Tutors and branch managers,** in conjunction with the regional managers: to ensure that this policy is adhered to and that all reports are returned to head office in the learners' materials at the completion of, or withdrawal from, their course.

## Documentation and other resources

All documentation shall be recorded and kept on file:

1. Work Experience Contract
2. Work Experience Records

Managing director, tutors/managers, portfolio holder, work experience contracts, work experience employer, learners' files, ITO records, work experience booklets and reports, available building sites.

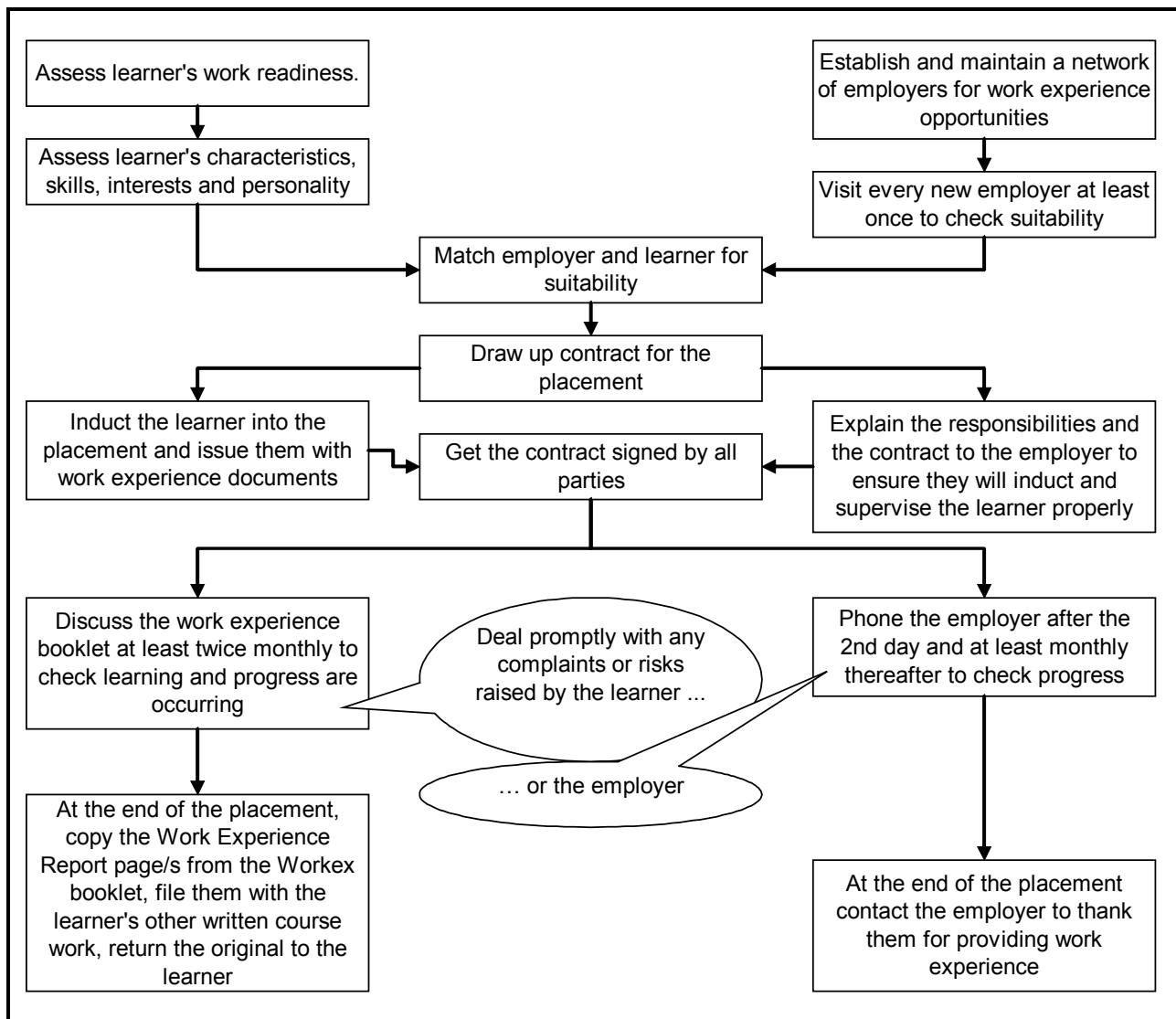
Work Experience Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: WORK EXPERIENCE PLACEMENTS



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Attendance Recording and Reporting Policy

## Policy

It is our company's policy to accurately record all learner attendance in conjunction with Tertiary Education Commission, Ministry of Education and OSH requirements.

## Scope

This procedure does not apply to e-learners enrolled on G&H Web-based E-learning unless they are attending a block course. For e-learners we regularly check the access log and follow up those inactive after 2 weeks.

## Policy Objectives

1. Learners must notify the tutor no later than 10a.m. on each day that they will be absent.
2. An attendance record for every learner on every course at every branch is required. Due to individual start and end dates, the attendees on a particular course can be expected to change over time.
3. A separate attendance register is required for each individual course and contract.
4. Attendance records are our evidence held to record attendances at our venues for the learners for whom we are claiming government funding, and are regarded as our invoice to government agencies.
5. Attendance records are our record of learners on sites to enable us to account for them in an emergency.
6. Attendance records are also a training resource that can provide evidence of learners' employability and reliability. They can be used as evidence for credit achievement on some core generic unit standards. To prepare learners for employment we should aim to have them abide by the Holidays Act 2003.
7. Tutors use the electronic attendance recording system to record attendance for learners enrolled on EFTS and TEC targeted funding courses as follows:
  - a. Enter all the attendance by 12.00 noon each working day.
  - b. Take the printed register off the printer after 12.00 noon, hand write in any learners at the venue who are on trial, or note those who arrive after the cut off time that day.
  - c. Store the printed register where it is easily accessible in case of emergency.
  - d. File the previous day's printout of the electronic record in the attendance register file.
  - e. In the event of a paper register being used instead of the electronic one, every Tuesday by 12.00 noon, fax the sheet for this and the previous four working days to the enrolments officer at head office.
8. STAR course attendance is to be recorded on the paper register provided to the branch by head office. The branch fills out the register every day of the course, and faxes it to head office and the school weekly.
9. Block course attendance is recorded on attendance sheets provided by head office. Head office will prepare these with the known names of people to attend, and send this to the branch prior to the start date.
  - a. On the first day, mark the attendance of all those there for the course, crossing out anyone who has advised you that they will not be coming and adding anyone else who has turned up. Fax this to head office as a reference for the invoice at the end of the course.
  - b. Fill in the register by 12.00 noon each working day of the course.
  - c. Only mark the registers with the codes allowed.
  - d. Return these to Head Office immediately after the end of each course.
10. Head office will provide an attendance report for any individual or group of learners for audit and/or on reasonable request.

## Recording codes for paper records for short courses

<b>I or ✓</b>	Learner is in attendance at the training venue.
<b>L</b>	Learner is absent with reasonable explanation or medical certificate provided to the tutor. Reason for absence is to be recorded. Includes: Normal sick leave, tangi or bereavement leave, and special leave for children or partner's sickness.
<b>A or X</b>	Learner is absent and has not notified the tutor before 10 a.m. that day.
<b>W</b>	On Work Experience.

## Recording codes - electronic

<b>P</b>	Present	The learner is in attendance at the training venue.
<b>L</b>	Sick	Learner reports in sick..... Medical certificate required after 3 continuous days. Learner's family member is sick.. Medical certificate required after 3 continuous days.
	Accident	On course: .....Medical certificate <u>and</u> accident report required. Outside of course:.....A medical certificate is required.
	Special leave	E.g. to attend Jury service, Job interview, Driving test, Off site training (Other than work experience) or Unforeseen circumstance (A diary note is recommended to explain this.)
	Tangi Bereavement	If whanau responsibilities are involved an absence of up to 3 days may be granted.
<b>A</b>	AWOL	Learner is absent <u>without</u> having notified the tutor prior to 10.30a.m.
<b>W</b>	Work experience	On work experience, or workplace learning (e.g. site visit/s for at least ½ day).
<b>V</b>	Non-contact day	Working at home Regional meeting day Statutory Holidays
<b>N</b>	Attendance not required	Learner not required to attend (completed course content or is up to date with ITP), or has stopped attending without requesting formal withdrawal

## Responsibility

**Operations manager:** to ensure that this policy is upheld.

**Tutors:** to record actual daily attendance of every learner enrolled on his/her course on the attendance recording system provided by head office, and to report these as required (electronic – daily; paper – weekly) to head office.

**Branch manager:** to ensure the attendance register is completed and reported on time, printed records are kept as described above, and that old attendance registers in the branch are disposed of during annual clean up.

**System administrator and the on line services portfolio holder:** to ensure that the system functions as required to enable tutors to meet their responsibilities.

## Documentation and other resources

Enrolment forms, attendance registers.

Enrolments officer, on line services portfolio holder.

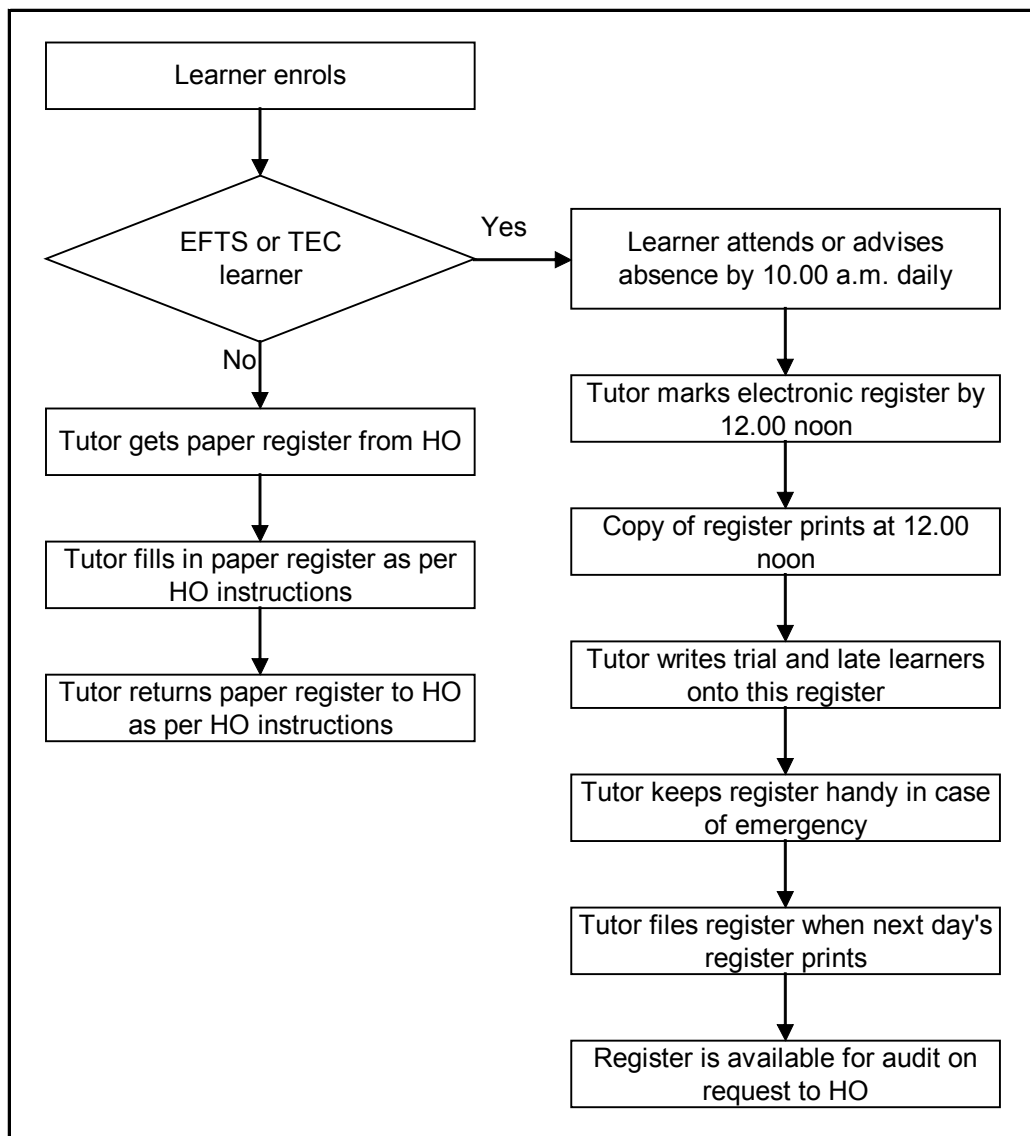
Attendance Recording and Reporting Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: ATTENDANCE RECORDING AND REPORTING



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG



## **Criterion Six**

# **Learners**

“Learner support, information and entry ensure appropriate learning pathways, a safe learning environment and a reasonable chance of successful achievement.”



# Fee Paying Policy

## Policy

G&H Training Limited conducts all its dealings with learners in a fair and equitable manner and complies with specific requirements of the current Tertiary Funding Guide, the Education Act 1989, the Education Amendment Act (No 4) 1991 and other relevant legislation.

## Scope

This policy applies to all learners who pay fees to G&H Training Limited.

## Policy Objectives

1. G&H Training Limited reviews its fees from time to time within the parameters stated in the Tertiary Funding Guide, or in consultation with the Tertiary Education Commission. In setting the fee, including nil fees, the company will also seek payment for specific costs associated with identifying or creating a unique identification for the student, or any associated costs that may arise.
2. All learners enrolling on fee-paying courses are informed prior to their enrolment being accepted of all costs relating to enrolment and attendance, set out in the relevant enrolment handbook, and will include:
  - a. Total course fees.
  - b. The dollar amount of any deposit required, which shall not exceed 10% of the total course fees.
  - c. The cost of any administration fee charged.
  - d. The timeframes and deadlines by which any deposit, administration fee and remaining course fees must each be received by G&H Training Limited for the enrolment to proceed, normally no later than 8 days after the start date for classroom based learners (or first log in for Web-based E-learning).
  - e. A statement that deposits and administration fees are **NOT** normally refundable and an explanation of the conditions under which any refunds may be sought or paid.
  - f. Estimated costs for items which will be required to be purchased by the learner such as tools, safety clothing or equipment, stationery, calculator, etc.
  - g. Any additional fees for class materials and practical objectives which are compulsory.
  - h. Indicative costs for any recommended equipment, tools or books that are optional.
  - i. Notification of items available for learners to borrow that will be invoiced if damaged or not returned (e.g. safety boots, tools, lesson plan material).
  - j. All costs will clearly state whether or not specified fees and charges include GST.
  - k. Payment arrangements:
    - i. Cheque payments are accepted.
    - ii. Any exceptions to d) above, e.g. payments may be made by instalment on application to The Accountant, P.O. Box 3378, NAPIER 4142, specifying how the applicant wishes to pay these instalments. An administration fee (GST inclusive) will be charged.
    - iii. For student component funded learners, arrangements may be made for fees to be paid direct from an approved account, e.g. Studylink.
    - iv. Hook on and credit fees are paid to NZQA by G&H Training Limited.
    - v. For learners enrolled on G&H Web-based E-learning, the fee and NZQA costs structure is detailed for each option in the G&H Web-based E-learning handbook on our website.
3. For learners enrolled on any training for which G&H charges a fee or costs:
  - Learners will be permitted to attend classroom-based training once the required fees, costs or deposit has been received.
  - Learners enrolled on G&H Web-based E-learning will be given access to the e-learning system once the required fees, costs or deposit has been received, with the units available being limited to the value of the funds received.

4. In the event of the fee and/or NZQA costs being owed to G&H, the operations manager may suspend the learner from their course for up to one month until the amount owed is paid in full.
5. Section 227 (2) of the Education Act 1989 provides that no domestic learner shall be or continue to be enrolled in a course of study or training unless his or her fees have been paid. Therefore enrolments may be cancelled in the event of:
  - Fees or costs not being paid by the due date.
  - Cheques being dishonoured.
6. The consequences of enrolment cancellation are:

All fee-paying learners:

  - No automatic right of re-enrolment.
  - A re-enrolment penalty fee of at least \$50 (GST inclusive).
  - The charge of an interest fee equivalent to the Westpac overdraft interest rate on outstanding debts.

Student component funded learners only:

  - Cancellation of all allowances.
7. In the case of requests for recognition of prior learning, a fee will be negotiated according to the work agreed in each case, and this will be invoiced for payment.

## **Responsibility**

**Accountant:** to authorise any special requests in respect of payment options and the waiving of fee deposits; to ensure that all fees received are handled to comply with the Education Act 1989 section 227 (2), and the Education Amendment Act (No 4) 1991, and, in conjunction with the administration staff: to ensure that receipt of all fees is recorded accurately.

**Enrolments administrator, branch managers, and tutors:** to ensure that no fee-paying learner commences or continues study unless they are 'financial' learners, i.e. all fees as due are paid up in full or exemption has been granted.

## **Documentation and other resources**

All relevant documentation must be completed, recorded and kept on file [e.g. learner records, financial records, enrolment records, Enrolment Handbook].

Accountant, enrolments portfolio holder.

Fee Paying Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Student Fees Protection Policy

## Policy

It is the policy of G&H Training Limited to protect student fees in accordance with the Education Act 1989.

## Scope

This policy applies to all learners who pay fees to G&H Training Limited that are intended to be covered by the fee protection requirements determined and monitored by NZQA.

## Policy Objectives

1. G&H Training Limited complies with the NZQA policies that accord with section 253 (1) of the Education Act 1989, to protect payments made by learners in case of the provider ceasing to offer a course that a learner is enrolled in.
2. G&H Training Limited complies with the requirements of the Ministry of Education to ensure that all learners have access to information regarding the educational and financial circumstances they face when deciding to enrol with G&H Training Limited. This includes Section(s) 227 of the Education Act 1989 (fees for domestic students at tertiary education institution), Section 228A of the Education Act 1989 (student information) and Section 236A of the Education Act 1989 (withdrawals and refunds).
3. It is the policy of G&H Training Limited that all learners are advised of course fees, all arrangements for the refund of fees, withdrawal and refund policies, guarantees, credit transfers and any details regarding associations with other providers for the completion of their qualification.
4. Learners who pay fees to G&H Training Limited are advised of the following policy, and an estimate of the costs they may expect to incur, in the relevant enrolment handbook provided to them prior to enrolment in the enrolment application materials:
  - Fee Paying Policy – Full details of course fees and all relevant information about course costs and payment arrangements.
  - Withdrawal and Refund Policy, in particular:
    - The withdrawal procedure and the consequences of withdrawal and conditions for refunding course fees.
    - The fee protection arrangement: In order to protect learner fees in the event of financial failure or loss of accreditation by G&H Training Limited, fees are paid directly into a Public Trust account and released proportionately to G&H according to a schedule approved by the learner. There is no cost to the learner for this arrangement. G&H Training Limited follows the procedure required by the Public Trust.
5. All applicants are required to sign a declaration form stating that they have read and understood the information prior to the verification of their enrolment.

## Responsibility

**Accountant:** to ensure that this policy is upheld.

## Documentation and other resources

Enrolment forms, enrolment handbooks, learner information materials.

Website, enrolment officer, accountant, Public Trust.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Enrolment of Learners Policy

## Policy

It is the policy of G&H Training Limited to enrol learners in accordance with the Education Act 1989.

## Scope

This policy does NOT apply to learners enrolled with G&H Web-based E-learning unless specified for them.

## Policy Objectives

1. All policies and procedures relating to the enrolment of learners meet the requirements of the Education Act 1989, especially sections 224 to 237 of the Act.
2. All learners enrolled at G&H Training Limited shall at least meet the minimum entry criteria specified by the funding agency and / or in the relevant course Enrolment Handbook.
3. When recruiting learners, all other relevant policies such as Equal Education Policy are adhered to, to ensure unreasonable barriers to education are minimised.
4. Enrolment procedures are followed to ensure G&H is correctly funded for the training it delivers.

## **General requirements**

All operational requirements set out by our funding bodies in the applicable Funding Guide or Agreement, shall be adhered to, to enable government funding, EFTS based subsidies, and learner access to the Student Loan and Student Allowances scheme.

Any specific regional targets as set and/or approved by TEC and/or stated in the Company Goals and Objectives are used as a guide to assist us in enrolling a proportionate number of women, Maori and Pacific Island people where possible. Progress towards meeting these targets is monitored regularly.

All applications for enrolment are to be directed to the enrolments officer at head office so that the applicant's identity and entry eligibility can be verified, recorded, and evidence filed and archived appropriately.

All learners shall be permitted to start on any Monday of the year unless the company is closed for Christmas – New Year break, or the Monday falls outside a contracted course period. Monday must be stated as the official start date for all enrolments, including those weeks in which statutory holidays fall on that day.

## **Student component funding (EFTS) courses:**

Learners applying for an EFTS funded course or other fee paying course, must meet the entry criteria as per the requirements set out in the enrolment handbook for each type of training. All applicants must confirm a genuine desire to enter employment in the relevant industry, and there shall be opportunity for branch staff to interview an intending learner prior to their agreed start date. If a learner is not accepted for enrolment they are advised with reasons and offered other options.

Where fees or monies are payable, no learner will be deemed to have enrolled for a course until the fees or monies have been paid (refer Fee Paying Policy).

Enrolment administration shall follow the Procedure for EFTS Carpentry Applications.

## **TEC targeted funding (e.g. Youth Training, Training Opportunities) courses:**

The primary target groups for Tertiary Education Commission targeted funding courses are defined by the entry criteria specified by Tertiary Education Commission for each type of course. Only learners who have been verified as meeting the entry criteria will be accepted onto these courses. Refer to the *Tertiary Education Commission Funding Guide*. Applicants must confirm a genuine desire to enter employment in the relevant industry.

Enrolment administration shall follow the Procedure for Enrolment of Learners on TEC Targeted Funding Courses.

As G&H has flexible funding contracts, and is responsible for assisting the learners enrolled to achieve specified levels of credits and labour market outcomes, tutors must:

1. Establish that the learner is eligible according to TEC criteria, and suitable according to the literacy/numeracy needs assessment and interview demonstrating that the learner is committed to entering the industry;
2. For learners who are first attending on a Monday or Tuesday, state the Monday as the official start date;
3. Accept on trial learners who are first attending on a Wednesday, Thursday or Friday, but set an official start date for these learners as Monday of the following week and begin the enrolment documentation for them;
4. Allow potential learners to attend on trial for up to 5 days provided that their official start date will be a Monday, to further assess their level of ability and commitment prior to taking on the responsibility of having to help them to achieve the specified credits and labour market outcomes;
5. Gather all the required enrolment documentation, complete the enrolment forms, submit all the available documentation as per the current Entry Eligibility Flow Diagram, to head office no later than noon on the Tuesday of the week when the learner has been accepted or placed on trial. The start date on enrolment forms for learners on trial must be the following Monday.
6. Advise head office if any of the enrolments that have been submitted previously will not proceed because the learners have either failed to obtain all the correct enrolment documentation by then, OR the learner has not been accepted as a result of their performance on trial.
7. Keep a waiting list if possible of potential suitable learners who may be invited to take up an empty training place when one becomes available.
8. Use the printed electronic attendance register to confirm who has been officially enrolled. If you find any enrolments missing from the register, these must be reported to the Enrolments Officer.

#### **Other full-time equivalent courses (e.g. for WINZ clients):**

Enrolments shall be accepted in negotiation with the funding agency to meet their eligibility criteria and enrolment procedure requirements.

