



Unique
International
College

Education for life...

Unique International College (UIC)

CRICOS ID: 02876J

NTIS ID: 91350

Policies and Procedures Handbook

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Version History

| Ver. | Changes Made | Made By | Date |
|------|--|--------------------|----------|
| 1.1 | Original Release | CEO | 07 |
| 2.0 | Adjusted admissions Policy to suit UIC | Compliance Officer | 17/08/07 |
| 2.1 | Amended admission P&P to include RPL and COE | Compliance Officer | 17/08/07 |
| 2.2 | Added clause in P&P for this standard and to show who is responsible for this | Compliance Officer | 17/08/07 |
| 2.3 | Revised for clarity and consistency | Compliance Officer | 20/08/07 |
| 2.4 | Added NSW Hairdressers ACT, correct VET Act to relevant legislation and amended privacy information | Compliance Officer | 20/08/07 |
| 2.5 | Wrote new staff recruitment policy and procedure | Compliance Officer | 23/08/07 |
| 2.6 | Added arrangement details with external counsellor | Compliance Officer | 23/08/07 |
| 2.7 | Added clause 13 to overseas student admission Policy | Compliance Officer | 25/08/07 |
| 2.8 | Added "points to note" for conducting assessment procedure | Compliance Officer | 28/07/07 |
| 2.9 | Amended point 7 in P&P Code of Practice "Advising Students and Stakeholders" to include this provision. | Compliance Officer | 28/07/07 |
| 2.10 | Made minor amendments for clarity and consistency | Compliance Officer | 28/07/07 |
| 2.11 | Minor amendments for clarity and consistency to RPL procedures | Compliance Officer | 28/07/07 |
| 3.0 | Wrote DEST-DIAC course progress policy | Compliance Officer | 28/07/07 |
| 3.1 | Minor amendments to admissions procedure | Compliance Officer | 28/07/07 |
| 3.2 | Minor amendments and adjustments for consistency with roles | CEO | 14/09/07 |
| 3.3 | Wrote RTO ID, CRICOS ID and NTIS ID, Inserted logo in the header. Inserted Policies and Procedures footer | CEO | 31/10/07 |
| 3.4 | Removal of Reference to Director of Administration to be replaced with Compliance Officer or Officer Manager | Compliance Officer | 16/11/07 |
| 3.5 | Formatting updated to improve look and layout of document | Compliance Officer | 29/02/08 |
| | | | |

UIC Policies and Procedures

| | |
|----------------------------------|---|
| Policy/procedure No. | 1 |
| Task | Code of Practice |
| | 3 |
| Performed by/relevant to Purpose | All UIC Staff, Trainers, Assessors To ensure that UIC satisfies AQTF Standards for Registered Training Organisations |
| Frequency | As required |

This Policy verifies that UIC agrees to operate ethically and within the principles and standards of the Australian Quality Training Framework. This includes a commitment to recognise the qualifications issued by other Registered Training Organisations.

1. Legislative Requirements

UIC shall comply with all regulatory requirements. In particular, compliance must be established for the following legislative and regulatory requirements:

- Hairdressers Act 2003
- Australian Quality Training Framework Standards (AQTF)
- Occupational Health and Safety Act (NSW) 2000
- Occupational Health and Safety Regulations (NSW) 2001
- Anti-Discrimination Act (NSW) 1977
- Racial Discrimination Act 1975 (Cth)
- Sex Discrimination Act 1984 (Cth)
- Human Rights and Equal Opportunity Commissions Act 1986 (Cth)
- Disability Discrimination Act 1992 (Cth)
- Age Discrimination Act 2004
- Vocational Education and Training Act 2005 (NSW)
- Apprenticeship and Traineeship Act. 2001 (NSW).
- Education Services for Overseas Students (ESOS) Act 2000
- Education Services for Overseas Students (ESOS) Regulations 2001
- The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students (National Code)
- Education Services for Overseas Students (Registration Charges) Act 1997
- ESOS Assurance Fund Act
- Privacy Act 1988 (Cth)
- Privacy (Private Sector) Regulations 2001 (Cth)
- Privacy and Personal Information Protection Act 1998 (NSW)
- Commission for Children and Young People Act 1998
- Child Protection (Prohibited Employment) Act 1998
- Child Protection (Prohibited Employment) Regulation 2004
- Child Protection Legislation Amendment Act 2003

The CEO has the responsibility to monitor legislation and to advise of any changes.

For up to date changes and information on NSW or Federal legislation visit:

<http://www.legislation.nsw.gov.au/maintop/search/inforce>

<http://www.comlaw.gov.au>

The principle legislation is paraphrased below:

Occupational Health and Safety Policy

The NSW Occupational Health and Safety Act 2000 describes UIC's duty of care to provide a safe and healthy working environment for all staff, and the staff's duty of care to take reasonable care for the health and safety of others within the work place.

This includes the provision of:

- a workplace that is safe to work in, with working procedures that are safe to use,
- adequate staff training including topics such as safe work procedures, infection control procedures and appropriate hygiene,
- properly maintained facilities and equipment,
- a clean and suitably designed work place with the safe storage of goods such as chemicals.

The following procedures and standards must be observed to achieve a safe working and learning environment:

- Maintain a safe, clean and efficient, working environment,
- Implement procedures and practices, in a variety of situation, in accordance with State and Local Government Health regulations,
- Store and dispose of waste according to health regulations,
- Clean walls, floor and working surfaces to meet health and safety standards without causing damage,
- Check all equipment for maintenance requirements,
- Refer equipment for repair as required,
- Store equipment safely,
- Identify fire hazards and take precautions to prevent fire,
- Safe lifting and carrying techniques maintained,
- Ensure Participant safety at all times,
- Ensure procedures for operator safety are followed at all times,
- All unsafe situations recognised and reported,
- Implement regular fire drills and provide first aid trained staff,
- Display first aid and safety procedures for all staff and students to see,
- Report any identified Occupational Health and Safety hazard to the appropriate staff member as required.

Harassment and Discrimination Policy

We are required under Australian law to ensure that we provide a workplace that is free from all forms of harassment and discrimination (including victimisation and bullying) so that all staff and students feel valued, respected and are treated fairly.

We will ensure that all of our staff understand their roles and responsibilities in creating such a workplace, by a process of training, communication, mentoring and by example. We will ensure all of our staff are aware of the processes and procedures for addressing any form of harassment or discrimination.

