



UNIVERSAL EDUCATION AND TRAINING LTD

Policies & Procedures Manual

This is a live document to document which may be subject to change without notice. All changes will be approved by the CEO prior to implementation. This document was last updated on the 17th of February, 2016.

RTO Number: 30173
CEO: Paul Truasheim

Contact Details for Universal Education and Training:

Postal Address: PO Box 1061, Nambour, 4560
Phone (within Australia): 1300 660 809
Phone (Internationally): +61 7 5442 3511
Facsimile: +61 7 5442 3599
Email: admin@unet.edu.au
Website: www.unet.org.au

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NOTE: *Red type infers a Form or Document that has been developed by this organisation for reference to Policies and Procedures, or, for use in record keeping related to the fulfilment of Policies and Procedures.*

Universal Education and Training Ltd (UNET) is committed to excellence in training and equipping people to be all that they can be in whatever field of endeavor they pursue.

It follows then that UNET is committed to adhere to best practice guidelines for recognised training in Queensland, as adopted by the Australian Skills Quality Authority (ASQA), and as they apply to the presentation and development of UNET.

It is also the policy of UNET to ensure that its systems, record keeping, and administrative services, along with the training and services it offers are fully compliant with the recommendations and policies embodied in the Standards for NVR Registered Training Organisations 2012.

This ***Policy and Procedures Manual*** has been developed over time and revised in an attempt to ensure that UNET continues to comply with all that is expected, and continues to maintain its status as a Registered Training Organisation in Queensland.

This ***Policy and Procedures Manual*** does not stand alone. Companion documents include:

1. ***Course Documents*** -- a full description of the curriculum associated with the accredited Courses offered by UNET.
2. ***Student Handbook*** -- information made available to students which contain all policies relevant to their completion of training. A current version is found on our website at www.unet.org.au
3. ***The Standards for Registered Training Organisations (RTOs) 2015***
4. ***Training and Assessment Strategies***

OUR COMMITMENT

UNET is committed to high standards in the provision of Vocational Education and Training and other Student services. The policies set out in this **Code of Practice**, and in our **Policies and Procedures Manual** underpin the operations of the RTO.

LEGISLATIVE REQUIREMENTS

UNET will comply with all legislative requirements of State and Federal Government, in particular Work Place Health and Safety, Workplace Relations, Anti Discrimination and Equal Opportunity.

EXTERNAL REVIEW

UNET has agreed to participate in external monitoring and audit processes as required by the [Australian Skills Quality Authority](#). This includes random quality audits, audit following complaint and audit for the purpose of re-registration.

QUALITY MANAGEMENT FOCUS

UNET has a commitment to providing a quality service and a focus on continuous improvement. We value feedback from students, trainers and industry representatives.

MANAGEMENT AND ADMINISTRATION

UNET has policies and procedures, which ensure sound financial and administrative practices. We guarantee the organisation's sound financial position and safeguard student fees until used for training or assessment. We have a fair and equitable refund policy. Student records are kept securely and confidentially and are available for student perusal on request. UNET will have any relevant insurance necessary for the operational needs of the organisation.

PRE-ENROLMENT INFORMATION, MARKETING AND ADVERTISING

We refer to the [The Standards for Registered Training Organisations \(RTOs\) 2015](#) when designing, developing, reviewing, proofreading, and updating all materials either written or electronic for the marketing, advertising and promotion of our services to ensure ethical, accurate, representation of training products and services that are consistent with our scope of registration.

TRAINING AND ASSESSMENT STAFFING STANDARDS

UNET has personnel with appropriate qualifications and experience to deliver the training and facilitate the assessment relevant to the training products offered. Assessment will meet the National Assessment Principles including Recognition of Prior Learning (RPL). Adequate training materials will be utilised to ensure the learning outcomes of the training product can be achieved. Appeals procedures are in place for students who are not satisfied with the assessment or training.

COURSE/TRAINING PRODUCT INFORMATION

UNET provides accurate, relevant and up-to-date course information for students prior to commencement. This includes:

- Client selection, enrolment and induction/orientation procedures - outlined in the **Student Handbook**;
- Course information (including; content, fees and charges, refund policy and vocational outcomes) - outlined at:
 - www.lti.edu.au (for 10317NAT & 10318NAT)
 - www.unet.org.au (for ICA30111)
 - www.christianministry.com.au and www.freebiblecollege.com.au (for 10433NAT & 10434NAT)
- Provision for language, literacy and numeracy support in assessment - outlined in the **Student Handbook** and the **Training and Assessment Strategy**;
- Flexible learning and assessment procedures - outlined in the **Student Handbook** and the **Training and Assessment Strategy**;
- Welfare and guidance services - outlined in the **Student Handbook**;
- Appeals, complaints and grievance procedures - outlined in the **Student Handbook** and this **Policies and Procedures Manual**;
- Disciplinary procedures - outlined in the **Student Handbook**;
- Staff responsibilities for access and equity – outlined in this **Policies & Procedures Manual**
- Recognition of Prior Learning (RPL) arrangements - outlined in the **Student Handbook** and relevant course **RPL Guides**

Universal Education and Training Ltd (UNET) is committed to excellence in training and equipping people to be all that they can be in whatever field of endeavor they pursue.

It follows then that UNET is committed to adhere to best practice guidelines for recognised training in Queensland, as adopted by the Australian Skills Quality Authority (ASQA), and as they apply to the presentation and development of UNET.

It is also the policy of UNET to ensure that its systems, record keeping, and administrative services, along with the training and services it offers are fully compliant with the recommendations and policies embodied in the Standards for Registered Training Organisations (RTOs) 2015.

The Standards for Registered Training Organisations (RTOs) 2015 – Available at <http://www.comlaw.gov.au/Details/F2014L01377> or contact UNET to get a copy.

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ENSURING QUALITY TRAINING & ASSESSMENT STRATEGIES

A **Training and Assessment Strategy** is required before the commencement of any courses by UNET or its training partners. UNET ensures that all training and assessment strategies:

- Comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses. They must also include the volume of training provided;¹
- Identify proposed target groups and the amount of learning provided in the context of the existing skills, knowledge and the experience of the learner²;
- Identify the mode of delivery and the units or modules delivered in the case where a full qualification is not offered.³
- Where relevant, focus on the application of knowledge and skill to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills;
- Involve the evaluation of sufficient evidence to enable judgments to be made about whether competency has been attained;
- Are equitable for all persons, taking account of cultural and linguistic needs; and
- Assessment utilises a number of methods may be used in combination in order to ensure that sufficient evidence to make a judgment has been collected.
- Have been developed in consultation with industry ensuring that a range of strategies are utilized for industry engagement to ensure the relevance of UNET's training and assessment strategies and the current industry skills of its trainers and assessors.⁴
- A number of both training and assessment methods may be used in combination in order to ensure that adequate training has occurred and sufficient assessment evidence has been collected.
- Lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course;
- Determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses⁵.
- Training and assessment strategies are revised at moderation and validation meetings and are modified in response to industry input (Refer to Validation Policy).

