



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 June 2018.

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## 1. INTRODUCTION

**NOTE: Bold italicised** 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 Registered Training Organisations 2015](#).

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** -- this document informs potential students of what they should expect from UNET and their rights as a student as well as provides information / policies relevant to their completion of training. A current version is found on our website at [www.unet.org.au](http://www.unet.org.au)
3. [Standards for Registered Training Organisations 2015](#)
4. **Training and Assessment Strategies**

## 2. CODE OF PRACTICE

### 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](http://www.lti.edu.au) (for 10695NAT & 10688NAT)
  - [www.unet.org.au](http://www.unet.org.au) (for ICT30115)
  - [www.christianministry.com.au](http://www.christianministry.com.au) and [www.freebiblecollege.com.au](http://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***

### 3. MARKETING AND ADVERTISING POLICY<sup>1</sup>

UNET ensures its marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration<sup>2</sup>. The NRT logo is employed only in accordance with its conditions of use as determined by the Standards for RTO's 2015<sup>3</sup>.

UNET fully discloses all information about services provided and the services advertised match the services provided by UNET<sup>4</sup>. UNET gains permission and keeps a record of the permission 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 registration<sup>5</sup>. Agreements and marketing ventures with Third Parties will ensure clarity in who is providing the training on UNET's behalf<sup>6</sup>.

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;
- 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.

UNET makes available this information on relevant websites and requires that students acknowledge that they have read and understood all pre-enrolment information as per the Student Induction Policy.

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<sup>1</sup> 4.1

<sup>2</sup> 4.1 a

<sup>3</sup> 4.1 d

<sup>4</sup> 4.1 a

<sup>5</sup> 4.1 a, l, j.

<sup>6</sup> 4.1 f

## 4. STUDENT INDUCTION POLICY<sup>7</sup>

### 4.1. PRE-ENROLMENT INFORMATION

Prior to enrolling all students will acknowledge that they have read and understood the following information:

- the Student Handbook.
- Information about the course / qualification they are enrolling into, including (but not limited to):
  - General Information
  - Entry Requirements
  - Course Content
  - Assessment
  - Course Outcomes
- Class Location or Distance Education information including (as applicable):
  - Course duration (start dates, close of study dates or enrolment timeframe)
  - Session times
  - Location
  - Payment and refund information / policies (including fees paid to the RTO, terms and conditions and the refund policy)
- Student Handbook
- Enrolment Terms and Conditions

This information is made available to students via UNET's websites or an alternate method (e.g. information pack provided at an information event, etc.).

In addition to the above information, UNET will also provide students with the following information before commencing their course to ensure that they are able to determine if the training product is relevant for their needs. This information will include the following which will be displayed, if/as applicable, alongside the Class Location or Distance Education information:

- code, title and currency of the training product
- name and contact details of any Third Party providers
- any work placement agreements.<sup>8</sup>

Students are provided the above current and accurate information through UNET's websites and the **Student Handbook** to enable them to make informed decisions about their expectations when training with UNET.

UNET provides the following information through the Student Handbook (read prior to enrolling):

- the complaints and appeals process (refer to the Complaints and Appeals Policy)

If requested or required, potential students needs will 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.

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). In some cases, UNET may not be able to provide the resources or services required to adequately support a learner with a disability, impairment or long term condition. If UNET deems that it cannot adequately support a learner it may choose to reject the enrolment application and refer the learner to other options which may be available to them.

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<sup>7</sup> 4.1, 5.1, 5.2, 5.4

<sup>8</sup> 5.2 a, b.

UNET will ensure through Training and Assessment Strategies that assessment and delivery methods can be reasonably adjusted to meet specific learning requirements and needs.

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).

#### 4.2. 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***;
- 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 the ***Student Handbook***;
- Recognition of Prior Learning (RPL) arrangements - outlined in the ***Student Handbook***.

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.

#### 4.3. FEES AND REFUNDS POLICY<sup>9</sup>

Refund policies may vary between courses. For the refund policy specific to a course please see the relevant website or course information pack.

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. Any additional fees that may be applicable (e.g. reissue of Certificate, extension fees, etc.).
- f. UNET's RTO Closure Policy.

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<sup>9</sup> 5.3, 5.4

## 5. UNIQUE STUDENT IDENTIFIER POLICY<sup>10</sup>

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. UNET informs the student on the enrolment form, that where an exemption described in Clause 3.6 (b) applies and a USI is not provided, 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.

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<sup>10</sup> 3.6

## 6. TRAINING AND ASSESSMENT STRATEGIES POLICY

### 6.1. 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;<sup>11</sup>
- Identify proposed target groups and the amount of learning provided in the context of the existing skills, knowledge and the experience of the learner<sup>12</sup>;
- Identify the mode of delivery and the units or modules delivered in the case where a full qualification is not offered.<sup>13</sup>
- 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.<sup>14</sup>
- 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 courses<sup>15</sup>.
- Training and assessment strategies are revised at moderation and validation meetings and are modified in response to industry input (Refer to Validation Policy).

### 6.2. ENSURING EFFECTIVE 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 Learning<sup>16</sup>):

- Involve the evaluation of sufficient evidence to enable judgments to be made about whether competency has been attained according to the Training Package requirements;<sup>17</sup>

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<sup>11</sup> 1.1

<sup>12</sup> 1.2

<sup>13</sup> 1.3

<sup>14</sup> 1.5 & 1.6

<sup>15</sup> 1.7

<sup>16</sup> 1.12

<sup>17</sup> Table 18.1

- Comply with the principles of assessment: fairness, flexibility, validity reliability (as defined by the ***Standards for Registered Training Organisations 2015***);
- Comply with the rules of evidence: validity, sufficiency, authenticity, fairness and currency (as defined by the ***Standards for Registered Training Organisations 2015***);
- Provide for applicants to be informed of the context and purpose of the assessment and the assessment process;<sup>18</sup>
- Provide for feedback to the applicant about the outcomes of the assessment process and guidance on future options;
- Provide for reassessment on appeal (as per Policies and Procedures Manual);
- Meets the requirements of the relevant Training Package or VET accredited course; and<sup>19</sup>
- Meets workplace and, where relevant, regulatory requirements; and
- Is systematically validated (refer to Validation Policy).