Staff and students should be aware of the following definitions:

'Bullying' - is unwelcome and offensive behaviour that intimidates, humiliates and/or undermines a person or group. Bullying involves a persistent pattern of behaviour over a period time and may include verbal abuse, physical assault, unjustified criticism, sarcasm, insult, spreading false or malicious rumours about someone, isolating or ignoring a person, putting people under unnecessary pressure with overwork or impossible deadlines, and sabotaging someone's work or their ability to do their job by not providing them with vital information and resources.

'Confidentiality' - refers to information kept in trust and divulged only to those who need to know.

'Discrimination' - is treating someone unfairly or unequally simply because they belong to a group or category of people. Equal opportunity laws prohibit discrimination on the grounds of sex, marital status, pregnancy, family responsibility, family status, race, religious beliefs, political conviction, gender history, impairment, age or sexual orientation. Victimisation is also treated as another ground of discrimination.

'Harassment' - is any unwelcome and uninvited comment or action that results in a person being intimidated, offended, humiliated or embarrassed. Equal opportunity laws prohibit harassment on the grounds of sex and race.

'Personnel' - refers to all staff/staff/contractors of Unique International College.

'Racial Harassment' - occurs when a person is threatened, abused, insulted or taunted in relation to their race, descent or nationality, colour, language or ethnic origin, or a racial characteristic. It may include derogatory remarks, innuendo and slur, intolerance, mimicry or mockery, displays of material prejudicial to a particular race, racial jokes, allocating least favourable jobs or singling out for unfair treatment.

'Sexual Harassment' - is any verbal or physical sexual conduct that is unwelcome and uninvited. It may include kissing, embracing, patting, pinching, touching, leering or gestures, questions about a person's private or sexual life, requests for sexual favours, smutty jokes, phone calls, emails, facsimiles or messages, offensive noises or displays of sexually graphic or suggestive material.

'Victimisation' - includes any unfavourable treatment of a person as a result of their involvement in an equal opportunity complaint. Unfavourable treatment could include: adverse changes to the work environment; denial of access to resources or work.

Specific principles

All staff and students have a right to work in an environment free of any form of harassment and discrimination,

- All reports of harassment and discrimination will be treated seriously, impartially and sensitively. Harassment and discrimination, including victimisation and bullying, is unwelcome, uninvited and unacceptable behaviour that will not be tolerated,
- When management is informed of any harassment or discrimination, it has the responsibility to take immediate and appropriate action to address it,
- In dealing with all complaints, the rights of all individuals should be respected and confidentiality maintained,
- Whenever possible, all complaints should be resolved by a process of discussion, cooperation and conciliation. The aim is to achieve an acceptable outcome while minimising any potential damage to our organisation,
- Both the person making the complaint, and the person against whom the complaint has been made, will receive information, support and assistance in resolving the issue,
- Victimisation is unacceptable and will not be tolerated. No person making a complaint, or assisting in the investigation of a complaint, should be victimised,
- Harassment or discrimination should not be confused with legitimate comment and advice (including feedback) given appropriately by management or trainers,
- Staff and students should not make any frivolous or malicious complaints. All staff and students are expected to participate in the complaint resolution process in good faith.

Privacy

UIC takes the privacy of our students very seriously and we will comply with all legislative requirements.

These include the Privacy Act and National Privacy Principles (2001).

In some cases as required by law and as required by the AQTF we will need to make your information available to others. In all other cases we ensure that we will seek the written permission of the participant.

The ten Privacy Principles are defined below:

1. Collection - We will collect only the information necessary for one or more of our functions. The individual will be told the purposes for which the information is collected.
2. Use and disclosure - Personal information will not be used or disclosed for a secondary purpose unless the individual has consented or a prescribed exception applies.
3. Data quality - We will take all reasonable steps to make sure that the personal information we collect, use or disclose is accurate, complete and up to date.
4. Data Security - We will take all reasonable steps to protect the personal information we hold from misuse and loss and from unauthorised access, modification or disclosure.
5. Openness - We will document how we manage personal information and when asked by an individual, will explain the information we hold, for what purpose and how we collect, hold, use and disclose the information.
6. Access and correction - The individual will be given access to the information held except to the extent that prescribed exceptions apply. We will correct and update information errors described by the individual.
7. Unique Identifiers - Commonwealth Government identifiers (Medicare number or tax file number) will only be used for the purposes for which they were issued. We will not assign unique identifiers except where it is necessary to carry out our functions efficiently.
8. Anonymity - Wherever possible, we will provide the opportunity for the individual to interact with external agencies without identifying themselves.
9. Trans-border Data Flows - The individual's privacy protections apply to the transfer of personal information out of Australia.
10. Sensitive Information - We will seek the consent of the individual when collecting sensitive information about the individual such as health information, or information about the individual's racial or ethnic background, or criminal record.

Vocational Education and Training Requirements and Policies

These are described in more detail in the VET act (Vocational Education and Training Act 2005) but basically confirm the right of VETAB to audit UIC, apply penalties for non compliance, define the requirements to retain records and other administration and operational requirements of a functioning RTO etc.

Apprenticeships and Traineeships

UIC does not deliver traineeships (also known as "New Apprenticeships) and we will ensure that we comply with the Skilling Australia's Workforce Bill 2005 and Skilling Australia's Workforce (Repeal and Transitional Provisions) Bill 2005 and the NSW Apprenticeship and Traineeship Act. 2001.

These acts define our obligations to comply with Department of Education (DET) requirements for funding of the Apprenticeship Traineeship Training Program (ATTP) and Approved Provider List (APL) funding, including our reporting and other obligations.

Working with Children

UIC does not accept any students under the age of 18 into our college.

However in the event that UIC changes it's policy we will ensure we comply with all Federal and State working with Children legislation such as the NSW Commission for Children and Young People Act 1998.

A list of all relevant State based legislation is available from the Federal Police Website:

<http://www.aifs.gov.au/nch/policechecks.html>

Further information on the NSW "Working with Children's Check" is available from UIC's CEO.

Copyright Laws

All staff must comply with copyright laws.