ENSURING FAIR ASSESSMENT STRATEGIES

UNET ensures that strategies for assessment, regardless of whether through a training and assessment pathway or an assessment-only pathway (e.g. Recognition of Prior Learning⁶):

- Involve the evaluation of sufficient evidence to enable judgments to be made about whether competency has been attained according to the Training Package requirements;⁷
- Comply with the rules of evidence: Validity, reliability, fairness and flexibility; provide for applicants to be informed of the context and purpose of the assessment and the assessment process;⁸
- Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- Provide for reassessment on appeal;

¹ 1.1

² 1.2

³ 1.3

⁴ 1.5 & 1.6

⁵ 1.7

⁶ 1.12

⁷ Table 18.1

⁸ Table 18.2

- Meets the requirements of the relevant Training Package or VET accredited course; and⁹
- Meets workplace and, where relevant, regulatory requirements; and
- Is systematically validated (refer to Validation Policy).

DEVELOPMENT, ADAPTATION & DELIVERY OF TRAINING & ASSESSMENT

UNET ensures that in developing, adapting or delivering training and/or assessment products and services it:

- Identifies students learning needs, and methods for designing training and assessment, are documented;
- The requirements of the Training Package or accredited course are met;
- Units, as appropriate, are identified;
- Language, literacy and numeracy requirements develop the learning capacity of the individual and are consistent with the essential requirements for workplace performance specified in the relevant units of competency or outcomes of accredited courses;
- Delivery modes and training and assessment materials which meet the needs of a diverse range of students are identified;
- Where assessment or training is conducted in the workplace, UNET negotiates the Training and Assessment Strategy with the employer and learners; works with the employer to integrate any on-the-job training and assessment; and schedules workplace visits to monitor/review the training and assessment;
- Where an Apprenticeship/Studentship Training Contract is in place or being negotiated, individual **Training Plans** are developed, documented, implemented and monitored for each apprentice or student, encompassing all relevant off-the-job training and structured workplace training; and
- Where assessment or training is conducted on-line or by distance, the organisation has effective strategies for learner support, monitoring and assessment.

EQUIPMENT, TRAINING & ASSESSMENT MATERIALS

UNET's training and assessment materials are mapped to the course requirements (outlined in the *Training Package or VET accredited*) prior to Course delivery.

UNET ensures that adequate access to equipment and resources requires for training and/or assessment is given throughout the delivery of the course¹⁰.

TRAINER & ASSESSOR POLICY

Trainers and Assessors who are responsible for the training/assessment of learners need to possess the necessary competencies in training. Prior to a Trainer and/or Assessor commencing work for UNET, their experience and qualifications are checked against the Trainer/Assessor Competencies outlined in the relevant Course Document or Training Package, ensuring that they:

From 1 January 2016, an RTO's training and assessment must be delivered only by persons who have:

- vocational competencies at least to the level being delivered and assessed;
- **current industry skills** directly relevant to the training and assessment being provided;
- **current knowledge and skills in vocational training and learning** that informs their training and assessment; and
- *TAE40110 Certificate IV in Training and Assessment* or its successor or a qualification in adult education at a diploma or higher level.¹¹

To ensure trainers and continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence, they are required to report on their professional development annually by completing a **Professional Development Form** (refer to Professional Development Policy).

⁹ 1.4

¹⁰ 1.3 d

¹¹ 1.13

WORKING UNDER SUPERVISION

UNET does not allow any persons who do not meet Clauses 1.13 – 1.16 of the Standards for Registered Training Organisations to formally conduct any training or assessment¹².

In some cases, industry experts may be invited to provide information as a guest lecturer, but only under direct supervision of the Trainer who must be present at the time of the lecture. These lectures are treated as an additional / supportive resource and not formal training.

In some cases, an approved Course Facilitator may be involved to facilitate learning (e.g. for a cluster of distance students working as a group). A Course Facilitator is not permitted to provide any formal training and assessment and must operate under the guidance of a qualified Trainer and Assessor (e.g. a distance trainer). Course Facilitators are permitted to:

- Provide guidance and information on administrative processes
- Assist with keeping students on track with course work (e.g. setting goals)
- Facilitate the connection of students working together in a support group
- Answer questions about where certain course information can be found
- Direct students to information available in approved course resources
- Assist with practical placement arrangements

Course Facilitators are not permitted to:

- Provide any formal training or assessment
- Say whether a student's answer would be considered correct or incorrect
- Provide any learning information other than approved course resources

STAFF INDUCTION POLICY¹³

The purpose of the Staff Induction Policy is to define the process required to induct new staff into UNET and to ensure staff are aware of the policies and procedures that relate UNET's compliance obligations in respect to its Registration as an RTO.

This policy covers all new employees to UNET, whether permanent, part-time or contractor.

New staff and trainers are provided with a staff orientation email which outlines the below and contains links to additional information where necessary:

- A description of the RTO Mission and Vision Statement. Overview of future operations, Culture & Ethos, and its effects on staff conduct
- Introduction to colleagues
- The Australian Quality Training Framework
- The Standards for Registered Training Organisations (2015)
- UNET's scope (Accredited Courses & Training Packages available)
- What Competency Based Training and Assessment is
- The Policies and procedures manual
- Risk Management and Continuous Improvement - information regarding the process of risk management, continuous improvement and how staff are involved
- Staff meetings and communication processes

In addition, new staff are required to complete and agree to an employment agreement which provides:

- Hours of involvement: Expectations regarding starting and finishing times, breaks etc.
- Professional development requirements & resumes
- Employment conditions and procedures including contracts, amount, method and time of payment.
- Expense accounts.
- Ownership of training session material.
- Their position description, including; role, duties and responsibility
- Confirmation they have read and understood the UNET Policies and Procedures Manual

¹² 1.18

¹³ 1.3, 1.13-1.24

It is the responsibility of the RTO CEO, or his delegate, to ensure that each new staff member is familiarized with their relevant facilities, including kitchen and toilets, lock up procedures, availability of keys and designated parking.

STAFF PROFESSIONAL DEVELOPMENT POLICY ¹⁴

As a Registered Training Organisation (RTO), UNET ensures all training is delivered by a Trainer/ Assessor who has the TAE40110 Certificate IV in Training and Assessment or equivalent. Trainers & Assessors must demonstrate vocational competencies at least to the level of those being delivered and also provide evidence of industry currency.

Trainers & Assessors who assess nationally Recognised Qualification courses are required to submit the following:

- a. Any mapping information to demonstrate industry/vocational experience that match requirements of each unit of competency/modules to at least the level against which the Assessor is assessing, as well as the assessment and vocational competencies as required.
- b. Schedules for and reports on return to industry activities, testimonials, referee reports (submitted with Professional Development Form annually).
- c. Currency of professional development/training (Professional Development Form submitted annually).
- d. Copies of qualifications.
- e. A current copy of resume (submitted with Professional Development Form annually)

Trainers & Assessors are also required to provide a list of any Personal Development for the past twelve months and any proposed Personal Development required for the next 12 months (recorded on the Professional Development Form annually).

Professional Development can include (but is not limited to):

- a. Attendance at relevant professional workshops, seminars and conferences on learning or assessment;
- b. Participation in networks, communities of practice or mentoring activities;
- c. Personal development through reading of industry journals;
- d. Participation in projects with industry;
- e. Continuous Development Plan;
- f. Induction programs;
- g. Meaningful engagement with professional and relevant industry bodies;
- h. Teaching and learning methods, understanding of the VET system;
- i. Reviewing Training Packages and/or Accredited Courses;
- j. Reviewing data from learners/stakeholders;
- k. Information from Regulatory Bodies; and
- l. Shadowing or working closely with other trainers and assessors.

Facilitators and Assessors are required to annually record and report on their professional development using the **Professional Development Form**.