#### **Provision of information to learners:**

In addition to the enrolment handbook provided to applicants for enrolment, a hard copy of the full, current G&H Company Policy and Procedure Manual is provided in a location accessible to learners at each branch and on the company's website.

On their first day of attendance, all learners will be provided with and Induction Handbook and inducted to the course as detailed in the Support and Guidance Policy.

#### **Decline of enrolment:**

An enrolment may be declined on the grounds of:

1. Cancellation of the course by the contracting agency.
2. The course numbers are limited by the contracting agency or classroom size.
3. The applicant does not meet the entry requirements specified for the course.
4. The applicant's level of literacy and numeracy is low enough to make it very difficult for that person to complete the course without specialist 1-1 tuition. Such an applicant may be referred to a literacy and numeracy course.

#### **Change of enrolment for EFTS learners:**

Any requests for change of enrolment after a letter of acceptance on an EFTS course has been signed must be made in writing to the operations manager who has sole discretion to approve or decline such applications.

#### **Deferred enrolment:**

Learners wishing to place their course on hold or change their signed start date within the first 30 days will be withdrawn and their enrolment made invalid.

If a change is approved prior to the eighth day, the Withdrawal and Refund Policy applies. If a change is approved after the eighth day, no refund will be made, and a new enrolment will take place on the new start date. All fees paid will be credited to this new enrolment.

### **Suspension of course:**

1. A course cannot be suspended within the first 30 days of enrolment. (See *Deferred enrolment* above)
2. A course may be suspended after the first 30 days from the contracted start date, and prior to the last 30 days before the contracted end date.
3. Suspensions must be a minimum of 4 weeks and a maximum of 3 months.
4. On approval for a suspension longer than 3 months, the learner will be withdrawn but may re-enrol later.
  - l. If this re-enrolment is within the SAME CALENDAR YEAR as the originally contracted end date, the unused portion of the learner's fees will be credited to the re-enrolment.
  - m. If this re-enrolment is in a calendar year AFTER the originally contracted end date, the learner will be treated as a new enrolment and may apply for a reduced course duration and fees to cover the uncompleted unit standards of the course.
5. Applications for course suspension must be made in writing by the learner, either in a signed letter or by email to the operations manager.
  - n. Applications must be made at least **two weeks prior** to the suspension start date unless by agreement from the operations manager in emergencies. The application must:
    - i. Make a case for the suspension;
    - ii. Provide evidence to justify approval, e.g. a medical certificate or letter from their medical practitioner;
    - iii. State the proposed start and end date of the suspension; and
    - iv. Affirm that the learner is committed to returning to complete the course after the suspension.
6. Once approved, a letter confirming this will be sent to the learner. IT IS THE LEARNER'S RESPONSIBILITY TO ADVISE STUDYLINK OF A COURSE SUSPENSION.
7. If the learner will not return by the approved date, they must notify head office promptly to be withdrawn.

### **Application for extended leave:**

Provided that there is good reason, learners may apply for extended leave of up to 3 weeks IN ADDITION to the holidays already contracted in their acceptance of enrolment.

1. Applications for extended leave must be made in writing to the operations manager by the learner, by formal letter or email, at least **two weeks prior** to the proposed leave start date, stating reason/s for the request.
2. If the learner has any unused holidays, these should be used as part of the extended leave period where possible. A request to change holiday dates may form part of the application.
3. It is the responsibility of the learner to make up time and complete their unit standards within a course that includes approved extended leave.

### **Application for change of contracted holidays:**

Applications for changes of holiday dates that were accepted as part of the acceptance of enrolment will not be considered except under *Application for extended leave*, point 3 above.

### **Cancellation of an enrolment:**

A learner who enrolls as an EFTS student and does not formally withdraw by the 28<sup>th</sup> day of their accepted course but does not actively participate in training during that time may have their enrolment cancelled and they will then be made "invalid". In this case no government funding will be claimed for that person.

### **Enrolment on G&H Web-based E-learning**

Learners applying to enrol on G&H Web-based E-learning should consider the entry criteria recommendation as per the handbook available on the G&H website. Prior to accepting their enrolment, G&H will check that they have done sufficient self assessment to enable them to complete their planned study.

## **Responsibility**

**Enrolments administrator**, in conjunction with branch managers: to ensure that verification of entry criteria is received for all course applicants prior to enrolment of any course, and that all relevant documentation is completed and kept on file.

**Regional managers, branch managers and tutors**: to ensure that all learners enrolled at G&H Training Limited meet the appropriate entry criteria and that all supporting documentation is checked, verified and forwarded to Tertiary Education Commission and/or head office as specified.

**Staff induction training supervisor**: to ensure that appropriate training is provided to all regional managers, branch managers, tutors and staff to enable this policy to be met.

## **Documentation and other resources**

A copy of relevant documents will be kept on file [e.g. current TEC documentation e.g. course applications, course purchasing documents, course contracts, student management system, learner files].

Managing director, portfolio holders, enrolments officer, operations manager, regional managers, branch managers, tutors, funding agencies, National Student Index,

Enrolment of Learners Policy

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: EFTS AND YOUTH GUARANTEE APPLICATIONS:

## Objective

It is our company's objective, in accord with the Education Act 1989 and its subsequent amendments, to:

1. Accurately establish and record the identity of learners and their eligibility to study, and;
2. Ensure that all enrolments and 'paths of study' are formalised.

This procedure should be read in conjunction with our company policies relating to learner selection and enrolment.

## Resources

"Enrolment Application"	EFTS and Youth Guarantee "enrolment packs" are produced at head office and include all documentation and information required by learners enrolling onto our government funded carpentry course.
"Serial Number"	Each enrolment pack has a serial number to help track them, giving a better overview of how many are being distributed, and the length of time that is taken to complete applications.
"Policy Manual"	This procedure links to information contained in our company policy manual as in the objective above.

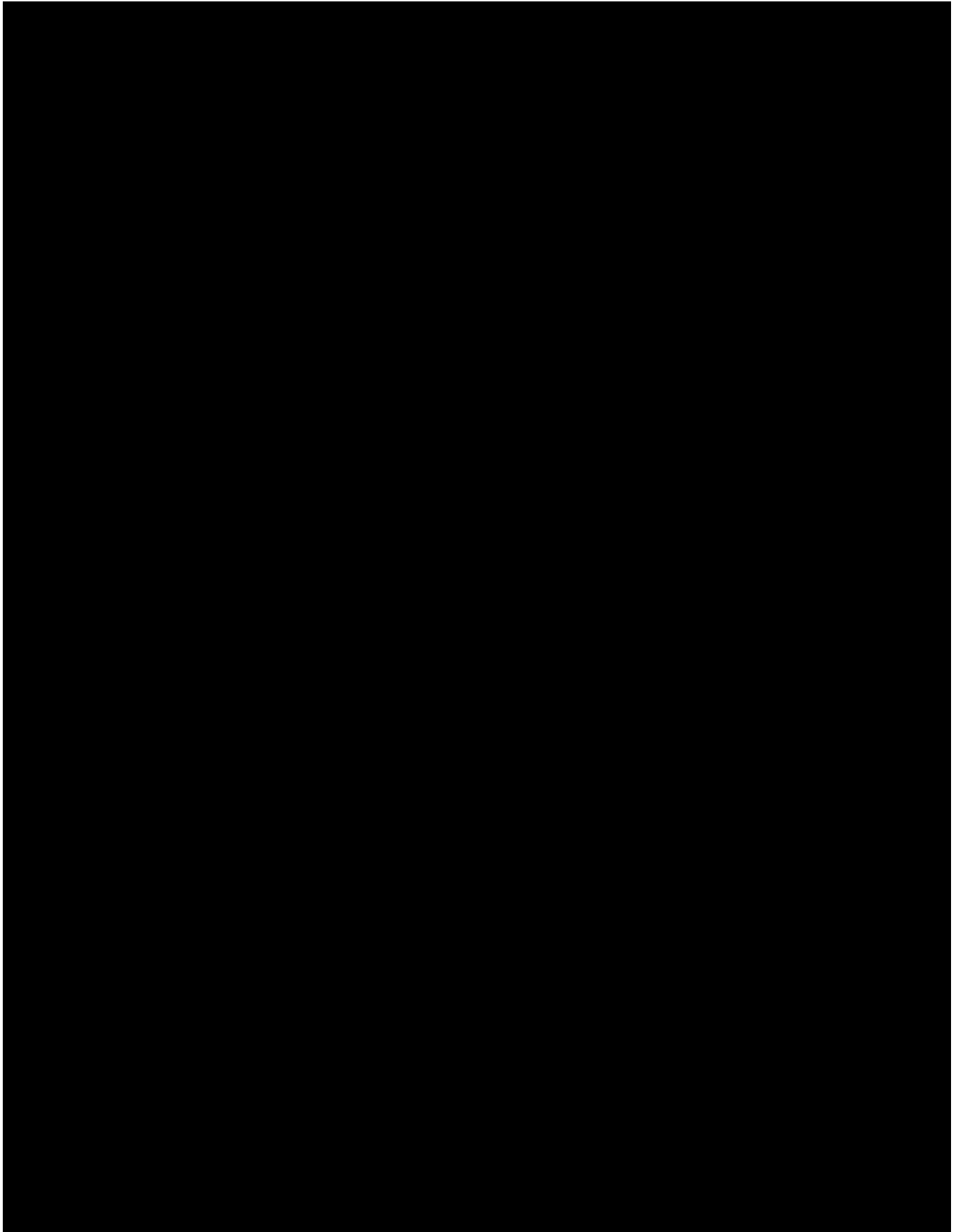
## Important notes

1. **Enrolment Applications** – head office should only send enrolment applications to prospective applicants who have demonstrated a strong intention to enrol. Branch staff should confirm this intention before initiating a request for an enrolment application to be sent.
2. **Brochures / Leaflets** – these are provided for those people who are making general enquiries about our course(s), but who have not committed themselves at that stage to enrol.
3. **Start Dates** – applicants may request a start date on their application form, but this may only be confirmed by Head Office through the process for 'confirmation of enrolment'. All attempts will be made by branch staff and head office staff to enable a date to be confirmed which is as close as possible to the applicant's request.
4. **Reduced duration**– any enquiries regarding reduction of time and content in recognition of unit standards previously achieved must be directed to head office. An appropriate duration and fee will be quoted, depending on the details and work and training history of the applicant, and verification of prior achievements.
5. **WINZ / Student Loan Information / 'Foreign' Learners / Travel Claims / Course Costs etc** – all these questions should be directed to head office.

## Procedure

(See flowchart over)

## Procedure

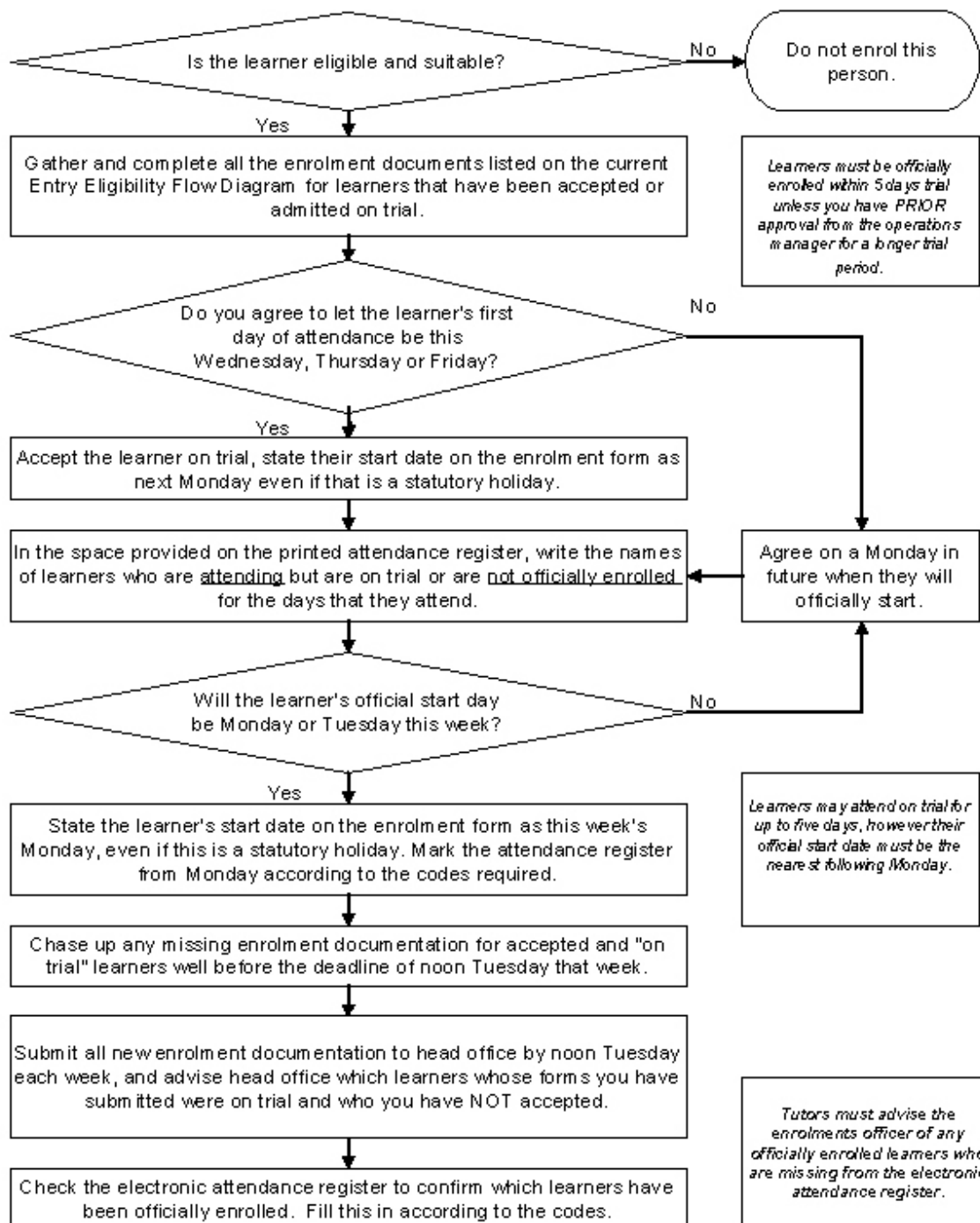


Last review of this procedure: December 2010

Reviewed by: DP

Approved by: GCG

# Procedure for: ENROLMENT OF YOUTH TRAINING LEARNERS:



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Withdrawal and Refund Policy

## Policy

It is the policy of G&H Training Limited to abide by the Education Act 1989, sections 236A and 227(4) in respect of all course withdrawals and refunds.

## Scope

The following policy applies to learners who have paid fees to G&H Training Limited.

## Policy Objectives

### General

1. Withdrawal procedures conform with the Education Act 1989 Section 236A and 227 (4).
2. This withdrawal and refund policy is designed to encourage learners to participate in the course for the full duration and complete their qualification.
3. All applicants must sign a declaration form as part of their enrolment application to confirm that they have read and understood the information about the policy and procedures.
4. All course costs are detailed in the fees schedule in the relevant enrolment handbook. In the unlikely event of learners being asked for further payments towards any activity which is an integral part of any course or programme, they are not entitled to a partial refund by right. In most cases, no refund will be paid. Each case will be assessed and considered on its merit on request.

### Refunds

1. Learners withdrawing from classroom-based study before their first day of attendance and any time up to and including the seventh day after their contracted start date will not be eligible for a refund of any deposit paid.
2. Learners withdrawing from G&H Web-based E-learning prior to, or within seven days of their first log on to the service will not be eligible for a refund of any deposit or administration charge paid.
3. Learners are not entitled to a refund by right following payment of remaining course costs if they withdraw from study on or after their eighth day following:
  - a) In the case of classroom-based learners, their contracted start date, or
  - b) In the case of G&H Web-based E-learners, their first log-on.
4. In most cases, no refund will be paid. Each case will be assessed and considered with regard to the circumstances, time enrolled and credits achieved. This will include any learner who has indicated a desire to withdraw prior to their eighth day, but who is encouraged by the tutor to remain in the course or establishment for a further 'trial' period.
5. Any application for refund must be made in writing to the managing director who will authorise a refund payment where entitlement is clearly established.
6. Any refund will be sent to the person or organisation that paid the fees.

### Cancelled Courses

1. G&H Training Limited reserves the right to cancel or postpone any course and shall not be liable for any refund other than the fees paid as scheduled below:
  - If G&H Training Limited cancels a course before the course start date, a full refund will be made.
  - If G&H Training Limited cancels a course after it has started, a refund for the portion not run will be made.
2. Courses may be cancelled due to insufficient enrolments.
3. Learners will be notified immediately upon cancellation of their course.
4. In the event of G&H terminating its Web-based E-learning service, a refund for the portion of fees remaining relative to the enrollee's nominated end date will be made.

### **Withdrawals initiated by G&H Training Limited**

1. G&H Training Limited may withdraw a learner from a course if:
  - The learner breaches the rules, policies or procedures-at a G&H venue, or
  - They do not continue to meet the necessary course requirements as specified in the Learner Enrolment Handbook – “Duration of Enrolment”, or
  - Fees or costs have not been paid by the due date, or
  - A learner enrolled on G&H Web-based E-learning breaches the User Agreement.
2. G&H Training Limited will make every reasonable effort to enable learners to complete their qualification. Any learner whose level of attendance on an EFTS carpentry course is putting at risk their ability to complete the course content shall be provided with the opportunity to either:
  - Collaborate with branch staff and mentors to identify barriers to good attendance and seek a solution for the remainder of their course duration, or
  - Formally withdraw giving written notice, or
  - Seek approval in writing from the operations manager to continue to study at home using e-learning and sit summative assessments at the G&H venue at times negotiated with the tutor. Such approval shall only be granted in exceptional circumstances.

### **Withdrawals initiated by a learner**

1. All learners wishing to withdraw from any course or study must do so in writing. Written advice may be on an Early Withdrawal Form available at the branch, or by letter to the operations manager.
2. Withdrawal advice must state the date that the learner is giving notice and the date on which they will be attending the course or accessing G&H Web-based E-learning for the last time.
3. People enrolled on G&H Web-based E-learning must
  - Print, fill out fully and accurately the G&H Web-based E-learning Withdrawal Form or otherwise email head office at [info@ghtraining.co.nz](mailto:info@ghtraining.co.nz) to request a form; sign it and post it to head office; AND
  - If requesting a refund, email the enrolments administrator when applying to the managing director.

### **Notifying other agencies of withdrawal**

1. All learners receiving or applying for Student Loans or Allowances or Training Incentive Allowances are responsible for notifying Studylink and/or WINZ immediately of their withdrawal from the course.
2. The company reports withdrawals through Verification of Study reports on request from Studylink.

### **Responsibility**

**Managing director:** to ensure that all withdrawals and refunds of fee paying learners are handled to comply with the Education Act 1989 and the Education Amendment Act (No 4) 1991.

**Enrolments officer:** to ensure that all documentation regarding withdrawals and refunds are assessed and filed.

**Branch managers and tutors:** to ensure that any notification of withdrawal, or intention to withdraw, either verbally, or in writing, is forwarded to the enrolments officer.

### **Documentation and other resources**

All relevant documentation must be completed and recorded and kept on file.

Managing director, enrolments officer, administration staff, branch managers, tutor(s), learner records, financial records, enrolment records, learner enrolment handbook (EFTS), receipt book, attendance registers.

Withdrawal and Refund Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: EFTS AND YOUTH GUARANTEE WITHDRAWALS

## Objective

It is our company's objective to abide by all MOE stakeholder requirements in respect of learner withdrawals and to monitor the affect of these on our stakeholder reporting targets. This procedure must be read in conjunction with our company Withdrawal and Refund Policy.

## Important Notes

- The withdrawal form must be filled out for ALL EFTS learners leaving their course.
- All learners must notify their intention to withdraw in writing and sign the notification if they are requesting to withdraw from the course **prior** to their official course end date.
- The enrolment officer must obtain the operations manager's approval prior to actioning any early withdrawal.

## Procedures for the branch

- 1. The learner has reached their official course end date, i.e. they have completed their contracted weeks of training:**
  - a. Check that on the Theory Results Sheet all the assessments that have been successfully completed are signed and dated.
  - b. If the learner has any unit standards that they are close to finishing, arrange for them to sit the summatives promptly. This is critical where there is only 1 unit left in a module.
  - c. Complete a Withdrawal Form for the learner.
  - d. Photocopy the completed Theory Results Sheet and Withdrawal Form.
  - e. Gather up all personnel records, academic results and all the assessment material for the units listed on the Theory Results Sheet list for that learner, attach the original forms to the front of the documentation and courier it to head office within 5 working days of the withdrawal date.
  - f. Keep your photocopied forms for 1 year in case of future enquiries.
- 2. The learner has completed all "minimum course requirements" prior to their official course end date:**
  - a. Check that on the Theory Results sheet all the completed units standards are signed and dated.
  - b. Proceed from 1c above
- 3. The learner wishes to withdraw him or herself from the course prior to his/her official course end date:**
  - a. Special Note: As a stakeholder requirement we must maintain a high level of course retention, as well as course completion rates. If we have a high number of early withdrawals then our course performance could be affected in a negative way. It is important that enough learner support is provided to encourage learners to stay and complete their studies wherever possible.
    - If they have not completed their course content but are leaving for employment in the building and construction industry, the tutor is to discuss with the learner and the employer the benefits of completing their qualification in the new builder licensing environment, and offer them part time training and/or access to e-learning and summative assessments in normal training hours until their official end date, so they can continue their study.
    - If for employment, attendance or any other reason the learner indicates that they will leave before completing their qualification, the tutor is to:
      - Advise head office to send the learner a letter outlining their options, including a Request for Early Withdrawal to be signed by the learner and returned to head office, and
      - Arrange with the learner to sit any summatives for unit standards they have worked on – particularly if there are only 1-2 units remaining in a module.
      - On receipt of the learner's response head office will verify details and notify the branch.
      - On notification, the branch proceeds as in 1c above.

#### 4. The learner is being dismissed from their course:

- a. Dismissal: The learner has already received two written warnings and a final warning for breach of the rules and regulations, OR
- b. Instant Dismissal: The learner is being dismissed on the grounds of serious misconduct.
- c. Once a reasonable duration for right of reply has passed (depending on circumstances, this may be longer than 3 days), proceed from Point 1c above, attaching the original Dismissal Form along with the other documentation.

#### **Responsibility**

**Branch staff:** to make every effort and provide options to assist the learner to complete their qualification.

**Tutor and branch manager:** to ensure that all withdrawal documentation is completed fully and accurately in accordance with head office requirements, and forwarded to head office in a timely manner.

**Operations manager:** to monitor early withdrawals with regard to how this may affect our retention performance.

EFTS and Youth Guarantee Withdrawals Procedure

Last review of this procedure: December 2010

Reviewed by: DP

Approved by: GCG

# Rules and Regulations Policy

## Policy

It is the policy of G&H Training Limited to provide learners with written advice on the rules and regulations to which they are subject while at G&H venues or enrolled on G&H Web-based E-learning.

## Scope

This policy does NOT apply to learners enrolled on G&H Web-Based E-learning unless they are in attendance at a G&H venue, e.g. for a summative assessment session.

In addition to the rules and regulations in this policy, learners using G&H Training Limited e-learning materials are required to accept an on-line User Agreement prior to being given log on access to e-learning.