Infringement of copyright is not permissible. All staff should note the following conditions:

- You may copy one or more articles in each issue of a newspaper or magazine relating to the same subject matter,
- You may copy up to 15% of the number of pages in a collection of works, as long as the works being copied have not been separately published, or, whether the work is separately published or not, it is not more than 15, pages long,
- You may copy the whole of any work if you check with the supplier that the work will not be available for purchase within 14 days (or six months for textbooks) at the price you would normally pay,
- You must also acknowledge the copyright holder by stating the title of the work, its author/artist, and the name of the publisher,
- You must register details of the copies being made,
- Participants may copy up to 15% of a chapter of work.

2. Access and Equity

All students will be recruited in an ethical and responsible manner consistent with course requirements. All participant selection decisions will comply with Equal Opportunity Legislation.

UIC is committed to:

- providing equal opportunity and promoting inclusive practices and processes Consistent with Equal Opportunity Legislation
- providing a learning environment which is free from discrimination and harassment
- providing equal opportunity and promoting inclusive practices and processes for all students
- Integrating the principles of access and equity in its policies and procedures.
- Increase access for people from specific Student groups.

UIC has adopted the following principles:

- the participant recruitment and admission process is bias-free and non-discriminatory
- curriculum is inclusive of a range of participant needs
- the assessment process is fair, valid, reliable and consistent
- support is provided to those with special needs
- grievances are addressed in a fair and equitable manner
- relevant professional development for staff.

3. Quality Management Focus

UIC has sound management practices to ensure effective Student service. In particular we have Student service standards to ensure timely issue of assessment results and qualifications. These will be appropriate to the competence achieved by students and will be issued in accordance with national guidelines.

Our quality focus includes a Recognition of Prior Learning Policy, a fair and equitable Refund Policy, a Grievance and Appeal Policy, an Access and Equity Policy and, where appropriate, participant welfare and guidance services. Where necessary, arrangements will be made for those Students requiring literacy and/or numeracy training to be referred to appropriate support programs. UIC will take every opportunity to ensure that this information is disseminated, understood and valued by personnel and candidates.

4. Student Service

Our participant information will ensure that all fees and charges are known to trainees before enrolment, that course content and assessment procedures are explained and that vocational outcomes are outlined.

5. External Review

UIC agrees to participate and cooperate in external monitoring and audit processes required by the registering bodies.

6. Management and Administration

UIC has policies and management strategies that ensure sound financial and administrative practices. Management guarantees the organisation's sound financial position and safeguards trainee fees until used for training/assessment. We have a Refund Policy that is fair and equitable. Trainee records are managed securely and confidentially and are available for trainee perusal on request. UIC has adequate insurance policies.

7. Advising Students and Stakeholders

The CEO will advise VETAB in the following conditions:

- a) Within 3 months of ceasing delivery and/or assessment in a location outside the state or territory of registration.
- b) Within 21 calendar days of:
 - a) appointing a new Chief Executive Officer or change of directors
 - i) NOTE: The new CEO is required to complete the statutory declaration under section 18(2) (e) of the Vocational Education and Training Act 2005.
 - b) commencing delivery and/or assessment outside of NSW.
 - c) change of legal name, address, business or trading name
 - d) ceasing to offer courses
 - e) becoming bankrupt or going into liquidation
 - f) selling or otherwise transferring the business.

UIC will give students sufficient notice (at least 3 weeks) of intent to relocate its premises. UIC will provide students with all relevant information to ensure the relocation is as smooth and confusing free as possible.

8. Marketing and Advertising

UIC will follow the marketing and advertising guidelines issued by the Registering bodies and will market our education and training products with integrity, accuracy and professionalism, avoiding vague and ambiguous statements. In the provision of information, no false or misleading comparisons are drawn with any other training organisation or training product.

9. Training and Assessment

UIC will always have 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 and Credit Transfer). Adequate facilities, equipment and training materials will be available to ensure the learning environment is conducive to the success of trainees.

The CEO will maintain a register of agreements made with organisations that provide training and/or assessment on behalf of UIC.

10. Issuance of Qualifications

UIC will issue qualifications and Statements of Attainment to students who meet the required outcomes of a qualification or unit of competency, in accordance with the AQTF implementation handbook.

In cases where a company has enrolled an employee in a course and the employee subsequently leaves the company, UIC will return all original course materials and Certificates to the company and send copies to the participant.

11. Sanctions

UIC will honour all guarantees outlined in this Code of Practice. We understand that if we do not meet the obligations of this Code or supporting regulatory requirements, we may have our registration as a Registered Training Organisation withdrawn. The Legislative base for this is:

12. Information and Support Services

UIC will provide students with timely and accurate details of:

- Course information;
- Costs;
- Refund policy;
- Competency standards;
- Learning outcomes;
- Assessment criteria;
- Assessment results; and
- Grievance procedures and avenues of appeal.

UIC will provide students with full support during the course, including (where Appropriate) telephone advice and a fax service for the submission or return of assignments.

UIC Policies and Procedures

Policy/procedure No. 2
Task **Complaints and Appeals Policy**
5

Performed by/relevant to All UIC Staff, Trainers, Assessors, CEO, Head Teacher, contract staff.

Purpose To ensure that UIC satisfies AQTF Standards for Registered Training Organisations- Standard 1.5

Frequency As required

POLICY

It is essential that students have a clear process for resolving any complaints and if such complaints are related to assessment outcomes, students should have a fair process for appealing against assessment outcomes they do not agree with.

UIC will deal with complaints and appeals in a constructive and timely manner. It is our policy to ensure that:

1. Each complaint and appeal and its outcome is recorded in writing;
2. Each appeal is heard by a mutually agreeable independent person or panel;
3. The appellant has an opportunity to formally present his or her case;
4. The appellant is given a written statement of the appeal outcomes, including reasons for this decision; and
5. The CEO ensures action is taken by UIC to rectify and/or prevent a reoccurrence subject of any substantiated complaint.
6. Wherever necessary CEO will personally see the appellant/complainant and explain the reason for the decision.

This policy ensures that:

- a) All disputes or appeals will be handled professionally and confidentially in order to achieve a speedy resolution.
- b) All parties have a clear understanding of the steps involved in the complaint/appeals policy.
- c) Students and staff are aware of the policy and procedures for handling complaint/appeals and are informed of those in writing at induction.

Definitions

A complaint or appeal is deemed to be dissatisfaction with the procedures, outcomes or the quality of service provided by staff of the RTO in relation to the following processes:

- a) Enrolment
- b) The quality of training delivery
- c) Training/competency assessment, including recognition of prior learning
- d) Issuing of results, certificates and/or statements of attainment
- e) Any other activities associated with the delivery of training and assessment services
- f) Other issues such as discrimination, sexual harassment, participant amenities, etc.