### 6.3. 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.

### 6.4. 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 course<sup>20</sup>.

### 6.5. STUDENT ENGAGEMENT INITIATIVES

UNET is committed to improving student completion rates and as such has the following Student Engagement Initiatives in place:

<sup>18</sup> Table 18.2

<sup>19</sup> 1.4

<sup>20</sup> 1.3 d

- Regular Trainer contact with open and effective communication throughout enrollment period
- Study guides provided to encourage students to take ownership and responsibility for their studies
- End of Study Date Procedures (see End of Study Date (EOSD) procedures file) for giving notification of upcoming end of study date
- Offering extensions of enrollment where applicable

## 7. VALIDATION POLICY<sup>21</sup>

### 7.1. 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.
      - 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;<sup>22</sup>
- 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.

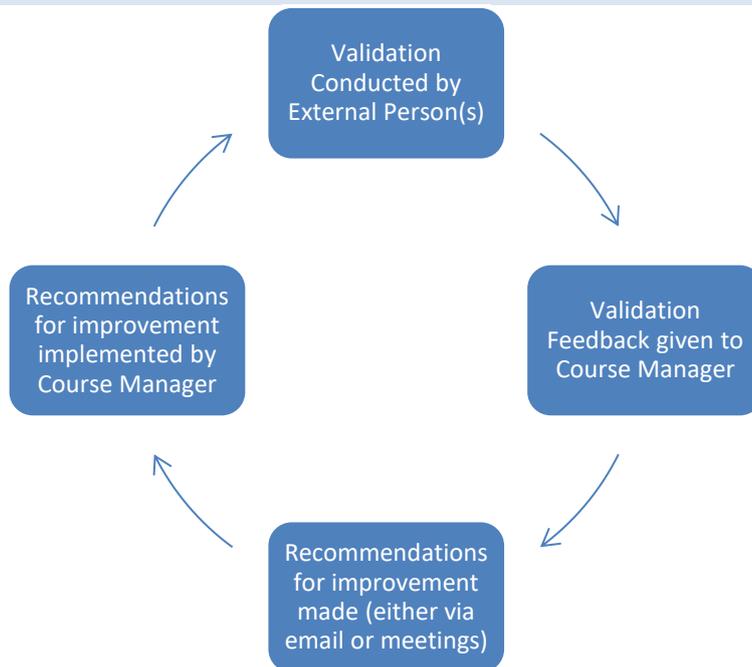
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<sup>21</sup> 1.9-1.11, 1.25

<sup>22</sup> 1.11 a,b,c.

- 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.<sup>23</sup>

## 7.2. VALIDATION FLOW CHART



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<sup>23</sup> 1.11

## 8. RECOGNITION OF PRIOR LEARNING (RPL), CREDIT TRANSFER AND TRANSITIONING POLICY<sup>24</sup>

### 8.1. RECOGNITION OF PRIOR LEARNING (RPL)

UNET makes available information about RPL opportunities prior to enrolment and students are asked if they would like to apply for RPL on enrolment<sup>25</sup>.

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 (but not be limited to):

- 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.

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.

### 8.2. CREDIT TRANSFER<sup>26</sup>

Credit transfers (also referred to as “Direct Credit”) will be applied as part of the RPL process where applicable. Students are not required to repeat any unit or module in which they have already been assessed as competent, unless a regulatory requirement or licence condition (including an industry licensing scheme)

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<sup>24</sup> 1.8

<sup>25</sup> 1.12

<sup>26</sup> 3.5

requires this. If a student provides suitable evidence they have successfully completed a unit or module at any RTO, UNET will provide credit for the unit or module. Suitable evidence includes:

- AQF certification documentation issued by any other RTO or AQF authorised issuing organisation, or
- authenticated VET transcripts issued by the Registrar.

### 8.3. TRANSITIONING TO NEW QUALIFICATIONS POLICY<sup>27</sup>

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.

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<sup>27</sup> 1.26, 1.27

## 9. 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 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
- *TAE40116 - Certificate IV in Training and Assessment* or its successor or a qualification in adult education at a diploma or higher level.<sup>28</sup>.

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. 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 assessment<sup>29</sup>.

In some cases, industry experts may be invited to provide information as a guest lecturer, but only as an additional / supportive resource and the Trainer who must be present at the time of the lecture. These lectures are treated as an additional learning information 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

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<sup>28</sup> 1.13

<sup>29</sup> 1.18

## 10. STAFFING POLICIES

### 10.1. STAFF INDUCTION POLICY<sup>30</sup>

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, paid or voluntary, part-time or contractor.

New staff and trainers are provided with an Employee Handbook which outlines the below and contains links to additional information where necessary:

- Organisational Overview
- ASQA Overview
- Introduction to Colleagues
- Staff Meetings and Communication Overview
- Code of Conduct Overview
- Overview of Policies & Procedures
- UNET Student Handbook Overview
- Employment Overview
- Working Environment Overview
- Induction & Site Tour Overview
- Dress Code Policy
- Occupational Health & Safety
- Equal Employment Opportunity (EEO) & Anti Bullying
- Leave Entitlements Overview
- Performance Management Overview
- Grievance complaints against Colleagues
- UNET Document, Security and Systems Overview
- Continuous Improvement Overview
- UNET Employee Declaration

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

- Employment conditions and procedures
- Remuneration
- Your position description, including; role, duties and responsibility
- Hours of involvement: Expectations regarding starting and finishing times, breaks etc.
- Leave entitlements
- Performance expectations and when and how performance will be reviewed
- Professional development requirements
- Expense reimbursements
- Copyright and ownership of training session material

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.

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<sup>30</sup> 1.3, 1.13-1.24

As a Registered Training Organisation (RTO), UNET ensures all training is delivered by a Trainer/ Assessor who has the *TAE40116 - 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**.

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<sup>31</sup> 1.3, 1.1.13-1.24

## 11. WORKPLACE DISCRIMINATION AND HARASSMENT POLICY

UNET's Workplace Discrimination and Harassment Policy applies to:

- all staff, including: managers and supervisors; full-time, part-time or casual, temporary or permanent staff; job candidates; student placements, apprentices, contractors, sub-contractors and volunteers
- board members
- how UNET provides services to clients and how it interacts with other members of the public
- all aspects of employment, recruitment and selection; conditions and benefits; training and promotion; task allocation; shifts; hours; leave arrangements; workload; equipment and transport
- on-site, off-site or after hours work; work-related social functions; conferences – wherever and whenever staff may be as a result of their UNET duties
- staff treatment of other staff, of clients, and of other members of the public encountered in the course of their UNET duties.