VALIDATION POLICY ¹⁵

ASSESSMENT STRATEGY VALIDATION

UNET validates its assessment strategies by:

- a) Systematically reviewing, comparing and evaluating the assessment processes, tools and evidence contributing to judgments made by a range of assessors against the same competency standards;
 - i. Validation is conducted external persons or organisations through the following process:
 1. Validation feedback collected
 - a. For TESOL - through the use of UNET's TESOL resources and via specific request when required (e.g. when significant changes to the Course assessment materials are made).
 - b. For Christian Ministry – through engagement with Churches

¹⁴ 1.3, 1.1.13-1.24

¹⁵ 1.9-1.11, 1.25

- c. For Digital Media and Information Technology – through engagement with external RTOs and IT industry employers.
 - 2. Validation feedback is provided to the CEO or the Course Manager
 - 3. Validation feedback is reviewed and recommendations for improvement are made (if any) via email or at a meeting involving any people deemed necessary (e.g. CEO, Course Manager, Trainers, Admin Staff, Online System Management Staff, etc.)
 - 4. If any recommendations for improvement are made:
 - a. They are implemented by the Course Manager (or their delegate)
 - b. The improvements are presented to the external person(s) or organization(s)
- ii. Validation is conducted via internal persons through the following process:
 - 1. Student assessment evidence is reviewed by the Course Manager or Compliance Officer prior to the issue of certificates
 - 2. Feedback on the Trainer / Assessor’s marking, student assessment feedback style, documentation standards etc. is provided to the Trainer / Assessor
 - 3. If the Course Manager or Compliance Officer identifies and recommendations for improvement then this is done via email or at a meeting involving any people deemed necessary (e.g. CEO, Course Manager, Trainers, Admin Staff, Online System Management Staff, etc.)
 - 4. If any recommendations for improvement are made they are implemented by the Course Manager (or their delegate).
- b) Documenting any action taken to improve the quality and consistency of assessment via (whichever method is suitable);
 - i. Validation Reports
 - ii. Email Correspondence
 - iii. Minutes of any meetings

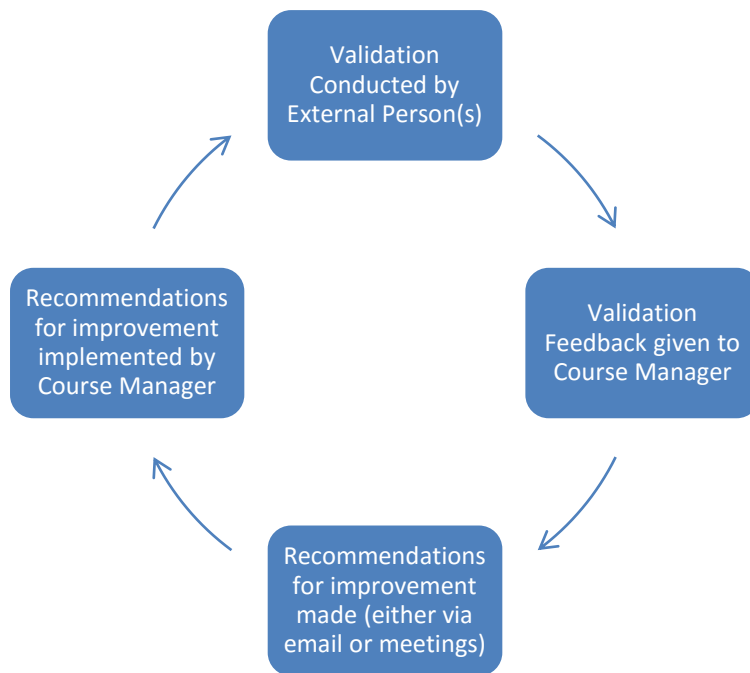
This process is actioned by:

- a) Assigned assessors who have the relevant vocational competencies and industry skills will lead and contribute to the reviewing and validating the UNET’s training products as per the UNET validation schedule. The validation will also include persons who have current knowledge in vocational teaching and learning;¹⁶
- b) A schedule that will ensure validation is planned and that every training product is validated at least every five years with at least 50% of validated in each five year cycle. UNET will apply a risk management approach to the scheduling of which training products will be validated;
- c) The schedule will determine which training products will be validated;
- d) Staff allocations that will determine who will lead and participate in the validation activities.
- e) UNET will ensure that validation involved one or more persons who have not be involved in the particular instance of the training product being validated.¹⁷

¹⁶ 1.11 a,b,c.

¹⁷ 1.11

VALIDATION FLOW CHART



RECOGNITION OF PRIOR LEARNING (RPL) POLICY¹⁸

UNET makes available information about RPL opportunities prior to enrolment and students are asked if they would like to apply for RPL on enrolment¹⁹.

The RPL process is structured so as to be cost effective and fair for both UNET and students.

Applicants who consider that they have completed appropriate training or have through prior learning and experience gained the required skills/competencies stipulated for the units of the course may be granted credit upon substantiation of that claim.

The assessment will be professionally conducted and will be valid, reliable, flexible and fair.

Evidence for RPL may include:

- Evidence of current competence
- Performance, demonstration, or skills test
- Portfolio, logbook, task book, projects or assignments
- Written presentation
- Interview
- Case studies
- Other certificates or transcripts
- References / Supervisor Testimonials

If there is sufficient evidence in the application and supporting documentation, no further assessment will be necessary. If further assessment is required, it may take any practical form consistent with the assessment criteria for the claimed competencies and the principles of validity, reliability, fairness and flexibility. The form of assessment may be negotiated with the student and may consist of interview, written assignment, exam, or other method.

All RPL assessment must be conducted by a qualified Assessor.

¹⁸ 1.8

¹⁹ 1.12

Applicants will be advised prior to beginning the Application Procedure of what they will be charged for the RPL/RCC assessment.

Successful students are notified promptly of the RPL/RCC outcome. The Assessor advises unsuccessful students of reasons for non-recognition and steps they can take, including appeal mechanisms.

If unsuccessful, the client advised of appeal procedure and advised of study reduction time and credit transfer details.

CREDIT TRANSFER²⁰

Credit Transfer assesses a Candidate's prior learning achieved through the formal education and training process. Credit Transfer seeks to match the learning outcomes of previous training to those of the current program for which Candidates are seeking recognition. UNET accepts and provided credit for units of competency completed with other RTO's or AQF authorised organisations. All direct credit applications will require authenticated VET transcripts.

TRANSITIONING TO NEW QUALIFICATIONS POLICY²¹

UNET does not deliver and/or assess revised Training Packages or accredited courses unless they have gained approval from the registering body, confirmed by the inclusion of the revised Training Package or accredited course on UNET's scope of registration.

UNET ensures it meets the requirements of the revised Training Packages or accredited course within at least one year of the replacement training product being released on the National Register. UNET ensures that students are not enrolled in qualifications that adversely affect their opportunities for employment and/or future study pathways. Where a Training Package has been revised and new qualifications developed, student enrolments within the new qualification commence as soon as possible and no later than 1 year after publication of the revised Training Package. UNET ensures that when enrolling students that they abide by transition requirements within the accredited course documentation. New students do not commence training or assessment in any training product that has been removed from the National Register. UNET ensures that trainers and assessors are aware of changes in the revised Training Package or accredited course and related training and assessment strategies and resources. Learners, employers and other relevant stakeholders affected by these changes are advised of how the changes will affect them.