Procedure

UIC welcomes suggestions or ideas for improving our services and being informed about any difficulties in dealing with us.

This procedure describes the process by which trainers and students may have complaints addressed effectively, efficiently, professionally and confidentially.

- 1.1 Student raises complaint with UIC Staff Member.
- 1.2 The Staff member who receives the complaint assists the complainant complete the complaint form, and notifies the CEO of receipt of complaint.
- 1.3 Complaint/Appeal investigated by the CEO and resolution sought within 24 hours. Outcome documented on a Complaint Action Request (CAR) or an Assessment Appeal Form.
 - (a) If **Resolution Reached** Go to Clause 1.4.
 - (b) If **Resolution NOT Reached** Go to Clause 1.6.
- 1.4 If complaint is substantiated, CEO completes Continuous Improvement Form and files outcome in RTO Student Folder.
- 1.5 The CEO updates complaints and appeals register and files outcome in a secure, lockable filing cabinet. Process Ends.
- 1.6 The CEO works with the complainant to satisfactorily resolve the issue within 3 days. This may involve a mutually agreed upon independent person or panel.
- 1.7 If complaint is substantiated, the CEO completes Continuous Improvement Form and forwards outcome documentation to staff member who received the complaint/appeal.
- 1.8 The CEO creates an RTO Complainant file and documents the complaint, strategies, outcomes and any correspondence received to date.
- 1.9 The CEO Communicates decision in writing, giving reasons for the decision, within 2 working days to all concerned parties and informs the complainant of their right to lodge a complaint with external agencies if they remain dissatisfied with the process.

Points to Note:

1. All complaints/appeals will be finalised within 21 days at the most (except in severe cases where legal proceedings may be involved).
2. Complainants shall be given an opportunity to formally present their case and may be
3. Where applicable, the relevant staff member/s shall be given an opportunity to formally present their case and may be accompanied by one other person as support or as representation.
4. The appeal against assessment can be made within 21 days of declaration of result after this period an application can be made only with the permission of the CEO.
5. An application fee of \$50 per unit of competency is applicable (to avoid frivolous applications). In case the appeal is successful full fee will be refunded less administrative charge of \$10.

Assessment Appeals Procedure

Students will be able to resubmit their assessment tasks as required. UIC staff provide online and telephone support for clarification of assessment requirements. Please utilise these services.

If a participant is dissatisfied with the outcome of an assessment they should:

- a) Contact their assessor to discuss their concerns
- b) Resubmit the task with any additional information
- c) Review the second result. If still dissatisfied, a second assessor will conduct an assessment
- d) If the participant is still dissatisfied with their result, the Head Teacher along with the two assessors involved, will review the assessment task, the appellant will be given an opportunity to present their case personally.
- e) If agreement has not been reached the matter will be referred to an independent external person or panel acceptable to all parties, with expertise in the area concerned.
- f) The appellant will be notified of the outcome of their appeal in writing by the Head Teacher.

A "Not Yet Competent" outcome means the participant must will need to repeat tasks as directed by their trainer/assessor for that unit and may be charged an additional fee.

Please note: UIC will endeavour to support each candidate and our aim is to offer ongoing assistance to enable each individual to achieve success in their studies.

RECORDS

| Record | Retention and Disposal | Storage Location |
|---------------------------------|-------------------------------|-------------------------|
| Assessment Appeal Form | 7 years and dispose | RTO Student Folder |
| Complaints Action Request (CAR) | 7 years and dispose | RTO Student Folder |
| Complaints and Appeals Register | 7 years and dispose | Training Quality Folder |
| Continuous Improvement Form | 7 years and dispose | Training Quality Folder |

ASSESSMENT APPEAL FORM

Name:

Address:

Telephone:

VET Program:

Please identify in the table below the units of competency that are the subject of your appeal:

| Unit Code(s) | Unit Title(s) | Date Assessed |
|--------------|---------------|---------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Assessor's Name:

Witness's Name:

Please detail the grounds for your appeal in the space provided below and ensure that you describe the alleged faults in the assessment process.

Grounds for Appeal:.....

Signed: _____ **Date:** _____

| | |
|------------------------|---|
| <i>Office Use Only</i> | |
| Date received: | Received by: |
| Date reviewed: | Decision: UPHELD REJECTED |

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | 3 |
| Task | Risk Management and Continuous Improvement policy |
| | 5 |
| Performed by/Relevant to | CEO, Head Teacher, RTO Trainers/Assessors , contract staff and CEO |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standards 1.8 & 1.10 |
| Frequency | As required |

Policy

UIC is committed to ensuring that UIC complies with the Australian Quality Training Framework and to continually reviewing its processes to identify the risk of UIC failing to comply with AQTF standards and to continuously improve the standards of its RTO operations.

In order to achieve these objectives, UIC will implement the following procedures:

Stakeholders Feedback

External Stakeholder Makes comments on our training and services through the following avenues:

- Course Feedback Forms
- Suggestions Boxes
- Complaints Action Request
- Assessment Appeal Form
- External AQTF and Contractual Audits

Go to Clause 1.3.

1.2 Staff Member Makes comments on our products and services through the following avenues:

- Internal / External Audits
- Validation Meetings
- Training Meetings

Go to Clause 1.3.

1.3 Staff Member Identifies areas for improvement and documents on a Continuous Improvement Form.

1.4 Staff Member Emails Continuous Improvement Form to the CEO.

1.5 CEO Reviews issue(s) and puts forward a recommended action plan.

1.6 CEO Communicates outcomes to initiator for actioning.

1.7 CEO updates Continuous Improvement Register.

1.8 CEO files Continuous Improvement Form and all related correspondence in the Training Quality Folder and places in a secure, lockable filing cabinet within 3 days of completion.

Risk Analysis and Management Procedure

1. Using the standard Risk Matrix, potential hazards are listed against the AQTF Standards.
2. Methods used to identify and monitor these hazards are identified and documented.
3. Risks are rated as high, medium or low based upon their potential ability to damage the UIC operations.
 - a. If the risk rating is medium or low it can be left simply as an awareness issue.
4. Risks are reduced through training and awareness and will be documented in relevant staff and student information.
5. All Risks are reviewed as part of internal audits annually.
6. **High risks** are reviewed at monthly management meetings or as required.
 - a. High Risk Review Process:
 - i. Enter high risk onto management meeting agenda
 - ii. Assess the nature of the harm that may be caused to staff and clients
 - iii. Decide on and implement control measures or remove the risk.
 - iv. Review the controls to ensure they are working
7. Should any of the actual risks actually occur, a continuous improvement processes is triggered. This risk must also be added/reviewed in the risk matrix for ongoing monitoring.