## Policy Objectives

1. All learners enrolled at G&H Training Ltd shall abide by the rules and regulations of G&H Training Limited.
2. The rules and regulations shall be set as a means of facilitating best practice education and safety for the learners, and to uphold the legislative requirements of the organisation.
3. On enrolment, all learners will be advised of the Rules and Regulations in their induction materials.
4. Internal moderation shall confirm that learners have been inducted into the Rules and Regulations.
5. A copy of the Rules and Regulations shall be placed on the learner notice board at each venue.
6. Discipline shall be administered fairly and to the level appropriate to the misdemeanour, and shall not be administered to a learner aged under 16 without first advising a support person for them.
7. Complaints shall be handled professionally at each stage, with the desired outcome being that a solution satisfactory to all parties is reached as amicably as possible.
8. The managing director will have the final decision on any disputed policy or ground rules.
9. The tutor or manager in charge will determine penalties for breach of the rules, in consultation with the operations manager where a penalty greater than 1 day suspension is imposed. No penalty will be imposed on any learner without the learner first being given the opportunity to be heard.
10. Enrolled learners sign agreement to abide by all company policies and the rules and regulations.

## Responsibility

**Operations manager:** to ensure Rules & Regulations are applied fairly and reasonably.

**Student materials portfolio holder:** to include current rules & regulations in induction handbooks.

**Policy portfolio holder and branch manager:** to ensure that the current rules and regulations are available to all learners and to the tutors.

**Tutor:** to ensure that all learners abide by the rules and regulations as set by G&H Training Limited, TEC and the Ministry of Education; all learners receive a copy of the rules and regulations upon enrolment; there is a copy of the current rules and regulations on the notice board.

## Documentation and other resources

Copies of all documentation relating to all rules and regulations shall be recorded and held on file [e.g. notices, feedback sheets, handbooks, and induction packages].

Managing Director, policy portfolio holder, branch managers, tutors, other funding bodies, notice boards, Tertiary Education Commission, Ministry of Education.

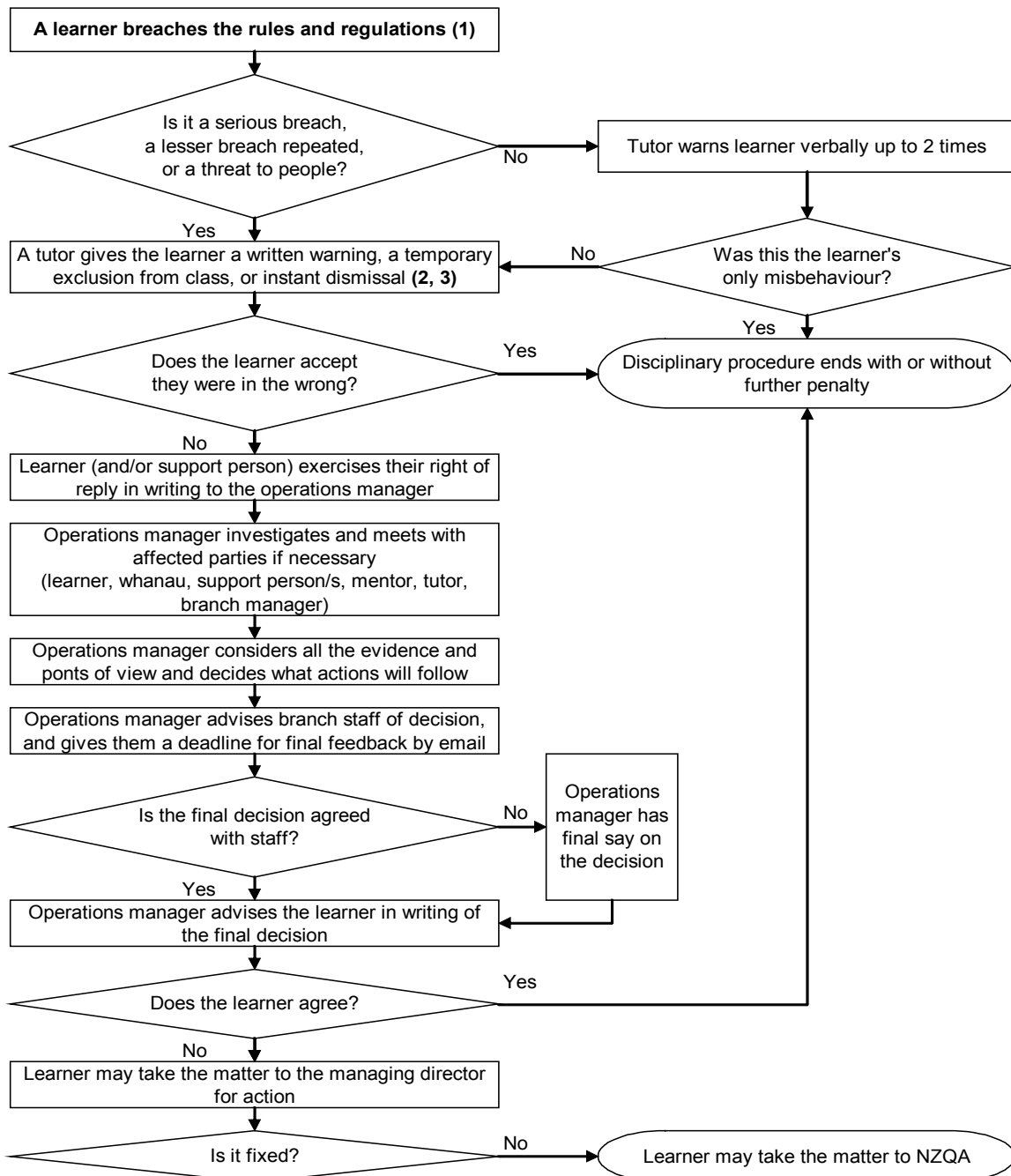
Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: LEARNER DISCIPLINE

- 1) Do not administer a disciplinary action on a learner aged under 16 without advising their support person and/or a G&H mentor first
- 2) To issue a written warning, instant dismissal, or temporary exclusion from class, print the appropriate form from the intranet, fill it in, get the signatures and date it.
- 3) For written warnings and instant dismissals, complete and fax the form to head office who will create a letter and pass it to the operations manager for approval and signature. HO will send it to the learner if approved, or the operations manager will discuss the case with the staff member before further action is taken
- 4) Keep the original form on the learner's personal file

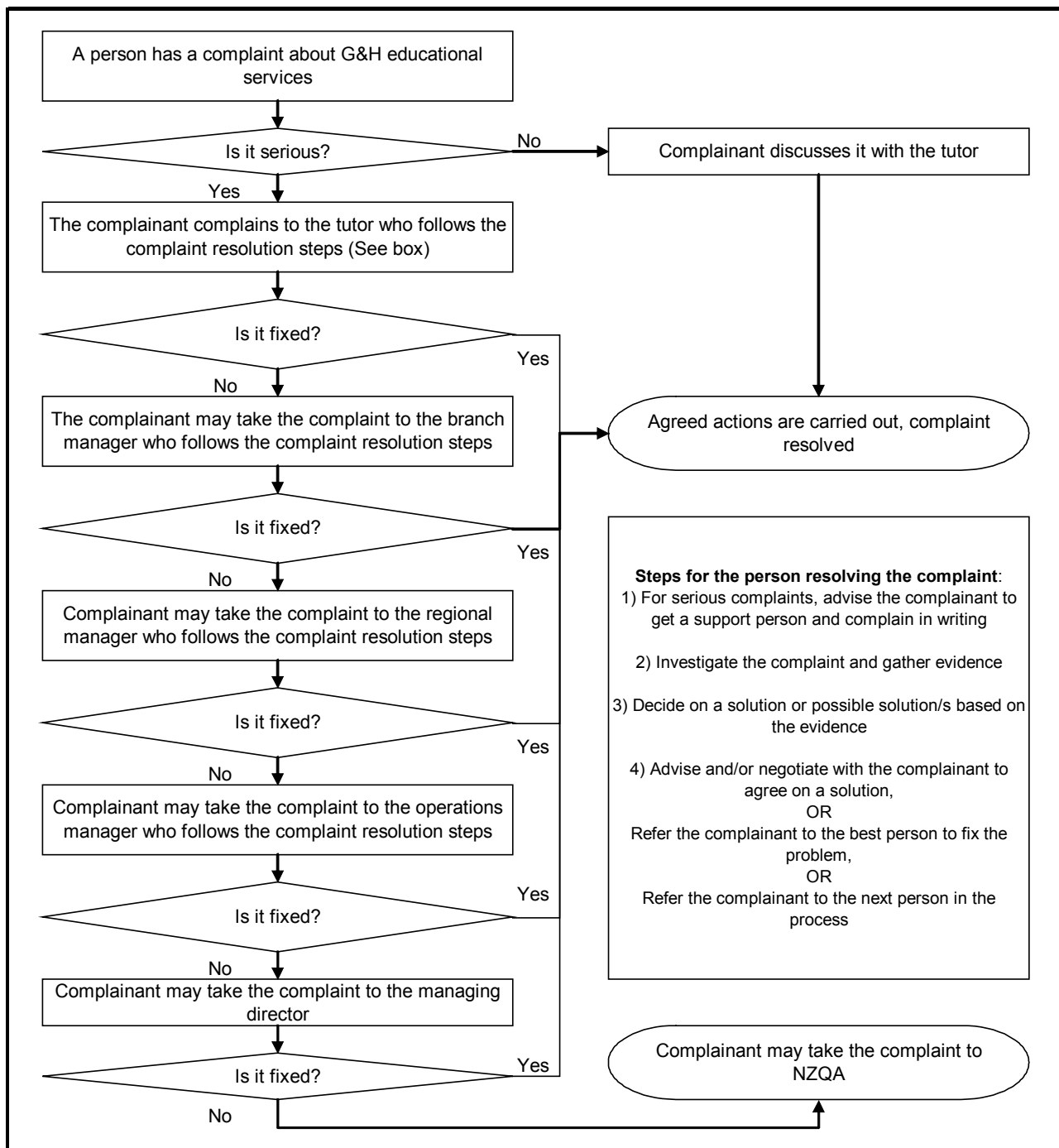


Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: COMPLAINTS



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Support and Guidance Policy

## Policy

It is the policy of G&H Training Limited to provide appropriate support and guidance services to all learners.

## Scope

This policy does NOT apply to learners enrolled with G&H Web-based E-learning unless specified for them.

## Policy Objectives

1. Support and guidance is provided to all learners prior to enrolment, during their course of study as well as after they have left the course if appropriate.
2. Where particular expert support and guidance is unable to be provided internally, external support services are contacted or advice given on how to contact them.
3. Support and guidance shall be provided to help learners to develop industry specific skills and knowledge alongside other skills for work including the skills sought by employers.

## Pre-Enrolment

Course applicants are advised of programmes available at G&H Training Limited, how the entry criteria vary between each course; which type of training they may be eligible for or may suit them better; when any selection process is expected to take place; and whether or not they have been placed on a waiting list.

All learners who do not meet minimum entry qualifications criteria stated in the relevant Enrolment Handbook will be required to complete a G&H literacy numeracy needs assessment to determine their ability to successfully complete the intended training and understand basic health and safety requirements for the industry. Based on the results of this assessment, they will be referred to the most appropriate type of training at G&H, or to a more appropriate provider in cases where G&H does not have the expertise to meet their learning needs.

Learners enrolling on G&H Web-based E-learning will be advised of recommended minimum entry criteria so that they can assess their own ability to complete the programme. G&H will discuss this with them before accepting the enrolment. Prior to enrolment, they may also seek advice on any learning disabilities and the implications of this for their proposed study.

## During Study

All learners are provided with an induction package upon enrolment, which includes the course rules and regulations. The Rules and Regulations are also publicly displayed in all venues. For learners enrolled on G&H Web-based E-learning, this information is included in the Web-based Induction Handbook.

Learners shall be inducted into the course within the first two days of their attendance in class. to cover:

1. Key points from the induction handbook including how the tutoring is managed, rules and regulations and the kinds of behaviour that are expected and those that are unacceptable, the daily schedule, break times, attendance expectations, workload expectations, how learners are informed of their progress, etc.
2. Introduction to other learners in the same course;
3. Introduction to the venue, parking, housekeeping and cleaning duties, notice boards, library resources etc.
4. Preliminary setting of their Individual Training Plan (ITP);
5. For EFTS carpentry students, at the time the tutor is taking them through their ITP within the first day or two of their attendance, they must also induct the learner into e-learning as follows:
  - a. Show them through an e-learning lesson plan and explain that e-learning is the preferred method of learning due to its efficiency for the learner and for the tutor. Ensure that the learner has no conditions that would make computer-based learning inappropriate, e.g. sight impairment that makes the screen difficult to read; physical impairment that makes sitting at a workstation difficult, etc.
  - b. Offer a 2-week trial to decide whether they will continue their enrolment if e-learning seems inappropriate.

- c. If e-learning is not a suitable learning tool for this person, refer them to the operations manager to discuss enrolling with another provider, or offering to assist them to arrange suitable support and conditions that would enable them to successfully complete a course with G&H.
  - d. Once the learner agrees to use e-learning, ask the learner for a password so they can be given access.
6. Specified students shall undergo assessment in their first week on the course of their position on the TEC Learning Progressions in regard to literacy, language and numeracy, using the National Assessment Tool. Students to be assessed in this way include all those who:
- a. Are enrolled on the Youth Guarantee course;
  - b. Are enrolled on TEC Targeted Funding courses;
  - c. Are accepted on any other course having achieved less than the expected level of literacy / numeracy for eligibility; or
  - d. At some time during their course, having not previously been assessed using the National Assessment Tool, lag behind their expected rate of progress and, in the opinion of the tutor, may benefit from embedded literacy and/or numeracy activities according to their position in the Learning Progressions.

Any students assessed using the National Assessment Tool shall be given appropriate activities from the G&H trades-related resources, and assessed again in the week prior to them finishing, and also around the mid point of their course, to determine their progress and further general literacy / numeracy developmental needs.

7. Extra one-on-one literacy and numeracy tuition is provided during training hours as individual needs arise, to support the ability of learners attending classes at G&H venues to comprehend the lesson plan material.
8. Induction to the workshop in their first workshop session, to ensure they are competent in regard to safety.
9. Where there is optional content, learners' needs will be taken into account when recommending or requiring particular unit standards to be included on an individual training plan.

An individual training plan is arranged for all TEC targeted funding learners, using information obtained from their enrolment documentation and interview, so that learners' progress can be monitored by the tutor, the branch manager and a company mentor. Learners identified as at risk of not completing their agreed individual training plan in the time allowed will be offered additional tuition as per the House Rules Attendance requirements, and may be referred to the mentor for further assistance.

Pathways planning and goal setting is completed to support the learner through the course and into employment or further training. Educational and career guidance is given. Learners who are at risk of non-completion of their course or qualification are offered options as to how and where they are able to continue with their learning to achieve positive outcomes.

10. The skills for work that employers seek (in addition to specific trade skills) and that learners shall be encouraged by the tutor to develop include the ability to read, write, count, do sums and speak effectively; get along with and respect others; think, take initiative and solve problems; have a work ethic and a sense of responsibility; and be able and willing to keep learning.
11. A variety of teaching methods is used in classrooms depending on the individual needs of each learner (Refer Teaching Method Policy).
12. Travel may be provided in some regions to and from regular classes at the training venue in accordance with funding agency requirements or at the discretion of G&H Training Limited.
13. Learners, staff and members of the public are protected from harm due to the commitment that G&H Training Limited has to the Health & Safety in Employment Act. (See Work Experience Policy, Health & Safety Policy).
14. G&H deals with learners in a fair and equitable manner. The Code of Conduct (Staff Selection Policy) sets out the behaviour expected of staff towards the learners. The Rules and Regulations outline the complaints and right of reply procedures, define "harassment" and state how that will be dealt with.

Should female learners find the rules and regulations processes unacceptable due to the sensitive nature of a problem, any support person may be the first or any point of contact. A female support person is available at head office and may be approached by or on behalf of a learner during normal office hours.

Contact details for organisations able to provide outside support are provided at each venue.

15. Advice to learners attending regular classes at G&H venues may be given on a variety of topics as and when they arise, e.g. budgeting advice, relationships, sexual harassment, drug and alcohol abuse, cultural understanding, banking facilities, student loans and allowances, NZISS benefits etc. Where this information is unavailable or insufficient through internal systems, external organisations may be contacted on these learners' behalf or advice given to the learner on whom to contact.

## **Pastoral care for Youth Guarantee learners**

The Youth Guarantee programme acknowledges that these learners may require particular pastoral care to enable them to achieve their course goals and move successfully towards their career goals. Examples of pastoral care to encourage this may include services such as:

- Meeting with the learner and their nominated caregivers at least twice during the course to discuss progress.
- Payment of actual and reasonable costs such as travel (to enable access to the course), or fees for additional training that will enable them to complete their Youth Guarantee course.
- Transport to and support for occasions such as job or enrolment interviews, probation or court, as appropriate.
- Keeping a list of names and contact information of the nominated caregivers and support people for each learner and referring to these people as needed, e.g. to follow up all non-attendance, identify and minimise barriers to success, demonstrate concern for and interest in the learner's progress.
- Provision of regular opportunities for each learner to explore, experience and eventually move along their preferred employment or further training pathway.
- Support for the learner to seek diagnosis and treatment for health or other issues affecting their learning.
- Seeking positive role models for the learners and introducing those into the course where possible.
- Arranging for the G&H mentor to contact each learner regularly (e.g. monthly) to ensure they have no issues.

## **During Study for people enrolled on G&H Web-Based E-learning**

Learners enrolled on G&H Web-based E-learning are allocated an on-line tutor with direct email access for learning support. The tutor assigned to each e-learner will regularly communicate on-line to ensure progress is being maintained. Learners are required to sit the summative e-assessment under G&H supervision and/or at an approved site in order to confirm the identity of the candidate submitting the assessment. At this time the learner is invited to indicate any other support needed for the successful completion of the course. The IT helpdesk is able to assist with any concerns or problems in accessing the on-line learning materials.

## **Post Programme**

Support and guidance may continue for learners enrolled on regular classes at G&H venues once the learner has withdrawn or is planning to withdraw from G&H Training Limited. This may include:

- Follow up from a tutor or mentor until the learner has settled into the next step on their pathway;
- Assessment against unit standards that were not completed before withdrawal;
- Inviting ex-learners to stay in contact with the branch for support or as role models for current students;
- Offering support and advice regarding preparing a CV, careers, or further education;
- Liaising with or arranging interviews with the appropriate ITO regarding apprenticeship details;
- Help to arrange interviews with potential employers.

## **Responsibility**

**Operations manager:** to ensure that correct learner support and guidance procedures are followed.

**All staff:** to provide learner support in an understanding and supportive way and to ensure that the learner is made aware of other possible avenues where further assistance can be found. All issues arising from support and guidance must be handled confidentially in regards to the Privacy Act (refer Privacy Act Policy).

## **Documentation and other resources**

All relevant documentation shall be recorded and held on file [e.g. learner's file, marketing and publicity material, needs assessments, embedded literacy numeracy resources, training plans, pathways plans].

Managing Director, portfolio holders, female staff, tutors/managers, external support services, Health & Safety in Employment Act, The Human Rights Act, The Privacy Act, The Directory of Health and Social Service (where available), ITOs, funding agencies and employers.

Support and Guidance Policy

**Last review of this policy:** December 2010

**Reviewed by:** DP

**Approved by:** GCG

# Equal Educational Policy

## Policy

It is the policy of G&H Training Limited to provide educational opportunities for disadvantaged groups, giving them access to a qualification and the chance to succeed.

G&H Training Limited promotes women into non-traditional training and encourages other disadvantaged groups without any discrimination against sex, marital status, family status, religious or ethical belief, colour, race, ethnic or national origins, disability, age, political opinion, employment status and/or sexual orientation.

## Scope

This policy does NOT apply to learners enrolled with G&H Web-based E-learning unless specified for them.

## Policy Objectives

1. To provide second chance education, to assist a defined group of learners to gain skills, knowledge and attributes to enable them to succeed in education and employment.
2. To understand and meet the needs of people from different cultures to assist them to achieve educational outcomes and employment.
3. To encourage women into non traditional training through support that allows for family circumstances.
4. For e-learners, to make accessible a training option on the web that, on completion, provides the learner with an entry-level qualification for the building and construction industry.

## Responsibility

**Portfolio holders, operations manager, enrolments officer, regional managers, branch managers and tutors:** to ensure that equal opportunities are provided to learners enrolled at G&H Training Limited, that this policy is adhered to when recruiting new learners, and that all regional targets specified by funding agencies are considered as per the Enrolment of Learners Policy.

**Staff training portfolio holder:** to ensure that appropriate training is provided to all staff to enable this policy to be adhered to and maintained.

**Regional managers, branch managers and tutors:** to ensure that success and behaviour is modelled, that maximum outputs are obtained, and individual needs of learners are met.

## Documentation and other resources

All documentation relating to this policy shall be recorded and kept on file [e.g. enrolment and recruitment records, learner files, labour market outcome reports, mentor reports, funding agency contract files, learner results, lesson plans, and moderation reports].

Managing director, portfolio holders, operations manager, regional managers, branch managers, tutors, enrolments officer, student management system,

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# RPL Policy - Recognition of Prior Learning

## Policy

It is the policy of G&H Training Limited to provide a process that gives people formal recognition for current competencies (skills, knowledge and attitudes) gained from previous training, work and/or life experiences.

Credits can only be awarded for unit standards that G&H Training Limited are accredited to deliver and all RPL assessors will have the required attributes to provide RPL assessments.

## Definition

The terms “recognition of prior learning” and “recognition of current competency” may be used interchangeably, except in relation to G&H Web-based E-learning “Recognition of Current Competency”, an on-line assessment only option covering the theory unit standards of the National Certificate in Carpentry Level 4 which is detailed in the G&H Web-based E-learning Handbook.

## Policy Objectives

Evidence of recognition of RPL is collected from learning experiences that have occurred outside the Qualifications Framework environment. Counselling may be required to assemble some of this evidence. Assessors must:

- Have the skills, knowledge and experience specific to the content they will be assessing and the skills they will need to collect and judge evidence that demonstrates what people know and can do;
- Have demonstrated competence in RPL assessment, or have available expert guidance in RPL; and
- Follow all Assessment Policy procedures to ensure that assessment is fair, valid and consistent.

RPL is available to anyone wishing to enrol on a G&H course who has skills, knowledge, attitudes and values that can be validated. Candidates have the opportunity to receive support and guidance throughout the RPL process.

Credits for unit standards will be awarded for current and relevant skills and knowledge without regard to duration, place or method of learning provided competence has been demonstrated.

All candidates are informed of their right of appeal when they first enter the process and may challenge the assessment results using the appeals process.

Guidance is offered to all candidates after the assessment to enable the candidate to enrol with G&H Training Limited or identify other training options.

A fee will be charged for RPL assessment by negotiation with the candidate.

## Responsibility

**Operations manager:** to ensure that all RPL assessments are as per policy and in line with NZQA and Industry Training Organisations' requirements and a fully qualified industry assessor completes all RPL Assessments.

**RPL assessor:** to adhere to the Assessment Policy and ensure that all evidence collected for assessments is valid, authentic and sufficient and to provide all RPL assessment documentation to head office for filing.