This policy is to be read and applied in conjunction with other relevant UNET policies and procedures in this manual.

If you have a query about this policy or need more information please contact CEO, Paul Truasheim. Staff who do not feel safe or confident to take such action may seek assistance from the TESOL Director, Rachel Brigg, for advice and support or action their behalf.

### 11.1. AIMS

UNET is a Christian organisation with a Christ centred ethos. We base our organisational culture on biblical principles, which guide our interactions and relationships with our staff, volunteers, supporters, students and external organisations. These Christian values guide our vision, and prayer is an integral part of our internal staff meetings.

Staff working for us are encouraged to enjoy a personal relationship with God and to involve themselves in a local Christian church, who can provide spiritual guidance and fellowship.

UNET is committed to providing a safe, flexible and respectful environment for staff and students which is free from all forms of discrimination, bullying and sexual harassment. All UNET staff are required to treat others with dignity, courtesy and respect.

By effectively implementing our *Workplace discrimination and harassment policy* we will attract and retain talented staff and create a positive Christian environment for staff.

### 11.2. STAFF RIGHTS AND RESPONSIBILITIES

All staff are entitled to:

- recruitment and selection decisions based on merit and not affected by irrelevant personal characteristics
- work free from discrimination, bullying and sexual harassment
- the right to raise issues or to make an enquiry or complaint in a reasonable and respectful manner without being victimised
- reasonable flexibility in working arrangements, especially where needed to accommodate their family responsibilities, disability, religious beliefs or culture.

All staff must:

- follow the standards of behaviour outlined in this policy

- offer support to people who experience discrimination, bullying or sexual harassment, including providing information about how to make a complaint
- avoid gossip and respect the confidentiality of complaint resolution procedures
- treat everyone with dignity, courtesy and respect.

### 11.3. REASONABLE ADJUSTMENTS

Reasonable adjustments are changes that allow people with a disability to work safely and productively.

UNET will make reasonable adjustments for a person with a disability who:

- applies for a job, is offered employment, or is an employee, and
- requires the adjustments in order to participate in the recruitment process or perform the genuine and reasonable requirements of the job.

Examples of reasonable adjustments can include:

- reviewing and, if necessary, adjusting the performance requirements of the job
- arranging flexibility in work hours
- approving more regular breaks for people with chronic pain or fatigue
- buying desks with adjustable heights for people using a wheelchair.

When thinking about reasonable adjustments UNET will weigh up the need for change with the expense or effort involved in making it. If making the adjustment means a very high cost or great disruption to the workplace, it is not likely to be reasonable.

In some cases UNET can discriminate on the basis of disability, if:

- the adjustments needed are not reasonable, or
- the person with the disability could not perform the genuine and reasonable requirements of the job even if the adjustments were made.

### 11.4. ADDITIONAL RESPONSIBILITIES OF MANAGERS AND SUPERVISORS

Managers and supervisors must also:

- model appropriate standards of behaviour
- take steps to educate and make staff aware of their obligations under this policy and the law
- intervene quickly and appropriately when they become aware of inappropriate behaviour
- act fairly to resolve issues and enforce workplace behavioural standards, making sure relevant parties are heard
- help staff resolve complaints informally
- refer formal complaints about breaches of this policy to the appropriate complaint handling officer for investigation
- ensure staff who raise an issue or make a complaint are not victimised
- ensure that recruitment decisions are based on merit and that no discriminatory requests for information are made
- seriously consider requests for flexible work arrangements.

### 11.5. UNACCEPTABLE WORKPLACE CONDUCT

Discrimination, bullying and sexual harassment are unacceptable at UNET and are unlawful under the following legislation:

- Sex Discrimination Act 1984 (Cth)
- Racial Discrimination Act 1975 (Cth)

- Disability Discrimination Act 1992 (Cth)
- Age Discrimination Act 2004 (Cth)
- Australian Human Rights Commission Act 1986 (Cth).

Staff (including managers) found to have engaged in such conduct might be counselled, warned or disciplined. Severe or repeated breaches can lead to formal discipline up to and including dismissal.

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### 11.5.1.DISCRIMINATION

Discrimination is treating, or proposing to treat, someone unfavourably because of a personal characteristic protected by the law, such as sex, age, race or disability. Discrimination can occur:

**Directly**, when a person or group is treated less favourably than another person or group in a similar situation because of a personal characteristic protected by law (see list below).

*For example, a worker is harassed and humiliated because of their race or  
A worker is refused promotion because they are 'too old'*

**Indirectly**, when an unreasonable requirement, condition or practice is imposed that has, or is likely to have, the effect of disadvantaging people with a personal characteristic protected by law (see list below).

*For example, redundancy is decided based on people who have had a worker's compensation claim rather than on merit.*

Discrimination is unacceptable at UNET. Staff (including managers) found to have engaged in such conduct might be counselled, warned or disciplined. Severe or repeated breaches can lead to formal discipline up to and including dismissal. When assessing a discrimination claim UNET will apply the following legislation:

- Sex Discrimination Act 1984 (Cth)
- Racial Discrimination Act 1975 (Cth)
- Disability Discrimination Act 1992 (Cth)
- Age Discrimination Act 2004 (Cth)
- Australian Human Rights Commission Act 1986 (Cth).

It is noted that some roles within UNET require staff to operate within a Christian environment and are to be seen to conduct themselves in a manner consistent with Christian principles, beliefs and ethics. These requirements (where applicable) are specifically outlined in a staff members Employment Agreement and also within the Employee Handbook.

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### 11.5.2.BULLYING

If someone is being bullied because of a personal characteristic protected by equal opportunity law, it is a form of discrimination.

Bullying can take many forms, including jokes, teasing, nicknames, emails, pictures, text messages, social isolation or ignoring people, or unfair work practices.

Under Federal law, this behaviour does not have to be repeated to be discrimination – it may be a one-off event.

Behaviours that may constitute bullying include:

- sarcasm and other forms of demeaning language
- threats, abuse or shouting
- coercion
- isolation
- inappropriate blaming

- ganging up
- constant unconstructive criticism
- deliberately withholding information or equipment that a person needs to do their job or access their entitlements
- unreasonable refusal of requests for leave, training or other workplace benefits.