Please refer to the Risk Identification and Management Matrix.

Internal Audit

At least annually, the CEO will ensure that the Compliance Officer completes an internal audit of UIC's compliance against the AQTF, the National Code and other relevant legislative requirements.

A report on this audit will be documented for the CEO and will contain the appropriate action taken to rectify any potential/actual areas of non compliance.

The CEO will sign off on the self assessment to signify agreement with the results and the intended rectification program (if any).

A copy of the report and information on action taken will be provided to relevant staff and made available to VETAB upon request.

Conducting and Reporting of Internal Audits

Step 1:- The Compliance Officer and possibly an external Auditing organisation conducts and reports to the CEO on the results of the internal audit, as required, using the Internal Audit Tool ensuring a minimum of 15 Student, 3 Course and 4 Staff files are audited.

Points to Note:

1. Instructions on auditing are detailed in Audit Planning Checklist.
2. Audits are written up using the Internal Audit Tool.
3. Where audit issues/actions cannot be agreed with the auditee, then the CEO assumes responsibility.
4. Any actions arising from the audit should focus on both correcting the current problem (corrective action), as well as preventing further occurrences (preventative action).

Step2:- Compliance Officer forwards the completed audit report with agreed actions/timelines to the CEO for acceptance of findings and rectification time table (if required), this is signified by the CEO's signing of the audit report.

A copy of the signed audit report is forwarded to the 'Officer Manager' for record keeping.

Points to Note:

1. Reports should be submitted within 5 days.
2. The CEO can amend agreed actions/timelines if appropriate.
3. The audit report should be altered to reflect these amendments.

Reviewing Internal Audits

Step1:- CEO Reviews the report for any major issues.

Step2:- CEO advises relevant staff of any issue to be rectified.

Points to Note:

1. The rectification table should reflect the responsibility of the CEO to amend these situations.

Step3:- CEO ensures that all audit issues are rectified within the agreed timelines

Step4:- CEO Maintains an Audit Issue Tracking Register ensuring that all issues are closed out according to agreed timelines and copies to the Officer Manager and CEO'.

Points to Note:

1. The timely closure of audit issues is a performance measure, to be reported in the continuous improvement register.
2. CEO can randomly audit issues that have been closed, focusing on areas of risk.
3. Any issues that arise will be documented on an audit report template and forwarded to the relevant Head Teacher for taking action.

Step5:- CEO Reviews all internal audits on an annual basis, and identifies any system issues and good practices.

Points to note:

1. A summary of the system issues and good practices identified should be documented.
2. The CEO is responsible for ensuring the actioning of the system issues.

Student Surveys

A survey of all students will be conducted on the completion of each unit or cluster. The results of these surveys will be analysed and documented by the Head Teacher and submitted to the CEO. Where the analysis indicates that there are issues which need to be addressed, appropriate action will be taken to remedy these issues. The details of the action taken will be documented, delegated to appropriate staff and followed up by the CEO.

Industry Surveys

On an annual basis, UIC will conduct a survey of employers who have utilised its services, seeking information on the quality of delivery and assessment and customer service. The results of these surveys will be documented by the Head Teacher and appropriate action taken to address any issues identified.

On an annual basis UIC will conduct a survey of the number of its students(who completed the course from UIC) who got placement in the industry in which they were trained by UIC, and their current position in the industry. This will reflect the quality of the training provided.

The suggestions by these ex-students (now working in the industry) to bring into necessary changes to UIC training to meet the current industry needs will improve the function of UIC as an RTO. This research will be conducted by the Head Teacher.

Review of Policy and Procedures

At the end of each semester, UIC will review its policies and procedures, including the student records systems, to ensure that they are still current, relevant and accurate. This review will be co-ordinated by the CEO who will update policies and procedures as appropriate.

Staff Meetings

The CEO shall co-ordinate a meeting of all trainers and assessors and other RTO staff involved in the delivery of RTO programs at the completion of each semester.

These meetings will involve a discussion of all aspects of the RTO operations, including:

1. Policies and Procedures
2. Participant and industry surveys
3. Customer complaints and appeals
4. Delivery Issues
5. Validation and moderation of assessment
6. Recording of results.

These meetings may be held via a telephone conference call as appropriate. The CEO will ensure that minutes of these meetings are maintained, and these meetings will contribute to the Risk Management processes in place.

Customer Complaints

The register of customer complaints and appeals outcomes will be reviewed to ensure that issues arising from substantiated appeals/complaints have been addressed.