## Documentation and other resources

Evidence collected, assessment results, candidate file. If requested, we will send the National Standards Body a copy of the relevant information including application form, a description of (or actual) evidence submitted, name of assessor, method(s) of assessment and rationale, assessor's notes describing the assessment process, and the written results given to each candidate.

Managing director, operations manager, portfolio holders, RPL Assessor(s), NZQA, ITO(s), National Standards Body.

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Health and Safety Policy

## Policy

G&H Training Ltd will take all practical steps to actively ensure the health and safety of all employees, learners, contractors and members of the general public who enter the premises or at any place of work.

Systems are in place to identify and control hazards in accordance with the Health and Safety in Employment Act 1992 and its subsequent amendments.

Goals have been set to ensure Health and Safety is a company priority.

## Definitions

**Significant hazard:** An actual or potential cause or source of serious harm, harm which is more than trivial, and the severity of which depends on the person's length of exposure to it, or harm that does not usually occur, or is not easily detectable, until a significant time after exposure to the hazard (Health and Safety in Employment Amendment Act, 2002).

**Serious harm:** Any harm that causes the person harmed to be hospitalised for a period of 48 hours or more commencing within 7 days of the harm's occurrence. Permanent loss or temporary severe loss of bodily function caused by poisoning, chemical or hot metal burn, penetrating wound of eye, bone fracture, laceration, or crushing etc.; amputation of a body part; burns requiring referral to a specialist registered medical practitioner or specialist out-patient clinic; loss of consciousness, or acute illness requiring treatment by a registered medical practitioner, from absorption, inhalation, or ingestion, of any substance, death. (From the Health and Safety in Employment Amendment Act, 2002).

## Policy Objectives

To ensure that there is in place an effective system to ensure a safe working environment, all practicable steps will be taken to:

1. Provide a safe place of work and maintain facilities, plant and equipment to prevent accidental injury, loss or damage to employees, learners and others at premises owned or operated by G&H Training Limited.
2. Operate a planned health and safety system where hazards are Identified, inspected, reported and controlled;
3. Purchase machinery and equipment in the place of work from reputable, well-branded suppliers, ensure that manufacturers' instructions are followed so the machinery and equipment is set up and maintained to be safe for employees and learners;
4. Ensure that employees and learners are not exposed to significant hazards;
5. Actively teach and encourage that safe work methods be practised in classrooms, workshops and offices;
6. Provide information, training and supervision when necessary;
7. Record, investigate and report accidents;
8. Formally report serious harm incidents to OSH;
9. Ensure that employees, learners and other persons understand and accept their responsibilities to promote a safe place of work;
10. Actively monitor and evaluate this policy to ensure its effectiveness through portfolio accountabilities and reporting, and internal moderation;
11. Actively monitor branch performance in respect of their stated site safety plan.

### **The following controls shall apply to significant hazards:**

1. Elimination, if practicable;
2. Isolation, if practicable; or
3. Minimisation.

Isolation and minimisation: where it has not been practicable to eliminate the hazard, the controls put in place will be regularly monitored.

- Employees and learners will be regularly monitored where minimisation is the practicable control step.
- Protective equipment will be monitored to ensure the control is adequate for the person & hazard and that training and maintenance is adequate.

All significant hazards will be monitored regularly and reported to the operations manager for consideration.

## **Responsibility**

**Operations manager** in conjunction with the **regional managers**: to ensure that health and safety is managed to best practice standards for the general safety of employees, learners, contractors or members of the general public while they are at places of work owned or managed by G&H Training Limited.

**Regional manager**: to report to the Occupational Safety and Health Service any instances of serious harm to employees or learners, as soon as possible after the event on the prescribed form within 7 days and a copy sent to the operations manager.

**Operations manager and staff training portfolio holder**: to ensure that all tutors, employees and learners receive the necessary information, training and supervision in accordance with the Health & Safety in Employment Act 1992.

**Branch manager** to:

- Ensure that the importance of safety at G&H Training Limited is made clear to branch staff and learners, and that they do not engage in activities involving known hazards without prior training and/or supervision;
- Notify the regional manager immediately when an accident causing serious harm has occurred;
- Act as, or appoint a site safety officer to oversee the implementation and management of a site safety programme (details over) at each training venue, and notify the operations manager of who holds this position;
- Ensure that any contractors entering their training venue for the purpose of construction or maintenance work provide a safety plan for their work, or show that they will provide a safe environment for their work;
- Delegate the task above to a deputy during the branch manager's absence.

**Tutors**, in conjunction with the **branch manager and site safety officer** to:

- Ensure that employees and learners do not engage in activities involving known hazards without prior training and/or supervision;
- Ensure that every learner competently completes a workshop induction assessment prior to undertaking workshop learning;
- Ensure that everyone wears safety boots and any other required safety equipment during workshop sessions;
- Ensure that all learners have demonstrated workshop safety competence and if not, to supervise them, in the use, care and possible hazards associated with all tools and machinery involved in work they are carrying out.
- Monitor the level of learners' competency in the use of equipment and machinery on workshop projects.
- Ensure there is an adequate supply of safety boots and equipment available for loan to learners, and issue this so they can complete compulsory course content as per the Safety Equipment Procedure.
- Make all learners aware of hazards that may be associated with the premises and work being done there;
- Provide learners with the appropriate information on controlling significant hazards to which they are exposed;
- Eliminate, isolate or minimise all identified hazards and possible hazards.
- Record any workshop accidents and serious harm;
- Ensure there is a first aid kit and that its supplies are up to date.
- Ensure that learners are not placed on work experience unless they have safety boots, and do not attend workshop sessions unless they wear safety boots plus safety equipment as per notices in workshops.

**All employees and learners** to:

- Take all practicable steps to ensure their own safety and the safety of others;
- Not knowingly expose themselves or others to harm;
- Wear all safety equipment required;
- Report to the site safety officer any hazards that they identify.

**Mentor appointed for new staff member** to ensure that each new employee has read the G&H Training Ltd Health and Safety Policy, and signed an “**Employee Health & Safety Duties Agreement**” sheet, and that a copy is on the employee’s personnel file.

**Site safety officer:** to carry out activities and regular documented checks and confirm that the following site safety programme operates at each training venue.

### **Site Safety Programme**

- Any site safety matters arising in the workplace are attended to and, along with site safety issues arising from the activities below, are reported in monthly branch meeting minutes. Matters that may have wider implication shall be reported to the regional manager and the operations manager.
- An annual safety programme operates:
  - An annual hazard inspection is scheduled and carried out early in the year, a **Hazard Register** printed from the intranet is completed and updated after the inspection and between inspections if necessary and provided for ;
  - A Site Safety Plan printed from the intranet is completed and submitted with the first branch meeting minutes each year;
- The Health and Safety Report is completed each month as part of the Branch Activity Report.
- Inspections are carried out; hazards are identified and reported to staff and learners who may be affected;
- Any hazards arising that require urgent attention are addressed immediately;
- Controls to eliminate, isolate or minimise the hazard as it practicable are put in place and reviewed;
- Sufficient mandatory hazard identification signs are in place to clearly identify hazardous items or areas;
- All machinery and equipment is maintained in a safe condition;
- Appropriate safety equipment and clothing is available and worn when required;
- All employees and learners are aware of the company health and safety policy and what is expected of them and are aware that safety is to be taken seriously at all times;
- An emergency evacuation procedure is in place:
  - Evacuation procedure is displayed prominently at each training venue;
  - Staff are trained in fire and earthquake responses and in the branch emergency procedure;
  - All employees and learners are aware of the evacuation procedures;
  - Emergency evacuation drills are practised at regular intervals annually.
  - In the event of an emergency, the persons to be accounted for to be in the branch are identified using the visitors book and the attendance register;
- All accidents are recorded, report and, if necessary, investigated and the Accident Register kept up to date;

### **Documentation and other resources**

All documentation shall be recorded and kept on file or displayed as specified above [health and safety documentation (check sheets, hazard identification / correction forms, accident report forms etc.), monthly reports and minutes].

Managing director, regional managers, branch managers, tutors, site safety officers, portfolio holders, Health & Safety in Employment Act 1992 and its subsequent amendments.

# Health & Safety Policy – Key Performance Measures

Key results	Key performance measures
Make available a copy of this policy at G&H Training venues.	A company policy manual is located at each training venue where it is accessible to all staff, learners and other people.
Provide written information relevant to the Health and Safety in Employment Act 1992	Health and safety policy is based on the Act. All employees shall sign a declaration of health and safety duties.
Provide a checklist identifying potential hazards.	Branches have access to a checklist to enable hazards at each place of work to be clearly identified and recorded.
Discuss with employees any hazards associated with the work, before commencing the work.	All staff and learners must undergo appropriate training and supervision in accordance with this policy. Records of learners' progress on training is recorded and kept on file as evidence that they have been shown how to safely and correctly use appropriate machinery, are able to work unsupervised or have been assessed as competent.
Take active steps to eliminate, isolate or minimise significant hazards.	Checklists to be completed regularly to show all hazards that have been identified and how those hazards have been, or are being eliminated, isolated or minimised. Safety boots and other appropriate safety equipment to be worn by staff and learners in workshop sessions.
Visually inspect sites for hazards periodically.	Tutors, branch managers and learners to continually be aware of and notify appropriately any hazards identified.
Provide safe and suitable plant, process and procedures to carry out the work.	All plant and equipment must meet appropriate safety standards and undergo maintenance as and when required.
Provide cautionary and preventative signage around danger areas.	All mandatory safety and hazard identification signs shall be obtained and displayed in appropriate areas.
Promote discussion and encourage parties to communicate and work together to achieve a safe working environment.	Branch managers, tutors and learners to be encouraged to openly discuss all safety issues at each branch to ensure the continual training and awareness of all hazards and how these can be eliminated, isolated or minimised.
Encourage employees' input and ideas into improving health and safety in the place of work through regular meetings.	Regular branch meetings to include health and safety issues which are to be recorded with minutes of meeting and reported to the operations manager monthly.
Ensure appropriately experienced and qualified employees are assigned to manage, supervise and control work sites.	A site safety officer to be assigned at each training venue to implement and maintain a site safety programme.
Require visitors to sign in and out when visiting or working temporarily at a G&H Training venue.	Any visitors or contractors entering any training site owned or managed by G&H Training Limited for any purpose other than a brief enquiry at reception are to sign in and out on the visitor register.

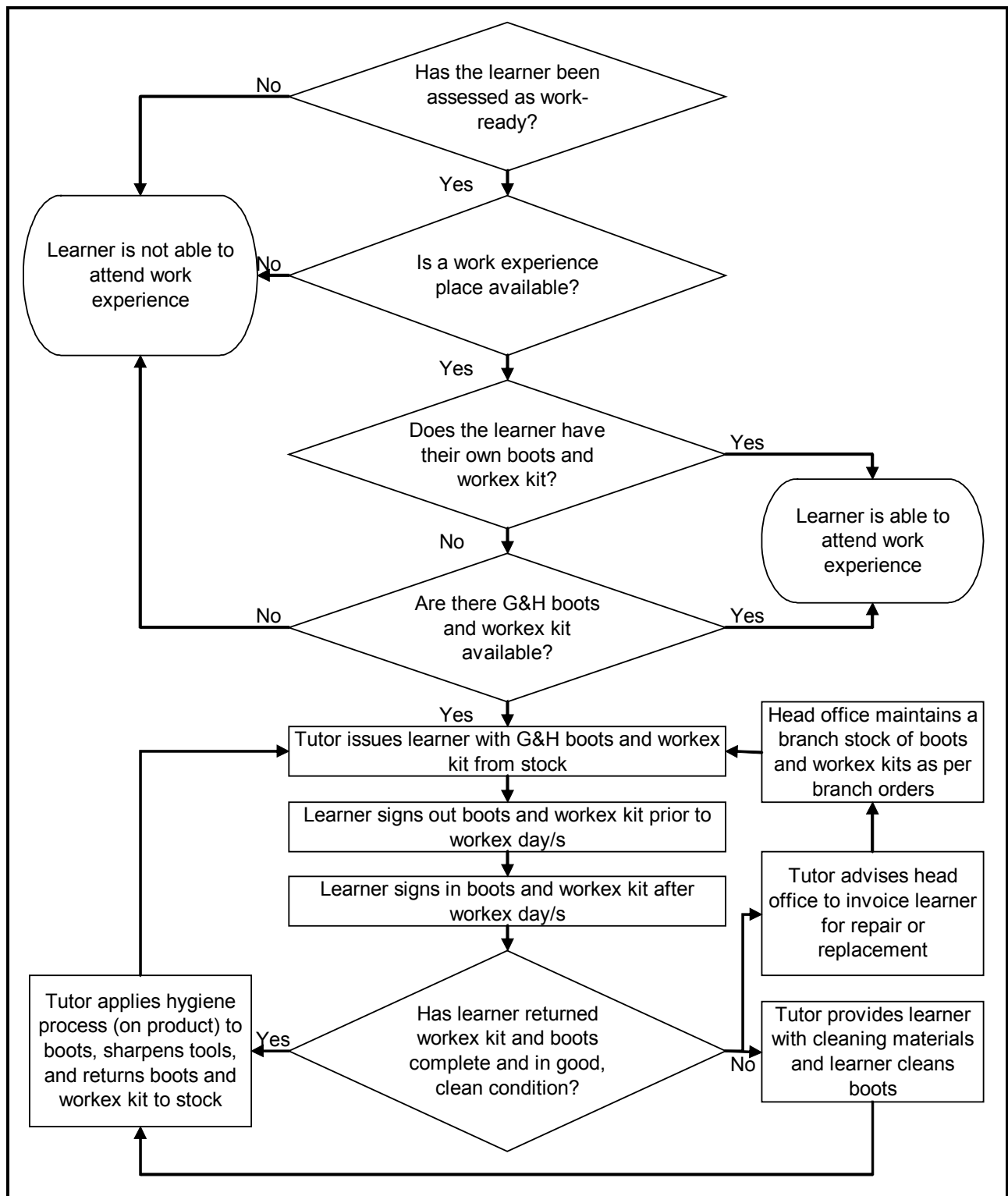
Health and Safety Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: ISSUE OF SAFETY BOOTS FOR WORKSHOP:

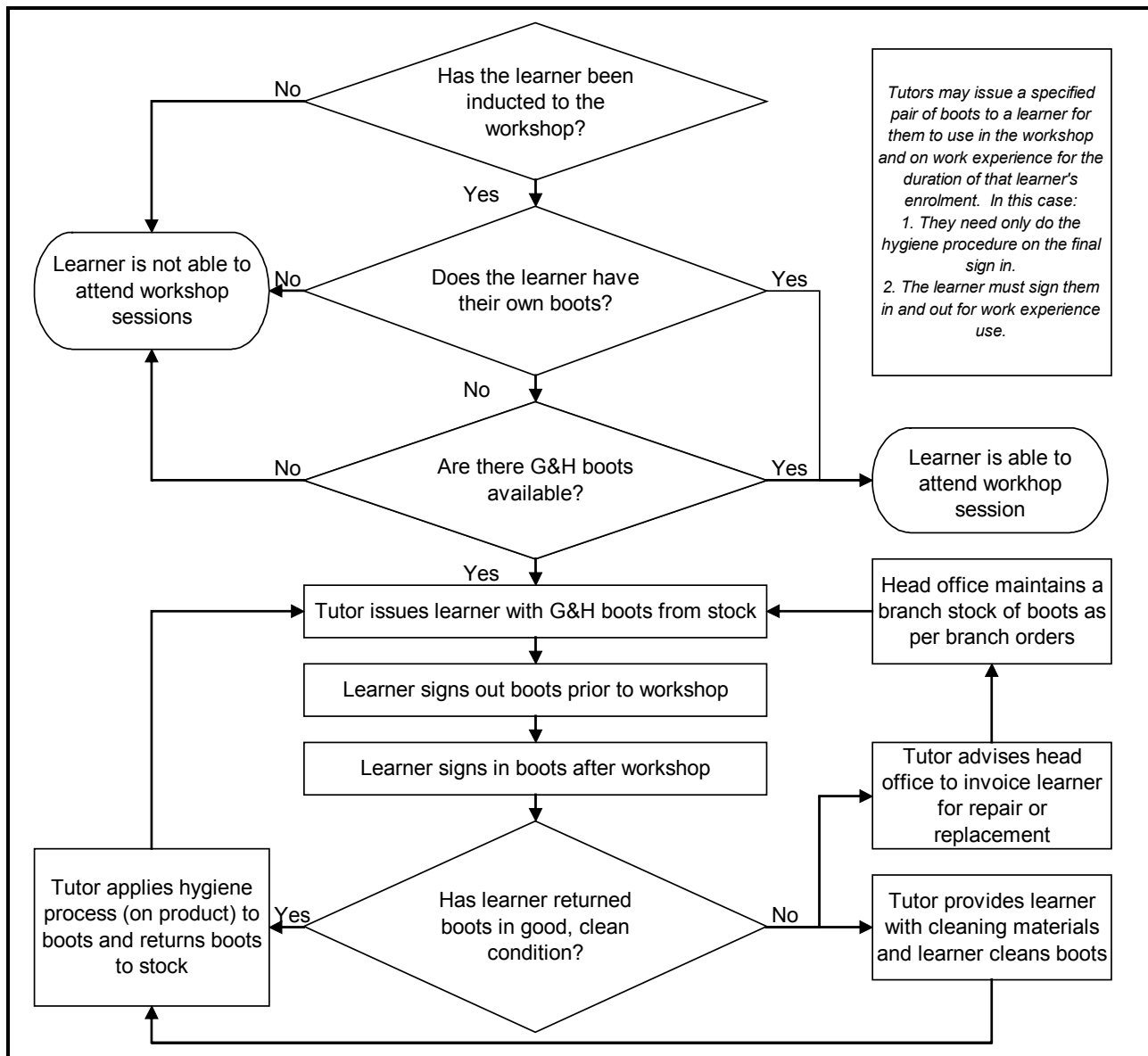


Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: ISSUE OF EQUIPMENT FOR WORK EXPERIENCE:



## Documentation

Each pair of safety boots and work experience kit that belongs to G&H Training Limited carries a unique identification mark to enable them to be tracked.

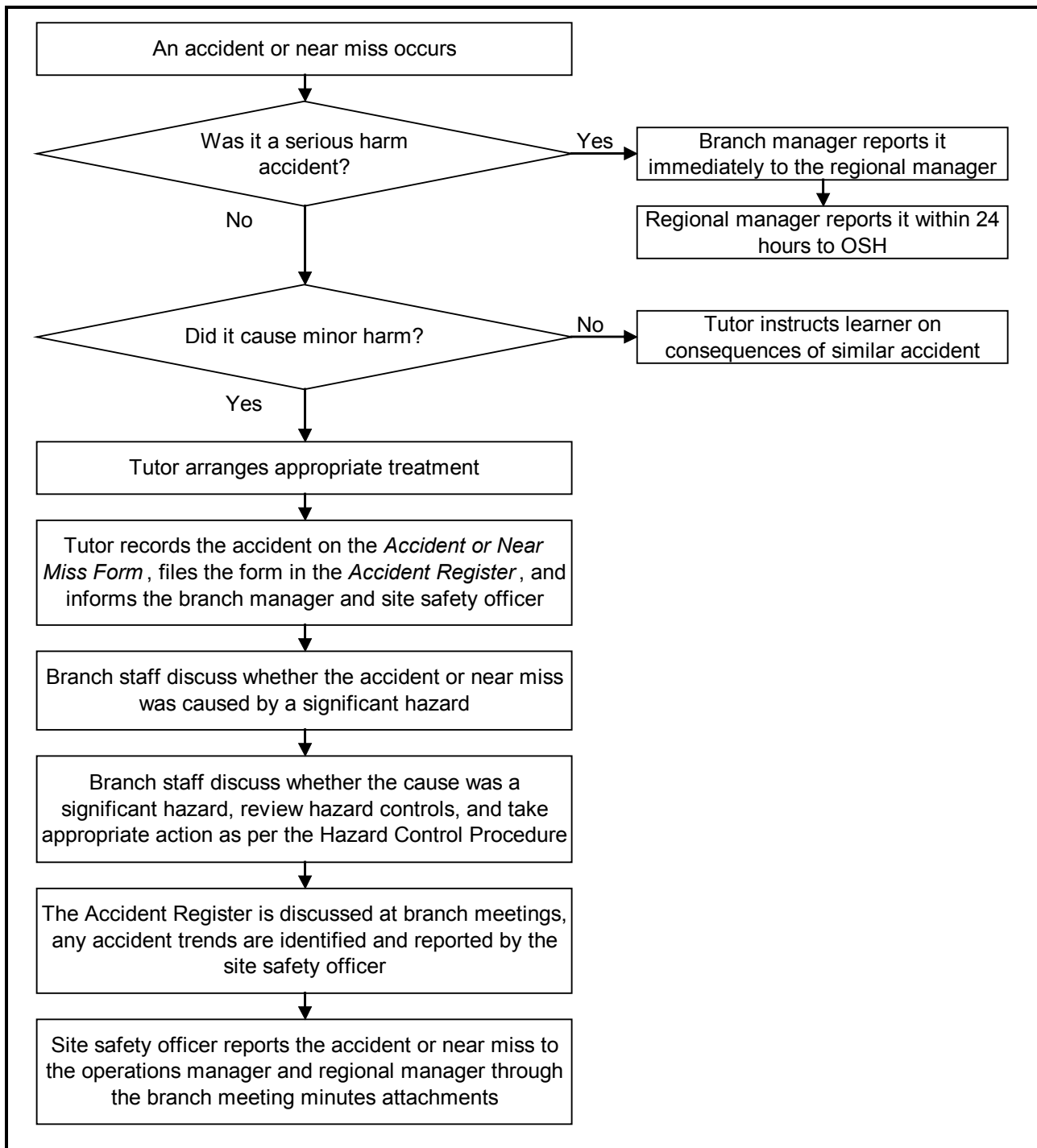
There is a register of safety boots, overalls and work experience kits at each branch that tutors use to sign issues in and out, and identify the need for repair or replacement.