UNET implements strategies for transitioning students to the new qualification/course or 'teach out' students in the superseded qualification/course within a timely manner, within the timeframe designated by ASQA in their General Direction, Transition and Teach Out .

UNET's management system, including management of enrolment and student records management, relevant policies and procedures are also reviewed to take into account the changes required to transition to a new training product.

CONTINUOUS IMPROVEMENT POLICY²²

UNET will ensure that it complies with the Standards for RTO's 2015 at all times. To ensure compliance UNET ensure that its continuous improvement procedures provide the structure for UNET's strategy. This procedure uses the following steps:

UNET systematically collects information and feedback to assist in the continuous improvement process from the following sources:

- Quality/performance indicator data collected under Clause **Error! Reference source not found.**,
- Validation outcomes;

²⁰ 3.5

²¹ 1.26, 1.27

²² 2.1, 2.2

- Client, trainer and assessor feedback;
- Complaints and appeals;
- Students – at the end of their course using the **End of Course Feedback Form**
- Trainers – **encouraged to provide feedback at anytime and also requested to provide feedback** as required
- Industry and Other Stakeholders – as required
- Internal and external audits
- RTO Staff - Staff, Trainer, Assessor & student meetings
- Informal discussions
- Emails
- External experts & attendance at seminars, information days etc.

After approval is given – if improvements are necessary - appropriate staff member(s) are delegated responsibility to make any changes necessary.

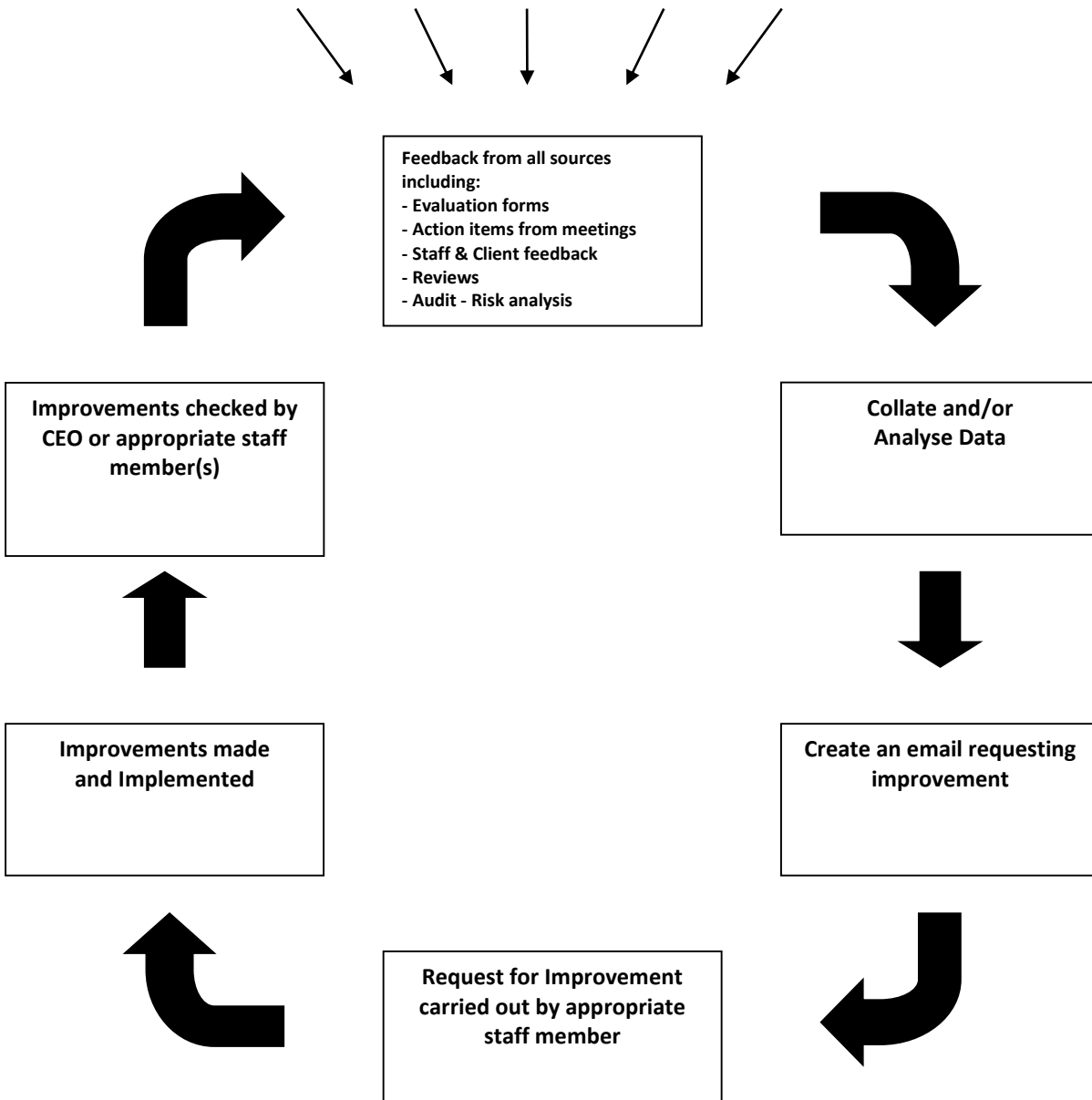
COLLECTION AND USE OF FEEDBACK

The CEO or representative will then collate and analyse the data collected through the feedback process and produce an email requesting any changes required if an improvement is required.

In addition to this, students are invited to provide us with feedback anytime.

If it appears to a student that their feedback is not being responded to appropriately, they are invited to approach one of our Staff or Training Partners to speak openly about the situation. If the student doesn't feel that they are being listened to, they can formally put their complaint in writing to the UNET Office. Refer to **Complaints, Grievances & Assessment Appeals Policy** for information on the process.

FEEDBACK FLOWCHART



THIRD PARTY PROVIDERS POLICY²³

UNET may sometimes choose to partner with other organisations who have experience or qualifications in a particular area of training.

UNET will have, and comply with, a Memorandum of Understanding with each organisation that provides training and/or assessment on behalf of UNET. This will specify how each party to the agreement will discharge its responsibilities for compliance with the *Standards for Registered Training Organisations (RTO's) 2015*.

UNET's Training Partners may be involved in the administration, delivery, and assessment of training. Training Partners are obligated by the agreement to comply with UNET's Policies and Procedures.

Before entering into a Memorandum of Understanding prospective Training Partners are required to read and understand all aspects of the UNET's Policies and Procedures Manual. Partners will be monitored throughout the delivery of training to ensure that their operations, training and assessing are adhering to the UNET's Policies and Procedures Manuals. UNET will ensure that at all times it has sufficient strategies and resources to monitor any services delivered on its behalf.

UNET will ensure that any Third Party provider is legally contracted to comply with the National Regulator. This may include an information requests, or in audits or the monitoring of its operations. UNET will notify the National Regulator of any Third Party agreement within 30 calendar days of the agreement being reached.²⁴

UNET will ensure that students are advised as soon as practicable of any changes to new or existing Third Party arrangements²⁵

QUALIFICATIONS ISSUANCE POLICY²⁶

To be issued an AQF qualification the candidate must successfully complete and be assessed as competent against the core units of competence and elective units of competence for each qualification.²⁷

UNET will ensure that it complies with Schedule 5 of the Standards for Registered Training Organisations 2015. This includes the requirements for:²⁸

1. Issuing AQF Qualifications
2. Issuing Statements of Attainment

UNET will ensure that it keeps a register of all statements of attainment and ensure that these records are stored a period of 30 years. UNET will ensure that it complies with any reporting request from the VET regulator.