Bullying is unacceptable in UNET and may also be against occupational health and safety law.

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### 11.5.3. SEXUAL HARASSMENT

Sexual harassment is a specific and serious form of harassment. It is unwelcome sexual behaviour, which could be expected to make a person feel offended, humiliated or intimidated. Sexual harassment can be physical, spoken or written. It can include:

- comments about a person's private life or the way they look
- sexually suggestive behaviour, such as leering or staring
- brushing up against someone, touching, fondling or hugging
- sexually suggestive comments or jokes
- displaying offensive screen savers, photos, calendars or objects
- repeated unwanted requests to go out
- requests for sex
- sexually explicit posts on social networking sites
- insults or taunts of a sexual nature
- intrusive questions or statements about a person's private life
- sending sexually explicit emails or text messages
- inappropriate advances on social networking sites
- accessing sexually explicit internet sites
- behaviour that may also be considered to be an offence under criminal law, such as physical assault, indecent exposure, sexual assault, stalking or obscene communications.

Just because someone does not object to inappropriate behaviour in the workplace at the time, it does not mean that they are consenting to the behaviour.

Sexual harassment is covered in the workplace when it happens at work, at work-related events, between people sharing the same workplace, or between colleagues outside of work.

All staff and volunteers have the same rights and responsibilities in relation to sexual harassment. A single incident is enough to constitute sexual harassment – it doesn't have to be repeated.

All incidents of sexual harassment – no matter how large or small or who is involved – require employers and managers to respond quickly and appropriately.

UNET recognises that comments and behaviour that do not offend one person can offend another. This policy requires all staff and volunteers to respect other people's limits.

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### 11.5.4. VICTIMISATION

Victimisation is subjecting or threatening to subject someone to a detriment because they have asserted their rights under equal opportunity law, made a complaint, helped someone else make a complaint, or refused to do something because it would be discrimination, sexual harassment or victimisation. Victimisation is against the law.

It is also victimisation to threaten someone (such as a witness) who may be involved in investigating an equal opportunity concern or complaint.

Victimisation is a very serious breach of this policy and is likely (depending on the severity and circumstances) to result in formal discipline against the perpetrator.

UNET has a zero tolerance approach to victimisation.

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#### 11.5.5. GOSSIP

It is unacceptable for staff at UNET to talk with other staff members, students, supporters or suppliers about any complaint of discrimination or harassment.

Breaching the confidentiality of a formal complaint investigation or inappropriately disclosing personal information obtained in a professional role (for example, as a manager) is a serious breach of this policy and may lead to formal discipline.

#### 11.6. MERIT AT UNET

All recruitment and job selection decisions at UNET will be based on merit – the skills and abilities of the candidate as measured against the inherent requirements of the position – regardless of personal characteristics.

It is unacceptable and may be against the law to ask job candidates questions, or to in any other way seek information, about their personal characteristics, unless this can be shown to be directly relevant to a genuine requirement of the position.

It is noted that some roles within UNET require staff to operate within a Christian environment and are to be seen to conduct themselves in a manner consistent with Christian principles, beliefs and ethics. These requirements (where applicable) are specifically outlined in a staff members Employment Agreement and also within the Employee Handbook.

#### 11.7. RESOLVING ISSUES AT UNET

**Procedure: To make a complaint under this policy** - If you believe you are being, or have been, discriminated against, sexually harassed or bullied, you should follow this procedure.

1. Tell the offender the behaviour is offensive, unwelcome, and against business policy and should stop (only if you feel comfortable enough to approach them directly, otherwise speak to your Supervisor). Keep a written record of the incident(s).
2. If the unwelcome behaviour continues, contact your Supervisor for support.
3. If this is inappropriate, you feel uncomfortable, or the behaviour persists, contact the CEO, Paul Truasheim. Staff who do not feel safe or confident to take such action may seek assistance from the TESOL Director, Rachel Brigg, for advice and support or action their behalf.
4. Employees may also lodge a complaint with the Australian Human Rights Commission, or take action under the *Fair Work Act 2009*.

Employees should feel confident that any complaint they make is to be treated as confidential as far as possible.

**Procedure: To process a complaint under this policy** - When a Supervisor receives a complaint or becomes aware of an incident that may contravene UNET Policies, they should follow this procedure.

1. Listen to the complaint seriously and treat the complaint confidentially. Allow the complainant to bring another person to the interview if they choose to.
2. Ask the complainant for the full story, including what happened, step by step.
3. Take notes, using the complainant's own words.
4. Ask the complainant to check your notes to ensure your record of the conversation is accurate.
5. Explain and agree on the next action with the complainant.
6. If investigation is not requested (and the Supervisor is satisfied that the conduct complained is not in breach of UNET policies) then the Supervisor should:
  - act promptly
  - notify the CEO, Paul Truasheim
  - maintain confidentiality (with the exception of notifying the CEO)
  - pass any notes on to the CEO.

If an investigation is requested or is appropriate, follow the next procedure.

**Procedure: To investigate a complaint** - When a Supervisor investigates a complaint, they should involve the CEO and follow this procedure.

1. Do not assume guilt.
2. Advise on the potential outcomes of the investigation if the allegations are substantiated.
3. Interview all directly concerned, separately.
4. Interview witnesses, separately.
5. Keep records of interviews and the investigation.
6. Interview the alleged harasser, separately and confidentially and let the alleged harasser know exactly of what they are being accused. Give them a chance to respond to the accusation. Make it clear they do not have to answer any questions, however, the Supervisor will still make a decision regardless.
7. Listen carefully and record details.
8. Ensure confidentiality, minimise disclosure.
9. Decide on appropriate action based on investigation and evidence collected.
10. Check to ensure the action meets the needs of the complainant and UNET.
11. If resolution is not immediately possible, refer the complainant to more senior management. If the resolution needs a more senior Supervisor's authority, refer the complainant to this Supervisor.
12. Discuss any outcomes affecting the complainant with them to make sure where appropriate you meet their needs.

**Possible outcomes** - If after investigation management finds the complaint is justified, management will discuss with the complainant the appropriate outcomes which may include:

- disciplinary action to be taken against the perpetrator (counselling, warning or dismissal)
- staff training
- additional training for the perpetrator or all staff, as appropriate
- counselling for the complainant
- an apology (the particulars of such an apology to be agreed between all involved)

## 12. INFORMATION TECHNOLOGY RESOURCES USE POLICY

Universal Education and Training Ltd (UNET) recognises the usefulness of the internet, email, mobile devices and computer equipment as research, communication and work tools. This policy sets out the appropriate standards of behaviour for users of UNET's information technology resources. This policy applies to all staff members of UNET, Fellows, trainees, volunteers and contractors (including sub-contractors and temporary contractors) referred to as **users**.