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: ACCIDENT INVESTIGATION, RECORDING AND REPORTING:



## Documentation

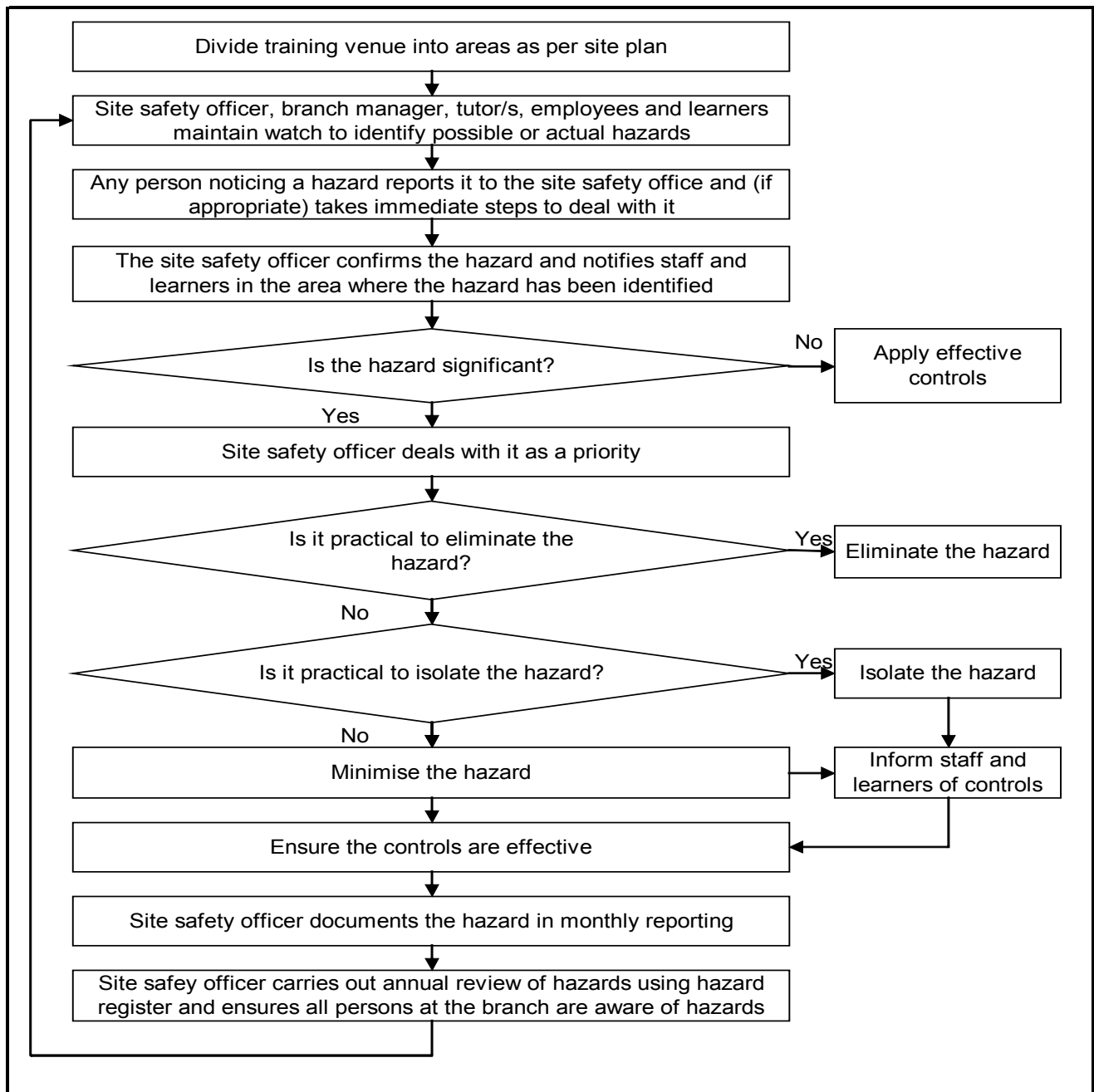
All relevant documentation will be held on file. The *Accident or Near Miss Forms* and any additional investigation reports are held on the Accident Register, kept near the First Aid Kit.

**Last review of this procedure:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: HAZARD IDENTIFICATION, INSPECTION, CONTROL AND REPORTING:



## Documentation

All relevant documentation will be held on file at branch and head office.

The "Hazard Register" will contain a list of the hazards identified and the actions taken.

Hazard information will be discussed at monthly meetings.

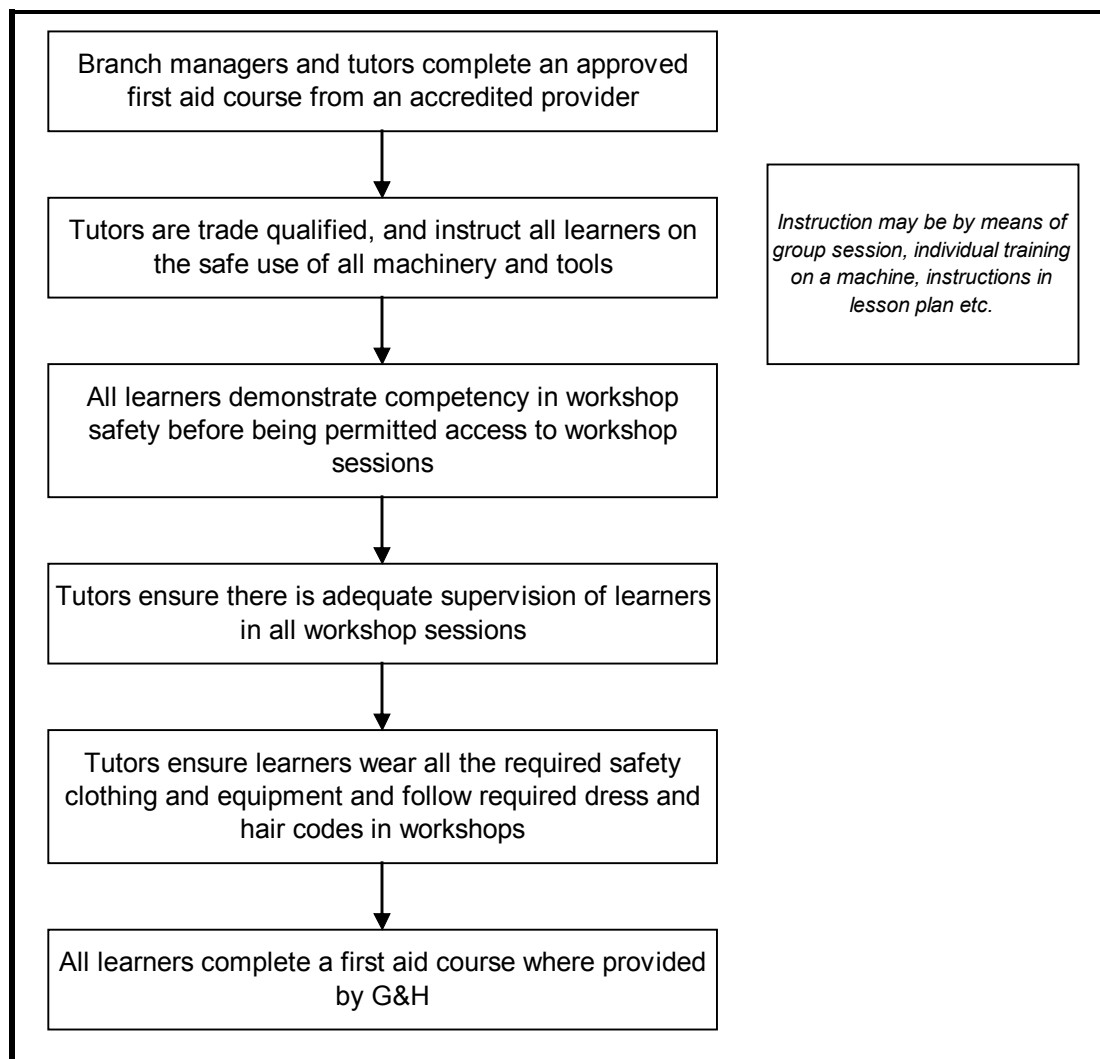
All information from the branch manager and site safety officer is reported in writing to the operations manager on a monthly basis.

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: HAZARD INFORMATION, TRAINING AND SUPERVISION:



## Documentation

All relevant documentation will be held on file.

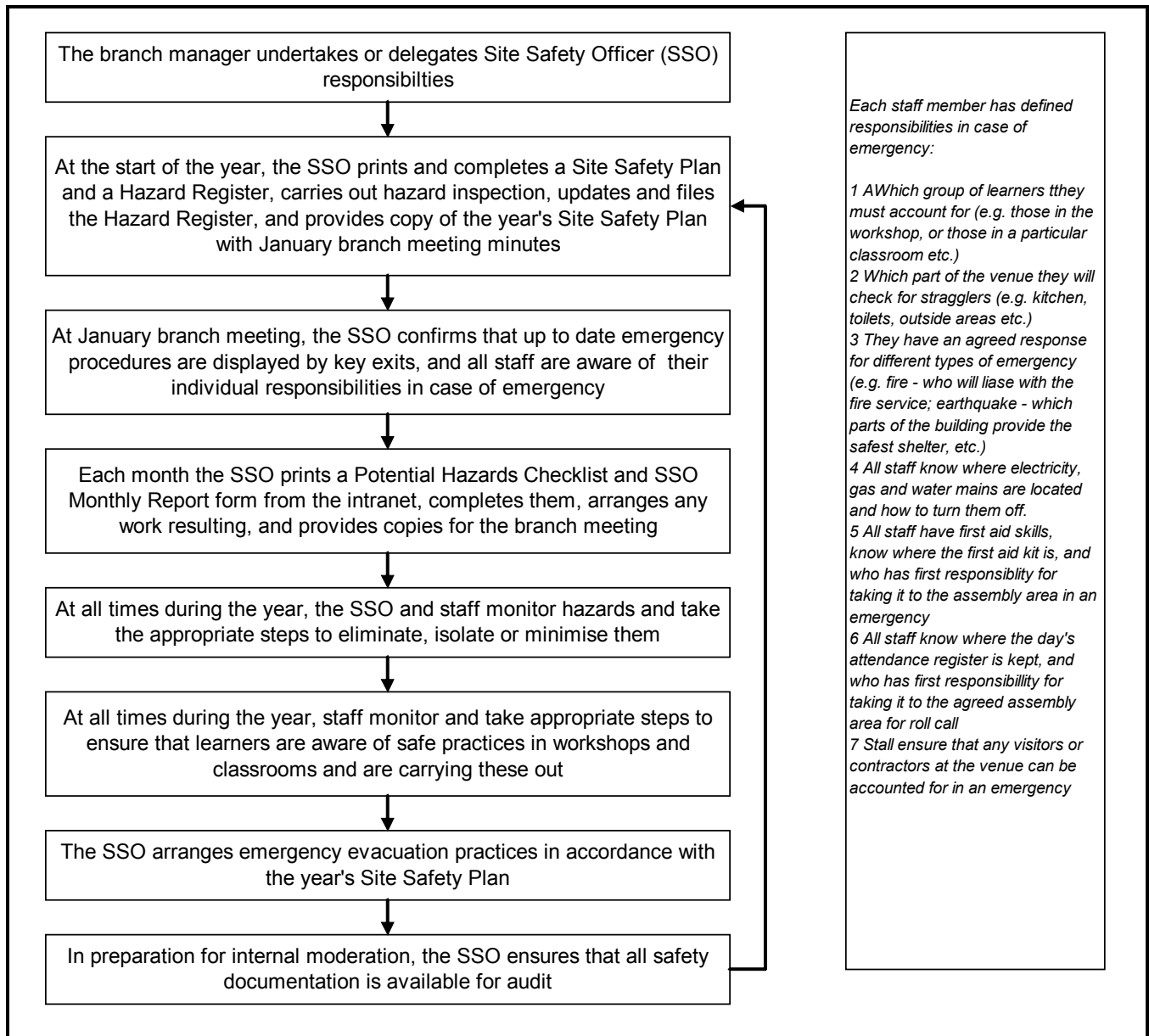
All information is provided to the operations manager, ideally on a monthly basis, by written report from the branch manager.

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: EMERGENCY EVACUATION - STAFF PROCEDURES:



Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Student Records Policy

## Policy

It is the policy of G&H Training Limited to systematically gather, record, maintain and store student information in order that it is accurate, accessible to people who are entitled to access it, and in a manner that protects the integrity of the information.

## Scope

This policy covers paper and electronic enrolment, education and assessment documentation for internal and external use in the administration of Student Component Funded and Targeted Training funded enrolments.

## Policy Objectives

1. Information from student paper records is correctly entered into the student management system.
2. Student records are held both in head office and in branches, but once a learner has left, all their documentation is returned to head office for processing and storage.
3. The G&H archive system ensures safe storage, efficient filing and retrieval for authorised access, and secure disposal of all student records after the required duration.
4. Any information that may need to be accessible for audit, for following up complaints or disciplinary matters, or for the ongoing smooth operation of student administration, is kept on files.

## Document standards

### **Standard for student records**

Original student enrolment documentation as required by the relevant Funding Guide standard shall be obtained and filed for each type of enrolment.

When a new student is accepted on a course of study, an electronic record is created for that learner in the SMS and online services to enable all administration tasks to be carried out efficiently. The electronic records:

1. Reflect accurately:
  - a. All the enrolment information provided by the applicant to enable correct and timely reporting to TEC, the Ministry of Education and any other stakeholders required under the funding contract;
  - b. All the attendance records for each individual learner, and
  - c. All the assessment records correctly associated to each individual learner.
2. Are complete.
3. Are updated as required.
4. Are coded using the codes assigned to particular data items.
5. Are audited against the relevant paper documentation according to the internal audit schedules.
6. Are replicated accurately in any other databases or spreadsheets needed for student administration.
7. Are available as and when needed by the staff who are entitled to access them in order to carry out their employment agreement.
8. Are securely stored and unavailable to those who are not entitled to the information in the student record.

### **Paper document consistency**

In order to present a consistent image, the company's templates must be used for all student administration forms and faxes. Any new forms required must be approved by the forms portfolio holder.

In principle, student records shall be named so they are easily identifiable by any person who needs to use that record. Staff should use their initiative to make the file name as clear and short as possible to indicate content.

A suitable file name in the S:\ drive could be 'surname + initial; programme; year; type of record', e.g.

S:\McInnes K YT WLG 2009 Dismissal.doc; J:\Academic Record John Smith.doc

The preferred file name format for all other files could be 'what, where, who, when', e.g.:

J:\ Form Attendance STAR WRE T2 2008.pdf;

## Current learners' paper records

Current learners' paper records are kept both at head office and at the branch.

Head office records:

1. The personal file identified by their name, course number and branch which contains all the documents received from the learner or the branch, or generated by head office, that supports their eligibility and their enrolment.
2. The academic results which are stored in a separate named folder.

Branch records for each learner:

1. The day book which contains minimum course requirements (EFTS); any paper versions of the theory result sheet, practical result sheet, Individual Training Plan and summative resit form/s; and the work experience documentation for that learner.
2. Personal folder which contains documents that may be subject to privacy or confidentiality requirements, including personal contact details; declaration form; e-learning password; records of complaints, disciplinary actions or warnings; sick notes or medical certificates; assessment appeals; rights of reply etc. This material should not be generally accessible to other learners.

Once a learner leaves, the branch returns ALL their documentation to head office within 5 working days, for processing and archiving.

## **Faxes**

If a branch sends a fax copy of the enrolment application to enable urgent processing, it must include all required verified supporting information. The originals must be forwarded promptly to head office by mail or courier.

## Records for short course students

The records for students who enrol on short courses (e.g. STAR, block courses) that are kept at head office include the, enrolment form, student induction, attendance lists, theory results sheet, results (unit standards, record of learning), withdrawal form, and any school correspondence.

Records are kept in hard copy for the current calendar year. These are archived in the following year once all results have been processed.

## Document storage, retrieval and disposal

Key documentation has requirements as to the duration for which it must be kept. Do not dispose of any documentation if it is required to be kept for a specified period of time that has not yet been reached:

- Learner personal records:
  - Confirmation of an SCF learner's eligibility to study: **10 years**
  - Enrolment offers and contracts (including records for learners who withdraw) and SCF claims: **10 years**
  - Fee Protection Agreement: **10 years**
  - Fee protection records (e.g. payment advice, refund requests, allocation confirmation): **10 years**
  - Enrolment and withdrawal forms for Targeted Training learners: **7 years**
- Learners' academic records:
  - The qualifications and courses that a learner has studied: **permanently**
  - Each learner's final assessment results: **permanently**
- Documentation required for moderation:
  - Learners' assessment materials: **3 years**

## **Archiving and retrieving paper documents**

The branches are to return all documentation for learners who have left to head office for processing and archiving. Any copies that are kept at the branch for local reference are to be destroyed as confidential material at the end of the calendar year after the person left.

Student Records Policy

## **Archiving and retrieving electronic documents**

An electronic archiving system will be maintained in which the paper records are scanned and stored there so they:

10. Capture the required parts of the original paper documentation as required by the relevant TEC Funding Guide.
11. Are scanned in rational order so as to enable prompt location of the required page/s;
12. Are named so a required record can be easily located;
13. Are accessible at any time with reasonable notice; and
14. Can be printed clearly if required.

The paper records including the pages that have been scanned are to be destroyed once it is assured that the scanned copy has been successfully archived.

The archives portfolio holder at Head Office is responsible for ensuring the efficient retrieval and filing of paper archive records, updating archives for SAC and Targeted Training learners' personal and academic result records, reporting any risk of document damage to management, and finally disposing of records after their disposal date.

## **Disposing of unwanted documents**

Unwanted printed documentation with content that is confidential, or subject to privacy legislation such as learner personal records, may only be disposed of in the locked shredding bin.

## **Responsibility**

**Enrolment administrator:** to ensure that data entered into the SMS matches correct data from paper records and is correctly coded.

**System administrator:** to maintain system functionality and accessibility and security of the current and archived electronic documents and records.

**Office support portfolio holder:** to ensure the students' electronic assessment record accurately reflects the paper records; to scan all the required student records for the electronic archive; to securely dispose of unwanted student paper records.

**Branch manager:** to ensure that assessment and learner personal information records are stored at the branch and forwarded to head office correctly.

## **Documentation and other resources**

TEC Funding Guides, computer system, portfolio holders.





# Criterion Seven

## Assessment

“Assessment of learner achievement and moderation ensures that assessment tasks, methods and decisions are fair, reliable and valid and that moderation and reporting comply with the requirements of NZQA and other national standard-setting bodies.”



# Assessment Policy

## Policy

It is the policy of G&H Training Limited to ensure that all assessments are fair, valid and consistent as per the requirements of NZQA. Assessments shall be competency based.

## Definitions

**Qualified staff:** A staff member with the trade qualification appropriate to the assessment being administered and with assessment expertise: preferably having completed work place assessor training in accordance with ITO requirements. (See Staff Development Policy, Staff Performance and Appraisal Procedure).

All tutoring staff are qualified and trained to assess against the G&H Training Limited lesson plan assessments.

**Re-mark:** Responses provided in an assessment are reconsidered and re-marked by a second qualified tutor to ensure that the judgement being made upholds the assessment criteria.

**Distance learning:** Learners studying at a venue other than a G&H Training Limited (e.g. home, school).

## Scope

This policy applies to all learners, including those enrolled on G&H Web-based E-learning.

## Policy Objectives

1. Learners are provided with clear information about unit standards, assessment events and procedures.
2. The assessment regime (assessment standards, materials, resit constraints as per Tutoring Method Policy, and timeframes) provides assurance that the learner has learnt and retained the required information to confirm, and/or can demonstrate, competence.
3. Each type of unit standard shall be assessed according to the specifications required by the approving body e.g. **CMR** guidelines, Evidence and Value Judgements, etc.
4. The current approved version of the lesson plan and assessment for each unit standard must be used.
5. All assessments are administered by qualified staff and are supervised.
6. The assessment procedure is fair, and assessment is free of gender, ethnic or other bias.
7. The physical conditions under which assessments are carried out are sufficiently comfortable, quiet and light so as not to prejudice a learner's opportunity to succeed. People with special needs are appropriately accommodated, e.g. a reader / writer may be used.  
Objectives not measured by specified tolerances are assessed by tutors' visual inspection, e.g. unsafe acts.
8. All assessment judgements that will be used to award credits are recorded.
9. All assessment records correctly verify the learner by showing the learner's first name and surname, student ID number and the date that the assessment was completed. Paper-based assessments are signed by the tutor who marked them.
10. All learners are able to re-sit any of the formative or summative assessments until competence is achieved, according to the resit policy for each type of unit standard or assessment.
11. Tutors shall use the results of formative assessments to identify where further assistance is required, and will provide appropriate assistance to the learner to help them achieve competence in that unit.
12. Summative assessments are moderated according to the Moderation Policy.
13. Learners are advised of the results of their summative assessments within 2 days, subject to any changes arising from assessment moderation.
14. Learners have access to an appeal procedure.
15. All learners' worksheets, theory records and practical results are retained on file to establish consistency.
16. Assessments of a learner's literacy, language and numeracy using the National Assessment Tool to locate and measure their level and progress on the Learning Progressions shall be administered as per the Tutoring Method Policy, the Support and Guidance Policy and the requirements of the Tool.

## Approach to assessment

1. Assessment involves the collection and judgement of relevant evidence of the achievement of defined standards. Credit is awarded when the assessor is confident that the learner has performed to the required standard and that this performance could be repeated. Evidence collected is:
  - a. *Valid* - actual performance that is assessed matches the performance required by the unit standard, the less direct the match, the less valid the evidence.
  - b. *Authentic* - evidence must clearly belong to the individual being assessed.
  - c. *Sufficient* - quality and quantity of evidence enables confident and consistent award of credit decisions.
2. Evidence that demonstrates what learners know and can do is collected. This evidence enables decisions to be made about whether or not the required standard has been met. Evidence is obtained from:
  - a. Tasks and documentation developed specifically for assessment purposes (e.g. projects, written or oral assessment, simulated activities, e-assessment); and/or
  - b. Naturally occurring events (e.g. observation of workplace activities, observation of learning activities).
3. Assessment is ongoing: all objectives can be attempted several times until the required competency standard has been reached. The assessment process is used as a tool to help the learner. They can repeat projects, tests and assignments and discuss with the tutor any areas of concern. Refer to Tutoring Method Policy.
4. Marks on paper-based assessment papers clearly indicate results:
  - a. All marking by tutors shall be in a colour different from that used by the learner, preferably in RED.
  - b. All moderation of paper based assessment shall be done in a colour different that that used by the learner or the marker, preferably GREEN.
  - c. Cover sheets are attached to all summative assessments and are fully completed during the assessment and moderation procedures.
  - d. Where summative marks are within 3 marks either side of a pass, another staff member completes a recount. If required by an appeal, the paper will be remarked by a third marker.
5. Credits are awarded in paper-based summative assessments as follows:
  - a. A final rating of "C" or "NC" is awarded.
  - b. Any learner who is not happy with the mark given may appeal to their course tutor for a reassessment, using the Assessment Appeal Form. If the marks are correctly added, a different marker will then re-mark the summative assessment. Credit achievement is only awarded once a final mark is agreed on.
  - c. This result will be final, subject to the Complaints Procedure (see Rules and Regulations).
6. Procedures are in place to ensure that course work and assessments that are presented for marking are the unaided work of the learner being assessed and have been carried out under the conditions specified, e.g.:
  - a. Assessment sessions are supervised or are done in a secured area.
  - b. No reference material or devices which may enable a person doing an assessment to access any information relevant to the material being assessed are permitted in assessment areas.
  - c. The identity of persons logging on for on-line assessments is confirmed before access is granted.
  - d. Written work that is not comparable with that learner's previously submitted work is investigated and credits are not awarded if clear evidence of cheating is identified.

## Responsibility

**Operations manager:** to ensure that an appropriate assessment regime and moderation procedure is being used and, in conjunction with the regional managers, to ensure that all tutors and assessors are following this policy.

**Tutors:** to ensure that all summative assessments are supervised and operate under fair conditions, that the assessment evidence is valid, authentic and sufficient.

**Results portfolio holder:** to ensure that all results are recorded and archived in the required manner.

**Kaumatua:** to follow up any requests for assessment using Te Reo Maori.

## Documentation and other resources

All relevant documentation is kept on file [e.g. assessment records, learner files, lesson plans, unit standards].

Managing director, operations manager, regional / branch managers, tutors / assessors, National Assessment Tool.

Assessment Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: E-LEARNING ASSESSMENT OF COMPETENCE

## Interactive and formative assessments

Lesson plans have interactive exercises and a formative assessment that the learner must complete with all questions to be correctly answered before they are provided access to proceed to a summative assessment.