UNET will ensure that all Certificates are issued within 30 calendar days of the student being assessed as meeting the qualification requirements.²⁹

Student records will be kept as per the Records Management Policy.

STATEMENT OF ATTAINMENT

A Statement of Attainment will be issued to students who, upon completion of their course have achieved some, but not all of the required units of competency of the course. Some courses may require completion of both theoretical and

²³ 2.1, 2.3, 2.4, 8.1, 8- 8.4.

²⁴ 8.2, 8.3.

²⁵ 5.4

²⁶ 3

²⁷ 3.1

²⁸ 4.1 a-d

²⁹ 3.3

practical components in order for a unit of competency to be awarded. A Statement of Attainment will also be issued if the student completes over and above the required electives for their qualification.

UNIQUE STUDENT IDENTIFIER POLICY³⁰

UNET ensures that it meets the requirements of the Student Identifier scheme, by:

- a. Requesting Unique Student Identifiers (USI) upon enrolment;
- b. Verifying the USI provided with Registrar before using that Student Identifier for any purpose;
- c. No AQF certification documentation will be issued to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the *Student Identifiers Act 2014*;
- d. Where an exemption described in Clause 3.6 (b) applies, UNET will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and
- e. Ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

MARKETING AND ADVERTISING POLICY³¹

UNET ensures its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration³². The NRT logo is employed only in accordance with its conditions of use as determined by the Standards for RTO's 2015³³.

UNET fully discloses all information about services provided and the services advertised match the services provided by UNET³⁴. UNET gains permission and keeps a record of the permission (see **Talent Release Form**) of use of any person's image or name or any other organisation's identity in marketing materials.

UNET does not advertise or market in any way accredited courses, qualifications or units of competency that are not on UNET's scope of registration³⁵. Agreements with Third Parties will ensure clarity in who is providing the training on UNET's behalf³⁶.

Marketing includes any website information, advertising banners, flyers, faxes, emails, handbooks, prospectus or other materials that promote the services of UNET. UNET will ensure that the following standards are met:

- a. makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
- b. distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
- c. distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
- d. includes the code and title of any training product, as published on the National Register, referred to in that information;
- e. only advertises or markets a non-current training product while it remains on the RTO's scope of registration;
- f. only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

³⁰ 3.6

³¹ 4.1

³² 4.1 a

³³ 4.1 d

³⁴ 4.1 a

³⁵ 4.1 a, l, j.

³⁶ 4.1 f

- g. includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and
- h. does not guarantee that:
 - i. a learner will successfully complete a training product on its scope of registration; or
 - ii. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
 - iii. a learner will obtain a particular employment outcome where this is outside the control of the RTO.

STUDENT INDUCTION POLICY³⁷

Prior to enrolling all students will acknowledge that they have read the Student Handbook. This document will inform future students of what they should expect from UNET and their rights as a student.

- a. UNET will provide students with relevant advice before commencing their course to ensure that they are able to determine the relevant training product for their learning needs. This advice will include the following:
 - the code, title and currency of the training product;
 - estimated duration of the course;
 - expected locations of delivery and assessment;
 - expected modes of delivery;
 - Name and contact details of any Third Party providers.
 - Any work placement agreements.³⁸
- b. Students are provided current and accurate information through the UNET website and the Student Handbook to enable them to make informed decisions about their expectations when training with UNET.
- c. UNET will ensure that prior to enrolling students are informed of the complaints and appeals process (Refer to the Complaints and Appeals Policy)
- d. If requested or required, potential students needs will usually be evaluated over the phone, through email communication or in person by listening and providing prompt solutions to their education needs based on the information that has been received from the potential student.
- e. UNET will ensure through the collection of enrolment information that students are aware that assessment and delivery methods can be adjusted to meet their specific requirements and needs.
- f. Students declare upon enrolment, if they have any areas of disability, impairment or long term condition that may affect their training. If a student identifies that they have a disability, impairment or long term condition the trainer who will be working with the student is notified by phone, email or in person (depending on the level of sensitivity needed).
- g. Students will be made aware of all relevant fee information including fees paid to the RTO, terms and conditions and the UNET refund policy (Refer to Refund Policy).
- h. Students are informed before enrolling their right to refund in the event of termination or the RTO not being able to provide the agreed services (Refer to RTO Closure Policy).

DISSEMINATION OF CLEAR INFORMATION TO STUDENTS

UNET disseminates clear information to each student, prior to enrolment. This is done through our websites, or hardcopies of web Information and includes the following:

- Client selection, enrolment and induction/orientation procedures - outlined in the **Student Handbook**;
- Course information, including content and vocational outcomes - outlined on UNET or its division LTI's website (depending on the course);
- Fees and charges, including refund policy and exemptions (where applicable) - outlined on UNET or its division LTI's website (depending on the course);
- Provision for language, literacy and numeracy support in assessment - outlined in the **Student Handbook**;
- Client support, including any external support the organisation has arranged for clients - outlined in the **Student Handbook**;
- Flexible learning and assessment procedures - outlined in the **Student Handbook**;

³⁷ 4.1, 5.1, 5.2, 5.4

³⁸ 5.2 a, b.

- Welfare and guidance services - outlined in the *Student Handbook*;
- Appeals, complaints and grievance procedures - outlined in the *Student Handbook*;
- Disciplinary procedures - outlined in the *Student Handbook*;
- Staff responsibilities for access and equity – outlined in this *Policies & Procedures Manual*
- Recognition of Prior Learning (RPL) arrangements - outlined in the *Student Handbook*.

FEES AND REFUNDS POLICY³⁹

Refund policies may vary between courses. For the refund policy specific to your course please see our website or contact us prior to enrolment.

UNET will ensure that for all courses students prior to enrolling will be provided information about:

- a. The fees that must be paid.
- b. Any payment conditions.
- c. UNET's refund and withdrawal policy.
- d. Refunds in the event of UNET not providing the agreed services.
- e. UNET's RTO Closure Policy.

UNET will ensure that students are informed in a timely way if there are any changes to the services being provided. This includes changes in ownership, new third party arrangements or existing third party arrangements.

RTO CLOSURE POLICY

If UNET ceases to operate, it will, within 14 days of ceasing, forward all student results, including student records (name, address and any identifier, such as date of birth) to the relevant Government authority. The documentation is to be a complete, accurate and ordered copy of all student results/details since initial registration. The records must be in the form of an electronic copy or hard copy, and include software details if appropriate. Details of qualification/statements of attainment issued to students, and a list of the competencies/modules achieved for each student, must be included.

In the event that Universal Education and Training Ltd is unable to deliver a course in full, students will be offered a partial refund calculated by the training received to date. The refund will be paid within 2 weeks of the day on which the course ceased being provided. Alternatively, an alternative course may be offered by Universal Education and Training Ltd at no extra cost to the student. A student has the right to choose whether to receive a full refund of course fees, or to accept a place in another course. If placement in another course is chosen, formal acknowledgment from the student will be required.

An organisation which delivered training to its own staff and continues to operate its core business after it relinquishes its registration status may continue to hold the student records to provide easy access to records for employees. These organisations are reminded that such records must be kept for 30 years.