At all times when accessing or using UNET's information technology resources, users must ensure that they comply with this policy. It is the user's responsibility to ensure that they use UNET's information technology resources in a lawful and professional manner.

This policy outlines the expectations in the use of UNET's:

3. Information technology resources.
4. Internet.
5. Social media.
6. Email facilities.
7. Mobile phones and mobile devices.

If a user is unsure about any matter covered by this policy, they should seek guidance from UNET.

This policy applies to the use of all internet, email and computer facilities, both during and outside of business working hours. This policy applies to the use of internet, email and computer facilities inside the workplace, as well as use from remote locations. Use of computer facilities includes use of laptops, mobile phones and similar products, and any other equipment that provides a means of accessing UNET's email and internet facilities. For example, this policy extends to the use of a personal computer which has access to UNET's IT systems.

UNET's information technology resources ("IT resources") are provided to support the educational and administrative activities of UNET. These resources include:

- UNET's network.
- Computer systems and software including personal computers, notebooks and servers.
- Access to the internet.
- Email, telephones and related services.

If users produce, collect and/or process UNET related information in the course of their work, that information remains the property of UNET. This includes information stored on third party websites.

If you have any concerns about the internet, email and computer use policy please Paul Truasheim. Requests must be in writing and resolution of concerns will be sought as promptly as possible.

Where UNET suspects or finds evidence of a breach of this policy, UNET reserves the right to restrict a user's access to its IT resources. Any user found to have violated this policy may be subject to disciplinary action.

### 12.1. PERSONAL USE GUIDELINES FOR USE OF IT RESOURCES

Users must comply with the following guidelines when using UNET's IT resources:

- Users should protect their username/login code and password information at all times and not divulge such information to any other person, unless it is necessary to do so for legitimate reasons.
- Username/login codes and passwords are not to be recorded on or near computer equipment/mobile devices.
- Users should ensure that they log off from their account, and lock their computer/mobile device or shut down their computer/mobile device when leaving such equipment unattended to ensure that others do not have access to UNET's computer systems.

- Users in possession of UNET’s computer equipment or mobile devices (including laptops, mobile phones, pagers, personal data assistants, wireless data cards, etc.) must at all times ensure that such equipment is stored or placed in areas with a minimal possibility of theft or damage.
- IT resources must not be used for private commercial purposes except where the paid work is conducted in accordance with UNET’s practice, or the work is for the benefit of an entity in which UNET holds an interest.
- Use of proprietary software is subject to terms of license agreements between UNET and the software owner or licensor, and may be restricted in its use.
- The UNET name or logo or any of its division’s names and logos may only be used with prior approval from the general manager, communications.

Users are permitted to use UNET’s IT resources for limited, incidental personal purposes, provided that such use does not:

- Interfere with the efficient business operations of UNET.
- Violate this policy or any other policy of UNET.
- Negatively impact upon the user’s work performance.
- Hinder the work of other users.
- Damage the reputation, image or operations of UNET.
- Such use must not cause noticeable additional cost to UNET.

UNET accepts no responsibility for:

- Loss or damage or consequential loss or damage, arising from personal use of its IT resources.
- Loss of data or interference with personal files arising from the efforts to maintain the IT resources.

## 12.2. PROHIBITED CONDUCT

Certain behaviour is considered to be inappropriate use of UNET’s IT resources and is strictly prohibited. Examples of such prohibited conduct are, but are not limited to:

- a) Users must not send (or cause to be sent), upload, download, use, retrieve, or access any file, email or internet material that:
  - i. Is obscene, offensive or inappropriate. This includes text, images, sound or any other material, sent either in an email or in an attachment to an email, or through a link to an internet site (URL). For example, material of a sexual nature, hateful, indecent or pornographic material.
  - ii. Causes insult, offence, intimidation or humiliation by reason of unlawful harassment or discrimination.
  - iii. Is defamatory or incurs liability or adversely impacts on the image of UNET. A defamatory message or material is a message or material that is insulting or lowers the reputation of a person or group of people.
  - iv. Is otherwise illegal, unlawful or inappropriate.
  - v. Affects or may affect the performance of, or cause damage to or overload UNET’s computer systems or internal or external communications in any way.
  - vi. Gives the impression of or is representing, giving opinions or making statements of on behalf of UNET without the express authority of UNET.
- b) Users must not use IT resources to:

- i. Violate copyright or other intellectual property rights. Computer software that is protected by copyright is not to be copied from, or into, or by using UNET's computing facilities, except as permitted by law or by contract with the owner of the copyright. Similarly, users should not copy or access copyright protected music or videos on UNET's IT resources.
  - ii. Breach an individual's privacy, including patients under the care of a Fellow or trainee;
  - iii. Create any legal or contractual obligations on behalf of UNET unless expressly authorised by UNET.
  - iv. Disclose any confidential information of UNET or any employee, Fellow, trainee, client or supplier of UNET unless expressly authorised by UNET.
  - v. Install software or run unknown or unapproved programs on UNET's computers. Under no circumstances should users modify the software or hardware environments on UNET's computer systems (this includes installing software purchased by users for personal private use) without prior approval from the general manager, IT.
  - vi. Gain unauthorised access (hacking) into any other computer within UNET or outside UNET or attempt to deprive other users of access to or use of any College computing system.
  - vii. Plagiarise another person's work.
  - viii. Deliberately send or cause to be sent chain or spam emails in any format.
  - ix. Obtain personal gain. For example, running a personal business using UNET's computers.
  - x. Gamble.
  - xi. Stream content for personal use.
  - xii. Use peer to peer file sharing software such as VUZE, BitTorrent, etc.
- c) Perpetrate any form of fraud or software, film or music piracy. Users must not use another user's computer or internet access or email facilities (including passwords and usernames/login codes) for any reason without the express permission of the user.

Any criminal offences will be reported to the police.