1. Interactive exercises must be correctly completed before the learner gets access to the formative assessment, and these can be attempted any number of times.
2. The formative assessment (commonly known as “the 5 questions”) may be re-sat as many times as it takes for a learner to obtain 100%, subject to the tutor providing support and guidance after every third attempt. The computer generates a random set of questions from the total pool of assessment questions available for the unit standard, and sets a day between attempts. If after 3 attempts they have not achieved 100%, their access to the formative assessment will be barred for 3 days to give them time to study the material more carefully.
3. When the learner successfully answers the formative assessment, the computer generates a date ahead at the earliest time the summative assessment can be sat.

## Summative e-assessments

1. Learners enrolled on distance learning programmes are required to sit summative e-assessments under G&H supervision and/or at an approved site in order to verify the identity of the candidate submitting the assessment. Assessment times may be booked during normal business hours. Prior approval for supervision or a non-G&H venue must be obtained from the operations manager.
2. All learners access the summative assessment by logging on once the tutor has provided access.
3. The computer selects a random set of questions from the total pool of on line summative assessment questions available for the unit standard, limiting those that have previously been used in the formative assessments. The assessment has an allowable time generated by the computer according to the types of questions selected. This time is automatically counted from when the learner activates the assessment.
4. If the learner finishes before the time is up, they are able to scroll back through their answers and make amendments. They then press the “Submit” button to send the assessment for marking.
5. When the allowable time is up, if the learner has not already submitted the assessment for marking the computer automatically submits it, even if the learner has not finished all the questions.
6. Within each of these assessments, a minimum achievement rate of 75% must be obtained for a learner to be marked competent. An achievement rate of 90% or more shall be awarded merit.

Note that these achievement rates may be reviewed from time to time as the body of assessment data grows, and may be adjusted according to the procedure for policy amendment.

7. Should the learner obtain less than the minimum achievement rate in any individual unit that has been approved for general use, then this unit assessment will need to be re-sat, subject to the tutor providing support and guidance after every second attempt.
8. Learners may resit any summative assessment where competency was not achieved. There is no limit to the number of assessment resits allowed. There shall be a period of at least one week (i.e. 7 days) between resits.

## Exceptions:

*For learners in the final week prior to their contract or course end date:*

- *Only 2 days is required between completing the final worksheet and sitting the summative assessment.*
- *A summative assessment may be resat 2 days after the first attempt, or on the final day of the course even where this does not meet the two day requirement. Resits may be requested for a suitable time at least one week (7 days) after their end date and after any further approved resit.*

*Learners on block courses where time is limited are able to resit a summative assessment no sooner than 2 days after the first attempt, or on the final day of the block course even if this does not meet the two day requirement. Should the learner be required to resit any of these assessments, then they will need to arrange a suitable time with their tutor and employer to return and complete this. One week will be required between resits in this case:*

**Last review of this procedure:** December 2009

Reviewed by: DP

Approved by: GCG

# Procedure for: ASSESSMENT OF AUTOMOTIVE UNIT STANDARDS

## Summative assessments

1. Assessment materials approved by MITO must be used to assess learners' competence.
2. Once a learner presents an assessment for marking, attach and complete a G&H Training Automotive Assessment Recording Form.
3. Use a red pen to mark the assessment, using the model answers provided with the assessment materials.
  - a. If the answer matches the model answer, mark it correct with a tick.
  - b. If the answer is equivalent to the coverage or meaning of the model answer, tick it correct. Justify the reason for accepting the answer in the *Comments* section of the Automotive Assessment Recording Form.
  - c. If the answer is partially correct, you may use the procedure in "Oral questioning" special notes below.
  - d. If the answer is all or substantially incorrect, mark it wrong with a cross.
4. Check back over all the marking.
  - a. If every answer for a PC has been ticked correct, award the grade "Competent" on the Form.
  - b. If any answers have been marked wrong, award the grade "Not yet competent" on the Form. The learner is then entitled to a resit as in "Resit procedure" below.
5. When an assessment is 100% correct, attach any of that learner's previous assessment attempts for that unit that were marked "Not yet competent".
6. Complete all remaining sections of the Automotive Assessment Recording Form, and send all the assessment documentation to head office by the required deadline.
7. Assessments are moderated according to the Moderation Policy.

## Oral Questioning

1. Oral questioning can be used after initial marking of an assessment in order to:
  - a. Clarify a minor error made during a practical, or
  - b. Clarify a partially correct answer in an assessment sheet, or
  - c. Verify that a learner DOES understand a particular question that they may not have answered clearly.
2. If oral questioning is used, a limit of THREE questions may be asked per theory or practical assessment. If competence cannot be demonstrated within 3 questions, the assessment must be marked as "Not yet competent" and the learner is entitled to a resit as in "Resit procedure" below.
3. Write each oral question on the Automotive Assessment Recording Form PRIOR to asking it of the learner. Ask each question AS IT IS WRITTEN. Write the learner's exact response below that question. No prompting may occur, and the questions asked must not contain the answer. Mark correct answers with a tick.
4. Return to Number 4 in *Summative Assessments* above.

## Resits

1. A resit (partial or full – see below) may take place no sooner than one week after completion of an assessment. There is no limit to the number of resits a learner may undertake.
2. If a learner was graded "Not yet competent" in ONLY ONE OR TWO PCs, they may resit those PCs only (a "partial resit"). The tutor must in this case take a fresh copy of the test paper to be partially resat, circle the PC/s to be completed, and hand the paper to the learner to complete.
3. If the learner was graded "Not yet competent" in MORE THAN TWO PCs, they must do a full assessment at the next resit and must use a different test paper from the available pool of test papers for each full resit.
4. After each resit, return to Number 4 in *Summative Assessments* above.
5. Any learner who disagrees with their result may appeal to their tutor for reassessment. An independent tutor will then re-mark the summative assessment. Final credit achievement is only awarded once moderated and confirmed by head office. This result will be final, subject to the appeal process (see Rules and Regulations).

**Last review of this procedure:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: ASSESSMENT OF PAPER-BASED UNIT STANDARDS DEVELOPED BY G&H

## Worksheets (Formative assessments)

1. Each unit has one or more formative assessment worksheets for which an overall pass mark of 100% is required before a summative assessment can be taken. These worksheets may be re-sat as many times as it takes each learner to obtain 100%. Ideally every element of a unit standard is covered in each worksheet.
2. If on the first attempt the learner achieves 60% or more, he/she will only be required to resit those questions that he/she did not answer correctly. This must be completed on an entirely new sheet.
3. Should the learner achieve 59% or less, then he/she must resit the same worksheet in full.
4. Each resit can be done no earlier than two days (two sleeps) after the previous attempt.
5. No learner shall attempt the summative assessment until they achieve competency in the specified worksheets for that unit.
6. Once learners complete the unit worksheets, they must wait a minimum of two weeks prior to sitting the summative assessment for that unit, i.e. a minimum of two weeks from completion of the final worksheet.

## Summative Assessments

1. All summative assessments can be sat individually. A time allowance is stated on the instructions for each assessment. Learners attempting more than one assessment at a time shall be allowed commensurate time.
2. A minimum mark of 90% is required to achieve competence within each of these individual assessments. This must include 100% correct on the required questions for that summative, and sufficient correct answers from the remaining questions to total 90%. The required questions are identified in the assessments where the candidate can see them, and listed on the last page of the summative assessment where the assessor must confirm whether or not each one was correctly answered.
3. Should the learner achieve 59% or less in the questions for any individual element, then the entire element assessment will need to be re-sat.
4. Should the learner achieve 60-89% in any individual element, then those questions that the learner did not answer correctly must be resat. This must be completed on an entirely new assessment sheet.
5. Learners may resit any summative assessment where competency was not achieved. There shall be a period of at least one week (i.e. 7 days) between resits.
6. Assessments are moderated according to the Moderation Policy.

## Exceptions:

*Where study time is limited, learners may attempt resits for up to three units in a single session. In this case, the time requirements for all resits may be reduced as follows.*

*For learners in the final week prior to their contract or course end date:*

- *Only 2 days is required between completing the final worksheet and sitting the summative assessment.*
- *A summative assessment may be resat no sooner than 2 days after the first attempt, or on the final day of the course even where this does not meet the two day requirements. Should the learner be required to resit any of these assessments, then they will need to request a suitable time after their end date. One week (7 days) will be required between resits in this case.*

*For apprentices or learners on 'block courses' where time is limited:*

- *Only 2 days is required between completing the final worksheet and sitting the summative assessment.*
- *They are able to resit a summative assessment no sooner than 2 days after the first attempt, or on the final day of the block course even where this does not meet the two day requirements. Should the apprentice be required to resit any of these assessments, then they will need to arrange a suitable time with their tutor and employer to return and complete this. One week (7 days) will be required between resits in this case.*

**Last review of this procedure:** January 2010

**Reviewed by:** SS

**Approved by:** GCG

# Procedure for: ASSESSING CORE GENERIC UNIT STANDARDS

## Summative Assessments

1. After working through the lesson plan, the learner sits the summative assessment.
2. The learner must answer all questions correctly and obtain 100% in order to achieve competence.
3. The assessment must be marked according to the performance indicators and any judgement statements provided (e.g. for 504 / 10781, "C" may only be awarded if ALL spelling and grammar are correct);
4. Learners may resit any summative assessment in appropriate unit standards where competency was not achieved. (E.g. it may be appropriate to require a learner to submit missing material for 504 / 10781 rather than resit it, for example). Resit conditions are:
  - a. Each resit can be done no earlier than two days (two sleeps) after the previous attempt.
  - b. If the learner achieved LESS THAN 60%, they must resit the entire assessment.
  - c. If they achieved between 60% and 99%, they may resit only the questions that they answered wrongly. The tutor must circle these on a fresh assessment sheet handed to the learner at the next attempt.
5. When an assessment is 100% correct (e.g. over a single assessment sheet or over a number of assessment sheets), attach any previous assessments for that unit that were marked "Not yet competent".
6. Complete the cover sheet and attach it to the front of the assessment. (This may be a "Not competent" attempt for a learner who has withdrawn. In all other cases, the results should not be submitted to head office until competence has been achieved.)
7. Send all the assessment documentation to head office by the required deadline with a completed Assessment Batch Cover Sheet attached.
8. Assessments are moderated according to the Moderation Policy.

**Last review of this procedure:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: ASSESSMENT OF PRACTICAL UNIT STANDARDS

After working through the lesson plan, the tutor demonstrates the use of tools and machinery in the workshop. When a particular tool or machine has been explained and learners have been shown how to use it they are assessed informally and formally as they practice, and then complete a project using that tool or machinery.

1. The learner and tutor shall negotiate when an activity or project shall be presented for assessment, and the tutor shall advise the learner that assessment of an activity has commenced.
2. During formal assessment, the tutor observes the learner using that tool or machine, and assesses the quality of the work produced using the assessment task specifications from which to make judgements. The tutor completes the appropriate check sheet and advises the learner of the result.
3. If the learner does not reach the standard required, the check sheet is marked "Not yet competent" and the learner continues to practice under tutor supervision until they are ready for a further formal assessment.
4. A learner marked "Competent" is permitted to use that tool or machinery without constant direct supervision.
5. The check sheets for each assessment are filed in the learner's day book.

**Last review of this procedure:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Procedure for: ASSESSMENT OF BCATS UNIT STANDARDS

The BCATS units are taught to a group of learners working together on common projects and are assessed across a range of theory and practical work. The tutor must therefore gather evidence throughout the duration of the unit being delivered for each aspect of the unit for each learner in the group.

## Summative Assessments

1. As the group of learners work through the sections of the lesson plan and the associated activity sheets and practical project/s, the tutor records the achievements throughout the process on the recording sheet.
2. When the activity sheets and practical projects are complete, each learner sits the summative assessment.
3. The tutor must arrange a supervised session between tea and lunch breaks for the summative assessments. At the end of the session, the tutor collects up all the assessment papers.
  - a. In the case of any uncompleted work, the individual learner must attend a second session as arranged by the tutor to complete the questions.
  - b. For the second session, the tutor must provide a fresh assessment paper and clearly identify the questions to be completed by crossing out the completed questions, or circling or highlighting the uncompleted ones.
4. The learner must answer all questions correctly and obtain 100% in order to achieve competence.
5. Oral questioning can be used after initial marking of a completed summative assessment in order to:
  - a. Clarify a minor error, or
  - b. Clarify a partially correct answer in an assessment sheet, or
  - c. Verify that a learner DOES understand a particular question that they may not have answered clearly.
6. If oral questioning is used, a limit of THREE questions in total may be asked per theory or practical assessment. If competence cannot be demonstrated within 3 questions, the assessment must be marked as "Not yet competent" and the learner is entitled to a resit.
7. The BCATS assessment procedure then follows points 4-8 as per Assessment of Core Generic Unit Standards above, noting that point 4b reads "... answered less than 60% of the questions correctly ...").

**Last review of this procedure:** December 2009

Reviewed by: DP

Approved by: GCG

# Moderation Policy

## Policy

It is the policy of G&H Training Limited to ensure that its learning and assessment resources and practices meet the standards set by the relevant standard setting body, as evidenced by lesson plan and assessment internal moderation and by participation in the required external moderations.

## Definitions

**Qualified staff:** A staff member with the trade qualification appropriate to the assessment being moderated and with assessment expertise: preferably having completed work place assessor training in accordance with ITO requirements. (See Staff Development Policy, Staff Performance and Appraisal Procedure).

All tutoring staff with industry qualifications are qualified to moderate the G&H Training Limited industry lesson plans, and those with US 11552 are qualified to moderate G&H Training Limited lesson plan assessment material.

**Assessment moderation:** All the responses provided in a sample of marked paper based assessments are reconsidered and reassessed by a second qualified staff member to ensure that the judgements being made are upholding the assessment criteria and are consistent.

## Policy Objectives

1. Accreditation and moderation requirements specified in the relevant **CMR**, as per industry training organisations, national standards setting bodies, and NZQA, are adhered to.
2. Lesson plans and their assessment materials, whether e-learning or paper based, are moderated internally and, if required, externally during development, as detailed in the Lesson Plan Development Policy and Procedure.
3. Prior to delivery of new programmes, all equipment is checked as per the Physical Resource Policy.
4. Tutoring staff shall be employed who are qualified in assessment and moderation, or shall be provided with induction and staff development training to the required standard in their first year of employment.

## Internal moderation of assessments

Paper-based summative assessment work completed by learners is moderated internally at G&H to ensure consistency between assessor judgements, to ensure equality and fairness to all learners, and to uphold national standards. Moderation of learners' submitted e-learning assessments is not required because the marking is automated and not subject to judgement after the design and approval process.

1. Paper-based assessments are moderated systematically to ensure consistency of marking and good practice documentation:
  - At least 10% of all summatives are recounted and moderated by branch or designated qualified staff, within 7 days of the date of assessment, according to the Assessment Moderation Procedures below;
  - The operations manager, or a suitably qualified staff member delegated by the operations manager, moderates 10% of all the moderated summatives that are agreed by the first moderator, and all the summatives where the first moderator does not agree with the original mark, within 7 days of the first moderation;
2. To differentiate moderation from marking:
  - All moderation of paper based assessment shall be done in a colour different that that used by the learner or the marker, preferably GREEN.
  - Moderations are recorded on the moderation sections of the assessment cover sheets.
3. Moderations shall result in consistency of assessor judgements, agreement on disputed items, and identification of changes that may be required to unit standard assessments, teaching or assessment procedures.
  - If the person moderating an assessment disagrees with a judgement made by the original marker, the moderator and the original marker shall discuss this to try and agree on a final judgement according to the criteria for that element of an assessment.

- The discussion and the outcome are recorded in the relevant sections on the reverse of the Assessment Batch Cover Sheet form in sufficient detail to inform decisions on assessment materials or procedures.
  - Any such disagreements that cannot be resolved by the original marker and the moderator shall be referred to the operations manager for a final decision.
  - The results of all moderations are reviewed to identify any changes that need to be made to assessment materials, teaching or assessment procedures.
4. If “C” rating is downgraded to a “NC” rating as a result of moderation, the learner has the right to resit the assessment under the Assessment Policy.
  5. In the case of assessment appeals:
    - Final credit achievement is only awarded once moderated and confirmed by head office.
    - Written appeals to G&H Training Limited arising from recognition of prior learning assessments will be referred by the operations manager to an industry assessor for moderation if appropriate.
  6. Assessment administration and document control is checked and reported in regular internal moderation visits to branches.
  7. Results of assessment moderation reviews are reported to branches as they occur, and are discussed at branch meetings when appropriate.
  8. Any improvements to lesson plans, assessments or procedures that are identified in the course of moderation shall be implemented by the operations manager if appropriate, and all affected staff shall be trained in the changes.

### External moderation of assessments

G&H Training Limited participates in external moderation of our assessment materials and assessed materials to ensure consistency, quality and fairness to all learners, and to uphold all industry standards in conjunction with NZQA and the relevant Industry Training Organisations.

1. Lesson plans written by this organisation follow specific assessment procedures, and are evaluated and updated according to schedule to ensure industry standards remain current. (See Assessment Policy, Lesson Plan Development Procedure).
2. Accreditation and moderation requirements specified in the relevant **CMR**, as per industry training organisations, national standards setting bodies, and NZQA, are adhered to.
3. In order for these policies to be met, the External Moderation Procedure below shall be followed so that:
  - a. Accepted assessment moderation guidelines are used.
  - b. All materials and information requested by ITOs or NZQA as described in the relevant **CMR** for external moderation are provided in the form and by the time agreed and the required procedures will be followed.
  - c. Head office and branches shall inform each other about external moderation visit requests, timetables and attendees so that the materials can be prepared and, if need be delivered to branches, in time to meet timeframes.
4. All required external moderation meetings will be attended. Optional moderation meetings or non-G&H advisory group meetings will be attended, subject to reasonable notification that enables G&H to provide suitable cover for learners at the local branch where tutor attendance is invited.
5. To manage any privacy issues that may arise from external moderation:
  - a. Learners whose assessments are to be provided for external moderation shall give their written consent, or their identity shall be blacked out on the materials sent.
  - b. Should the external moderator wish to speak with the learners whose work is submitted, this may only occur if prior written approval is granted by the learner(s). This is also to ensure that these learners are still enrolled on their course and are still available.
6. In the case of external moderation visits, a report must be provided to the operations manager after the visit using the documentation guide below, and covering key comments made by the external moderator.
7. All improvements required by the external moderator are discussed and either agreed or negotiated. Improvements that the external moderator and G&H Training Limited agree upon will be stated in an action plan which G&H will monitor to ensure compliance.
8. All recommended improvements suggested by the external moderator will be given careful consideration and will be implemented subject to cost benefit, consistency with organisational quality standards, and consistency with the requirements and expectations of other company stakeholders.

Moderation Policy

## Documentation Guide

The relevant ITO or standards setting body specifies the documentation that we are to provide for external moderation. Documentation that may be required and a description of what moderation may entail includes:

#	DOCUMENT	DESCRIPTION	NOTES
1	<b>Teaching or Programme outline</b>	Where the different unit standards fit in the overall programme and what the programme covers.	<b>Refer to the relevant Induction Handbook.</b> This lists all unit standards included on each course.
2	<b>Lesson Plans</b>	How and when are the components of the unit standards being taught?	<b>Refer to the Tutoring Method policy.</b> All learners at G&H are encouraged to learn at their own pace and therefore a tutor cannot specify that a particular unit will be taught on any particular day.
3	<b>Proposed Assessment Plans</b>	Where, when and how assessments are being carried out over the term of the course/programme.	<b>Refer to the Assessment Policy.</b> Due to rolling starts, there is no scheduled time of year when assessments occur. A learner may attempt an assessment several times until a required competency level has been obtained as detailed in the Tutoring Method policy.
4	<b>Assessment Material</b>	3 samples of actual documented evidence. (E.g. written, checklists for oral or practical tests, exercises or projects; formative and/or summative assessment): 1. High – Competence clearly shown. 2. Average – Competence adequately shown. 3. Low – Considerable professional judgement needed to award competence.	Completed paper-based worksheets and summative exams; practical assessment records for practical units. When selecting learner material for moderation, either 'twink' out the learner's name for confidentiality, or get the learner's written permission for their material to be used. <b>Note:</b> Samples classified 'Low' will not apply to G&H as specific results are specified on the answer sheets provided with each lesson plan. All competency reached is on an internally moderated level.
5	<b>Resource Material</b>	Information that supports the learning outcomes. (Text books, handouts etc.)	Lesson Plans, relevant NZS, BRANZ Bulletins, other branch library resources (specify that the latter are kept updated).
6	<b>Marking Schedules</b>	Model Answers, specifications, judgement statements etc.	Worksheet and summative answer sheets. All carpentry lesson plans will include judgement statements where required as per the Lesson Plan Development Policy.
7	<b>Re-sit and Appeal Procedures</b>	Provider policy statements and evidence forms. (Note: Policy Statements only need to be provided if not done so previously, or if changes to the QMS have altered them from those supplied.)	Refer to the Assessment Policy. <i>Resit procedures are detailed in the assessment policy. Simple steps of 2 sleeps, 2 weeks between worksheet and exam resits. Only exceptions to this are for block courses where time is of the essence.</i>
8	<b>Internal Moderation Documents</b>	Provider policy statements and evidence of minutes and actions from internal moderation meetings. (Policy statements must be provided if not done so previously, or if changes to the QMS have altered them from those supplied.)	All lesson plans undergo an internal review for improvement and updating on a regular schedule. Following our company procedure for lesson plan revision, these updated lesson plans are moderated by another suitably qualified staff member (preferably from another branch of G&H) before being distributed for use.
9	<b>Advisory Group Documents</b>	Provider policy statements and evidence of minutes and actions from Advisory Group meetings. (Policy must be provided if not done so previously, or if changes to the QMS have altered them from those supplied.)	Delegates attending advisory groups gather information and pass it onto to other branches. Information is also gained from work experience reports and tutor site visit reports. Employers are encouraged to provide feedback to G&H.
10	<b>Tutor or Assessor Summary</b>	Summary of Tutor/Assessor Qualifications and experience. (This does not need to be an elaborate CV, and only needs to be provided if not done so previously.)	Refer to our Staff Selection and Staff Development Policies. All tutors employed by G&H hold the appropriate industry qualifications as specified by NZQA in the Consent and Moderation Requirements (CMR). Copies of these are held on personnel files. All tutoring staff must also complete workplace assessor training, i.e. units 4098 and (if necessary) 4099.

Moderation Policy

## BCITO moderation schedule:

Where the BCITO provides a 'Moderation Five Year Plan', which identifies specific carpentry and carpentry theory unit standards that will be moderated each year, G&H Training Limited will review all unit standards on that schedule which we currently assess and report achievements to NZQA.

In the event of there being no BCITO schedule, G&H Training will follow the schedule below for unit standard review and moderation, unless we have reviewed a unit standard less than 2 years prior to its scheduled date:

AR	UNIT STANDARDS : CARPENTRY & CARPENTRY THEORY (The units are those offered by G&H)
2010	12997, 12998, 12999, 13000, 13002, 13004, 13015, 13016, 13032, 24378
2011	13006, 13008, 13009, 13010, 13037, 13038, 24380, 24381, 24391
2012	13017, 13019, 13020, 13023, 13024, 13034, 21211, 24382, 24383, 24384, 24385, 24386, 24388
2013	13005, 13026, 13031, 13033, 24362, 24379
2014	13028, 13029, 24363, 24364, 24389, 24392

## Responsibility

**Operations manager**, in conjunction with the regional managers, to ensure that all assessment moderation requirements are met as per this policy, to ensure that all lesson plans are in accordance with up to date industry requirements and that internal moderation processes are adhered to; to ensure that qualified staff participate in external moderation, and that follow up requirements are carried out.