COURSE WITHDRAWAL POLICY⁴⁰

All notification of withdrawal from a course, or applications for refunds, must be made in writing and submitted via post to:

Universal Education and Training
PO Box 1061
Nambour QLD 4560

Or email to: admin@unet.org.au

If a student does not provide written notice of withdrawal before course completion, no refund will be given.

³⁹ 5.3, 5.4

⁴⁰ 5.3 c

If the student does not provide a notice of withdrawal and does not start the course on the agreed starting date, Refunds will be calculated as per the refund policy (available online or by contacting UNET).

COMPLAINTS AND APPEALS POLICY⁴¹

PURPOSE

The purpose of Universal Education and Training Ltd complaints and appeals policy is to provide a student with the opportunity to access procedures to facilitate the resolution of a dispute or complaint. The internal complaints and appeals processes are based on the principles of conciliation and mutual cooperation.

COMPLAINTS & APPEALS

In the case of a complaint by a student regarding assessment or any other issue relating to the Training provided, this policy allows for the following:

- Students need to feel free to discuss any issues about any Course related matter with any Staff Member they think will be able to assist in resolving the issue. If the issue can be resolved in initial discussions, no action is required.
- In the case of Assessment Issues, the student should first approach the Trainer/Assessor conducting the Assessment.
- If the issue cannot be resolved informally in these initial discussions, the student should be advised of the formal Complaints Procedure by the Staff Member who has had the initial discussions. In particular, the Student should be advised of the option of submitting a formal complaint in writing.
- The Student has the option of submitting a formal complaint in writing to either a Staff Member, or directly to the CEO, at any time regardless of any prior communication with other staff on an issue.
- If a Student submits a formal complaint in writing to a Staff Member, the Staff Member is encouraged to try and resolve the issue with the Student.
- Regardless of whether a successful outcome is achieved or not with the student as a result of the Staff Member's response, the Staff Member must provide a copy of the formal complaint to the CEO with in three (3) days of whichever is the earlier of either:
 - Resolution of the situation, or,
 - A period of fourteen (14) days of the initial receipt of the formal complaint in writing
- If the situation has not been resolved by a Staff Member who has received a formal complaint in writing within fourteen (14) days, the CEO will either attempt to resolve the issue, or ask an Appointee to try and resolve the situation.
- If the CEO receives a formal complaint in writing directly from a Student, the CEO will contact Staff involved in conducting the Course and request that further details relating to the complaint be provided to him within seven (7) working days.
- Ultimately, the CEO will then be responsible to ensure that either the aggrieved person is now satisfied, or to communicate the organization's position on the situation.
- If the student feels that the matter is still not satisfactorily resolved then the student will be referred to external organizations of appeal (e.g. Anti-discrimination Board, DET complaints).
- The CEO will ensure that a record of the resolution, or attempted resolution, is recorded via email.
- The CEO may also implement an improvement relating to the situation.

No charge or fee of any kind is applied to any appeal of Assessment or any other matter.

A student can lodge a formal complaint in writing by either:

- i. An email directly to the staff member with the words "Formal Complaint" in the email subject
- ii. An email to administration (admin@unet.org.au) with the words "Formal Complaint" in the email subject; or
- iii. An email directly to the CEO – (paul@unet.org.au) with the words "Formal Complaint" in the email subject; or

⁴¹ 5.1, 6.1-6.6.

- iv. Post to:
Universal Education and Training
PO Box 1061
Nambour QLD 4560

COMPLAINTS AGAINST ANOTHER STUDENT

Complaints brought by a student against another student will be dealt with under the RTO's behavior policy (see **Student Handbook**).

INFORMAL COMPLAINTS RESOLUTION

In the first instance, Universal Education and Training Ltd requests there is an attempt to informally resolve the issue through mediation/informal resolution of the complaint. Students should contact their a UNET Staff Member in the first instance to attempt mediation/informal resolution of the complaint. If the matter cannot be resolved through mediation, the matter will be referred to the Chief Executive Officer and Universal Education and Training Ltd internal formal complaints and appeals handling procedure will be followed (see above).

FORMAL COMPLAINTS HANDLING PROCESS

The process of this grievance procedure is confidential and any complaints or appeals are a matter between the parties concerned and those directly involved in the complaints handling process. The student must notify the UNET in writing of the nature and details of the complaint or appeal. Formal complaints and or appeals are to be lodged in writing as per the complaints and appeals policy.

Where the internal complaints and appeals process is being accessed because the student has received notice by the Universal Education and Training of the intention to report him/her for unsatisfactory course attendance, unsatisfactory course progress or suspension or cancellation of enrolment, the student has 20 days from the date of notification in which to lodge a written appeal.

Internal complaints and appeals processes are available to students at no cost.

Each complainant has the opportunity to present his/her case to the Chief Executive Officer.

Students may be accompanied and assisted by a support person in all relevant meetings. Meetings will be minuted and each party will be given a copy of the minutes at the end of the meeting. A copy of the minutes from the meeting will be kept on our file and a copy on the students file.

The formal grievance process will commence within 10 working days of the formal complaint in writing or appeal with the Chief Executive Officer.

Once the Chief Executive Officer has come to a decision regarding the complaint or appeal, the student will be informed in writing of the outcome and the reasons for the outcome and or action to be taken and a copy will be kept on our file and a copy will be kept on the students file.

If the complaints process finds favour of the student, Universal Education and Training Ltd will immediately implement the decision and any corrective and preventative action required. Universal Education and Training Ltd undertakes to finalise all grievance procedures within 10 working days.

For the duration of the appeals process, the student is required to maintain enrolment and attendance at all classes as normal.

Students may contact the Australian Skills Quality Authority, if the student is concerned about the conduct of Universal Education and Training.

EXTERNAL APPEALS PROCESS

If the internal complaints procedure does not find in favour of the student or the student is dissatisfied with the result of the internal complaints procedure, he/she will be informed of the external complaints and appeals process available to them at their own cost.

In the case where a student's complaint or appeal is to be heard formally by an independent person(s) external to our organisation the student will have the opportunity to present their case. The independent person(s) will usually be:

- a. Independent mediation is available through the Dispute Resolution Branch, Department of Justice and Attorney-General. There are six Dispute Resolution Centres throughout Queensland.
- b. The Brisbane Centre contact details: Level 1 Brisbane Magistrates Court, 363 George Street, Brisbane, Qld 4000. Telephone: +61 7 3239 6269, Fax: +61 7 3239 6284, website: www.justice.qld.gov.au/mediation/contacts.htm providers/students outside Brisbane may use the Toll Free No: 1800 017 288. At present there is no fee for use of this service, but this may change.
- c. Nothing in the Universal Education and Training's Dispute Resolution policy negates the right of any overseas student to pursue other legal remedies.).

If a student is concerned about the actions of the provider they may approach the Australian Skills Quality Authority. The Australian Skills Quality Authority has the power to suspend or cancel the provider's registration or a course if a breach of the requirements of registration provision is proved. ASQA has information about how to make a complaint on their website (<http://www.asqa.gov.au/complaints/complaints.html>):

- If you have a problem with your training provider, you must seek to resolve this problem by following your provider's formal internal complaints process.
- ASQA will only consider your complaint if you include evidence that you have already exhausted your provider's complaints and appeals process. (In exceptional circumstances, ASQA may consider your complaint without this evidence. Contact us on 1300 701 801 for more information.)

If a student chooses to access the provider's complaints and appeals processes the registered provider must maintain the student's enrolment while the complaints process and appeals is ongoing. The Chief Executive Officer will determine if participation in studies will be in class or under a supervised arrangement outside of classes.