### 12.3. SOCIAL MEDIA

For the purposes of this policy, the following definitions apply: **Social Media** includes all internet-based publishing technologies. Most forms of Social Media are interactive, allowing authors, readers and publishers to connect and interact with one another. The published material can often be accessed by anyone. Forms of Social Media include, but are not limited to, social or business networking sites (i.e. Facebook, LinkedIn), video and/or photo sharing websites (i.e. YouTube, Flickr), business/corporate and personal blogs, micro-blogs (i.e. Twitter), chat rooms and forums and/or Social Media.

This policy also applies to all employees, contractors and sub-contractors of UNET who:

- have an active profile on a social or business networking site such as LinkedIn, Facebook, MySpace, Bebo, Friendster or Twitter;
- write or maintain a personal or business' blog; and/or

- post comments on public and/or private web-based forums or message boards or any other internet sites.

Users must take a common sense approach to the content that they publish online. Because of the public nature of the internet and social media, this common sense approach also applies to use of social networking sites outside of business hours or on equipment other than UNET equipment.

Statements of fact about UNET and its products and services, publicly available information and information already published on UNET's website are all examples of appropriate online content.

Users must not publish any material online that contains UNET's confidential information (including financial information and information about organisational matters), the personal information of another (without that individual's consent), information about UNET's customers or clients, or content that may offend, intimidate, defame or humiliate a Fellow, trainee, staff member, volunteer or contractor of UNET. Further, if a user becomes aware of the publication of material that is linked to UNET, its workers or its clients which would be deemed distasteful or inappropriate, the user should report such conduct to UNET's Human Resources Department.

If a user is unsure about whether they should publish material on the internet, they should seek guidance from Paul Truasheim.

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### 12.3.1. PROFESSIONAL USE OF SOCIAL MEDIA

UNET expects its employees to maintain a certain standard of behaviour when using Social Media for work or personal purposes. This policy applies to all employees, contractors and sub-contractors of UNET who contribute to or perform duties such as:

- maintaining a profile page for UNET on any social or business networking site (including, but not limited to LinkedIn, Facebook, MySpace, Bebo, Friendster or Twitter);
- making comments on such networking sites for and on behalf of UNET;
- writing or contributing to a blog and/or commenting on other people's or business' blog posts for and on behalf of UNET; and/or
- posting comments for and on behalf of UNET on any public and/or private web-based forums or message boards or other internet sites.

No employee, representative, contractor or sub-contractor of UNET is to engage in Social Media on behalf of UNET unless they first obtain UNET's written approval.

If any employee, contractor or sub-contractor of UNET is directed to contribute to or participate in any form of Social Media related work, they are to act in a professional manner at all times and in the best interests of UNET.

All employees, contractors and sub-contractors of UNET must ensure they do not communicate any:

- Confidential Information relating to UNET or its clients, business partners or suppliers;
- material that violates the privacy or publicity rights of another party; and/or
- information, (regardless of whether it is confidential or public knowledge), about clients, business partners or suppliers of UNET without their prior authorisation or approval to do so; on any social or business networking sites, web-based forums or message boards, or other internet sites.

Confidential Information includes any information in any form relating to UNET and related bodies, clients or businesses, which is not in the public domain. This includes, but is not limited to information relating to {Insert examples}.

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### 12.3.2. PRIVATE / PERSONAL USE OF SOCIAL MEDIA

UNET acknowledges its employees, contractors and sub-contractors have the right to contribute content to public communications on websites, blogs and business or social networking sites not operated by UNET. However, inappropriate behaviour on such sites has the potential to cause damage to UNET, as well as its employees, clients, business partners and/or suppliers.

For this reason, all employees, contractors and sub-contractors of UNET must agree to not publish any material, in any form, which identifies themselves as being associated with UNET or its clients, business partners or suppliers.

All employees, contractors and sub-contractors of UNET must also refrain from posting, sending, forwarding or using, in any way, any inappropriate material including but not limited to material which:

- is intended to (or could possibly) cause insult, offence, intimidation or humiliation to UNET or its clients, business partners or suppliers;
- is defamatory or could adversely affect the image, reputation, viability or profitability of UNET, or its clients, business partners or suppliers; and/or
- contains any form of Confidential Information relating to UNET, or its clients, business partners or suppliers.

All employees, contractors and sub-contractors of UNET must comply with this policy. Any breach of this policy will be treated as a serious matter and may result in disciplinary action including termination of employment or (for contractors and sub-contractors) the termination or non-renewal of contractual arrangements.

Other disciplinary action that may be taken includes, but is not limited to, issuing a formal warning, directing people to attend mandatory training, suspension from the workplace and/or permanently or temporarily denying access to all or part of UNET's computer network.

#### 12.4. EMAILS

Email facilities are provided for formal work related correspondence.

To protect UNET from the potential effects of the misuse and abuse of email, the following instructions are for all users:

- The email records of other persons are not to be accessed except by management (or persons authorised by management) ensuring compliance with this policy, or by authorised staff who have been requested to attend to a fault, upgrade or similar situation. Access in each case will be limited to the minimum needed for the task.
- When using email a person must not pretend to be another person or use another person's computer without permission.

Failure to comply with these instructions is a performance improvement offence and will be investigated. In serious cases, the penalty for breach of policy, or repetition of an offence, may include dismissal.

Appropriate standards of civility should be used when using email and other messaging services to communicate with other staff members or any other message recipients. When using the email or messaging system users must not send:

- Angry or antagonistic messages – these can be perceived as bullying or threatening and may give rise to formal complaints under grievance procedures or discrimination/sexual harassment procedures.
- Offensive, intimidating or humiliating emails – UNET's IT resources must not be used to humiliate, intimidate or offend another person/s on the basis of their race, gender, or any other attribute prescribed under anti-discrimination legislation.
- No material is to be sent as email that is defamatory, in breach of copyright or business confidentiality, or prejudicial to the good standing of UNET in the community or to its relationship with staff, customers, suppliers and any other person or business with whom it has a relationship.

- Email must not contain material that amounts to gossip about colleagues or that could be offensive, demeaning, persistently irritating, threatening, discriminatory, involves the harassment of others or concerns personal relationships.