**Tutors and the branch manager**: to participate in internal moderation of lesson plans and carry out assessment moderations according to this policy and procedure; to participate in external moderation and to report to the operations manager following the moderation activity.

**External moderation portfolio holder, in conjunction with the operations manager**: to ensure that the required external moderation documentation is prepared and distributed by the required deadlines, to make any required improvements to materials, and to submit these by the deadline.

**Portfolio holders**: in order to meet any policy or quality requirements in their own portfolios, to train staff in the details others need to know so as to support policy compliance among the team.

## Documentation and other resources

All relevant documentation must be completed and recorded and kept on file [CMRs, lesson plans, training manuals, and learner records, NZQA documents, provider handbooks, contracts; monthly, quarterly and annual reports, company policy and procedure manual, internal moderation reports, audit reports, external moderation materials].

NZQA, ITOs, NSSBs, funding bodies, advisory groups, moderation groups, managing director, operations manager, portfolio holders.

Moderation Policy

Last review of this policy: December 2010

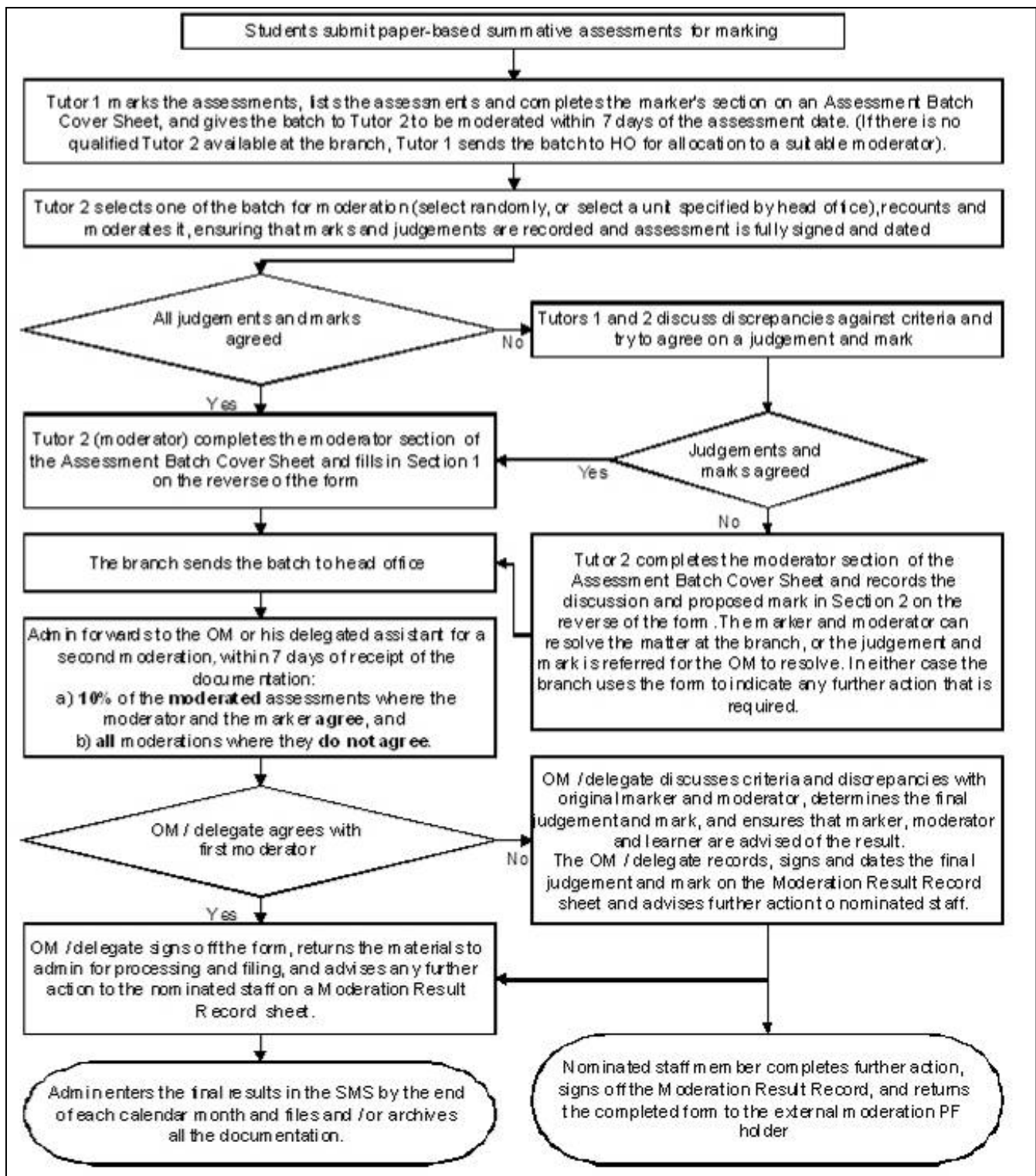
Reviewed by: DP, KO, SS

Approved by: GCG

# Procedure for: INTERNAL ASSESSMENT MODERATION

## Objective

To ensure that qualified tutors moderate sufficient paper-based summative assessments to confirm the accuracy of the credits awarded at G&H Training limited.



Last review of this procedure: December 2010

Reviewed by: DP,KO

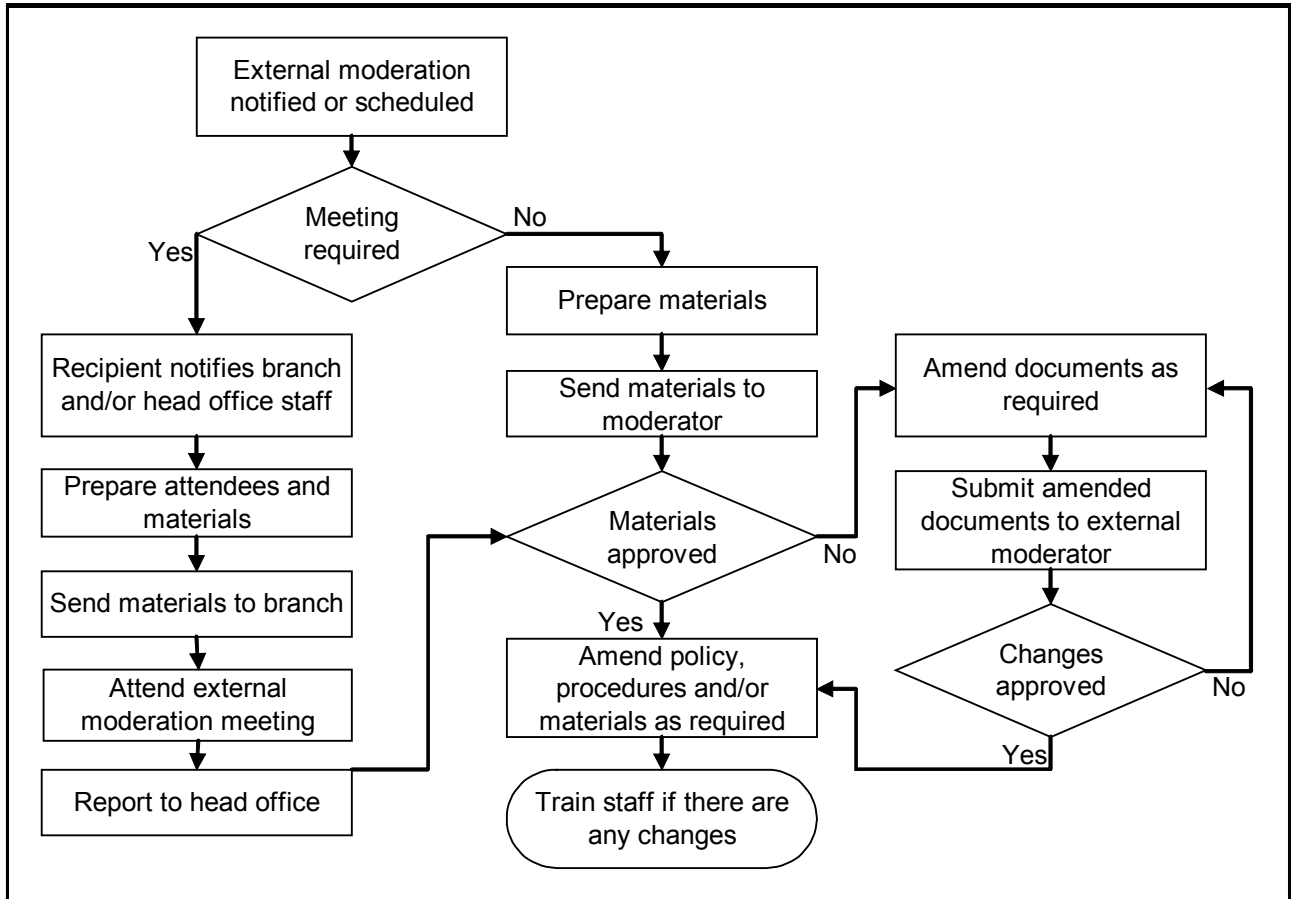
Approved by: GCG

# Procedure for: EXTERNAL ASSESSMENT MODERATION

## Objective

It is our company's objective to participate in external moderation as required by the relevant standard setting body, ITO or NZQA.

## Procedure



## Responsibility

**Operations manager**, in conjunction with the external moderation portfolio holder: to ensure external moderation occurs according to this procedure, to allocate staff for attendance at moderation meetings, and to ensure that all required documentation is sent and followed up.

**External moderation portfolio holder**: to provide documentation for moderation to the branch and/or to the external moderator, to amend any documents required or to advise the policy portfolio holder to amend policy and to train other staff in relevant changes as required.

**Tutor or branch manager**: when attending moderation meetings to ensure that they have all the required materials prior to the meeting, and that they report back to the operations manager promptly afterwards.

Last review of this procedure: December 2009

Reviewed by: DP

Approved by: GCG

# Notification and Reporting Policy

## Policy

It is the policy of G&H Training Limited to report as and when required to our stakeholders.

## Policy Objectives

### Reporting to Learners

This policy applies to all learners enrolled at venues or on G&H Web-based E-learning.

1. *Formative Reporting* - Tutors discuss learner progress and development with classroom-based learners regularly, ideally weekly. This is done with reference to the learner's individual training plan and pathways plan (if applicable), and informs the learner of their achievements to date and any remedial action recommended. Formative assessment evidence is held on file or in e-learning records. In regard to G&H Web-based E-learners who infrequently access the system, tutors may contact them either by email or over the telephone to discuss progress.
2. *Summative Reporting* - Learners are advised of their summative results after completion of a summative assessment and/or prior to end of their course. Summative assessment evidence is held on file or in e-learning records.

### Reporting to NZQA

It is the policy of G&H Training Limited to report as required to NZQA in order to comply with the Policies and Criteria for the Ongoing Registration of Private Training Establishments.

1. *Significant changes* - are notified to NZQA within two weeks of those changes. The NZQA portfolio holder prepares the required documentation in conjunction with the managing director. Significant changes are:
  - Change of ownership and governance
  - Change of senior management
  - Major changes of staffing
  - Change of listed premises that affects site accreditation
  - Major changes of funding, fees policies or funding source
  - Changes of existing course content or delivery that may require NZQA approval.
2. *NZQA ID Numbers* - Upon enrolment, all learners are asked for their NSN number. Verification of this is obtained from the NZQA or NSI website. G&H can obtain an NSN number for those who have no NZQA ID. For learners who are not hooked on, G&H forwards to NZQA the hook on fee received from the fee-paying learner's fees or from the TEC payments for targeted funding learners.
3. *NZQA Credit Results* – credit results are checked for accuracy and the correct results are reported to TEC via our student management system at regular times throughout the year.
4. *Evidence of self assessment activities and compliances* - to maintain PTE registration and accreditation.
5. *Course approvals* – for proposed new courses.
6. *Site accreditation* – for approval of any new venues.

### Reporting to TEC

It is the policy of G&H Training Limited to record and report learner achievement(s) in accordance with the Education Act 1989, sections 253(1)[c] and 292(6); Industry Training Act 1992, section 10, in an accurate and timely manner. This includes:

- Single Data Returns
- Youth Training data
- Modern Apprenticeship Quarterly reports

## Reporting to Other Stakeholders

Specific information regarding course enrolments, learner withdrawals, learners' results and course outcomes etc. are reported within the time frames and in the manner required by each organisation as per our obligations to them. This includes:

- Subcontracted course reports (to WITT)
- Plumbing course results (to PGDITO)
- STAR/USIS results (to contracting schools)

*First aid* – Where an optional first aid course has been subcontracted by G&H Training Limited, the company will follow up with the provider and the learners as necessary to ensure that the credits have been registered on the learners' Record of Learning at NZQA, and that they have been issued with a First Aid Certificate.

## Responsibility

**Managing director:** to ensure that all significant changes are notified to NZQA within two weeks of those changes. It is also the overall responsibility of the managing director to ensure that learner achievements are recorded and reported in accordance with the Education Act 1989, sections 253(1)[c] and 292(6): Industry Training Act 1992, section 10, in an accurate and timely manner.

**NZQA portfolio holder:** to notify NZQA of all significant changes within two weeks of those changes, in conjunction with the managing director; to oversee that results are accurately recorded and reported.

**Administration staff:** to ensure that all learner achievements are recorded, reported and archived in an accurate and timely manner.

**Branch managers and tutors,** in conjunction with the operations manager and regional managers: to ensure that learners receive fair and regular feedback on their progress and fair reporting on final achievement with an associated appeals procedure.

**Branch managers and tutors:** to ensure that all learner results are forwarded to head office in a timely manner to allow for accurate and timely recording and reporting.

## Documentation and other resources

All relevant documentation is to be copied and held on file [e.g. learner results, FDC reports, audit record file notifications of significant change, learner files].

Managing director, portfolio holders, administration staff, operations manager, branch managers, tutors, student management system.

Notification and Reporting Policy

Last review of this policy: December 2009

Reviewed by: DP

Approved by: GCG

# Privacy Act Policy

## Policy

Collection use, alteration, disclosure and disposal of information about learners, clients, stakeholders and staff, is carried out in accordance with the principles of the Privacy Act 1993.

## Policy Objectives

1. Personal information such as name, address, contact details, date of birth, ethnicity, education etc. is collected in lawful and fair manner from or about a learner on an enrolment form or in other documents to enable G&H to carry out its lawful purpose and function as a provider of education and training services. (Principle 1, 2, 3, 4)
2. Staff and management access and use or disclose particular categories of learner personal information to carry out their normal functions as required by the managing director of G&H, e.g. to assist the learner applying for Student Loans and/or Student Allowances. (Principle 1, 4, 10, 11)
3. On enrolment, the learner consents to the release of personal information to other organisations so they may carry out their various functions, e.g. Ministry of Education; New Zealand Qualifications Authority; Tertiary Education Commission; Industry Training Organisations; other tertiary institutions which the learner is transferring to or from or with which G&H has a subcontracted educational arrangement; any organisation involved with the teaching, certification or qualification of the programme of study being taken at G&H Training Limited; Work & Income New Zealand (Student Services) ; and employers. (Principle 3, 11)
4. In addition, when required under the Privacy Act, G&H Training Limited releases personal information to government agencies such as the New Zealand Police, Department of Justice, Work and Income New Zealand, and the Accident Rehabilitation Compensation Corporation (ACC) on approval by a management team member. (Principle 3)
5. Statistical or assessment information where no individual learner is personally identified is provided as required to organisations such as the Tertiary Education Commission and external moderators. (Principle 2, 3)
6. No other agency or person will be given learner information unless *approved in writing* by the learner beforehand. Once approval has been given, any change in this approval must be notified in writing. G&H will not be held liable unless such written approval has been received. (Principle 6)
7. G&H takes reasonable steps to ensure that the learner's personal information is correct before use. Corrections to personal information will be made on request with evidence to support the request if needed. (Principle 7, 8)
8. Learner academic records are stored long-term by G&H in paper and electronic form as required by NZQA and TEC, with reasonable protection from unauthorised access. (Principle 5, 9)
9. Learners may apply in writing to G&H Training Limited for a copy of their own personal information. (Principle 6)
10. G&H reserves the right not to enrol any intending learner who supplies incomplete or false information to G&H Training Limited. (Principle 3)
11. G&H uses a unique identifier for each enrolled learner for the sole purpose of efficient administration and reporting of learner achievements to authorised recipients as required under funding contracts. (Principle 12)
12. Personal information concerning all other clients, stakeholders and staff will be treated in accordance with the requirements of the Privacy Act 1993.

## Responsibility

It is the responsibility of the managing director and all staff to ensure that Privacy Act regulations are adhered to.

## Documentation and other resources

Learner personal files, learner academic record files, staff personnel files.

Managing director, management team, staff, Privacy Act.

## Privacy Act Principles (summarised):

1. Personal information is only collected if necessary for lawful purposes connected with the organisation's function and activity.
2. Personal information is collected directly from the individual concerned unless it is publicly available, the person has authorised collection, collection would not prejudice their interests, collection is required for law and order or public revenue to be maintained by a public agency, it will be used where the individual cannot be identified (e.g. statistics, research), or compliance is not reasonably practical etc.
3. The individual is aware of the following: that personal information is being collected, the reason, the intended recipients, the contact details of organisations who will collect and hold their information, whether it is required by law, the consequences of non-provision, their rights of access, how it will be collected (before they provide it), etc.
4. Personal information will be collected in lawful, fair and non-intrusive manner.
5. Personal information will be stored with security to protect it from loss and from unauthorised access or use or modification or disclosure or misuse.
6. If the stored information can be readily retrieved, the individual knows this, can access their own information and can request changes to it.
7. The individual can request corrections so personal information is not outdated, inaccurate, incomplete or misleading. If the requested corrections are declined a note is filed with the information regarding this.
8. Personal information is checked for accuracy before use.
9. Personal information is not kept for longer than necessary.
10. Personal information is not used for purposes other than it was collected for except as in 2 above.
11. Disclosure of personal information is limited to the reason for its collection or as in 2 above.
12. Unique identifiers are not used unless to enable the collector of personal information to operate efficiently to carry out their functions. Use by one organisation of unique identifiers issued by other organisations is limited to the directly related purpose of the information collected.





## **Criterion Eight**

# **Quality Assurance**

“Quality assurance is based on an evaluative approach that judges the quality, value and importance of educational outcomes and key contributing processes.”



# Quality Assurance Policy

## Policy

It is the policy of G&H Training Limited (G&H) to operate a quality assurance system based on an evaluative approach that focuses on quality, value and importance of educational outcomes and the processes that contribute to these being successfully achieved, and to ensure that its quality management system meets the standards set by NZQA as evidenced by internal self assessment and the scheduled NZQA external audits.

## Policy Objectives

1. The company's quality assurance system complies with NZQA requirements.
2. The company undertakes ongoing self assessment of performance through our comprehensive portfolio reporting, stakeholder feedback, internal moderation and internal audit systems.
3. The results of the self assessment activities are used to monitor performance and focus improvements where there are the best gains for learners and other stakeholders.
4. The company works in partnership with NZQA to ensure that in external review, our internal systems are sufficiently robust and effective to maintain a level of at least *Confident* in our educational performance and capability.

## Self assessment

Self assessment is conducted through the activities listed below. Taken as a whole, the self assessment activities provide a constant stream of performance information to management that can be analysed, corroborated, and prioritised to ensure that shorter and longer term improvements can be made where they are most needed.

## **Portfolio reporting against goals and objectives**

Objectives and performance indicators are set for all the key performance areas required in order to allow the company to achieve all its goals and objectives through regular measurement of progress towards them and remedial actions to be taken in timely fashion where required.

1. The goals and objectives cover all the performance requirements of G&H's key stakeholders, in particular TEC and NZQA, as well as all the operational goals and objectives needed for these requirements to be met. The approved G&H Investment Plan, our annual Business Plan and NZQA quality assurance requirements are covered in the goals and objectives.
2. Each staff member is assigned a portfolio of these goals and objectives. Accountability for the achievement of the portfolio goals and objectives rests with the portfolio holder.
3. Key performance indicators for each course are monitored by head office and progress towards targets is reported to branch staff, ideally monthly. This information is shared with the management team, Regional Managers and Mentors. Remedial action is expected where required to meet targets.
4. Individual learners who are lagging in progress with their individual training plan are identified and reported to the operations manager monthly for follow up by branch staff and the mentor.
5. The mentor monitors and reports learner progress and cultural matters to management.
6. Formal and informal feedback received from stakeholders that may influence governance and management decisions, from channels including emails, memos, letters, the feedback form in this manual, or other written communications, may be provided for discussion at management meetings if required, and the responses from management are reported back to the source.

## **Internal moderation**

Each branch is internally moderated against the relevant NZQA criteria for ongoing registration of Private Training Establishments.

1. Internal moderation is carried out at least twice annually at branches to ensure that staff are complying with the relevant operational policies and procedures, in particular those listed below.

- Organisational Structure and Staffing Policy;
  - Quality Assurance Policy;
  - Document Control Policy;
  - Staff Selection & Staff Development Policies;
  - Physical Resource Policy;
  - Health and Safety Policy;
  - Vehicle Use Policy;
  - Enrolment of Learners Policy;
  - Support and Guidance Policy;
  - Lesson Plan Development Policy;
  - Tutoring Method Policy and procedures;
  - Work Experience Policy;
  - Assessment Policy;
  - Assessment Moderation Policy
2. Internal moderation is recorded in a workbook covering all the criteria for ongoing registration. The workbook is revised annually.
    - a. The moderation is carried out by a senior staff member trained to carry out this function and report their findings.
    - b. Findings from the moderation are reported to the branch, progress with the actions required is noted in branch meeting minutes and at subsequent internal moderations.
  3. Visits may also be made by management to branches from time to time to review branch activities, contact staff directly, and ensure that the work of the staff is supporting the company's focus and direction.

### External audits

In addition to the external assessment moderation in which we participate with ITOs and standard setting bodies, we also assist other organisations with external audits of our operation as below and as otherwise if required, e.g. the Western Institute of Technology, Taranaki, who audit us under our subcontract with them. Any requirements negotiated as a result of these audits are actioned as agreed.

### Internal audits

Internal audits of original paperwork and electronic records are carried out at head office to ensure that G&H Training Limited is accurately reporting as required to its funding bodies and quality assurance stakeholders.

1. The audits are scheduled and are recorded in purpose designed workbooks and reports;
2. The audits sample areas that affect key funding and performance requirements for each type of training funded, including evidence of eligibility to enrol, enrolment start and end dates, credit achievement, labour market results, retention of evidence, stakeholder satisfaction, and any other quality factors that G&H Training Limited wishes to audit.
3. Results are reported to management for prompt follow up if required.

### Stakeholder feedback

Feedback is collected regularly from all the company's key stakeholders to identify areas for improvement.