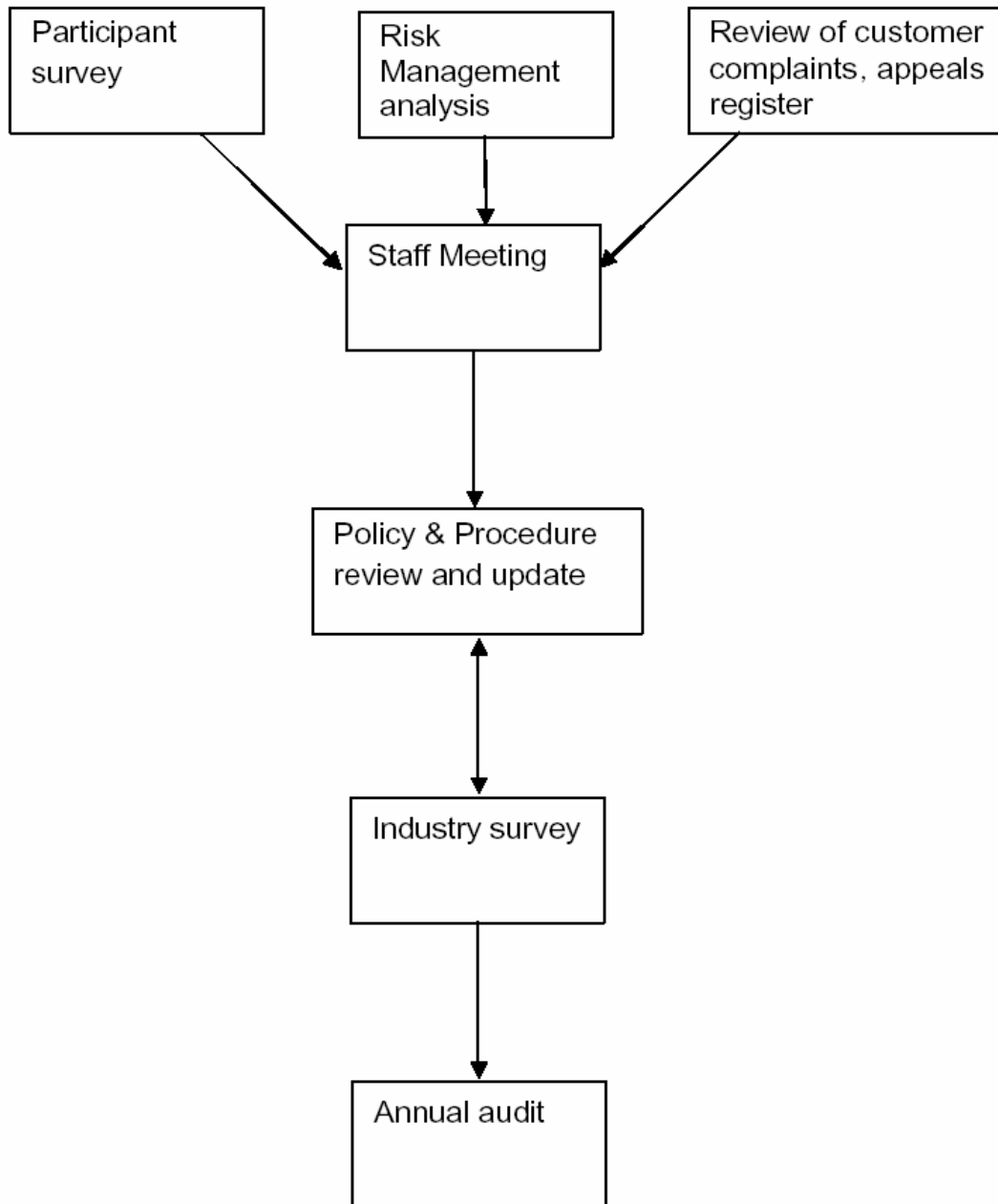
Summary

A summary of UIC's risk management/continuous improvement process, co-ordinated by the CEO, is outlined over page:-

1. Completion of each semester
2. Participant survey
3. Review of register of customer complaints and appeals
4. Risk Management analysis
5. Staff meeting
6. Policy and procedure review and update annually
7. Industry survey
8. Internal audit

Continuous Improvement Process

UIC's Continuous Improvement Process



RECORDS

| Record | Retention and Disposal | Storage Location |
|--------------------------------|-------------------------------|-------------------------|
| Assessment Appeal Form | 7 years and dispose | Training Quality Folder |
| Audit Planning Checklist | 7 years and dispose | Training Quality Folder |
| Complaint Action Request (CAR) | 7 years and dispose | Training Quality Folder |
| Continuous Improvement Form | 7 years and dispose | Training Quality Folder |
| Course Feedback Forms | 7 years and dispose | RTO Course Folder |
| Internal Audit Checklist | 7 years and dispose | Training Quality Folder |

UIC POLICIES AND PROCEDURES

Policy/Procedure No. 4
Task **Recognition of Other Qualifications Policy**

Performed by/Relevant to Purpose CEO
To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standards 5

Frequency As required
Policy

UIC will at all times accept and recognise the outcomes of any other Registered Training Organisation (RTO) or body in partnership with an RTO thereby ensuring the mutual acceptance throughout Australia of the qualifications and Statements of Attainment awarded by RTOs.

In accordance with the Australian Quality Training Framework (AQTF), UIC understands that mutual recognition applies nationally, and means the acceptance of the decisions of the registering body that has registered a training organisation, or the course accrediting body that has accredited a course, by another registering/course accrediting body, without there being any further requirement, including:

(a) the recognition by each Registering Body of the decisions of registering bodies in other States and Territories in relation to the registration of training organisations and the imposition of sanctions, including cancellation of registration; and

(b) the recognition by each course accrediting body of the decisions of course accrediting bodies in other States and Territories in relation to the accreditation of courses.

UIC staff and contractors realise the recognition by all State and Territory registering/course accrediting bodies of the national endorsement of Training Packages as notified on the National Training Information Service (NTIS) www.ntis.gov.au

Furthermore, UIC recognises and accepts that Australian Qualification Framework (AQF) qualifications and Statements of Attainment issued by other RTOs enable individuals to receive national recognition of their achievements. UIC will:

- Provide information to students as appropriate;
- Recognise accredited training through the provision of certification showing all requirements as detailed within the Australian Qualification Framework (AQF);
- Communicate with the issuing RTOs for the provision of written confirmation regarding a Certificate or Statement of Attainment, if doubt is evident; and
- By the awarding of competencies as having been attained on a current training program.

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | <u>5</u> |
| Task | Access and Equity Policy |
| | 2 |
| Performed by/Relevant to | CEO, Head Teacher, RTO Trainers/Assessors, Reception Staff, Contract staff, CEO, Compliance Officer/ Officer Manager |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standards 6 |
| Frequency | As required |

Policy

UIC is committed to providing opportunities for all people in the community to successfully gain skills, knowledge and experience through accessing our training products.

Opportunities to undertake training and / or employment with UIC will not be restricted on grounds of nationality, place of birth, age or sex.

UIC is committed to provide timely and appropriate information, advice and support services which assist Students to identify and achieve their desired outcomes.

UIC has a policy to increase the access, to the training, for people from specific Student group.

UIC is committed to developing a range of training programs that:

- are inclusive rather than exclusive;
- meet learner needs;
- meet industry and community expectations; and
- provide support for learners with different and diverse needs.

While all staff are responsible for maintaining access and equity principles, any enquires for access and equity should be directed to the CEO.

Procedure

1. To assist the Students to identify and achieve their desired outcomes, information regarding AQF, Educational Pathways, Vocational Pathways, Various courses provided by UIC, other institutes providing various courses and Industry needs and latest job vacancies will be provided on website, students handbook, and on the notice board for the students on UIC premises.

2. Appropriate services will be provided to people from specific Student group e.g. Large print texts, Information in marketing material, sexual assault reporting procedure etc.