A user must comply with the following guidelines when using UNET's email system:

- Take care to maintain the confidentiality of sensitive information.
- All emails sent must include the an approved email signature.
- Any disclaimer which is automatically included in UNET's emails must not be removed.
- If a user receives an email which they suspect contains a virus, they should not open the email or any attachment to the email and should immediately contact the IT service desk for assistance.
- If a user receives an email the content of which (including an image, text, materials or software) is in breach of this policy or any UNET's other policies, the user should immediately delete the email and report the matter to the general manager, IT. The user must not forward the email to any other person.
- Limited private use of email is allowed if it doesn't interfere with or distract from an employee's work. However, management has the right to access incoming and outgoing email messages to check if an employee's usage or involvement is excessive or inappropriate.
- Users must adhere to the guidelines and prohibitions set out in this policy at all times.

UNET reserves the right to monitor email, files, internet downloads or data stored on its IT resources.

Access to and monitoring of equipment is permitted for any reason, including but not limited to, suspected breaches of this policy by a user or unlawful activities. Access to and monitoring includes, but is not limited to, email, web sites, server logs and electronic files. UNET may keep a record of any monitoring or investigations.

### 13. CONTINUOUS IMPROVEMENT POLICY<sup>32</sup>

UNET will ensure that it complies with the Standards for RTO's at all times. To ensure compliance, UNET systematically collects information and feedback to assist in the continuous improvement process from the following sources:

- Quality/performance indicator data collected under Clause
- Validation outcomes;
- 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.

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.

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

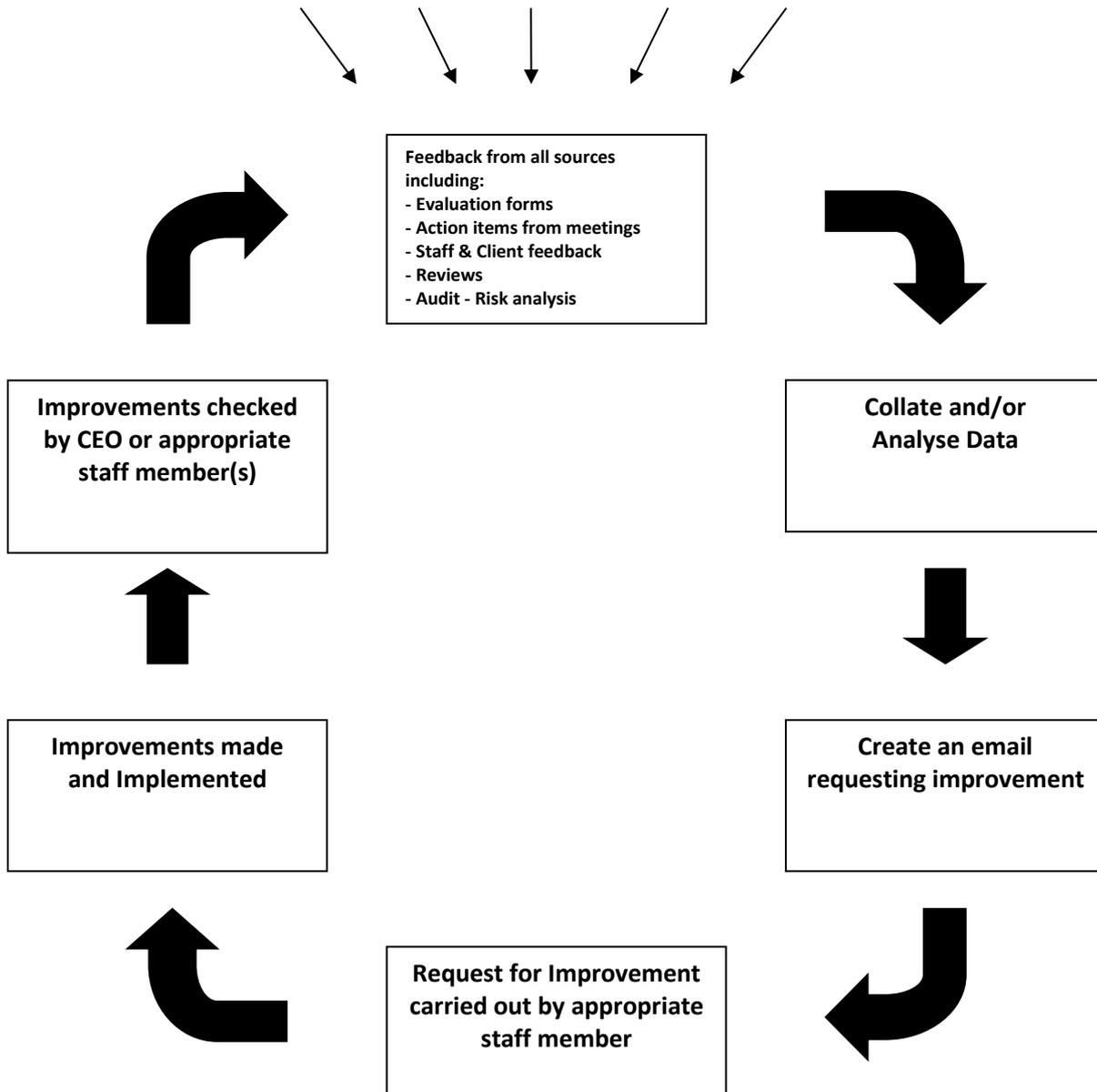
In addition to the above process, students are invited to provide us with feedback anytime.

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.

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<sup>32</sup>2.1, 2.2

### 13.1. FEEDBACK FLOWCHART



## 14. THIRD PARTY PROVIDERS POLICY<sup>33</sup>

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.<sup>34</sup>

UNET will ensure that students are advised as soon as practicable of any changes to new or existing Third Party arrangements<sup>35</sup>

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<sup>33</sup> 2.1, 2.3, 2.4, 8.1, 8- 8.4.

<sup>34</sup> 8.2, 8.3.

<sup>35</sup> 5.4

## 15. QUALIFICATIONS ISSUANCE POLICY <sup>36</sup>

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.<sup>37</sup>

UNET will ensure that it complies with Schedule 5 of the Standards for Registered Training Organisations 2015. This includes the requirements for:<sup>38</sup>

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.<sup>39</sup>

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

### 15.1. 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 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.

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<sup>36</sup> 3

<sup>37</sup> 3.1

<sup>38</sup> 4.1 a-d

<sup>39</sup> 3.3

## 16. COURSE WITHDRAWAL POLICY <sup>40</sup>

All notification of withdrawal from a course, or applications for refunds, must be made in writing and submitted via email to: [admin@unet.org.au](mailto:admin@unet.org.au) OR post to:

Universal Education and Training  
PO Box 6145  
Maroochydore BC 4558

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

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).