1. Learner feedback is collected regularly and findings are reported to management.
  - a. Branches provide a feedback questionnaire at least twice on an annual schedule to all learners enrolled and attending on the day, which covers course information and induction, adequacy of resources, teaching methods, safety, support and guidance, work experience, satisfaction with the tutor, and overall satisfaction. Students are invited to state their ideas for improvement and their priority concerns.
  - b. EFTS learners are asked when they leave to provide feedback on their experience at G&H Training across a similar range of matters.
  - c. Student body meetings at branches. Learners are encouraged to facilitate their own regular meetings, ideally monthly, where they can comment on policies and practice within their learning environment. Learner representatives discuss the results of their meetings with branch staff. Notes from these meetings are sent to head office to use in conjunction with other learner feedback to identify areas for improvement.
  - d. All the learners' feedback is analysed and priority concerns reported to the operations manager. Overall findings from each branch are reported back to the branch within one month of the twice annual surveys, and to management quarterly.
2. Other stakeholder feedback is collected through means including:
  - a. Work experience reports and employer contacts.

Quality Assurance Policy

- i. Work experience employers provide feedback on the learner's Work Experience Record book on the learners' specific industry and foundation skills (this may show areas requiring the tutor to follow up with an individual learner, and may be used to make improvements).
  - b. Surveys carried out by and with branch staff.
    - i. Tutors follow up learners on work experience after their second day of placement and at the end of each month of a placement to ensure suitability and check progress. Additional informal discussions with work experience employers may be held where necessary to resolve any issues. Possible outcomes are noted and placements changed where necessary.
    - ii. Staff briefly survey a number of local employers regularly in regard to the effectiveness of our courses in preparing learners for the industry.
    - iii. Branch staff provide an annual overview of their work across a range of tutoring, training delivery and student support activities.
  - c. Formal and informal surveys of Modern Apprentices and their employers are conducted during the year and findings are reported to management.
  - d. Occasional surveys of block course attendees, web-based learners, school staff, ITOs, and other organisations that we work with are held from time to time to identify any improvements needed to our services.
3. Information provided by external organisations is reviewed and used appropriately.
- a. Updated information received in direct correspondence from NZQA, or researched via the Internet, is evaluated to ensure that our training resources are current and appropriate.
  - b. Quality and performance Indicators and benchmarks as made available by the appropriate organisations are used to evaluate the course(s) against the private training establishment sector.
  - c. Information such as research reports or statistics from other relevant organisations may be used.

### **Use of self evaluation information**

The quality assurance loop is completed through the use of this self evaluation information to drive improvements.

1. Portfolio holders monitor the progress towards each of the targets in their portfolio and report regularly (ideally, monthly, quarterly and annually) to management on progress towards goals and objectives. They use their reports to raise issues for decision making and make recommendations to address these issues. Management responds directly to staff recommendations, and promptly makes any improvements that are needed in the short term.
2. Internal moderation results are summarised quarterly for management, with an annual summary that may also track changes across calendar years.
3. An annual summary from the year's feedback is prepared for management, with recommended improvements. This may also compare results against feedback from previous years.
4. An annual report on progress with Investment Plan requirements and commitments is prepared.
5. The information from all the self evaluation sources is amalgamated into an annual report on achievement of the company's main goals and objectives, with a detailed report on the performance of each branch.
  - a. The purpose of these reports is to enable the company to identify and prioritise longer term concerns that require improvement in order to maintain our place in the network of quality regional training provision.
  - b. The details of these reports are to provide the company with specific information to enable improvements and are regarded as company business. They are not intended for publication outside the company although an overview report will be provided on our website.
  - c. Recommendations for strategic improvements arising from these reports are incorporated into future goals and objectives.
  - d. Any annual reporting required by TEC and NZQA will be derived from the company's internal self assessment activities.

### **Policies and procedures**

1. The company policy is determined by the management team, with final signoff by the managing director. The signed off policy and procedure manual forms the basis of our quality management system.
2. Policies and procedures cover all key business areas to enable the company to assure the delivery of quality services to its stakeholders within and beyond the Tertiary Education Strategy. Quality Assurance Policy

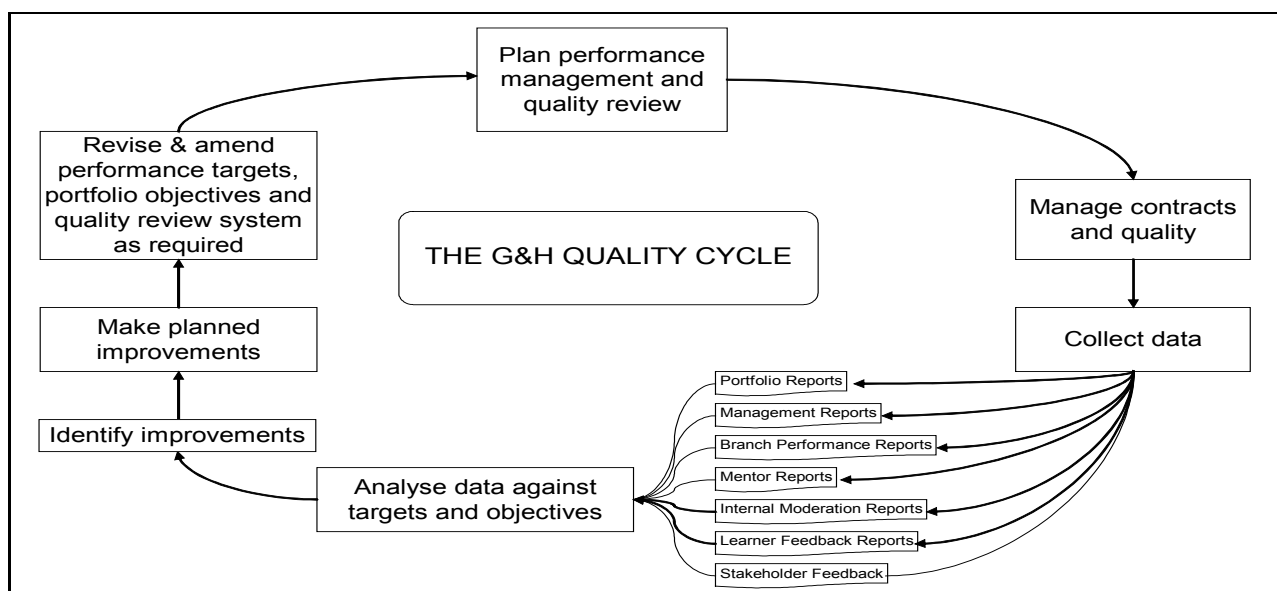
3. Policy changes come into effect with the release of new or amended policy documentation or at the date otherwise advised.
4. The quality management system and its policies and procedures, are reviewed annually, by the stated review date for particular policies, to reflect current good practice. Staff are invited to participate in this work. Staff are trained on the company's policy approach.
5. An updated Policy and Procedure Manual is distributed to each branch early each year in the form of a hard copy for learners to access, and an electronic version is placed on the company's intranet and website. The manual is managed between annual updates as follows:
  - a. If significant changes are made to policy or procedures to meet changed stakeholder requirements, branch staff are advised by memo with a copy of the appropriate pages to update the branch manual. Significant change is recorded in the front section of the manual and on a change tracking spreadsheet, and is presented to staff at regional and administration staff meetings.
  - b. When any change is made, the intranet version of the manual is updated and the update is notified on the intranet front page. The changes are marked with highlights. These highlights are removed and the latest changes are highlighted when the next annual update of the manual occurs.
6. A separate Modern Apprenticeships Policy and Procedure Manual is kept and managed according to the guidelines in this manual.

### Staff contributions to policy development

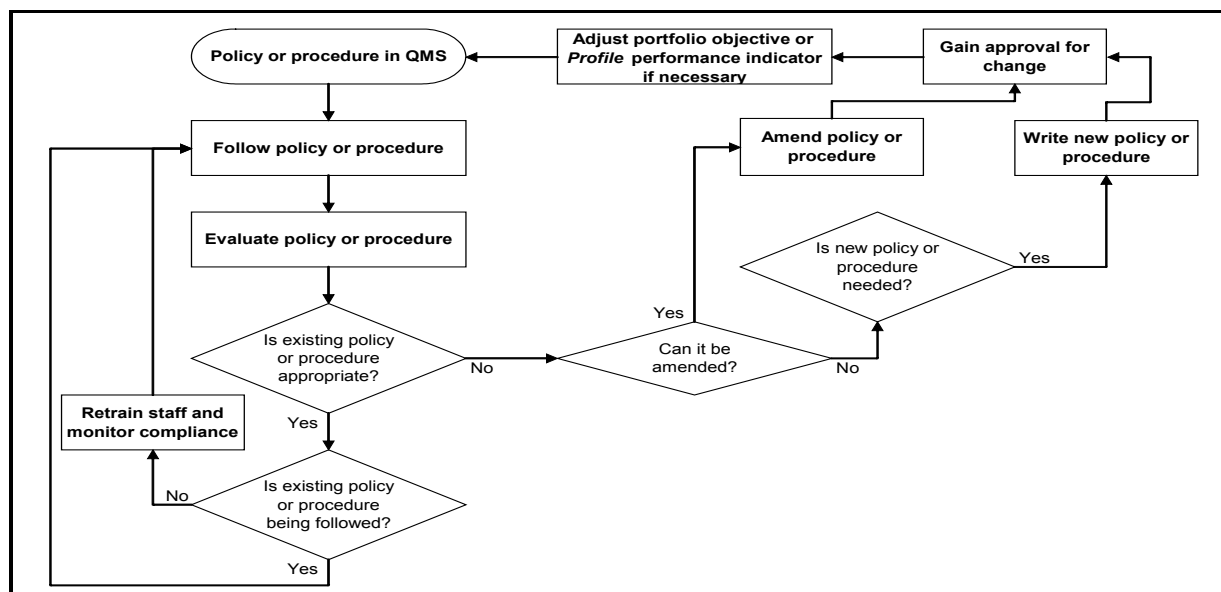
All staff are invited to provide feedback on policy at any time to enable the management team to make improvements, and in particular by December each year when this Policy and Procedure Manual is reviewed. Policy feedback to the policy portfolio holder should be on the form in this manual or in branch minutes. The operations manager may also be approached. When the policy portfolio holder or the operations manager receives recommendations for new policy or amendments, the procedure that will be followed is:

1. The appropriate stakeholder/s or affected staff will be consulted.
2. The matter will be discussed at the next management meeting.
3. Any reviews or actions approved by management will be undertaken with appropriate consultation.
4. Final changes will be advised as in 5 above.

### Feedback Loop for Quality and Performance Management System



## Policy Review System



### Responsibility

**Managing director:** to ensure that the strategic intent of each government funded programme is met.

**Operations manager:** in conjunction with the portfolio holders, to oversee and support the delivery of performance that meets contractual obligations and quality requirements.

**Regional managers, branch managers, tutors, operations manager:** to ensure that the day-to-day running of each course, the level of educational achievement and the outcomes achieved by the learners overall meets stakeholder requirements.

**Data collection and NZQA self assessment portfolio holders:** in conjunction with other portfolio holders, to operate the self assessment system to provide performance information regularly to the company as the basis for ongoing decision making.

**Feedback portfolio holder:** to gather, analyse and report stakeholder feedback with recommendations for improvement.

**Internal moderation portfolio holder:** to administer the internal moderation schedule, workbooks and reporting.

**Internal audit portfolio holder:** to administer an internal audit schedule, records, reporting, correction of errors found, and improvement of systems to minimise errors.

### Documentation and other resources

All relevant documentation must be distributed as required and kept on file [TEC and MOE strategic planning documents, Tertiary Funding Guide, contracts; company reports, other relevant data].

Managing director, operations manager, portfolio holders.

Quality Assurance Policy

**Last review of this policy:** December 2009

**Reviewed by:** DP

**Approved by:** GCG

# Staff Feedback on Policy and Procedures

Please photocopy this page from the branch hard copy

We invite feedback on any of the policies in this manual. Your feedback is welcome at any time and will be taken into account at the next review of the policy manual, or immediately if a significant change is justified.

Please provide feedback if you believe that the policy or procedure as stated, for example:

1. Contains an error.
2. Has become outdated due to a change of practice.
3. Cannot be complied with (state the reason), and should be amended (state the alternative).

Alternatively, photocopy the relevant page/s, write in your recommendation/s fill in this page and attach it to your recommendation.

<b>Branch:</b>		<b>Person recommending change:</b>
<b>Page #:</b>	<b>Policy name:</b>	
<b>What should be considered for change, and reason</b>		
<b>Page #:</b>	<b>Policy name:</b>	
<b>What should be considered for change, and reason</b>		
<b>Page #:</b>	<b>Policy name:</b>	
<b>What should be considered for change, and reason</b>		

**YOU ARE REQUIRED TO OPERATE TO THE EXISTING POLICIES AND PROCEDURES.**  
**Please do not implement your recommendations unless these are accepted as company policy.**

**RETURN YOUR FEEDBACK TO:**

Policy Administrator  
 G&H Training Limited Head Office  
 PO Box 3378  
**NAPIER 4142**

or  
 Phone (06) 843 8664  
 Fax (06) 843 8674  
 Email [des@ghtraining.co.nz](mailto:des@ghtraining.co.nz)



# APPENDIX

## Rules and regulations

For display at each training venue



# G&H Rules and Regulations

## LEARNER ENTITLEMENTS

1. Learners are entitled to take sick leave if:
  - The learner is too sick to attend training and study;
  - The learner is unable to study due to an injury they suffered on or off the training venue;
  - The learner has to nurse a sick close family member (the learner's husband, wife, partner, child or parent).
2. A learner may take leave on the death of a family member (husband, wife, partner, parent, child, brother, sister, grandparent, father-in-law or mother-in-law), or in other cases if they can show they have good reason.
3. Learners may apply for special leave in these cases:
  - Jury service (please give the tutor a copy of the summons);
  - Other court appearances (please show the tutor the letter or form from the court );
  - Job interview, driving test or off-site training leading to successful course completion.
4. No learner shall have to lift, carry or move loads heavy enough to cause injury.

## LEARNER RESPONSIBILITIES

1. Learners must make every effort to keep up the rate of progress needed to finish their course by their end date.
2. Learners must pay for replacement or repair if they lose or damage G&H property by misuse or lack of care.
3. Learners must wear suitable clothing at G&H and when on work experience:  
Not allowed: Hoodies worn with the hood up; gang regalia.  
Required: Safety equipment as notified in the workshop and on work sites.  
Closed in footwear (no sandals or jandals).  
Safety boots for workshop and work experience:-
  - EFTS and block courses: learners must provide their own boots.
  - Youth Guarantee and Youth Training: G&H will loan learners safety boots for use in workshops and at work experience.  
Learners in the automotive workshop must also wear the overalls provided by G&H.  
Learners must return the boots and overalls in good condition. If they lose or damage them, they will have to pay for the cost of repair or replacement.
  - Wear warm clothing and rain protection to work experience, depending on the weather.
4. Learners must look after and protect any of their own property that they bring to the training venue.
5. No weapons, illegal substances or hazardous goods may be brought to the training site.

## **G&H RESPONSIBILITIES**

1. G&H shall provide:
  - A learning environment where there are resources and support to help learners to learn and achieve their goals, and respect for each person.
  - A safe environment that complies with the Health and Safety in Employment Act, 1992 and its amendments.
  - A kitchen facility for learners to heat their own food or keep it cool.
  - Tea, coffee, milk, sugar and hot water free of charge. (G&H does not provide Milo or facilities for learners to buy food or drinks.)
2. G&H will tell learners and the Tertiary Education Commission about each non-contact day 2 weeks prior.

## **HOUSE RULES**

### **Attendance:**

1. Learners must attend training at our venue during normal training hours as follows:
  - EFTS learners who are on track with or ahead of their Individual Training Plan and are work ready must attend tutored classes and workshops for 20 hours per week, Monday to Wednesday, 8.00 a.m. to 3.30 p.m.
  - EFTS learners who are behind on their Individual Training Plan must attend classes and workshops from 8.00 a.m. to 3.30 p.m. Monday to Friday to get more help from the tutor.
  - Youth Training learners must attend classes for at least 30 hours a week from 8.30 a.m. to 3.30 p.m. Monday to Friday, not counting lunch breaks.
  - There is a half hour lunch break each day, with 15-minute breaks for morning and afternoon tea.
2. All work ready learners must do work experience at the agreed times and places on Thursdays and/or Fridays (or as arranged). Hours of work experience must be between 7.30 a.m. and 5.30 p.m. on weekdays. Learners should not do more than 40 hours per week of study plus work experience.
3. Learners who cannot attend training or work experience must tell their tutor before 10a.m. on each day they will be away. The learner must tell the work experience employer directly if they cannot go to work experience.
4. The learner must provide a Medical Certificate if they are away for 3 days or more for sickness or injury.
5. If a learner is off sick often, or is away so much that they will not be able to finish their agreed course on time, they will be asked to talk to G&H about whether to stay on the course. They can bring a support person to help.

EFTS / Youth Guarantee learners: G&H may ask to suspend their course. Where the learner is getting a student allowance or a student loan, he/she must ask their case manager at StudyLink for advice.

Youth Training: if a learner is off sick for 2 weeks they will be withdrawn from the course. They may be able to apply to the Department of Work & Income for a sickness benefit and may be able to come back to G&H later.

## **Behaviour:**

1. Smoking inside any G&H buildings is not allowed. Use the smoking area outside during tea or lunch breaks.
2. Learners are not to make so much noise or chatter that they disrupt others who are working, studying or sitting assessments at the G&H venue.
3. Learners must help to keep the premises clean and tidy and help with the weekly clean up at the branch as directed by the branch staff.
4. The branch manager may let the learners use a radio in the workshop. If so, the tutor will decide the station, the times and how loud it can be played. The tutor will turn the radio off if the learners abuse this privilege.
5. Any electronic devices such as cell phones, music players, computers (hand held or laptops), cameras, games etc. brought by learners can only be used at break times. They must be switched off in classes and workshops. The staff will warn a learner if they use these during study or cleanup times, and will confiscate the device if they do it again. (A learner may apply for an exemption in special cases.)
6. Skateboards are not to be used at G&H during training hours, but may be used to get to and from the venue.
7. G&H Training Limited does not tolerate or condone harassment. Any learner or tutor who believes they have been harassed should report it promptly using the Complaints Procedure.

Harassment is behaviour that the person on the receiving end says is unwelcome, uninvited, humiliating, offensive or intimidating for reasons of gender, sexual orientation, race, colour, religion or ethnic or national origins.

To be harassment, the behaviour is either repeated, or is serious enough for the receiver to feel harmed.

Sexual harassment may include:

- Sexual assault;
- Requests for sex with hints or promises of favours or threats about the person's success or future at G&H;
- Sexual or smutty jokes or comments, verbal abuse, teasing or gestures that the person they are made to says are offensive;
- The display of pornographic pictures in the training venue;
- Unwelcome contacts such as social invitations, phone calls or texts, emails, during or outside training hours;
- Deliberate physical contact, e.g. patting, pinching, touching or putting an arm around someone if they did not ask for it or do not want it.

Racial harassment may include:

- Offensive remarks or jokes about a person's race;
  - Calling a person by a racist name;
  - Mimicking a person's accent or the way they speak.
1. G&H will take complaints of harassment made by anyone connected with the company seriously. We will follow up straight away, and as far as possible without taking sides, to find out the facts and to keep the matter confidential. We will take notes of our investigations and keep them on the personnel files of the people involved.
  2. Any learner or tutor making a harassment complaint may use a support person of their own choice throughout the procedure. Female learners may contact our female support person at head office as the first point of contact.
  3. If a case of harassment is proven, G&H treats it as serious misconduct (see below).
  4. To avoid false claims of harassment or abuse being made against them, tutors and learners should not meet at times or in places that may put them at risk, or do or say anything that others may take as harassment.

## **PENALTIES FOR MISCONDUCT**

### **Instant dismissal for serious misconduct**

Learners may be instantly dismissed from their course for an act of serious misconduct when, in the tutor's opinion, he has evidence that the learner is:

- Acting in a way that puts or is likely to put their safety or the safety of others at risk;
- Physically or verbally abusing, threatening, bullying, harassing or sexually harassing any person to do with G&H;
- Under the influence of drugs or alcohol;
- Distributing, supplying, or in possession of drugs or alcohol at a G&H or work experience venue;
- Caught smoking in non-smoking areas;
- Caught cheating on any assessment;
- Caught damaging or defacing property at a G&H or work experience venue;
- Caught stealing from a G&H or work experience venue.

### **Reasons for suspension or dismissal**

G&H will not allow a learner to attend the course or remain enrolled if there is evidence that the learner:

- Has failed to attend class on FIVE consecutive days and/or has failed to tell the tutor they will be away by 10 a.m. on each day of absence;
- Does not make a good effort to meet all course requirements;
- Is stopping other learners from learning or stopping the tutor from being able to help others learn;
- Goes on breaching these rules and regulations after getting written warnings.

### **Penalties for minor misconduct**

If a learner does not obey the House Rules, or behaves in some other way that is generally not acceptable, depending on how serious the misconduct is or how often it has happened, G&H may:

- Issue a warning.
- Withdraw privileges.
- Call a meeting with whanau or a support person etc.

## **DISCIPLINARY PROCEDURE**

1. Serious misconduct: G&H will issue a formal notice of instant dismissal with no prior warnings.
2. Less serious misconduct: a system of warnings applies.
  - a. First offence: the tutor may warn the learner verbally and remind them about the rules and regulations and the formal disciplinary procedure.
  - b. Repeated or more serious offence: the learner is issued with up to two warning notices in writing that are signed by the tutor and the learner, and kept on file. These are part of the formal disciplinary procedure.
  - c. If the bad behaviour does not stop, the tutor will issue a final written warning.
3. Penalties: may be imposed when a tutor issues a warning notice or a final written warning:
  - a. A learner may be sent to study in a separate area away from the classroom, or be sent home for the rest of the day if they are disrupting others' learning;
  - b. A learner may be suspended for up to one week for behaviour that more seriously affects others at the venue. This time out is part of the learner's course duration and they will not be able to change their course end date, but they can go on working at home by themselves that week.
4. If the bad behaviour recurs after a final written warning, the tutor will issue a formal withdrawal.
5. If a learner is suspended or dismissed from their course G&H will not reimburse any fees or costs as of right. Appeals in such cases may be made to the operations manager.

## **RIGHT OF REPLY**

No penalty will be imposed on any learner without the learner first having a chance to put their case. To do this:

1. Fill in a Right of Reply form available at the venue.
2. Fax, mail or hand it to the operations manager at head office.
3. The operations manager will investigate the disciplinary procedure and decide if it was fairly and properly used.
4. G&H may call a meeting with the learner and their support person for more serious matters.
5. If the learner is not satisfied with the result they should use the Complaints Procedure.

## **COMPLAINTS PROCEDURE**

1. To make a complaint to G&H:
  - a. First, try to deal with the complaint at the branch. Go to the tutor, branch manager, and/or the regional manager.
  - b. Second, if not satisfied, take the complaint to the operations manager at head office.
  - c. Thirdly, if still not satisfied, take the complaint to the managing director.
  - d. NZQA is the last resort for complaints about G&H Training Limited:  
*New Zealand Qualifications Authority, P O Box 160, Wellington, Phone: 04-802-3000.*
2. Serious complaints shall be dealt with in writing by both parties.
3. The person making a complaint may use a support person at any time in the process.
4. A learner may complain first to the mentor who will help them to follow this complaints procedure.