If the internal or external complaint handling or appeal process result in a decision that supports the student, the registered provider must immediately implement any decision and/or corrective and preventative action required & advise the student of the outcome.

If it is expected that complaints will be resolved in a timely manner. In the case where more than 60 days will be required to resolve a complaint the complainant will be informed in writing and updated regularly on the progress of their complaint 42.

UNET will maintain a record of all complaints and appeals and their outcomes in its email accounts and by making appropriate notes on its database. The information from all complaints will be used to apply any required corrective actions 43.

FINANCIAL MANAGEMENT POLICY⁴⁴

UNET provides information about fees which is clearly expressed and in language that clients understand. All fees and charges are included in this information, including possible fees and charges such as RPL charges and additional charges imposed if the learners do not successfully complete their programs. The following fee information is made available to each client:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges

⁴² 6.4

⁴³ 6.5

⁴⁴ 7.2

- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment, and
- the organisation's refund policy.⁴⁵

Each year, UNET has its accounts certified by a qualified Accountant as being prepared in accordance with Australian Accounting Standards. UNET maintains records of the certification for each year of operation. UNET is committed to have its accounts audited by a qualified and independent auditor in accordance with Australian Auditing and Assurance Standards should such an audit be requested by the National VET Regulator.

UNET is able to demonstrate that it is financially viable (able to generate sufficient income to meet operating payments and debt commitments while delivering quality training and assessment services and outcomes) at any time that it is requested to by the registering body⁴⁶.

When collecting fees in advance, UNET accepts payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the payment of additional fees in advance from the student is collected but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500⁴⁷.

COMPLIANCE WITH COMMONWEALTH, STATE & TERRITORY LEGISLATION AND REGULATORY REQUIREMENTS AND GOVERNING BODIES POLICY ⁴⁸

UNET's CEO ensures that at all times, UNET cooperates as required relevant governing bodies and other state departments in all matters but not limited to the following:⁴⁹

- providing an annual compliance declaration to the VET regulator that states that it currently meets the Standards across the scope of its registration and has training and assessment strategies in place to ensure that current and prospective students will be trained and assessed in accordance with the Standards (Refer also to the Training and Assessment Strategy Policy) ⁵⁰
- in the conduct of audits and monitoring of its operations
- by providing accurate and timely data relevant to measures of its performance⁵¹
- by providing information about significant changes to its operations
- in the retention, archiving, retrieval and transfer of records consistent with its registering body's requirements.

UNET identifies and complies with relevant Commonwealth, State & Territory Legislation and regulatory requirements including:

- a. Workplace Health & Safety
- b. Workplace harassment, discrimination & bullying
- c. Anti-discrimination, including equal opportunity, racial vilification & disability discrimination
- d. Vocational education & training

UNET is part of a system that requires us to be accountable for the management of its operations. Accountability is tested, in part by its participation in external audits, through the data we report to its registering body and through the confirmation that UNET remain financially viable. UNET is committed to a process of constant improvement and review and will be cooperative with the registering body when in matters concerning audit and monitoring requirements as per UNET's registration. UNET's Chief Executive's will cooperate with the registering body when scheduling audits and making relevant staff available for audit

⁴⁵ 5.3

⁴⁶ 7.2

⁴⁷ 7.3

⁴⁸ 8.1

⁴⁹ 7.1

⁵⁰ 8.4

⁵¹ 7.5

UNET is committed to providing our registering body with any and all information and data relating to measurements of UNET's performance upon request and in accordance with the timeframes required by the registering body, for example; the collection and reporting of the National Quality Indicator data. These quality indicators are:

- **Learner satisfaction** (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, as well as learners' perceptions of the quality of their competency development and the support they receive from RTOs.
- **Employer satisfaction** (competency development, and training and assessment quality). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of the training and assessment.
- **Competency completion rate**. This is calculated for qualifications and units of competency/modules delivered, based on data provided by RTOs on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.

UNET is in full cooperation with all governing bodies and we provide feedback upon request in regards to the above quality indicators so we can work in cooperation together to achieve maximum potential in our training and assessment operations.

UNET is committed ensuring that the registering body is made aware of changes to its operations, for example, significant changes in management, change of address or company structure. UNET will report these changes to the registering body in a timely way that ensures compliance with the regulatory standards.

UNET will ensure the registering body is provided with any and all information and data relating to measurements of UNET's performance upon request and in accordance with the requested timeframes by ASQA.

UNET is committed to providing the registering body with any information relating to significant changes to UNET's operations as they happen.

RECORD & INFORMATION MANAGEMENT POLICY⁵²

UNET ensures secure storage, including backup of records. All records relating to individuals are handled in a way consistent with the privacy act including but not limited to the following:

- All student and staff records will be kept in secured filing cabinets and/or on a computer system that requires a password to access it.
- There is no unauthorized third party access allowed to student files without the express written permission of the student using the **Personal Information Disclosure Form**, other than access required for legal reasons.
- Students may view their records and any other information recorded about them at any time by submitting a **Personal Information Disclosure Form**
- Backup copies are made regularly of all essential records and a copy of them kept in a secure location off site
- All other records required by the registering body will be kept as indicated in the Retention of Records Table in this Policies and Procedures Manual
- As each Course is progressing an Administration File will be created for each student ensuring that all necessary information is contained in each. These files will be organised in alphabetical order under the name of each student and kept together with all other student files for that Course. They will be kept in a secure location.
- Along with the above UNET's record keeping will comply with the requirements of any necessary external bodies.

RETENTION OF RECORDS FOR ACCURACY & INTEGRITY

DEFINITIONS

Student results

⁵² 8.1

This is a record of the final assessment outcome for each unit of competency. It must include the code and title of the unit of competency plus the date achieved.

Qualifications / Statements of Attainment issued

This is a record of qualifications and or statements of attainment issued to students. The documents must meet the requirements of the Australian Qualifications Framework (AQF) Implementation Handbook and the endorsed training packages and/or accredited courses within the scope of the registered training organisation’s registration. Enough information to reproduce the qualifications/statements of attainment, including the date of issue, is required. A list of units of competency achieved by each individual student must be retained as part of this information.

Completed assessment items

This refers to the actual piece of work completed by the student, or evidence of that work and includes evidence collected for an RPL process. An assessor’s completed marking guide/criteria/observation checklist for each student may be sufficient where it is not possible to retain the student’s actual work. However; the retained evidence must have enough detail to demonstrate the assessor’s judgement of the student’s performance against the standard required. Clear benchmark criteria (e.g. model answers) against which the student’s performance has been judged must be included in the evidence. The assessor’s checklist must include a summary of feedback given to the student, the name of the assessor and the date of the assessment.

Assessment instruments

These are documents that clearly demonstrate what has been assessed, how this occurred and the linkage to the competency standards in the training product (training package/accredited course). The assessment instrument must be supported by objective criteria on which the assessor will base the assessment decision, such as benchmark criteria (e.g. model answers) which list the key points. Assessment instruments may address a cluster of competencies as applicable for holistic assessment.

STORAGE REQUIREMENTS

All records will be kept by UNET securely and confidential information will be safeguarded. Records will be kept to avoid fire, flood, termites or any other pests and be available for perusal by departmental auditors at a scheduled audit. A backup of all records will be kept (including hard copy records if these are the only records). If only electronic records are kept, the mechanism by which the material can be retrieved must be retained.