3. As a part of assessing the Language, Literacy and Numeracy abilities of the students for the purpose of identifying learning needs students' IELTS scores will be reviewed and appropriate suggestions will be made. During Students' first week at UIC a test (Numeracy, Literacy) will be conducted and appropriate advice will be given on the basis of results of this test.

4. A copy of the Access and Equity policy will be provided to each staff and they will be encouraged to ask any question where they are not clear about this policy.
5. the staff members will be encouraged to raise any issue regarding the access and equity to the CEO.
6. The CEO will contact students each semester by either phone or mail to enable students to raise any access/equity issues.
7. Any phone queries relating to access/equity issues will be referred to the RTO Manager.
8. The CEO will contact the participant to discuss their access/equity issue and make appropriate arrangements which may include notifying the training venue, arranging a meeting with the participant and the course trainer/assessor, arranging extra assistance from the trainer/assessor or external assistance as required.
9. File notes will be made of the action taken in each case where access/equity assistance is required and the outcome for the participant.
10. The CEO will ensure that these notes are discussed in the bi-annual continuous improvement meetings (see Continuous Improvement Policy).
11. As UIC will be providing the courses to Overseas students, Information sessions will be organised in various countries to provide clear information to each Student, prior to enrolment about
 - Student selection, enrolment and induction/orientation procedures
 - Course information, including content and vocational outcomes
 - Fees and charges, including refund policy and exemptions (where applicable)
 - Provision for language, literacy and numeracy assistance
 - Student support, including any external support the RTO has arranged for Students
 - Flexible learning and assessment procedures
 - Welfare and guidance services
 - Appeals and complaints procedures
 - Disciplinary procedures
 - Staff responsibilities for access and equity as provided for in the RTO's code of practice of similar document
 - Recognition of prior learning (RPL) arrangements and credit transfer.
12. If due to any reason at any time UIC is unable provide to any course to any specific individual the alternative will be suggested to that specific person.

UIC POLICIES AND PROCEDURES

| | |
|----------------------|---|
| Policy/Procedure No. | 6 |
| Task | Assessment, RPL, Credit Transfer and Validation of assessment Policy |
| | 7 |

| | |
|--------------------------|--|
| Performed by/Relevant to | CEO, Head Teacher, RTO Trainers/Assessors |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standards 8&9 |
| Frequency | As required |

1.0 Definition of Competency Based Assessment:

Is the focus of the assessment task being about gathering the relevant evidence, though any relevant means, to determine the competency of the participant. This involves making the necessary adjustments to the assessment methods to ensure that the student is given every opportunity to demonstrate competency.

The student should be given every opportunity to demonstrate their knowledge and skills, in general an assessment tool written in English, should not be a barrier to demonstrating competency.

2.0 Policy:

UIC's assessment policy will be in accordance with the following principals:

- The assessment will comply with the assessment guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited courses.
- The assessment will lead to the issuing of a statement of attainment or qualification under AQF when a person is assessed competent against nationally endorsed unit(s) of competency in the applicable training package or modules specified in the applicable accredited course.
- When choosing the most appropriate assessment method, the following will be considered:
 1. The four dimensions of competency (task skills, task management skills, contingency management skills and job/role environment skills).
 2. The skills or cluster of skills applied in a workplace situation, specific Training Package or Accredited Course requirements.
 3. Underpinning knowledge/skills which are required.
 4. The qualification level and outcomes.
 5. The individual needs of the student.
 6. Where the assessment will be conducted (on-the-job, off-the-job, simulated environment, distance delivery).
 7. The available resources.
- The assessments are valid, reliable, fair and flexible.
- The applicants will be informed of the context and purpose of the assessment and the assessment process.
- The assessment will involve the evaluation of sufficient evidence to enable judgments to be made about whether competency has been attained.
- The applicant will be provided with the feedback about outcomes of the assessment process and guidance on future options in relations to those outcomes.

- There will be a provision for reassessment on appeal (as per complaints and appeals policy).
- The variables applicable to the assessment will depend on the:
 1. Different workplaces or different work areas within the same workplace.
 2. Differing customer requirements/needs.
 3. Different occasions/times dealing with different situations such as night/day activity busy/non-busy periods.
 4. Different facilities and resources.

3.0 Assignments and Workplace Projects

- Assignments, workplace project work and other evidence must be submitted by the specified deadline for a result to be recorded and extensions of time will only be given in exceptional circumstances (final decision by CEO).
- Extensions must be granted prior to the due completion date of relevant project work.
- Students unable to complete assessment due to illness or exceptional circumstances may apply for a deferred special assessment.
- Students who do not gain a Competency rating in an assessment are entitled to a re-submission. Failure in the second assessment will result in a 'not yet competent' result and the participant will be required to undertake further training before further assessment will be conducted at additional costs.

4.0 Typical assessment methods will include:

Observation - of someone performing a task or producing a product.

Reports - used on or off-the-job to provide evidence of understanding in a particular context. Reports should be combined with oral or written questioning to validate understanding.

Simulation/Role-Play/Case Study - simulation of workplace activities to gauge performance, e.g. serving a customer in a restaurant.

Portfolio - provision of a collection of evidence and samples that prove competence against the specified criteria. This is particularly useful in a Skills Recognition Process.

Practical exercise or task - the student undertakes a task or exercise that demonstrates competency performed against the specified criteria.

Knowledge based tests - written or oral questioning. Written and oral tests are widely used as a method of assessing a student's understanding or knowledge of the work or task they are performing.

The term 'knowledge' is used in a broad sense and does not merely refer to recall from memory or rote learning, but to show clear understanding of the task being assessed

Where appropriate, assessment methods will take into account and have the flexibility to incorporate the equity needs of students (eg. alternative methods of assessment for students with disabilities).

5. Conducting Assessment

5.1 Trainer/Assessor Conducts assessment using a minimum of two assessment methods from the **Training and Assessment Strategy** using approved assessment tools.

Points to Note:

- Special consideration may be sought by Students.
- Students must be assessed as competent against ALL elements and performance criteria in order to be given an overall assessment of "competent".
- Students must be advised to keep copies of all assignments submitted.

5.2 Trainer/Assessor Documents assessment outcome/s on the **Assessment Outcome Sheet** and seeks sign off by Client (where applicable).

5.3 Trainer/Assessor Sends **Assessment Outcome Sheet** and supporting Assessment Evidence to Head Teacher within 5 working days of Assessment taking place.