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<sup>40</sup> 5.3 c

## 17. COMPLAINTS AND APPEALS POLICY<sup>41</sup>

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 an issue, dispute or complaint. The internal complaints and appeals processes are based on the principles of conciliation and mutual cooperation.

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 follow the formal Complaints Procedure below.

No charge or fee of any kind is applied to any appeal of Assessment or any other matter. Internal complaints and appeals processes are available to students at no cost.

### 17.1. 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**).

### 17.2. INFORMAL COMPLAINTS

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).

### 17.3. FORMAL COMPLAINTS

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.

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.

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](mailto:admin@unet.org.au)) with the words "Formal Complaint" in the email subject; or

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<sup>41</sup> 5.1, 6.1-6.6.

- iii. An email directly to the CEO – ([paul@unet.org.au](mailto:paul@unet.org.au)) with the words “Formal Complaint” in the email subject; or
- iv. Post to:  
Universal Education and Training  
PO Box 6145  
Maroochydore BC 4558

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 within 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.

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.

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

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

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.

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.

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.

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

#### 17.4. 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](http://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 <sup>42</sup>.

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 <sup>43</sup>.

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<sup>42</sup> 6.4

<sup>43</sup> 6.5

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
- 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.<sup>45</sup>

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 body<sup>46</sup>.

When collecting fees in advance, UNET and / or a third party collecting fees on behalf of UNET, accepts payment of no more than \$1,500AUD 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 \$1,500<sup>47</sup>. Students are informed of this policy via the ***Student Handbook***.

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<sup>44</sup> 7.2

<sup>45</sup> 5.3

<sup>46</sup> 7.2

<sup>47</sup> 7.3

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:<sup>49</sup>

- 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) <sup>50</sup>
- in the conduct of audits and monitoring of its operations
- by providing accurate and timely AVETMISS data relevant to measures of its performance<sup>51</sup>
- 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

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.

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<sup>48</sup> 8.1

<sup>49</sup> 7.1

<sup>50</sup> 8.4

<sup>51</sup> 7.5

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.

## 20. RECORD & INFORMATION MANAGEMENT POLICY<sup>52</sup>

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.

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, other than access required for legal reasons.
- 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 indicted 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.

### 20.1. STUDENT ACCESS TO RECORDS

Students may request a copy of their records and any other information recorded about them at any time by submitting a request in writing via email to administration ([admin@UNET.org.au](mailto:admin@UNET.org.au)) with the words "Records Request" in the email subject and a description of the records that they are requesting access to.

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<sup>52</sup> 8.1

## 20.2. RETENTION OF RECORDS TABLE

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

ITEM	DESCRIPTION	PERIOD & AMOUNT TO BE RETAINED
<b>Student Results</b>	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. Records may be electronic or hard copy.	Keep 100% for 30 years.
<b>Qualifications/ Statements of Attainment Issued</b>	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.	Keep 100% for 30 years.
<b>Assessment Instruments/tools</b>	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.	Keep a master copy of all versions of assessment instruments/tools/procedures used for 7 years following the last date of use.
<b>Training and Assessment Strategies</b>	Details the training and assessment strategy (as per Strategies for Training and Assessment section of this policies and procedures manual) for each cohort. 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.	Keep 100% for 30 years.
<b>Completed assessment items</b>	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	<b>IMPORTANT NOTE: This information is for non-funded training only. Additional retention periods and conditions may be imposed by contractual or regulatory requirements.</b>

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.

**100% of completed student assessment items for a period of six months from the date on which the judgement of competence for the student was made.**

## 21. INSURANCES POLICY<sup>53</sup>

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

- a. workers compensation
- b. public liability
- c. professional indemnity

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

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<sup>53</sup> 7.4

## 22. GOVERNANCE

UNET's Chief Executive is committed to ensuring that we as an RTO comply with the VET Quality Framework. This applies to its commitments to meet the Fit and Proper Person Requirements (FPPR) and the criteria for assessment of persons subject to the FPPR for NVR registered training organisations, all senior officers and directors or substantial shareholders who are in a position to influence the management of the organisation must satisfy fit and proper person requirements unless these requirements have already been met through other legislative provisions.

UNET will adopt the following process of consideration when considering their senior management team when assessing whether the applicant's senior officers, directors or substantial shareholders who are in a position to influence the management of the organisation meet fit and proper person requirements:

- Has the senior manager been convicted of a serious offence? and/or
- Has the senior manager ever had his, her or its RTO registration cancelled or suspended? and/or
- Has the senior manager ever had a condition imposed on his, her or its RTO registration? and/or
- Has the senior manager ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors? and/or
- Has the senior manager ever been disqualified from managing corporations under Part 2D.6 of the Corporations Act 2001? and/or
- Has the senior manager ever been involved in the business of the provision of courses by another provider who is covered by any of the above paragraphs at the time of any of the events that gave rise to the relevant prosecution or other action? and/or
- Any other relevant matter.

UNET ensures that **the decision making of senior management is informed by the experiences of its trainers and assessors** by the following:

- Annual Internal audit reports require UNET's Chief Executive Officer's sign off and attendance at the meeting to discuss the results of the audit.
- UNET's Chief Executive Officer attends management and compliance meetings which monitor and review compliance with the Standards and other relevant guidelines. If the CEO is unable to attend they will be asked to review and sign off on the minutes.
- The CEO is Cc'd in on significant or important emails between trainers, administration and students. Where needed the CEO will become actively involved in the communications.
- The CEO is required to sign off on reviewed and analysed feedback then make a decision on whether the feedback needs to be discussed at the management or compliance meetings.

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 behalf<sup>55</sup>;
- 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 audit<sup>56</sup>;
- 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)<sup>57</sup>.

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<sup>54</sup> 8

<sup>55</sup> 7.1, 8.5

<sup>56</sup>

<sup>57</sup> 8.1 e

## 24. 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 are aware of anything that might potentially hinder the delivery of training, they are encouraged to contact us.

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
- Australian Human Rights Commission Act 1986 (Cth).

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).

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**).

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<sup>58</sup> 8.6

## 26. PRIVACY POLICY

All personal information will be stored as per our records management policy outlined in this Policies and Procedures Manual.

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, other than access required for legal reasons.

## 27. 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.