RETENTION OF RECORDS

Please see the Retention of Records Table on the following below:

ITEM	DESCRIPTION	PERIOD & AMOUNT TO BE RETAINED
Student Results	Records may be electronic or hard copy and should show, for each unit of competency, the result (usually a notation of competent/not yet competent), and the date of result.	Keep 100% for 30 years Standards for RTO’s 2015 (Schedule 5)
Qualifications/ Statements of Attainment Issued	A record of qualifications/statements of attainment issued to each individual student must be retained. This may be either electronic or hard copy, and must contain enough information to reproduce the qualification/statement of attainment if required. A record of units of competency achieved by each individual student must also be retained.	Keep 100% for 30 years.

<p>Assessment Instruments/tool/procedures and assessors' marking guides/criteria/observation checklist</p>	<p>A master copy of each version of all assessment tools. This includes criteria by which an assessor would base assessment decisions, such as model answers which list the key points and/or other benchmark criteria. The assessment instruments will be reviewed by the audit team, including industry advisers where appropriate. If a model is used as part of an assessment, then either the model or a detailed description of its critical components should be retained.</p>	<p>Keep a master copy of all versions of assessment instruments/tools/procedures used for 7 years following the last date of use. Master copies may be retained electronically or in hard copy. However, sufficient information must be retained to confirm which version of each assessment tool was used on a given date.</p>
<p>Completed assessment items (This refers to the student's completed work and includes evidence collected for RPL purposes.) *The appeal period is 21 days. Partners must inform students of the appeal period ** A cohort is any grouping of similar students undertaking the same training program (e.g. classroom block) or the same delivery methodology (e.g. on-job, flexible, online). Where a cohort is determined by methodology, it should comprise all students enrolled within a 12 month period.</p>	<p>During the appeal period* The RTO will need to keep sufficient evidence of how the assessment was made to justify the decision if there is an appeal. This includes evidence collected for RPL purposes. If possible, the completed assessment items must be retained until the expiry of the RTOs appeal period. If it is impossible to keep all completed assessment items, the assessor's observation checklists or similar documents must be retained, along with evidence (e.g. photographic or video evidence) of the completed work. After the appeal period* The RTO will need to keep sufficient evidence of how the assessment was made to justify the decision. This includes evidence collected for RPL purposes. If possible, the completed assessment items must be retained. If it is impossible to keep all completed assessment items, the assessor's observation checklists or similar documents must be retained, along with evidence (e.g. photographic or video evidence) of the completed work. The retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required. Clear benchmark criteria against which the student's performance was measured must be included in the evidence. The assessment tool must include a summary of feedback given to the student, the name of the assessor and the date of the assessment. If no checklist is used, the complete assessment item itself must be retained.</p>	<p>During the appeal period* 100% of records must be retained until the expiration of the RTOs appeal period.</p> <p>After the appeal period* For each unit of competency delivered by the RTO, keep all student assessment evidence for each selected student from each cohort** for a minimum of 12 months after confirmation of the final result (i.e. expiry of the appeal period) for a sample of students as follows:</p> <ul style="list-style-type: none"> • Every student – when cohort comprises 1 to 10 students • 10% or 10 (whichever is greater) when cohort comprises over 10 students. <p>The sample of student records retained should be representative of the standard of the RTOs records for that cohort.</p> <p><i>*NOTE: Additional retention periods and conditions may be imposed by contractual or regulatory requirements.</i></p>

INSURANCES POLICY⁵³

UNET will ensure it has all the insurance cover necessary to carry out its business, which may include but not be limited to:

- workers compensation
- public liability
- professional indemnity

Updated documentation related to insurance policies will be kept on file for immediate access when required.

DESIGNATION OF AUTHORITY & RESPONSIBILITIES POLICY⁵⁴

UNET has designated a person or persons, with direct access to UNET's CEO, who has defined responsibility and authority to:

- Ensure that UNET complies with the *Standards for RTO's 2015* across all of its operations and in all of its training/assessment activities, including those undertaken by other persons or bodies on its behalf⁵⁵;

⁵³ 7.4

⁵⁴ 8

- Ensure that UNET provides for examination of documentation and reasonable access to all areas, records (including internal audit reports) and staff as required by the registering body for the purposes of audit⁵⁶;
- Report to the CEO on UNET's compliance with the *Standards for RTO's 2015*, for review and as a basis for improvement;
- Apply to ASQA for any extension to scope of registration;
- Provide details, upon the request of the State or Territory registering body that has registered it, of all operations within its scope of registration including operations in other States or Territories and outside Australia;
- Advise ASQA that UNET has commenced operations in any other State or Territory within 21 days of commencing the interstate operations; and
- Provide ASQA with accurate and timely information (Within 90 days) regarding registration and compliance (including major changes to UNET's system or staffing profile, relocation of UNET, financial difficulties and transfer of client records)⁵⁷.

RISK MANAGEMENT POLICY

UNET identifies and manages risks concerned with quality control and compliance through the following:

- 1) The CEO is responsible for analysing risk status of the organisation. The risk analysis and its associated procedures may be delegated to the Training staff that are responsible for reporting to the CEO regarding the organisation's risk status.
- 2) Following the identification of a risk, the results will be circulated to staff, including administrative and training staff.
 - a. Staff will be asked to email the CEO at anytime outlining any changes that they believe need to be made.
 - b. The CEO will assimilate any staff comments to create a plan to appropriately manage any risks.
 - c. The CEO will ensure that the recommendations to manage risks are followed by regular monitoring of progress in consultation with other relevant staff members

Students are invited to contribute to this process. If a student becomes aware of anything that might potentially hinder the delivery of training, they are encouraged to contact us.

CHANGES TO LEGISLATION POLICY ⁵⁸

UNET systematically identifies the legislation that relates to its operations; ensure that it is complying with this legislation; and, that it continues to comply with it.

UNET identifies and complies with relevant Commonwealth, State & Territory Legislation and Regulatory Requirements including:

- Occupational Health & Safety
- Workplace harassment, discrimination & bullying
- Anti-discrimination, including equal opportunity, racial vilification & disability discrimination
- Vocational Education & Training

Information about legislation relating to your training with us can be found through web sites such as the following:

<http://www.whs.qld.gov.au/> (For information about legislation relating to Workplace Health and Safety)

<http://www.trainandemploy.qld.gov.au/client/about/legislation> (For information about legislation relating to Education and Training).

⁵⁵ 7.1, 8.5

⁵⁶

⁵⁷ 8.1 e

⁵⁸ 8.6

When staff commence working for UNET (and on an ongoing basis as required) they are informed of the impact the legislation has on the way in which they carry out their duties. UNET requires staff to complete to be provided with induction information (see **Staff Induction Policy**) and professional development which include being aware of information on relevant legislation and related rights and responsibilities. When UNET becomes aware of any changes to relevant legislation, it disseminates the information to all relevant staff via email.

Students are provided with information about relevant legislation when completing orientation (see **Orientation Checklist**).

PRIVACY POLICY

All personal information will be stored as per our records management policy outlined in the Student Handbook.

Enrolment requires that students provide contact information (including without limitation: name, address, city, state, postal code, country, telephone and email). This information is collected and used to process enrolment and facilitate training only. No information provided to UNET is used for any other reason than to facilitate training.

There is no unauthorized third party access allowed to student files without the express written permission of the student using the **Personal Information Disclosure Form**, other than access required for legal reasons