Points to Note:

- For final assessment the **Training Record Book** and the **Completion Form** must also be attached.
- Assessment Evidence must align with the **Training and Assessment Strategy**.
- Where a Student is deemed "not yet competent", options for reassessment must be provided.
- If a Student is dissatisfied with the outcome, they may lodge an appeal on an **Assessment Appeal Form**.

5.4 Head Teacher Checks **Assessment Outcome Sheet**, and supporting Assessment Evidence for compliance.

If compliant, Go to **Clause 5.6**

If not compliant documents reasons and returns materials to Trainer/Assessor to rectify. Go to **Clause 5.5**

Points to Note:

1. For final assessment the **Training Record Book** (where applicable) and the **Completion Form** must also be checked.

5.5 Trainer / Assessor Rectifies issues as per request from Head Teacher and re-submits documentation within 3 days.

5.6 Head Teacher Forwards documentation to Administration Officer for processing.

5.7 'Administration Officer' Enters Student/s assessment results into records and files them in RTO Student Folder.

5.8 'Administration Officer Copies Students' Assessment Evidence for validation purposes and files in RTO Student Folders.

5.9 'Administration Officer returns originals to Student at the end of the appeal period (14 days after notification of results).

Points to Note:

1. A an international student is not permitted to repeat a unit of competency more than once.

6 Recognition Assessment (RPL)

6.1 Trainer/Assessor or Head Teacher Provides Recognition Assessment information to Students at induction with the aid of the **Student Handbook** and/or **Student Induction PowerPoint**.

6.2 Student Advises Trainer/Assessor or Head Teacher of intent to apply for Recognition Assessment.

6.3 Trainer/Assessor or Head Teacher Verbally explains Recognition Assessment process in more detail and provides Student with **Recognition Assessment Pack** to complete.

6.4 Where Student chooses to continue, a **Recognition Self Assessment Tool** is submitted to the Trainer/Assessor or Head Teacher to assess.

6.5 Trainer/Assessor or Head Teacher Reviews **Recognition Self Assessment Tool** and advises Student on how to proceed with addressing the criteria noted in the **Recognition Assessment Pack**.

6.6 Student Completes **Recognition Assessment Pack** and submits to Trainer/Assessor or Head Teacher within 5 days.

6.7 Trainer/Assessor or Head Teacher Assesses **Recognition Assessment Pack**.

If Recognition is granted go to **Clause 6.11** If Recognition is not granted go to **Clause 6.8**

6.8 Trainer/Assessor or Head Teacher Notifies Student of outcome in writing within 5 days of decision, including the reasons for the decisions.

Points to Note:

1. Letter must outline process for Assessment Appeal

2. Where RPL is granted before an International Student has a visa issued, then the period of the course will be adjusted appropriately when the eCoE is issued. If RPL is agreed after Visa issue, the student will maintain a full time study load with supplementary learning and practical skills.

Note: An international student should not be granted more than 50% of recognition towards the course they have applied for.

6.9 Student Notifies Head Teacher of intent to appeal within 5 days of notification of outcome.

6.10 Head Teacher Begins appeal process as per **Complaints and Appeals** within 2 days of notification from Student.

6.11 Trainer/Assessor or Head Teacher Sends completed **Recognition Assessment Pack** to 'Office Manager' for processing.

6.12 Administration officer notifies DIAC of RPL via PRISMS.

6.13 'Compliance Officer' enters **Recognition Assessment Pack** Assessment Outcome into record and files evidence in RTO Student Folder.

1. **Recognition Assessment Pack** must be dated and initialled once entered into record.

7 Credit Transfer

7.1 Trainer/Assessor or Head Teacher Provides Credit Transfer information to Students at induction with the aid of **Student Handbook and Student Induction PowerPoint**.

7.2 Student Completes a **Credit Transfer Application Form** and submits to Trainer/Assessor or Head Teacher with an original or certified copy of their Certificate and Transcript of Results.

7.3 Trainer/Assessor or Head Teacher Maps competency codes to the current qualification.

Where they are identical approve **Credit Transfer** and, Go to **Clause 6.7**

Where they are not identical go to **Clause 6.4**

7.4 Trainer/Assessor or Head Teacher Notifies Student in writing of unsuccessful outcome and avenue for appeal.

7.5 Student Notifies Head Teacher of intent to appeal within 5 days of notification of outcome.

7.6 Head Teacher Begins appeal process as per **Complaints and Appeals** policy within 2 days of notification from Student.

7.7 Head Teacher Sends copy of Certificate and Transcript of Results to 'Compliance Officer and CEO'.

7.8 Compliance Officer' Enters Credit Transfer assessment outcome into record and files copy of Certificate and Transcript of Results as evidence in **RTO Student Folder**, within 2 days.

7.9 Administration officer notifies DIAC of RPL via PRISMS.

Points to Note:

1. **Credit Transfer Application Form** must be dated and initialled once entered into record.

7.10 'Compliance Officer' Notifies Student in writing of successful outcome within 2 days of update of record.

8 Completion of Training

8.1 Head Teacher On completion of Training, requests Students to complete a **Course Feedback Form**.

8.2 Head Teacher Checks all Units of Competency have been completed as per the **Training Plan** (if applicable) and **Training and Assessment Strategy** and signs the **completion form**.

8.3 Head Teacher Submits all documentation to 'Administration Officer or CEO in line with the **Issuing of Qualification** policy.

9 Self-Review of Delivery and Assessment

9.1 Trainer/Assessor Undertakes a **Self-Review** of the training and assessment process and identifies any improvements and actions.

9.2 Trainer/Assessor Sends a copy to the Head Teacher within 5 days of course completion.

9.3 Head Teacher Reviews document to identify if there are any issues which require action.

If no issues identified go to **Clause 8.4**

If issues identified go to **Clause 8.5**

9.4 Head Teacher Places copy in the RTO Course Folder.

9.5 Head Teacher Sends copy to the CEO within 2 days of identification of issues.

9.6 CEO Reviews the identified issues and determines type and level of risk associated.

9.7 CEO Rectifies issue/s as per **Continuous Improvement and Compliance** policy.

9.8 CEO Provides copies of all **Self-Reviews** and **Continuous Improvement Form/s** to the CEO within 3 days.

9.9 CEO Undertakes an annual review of all training as per **Managing the Training Quality System**.

10 Validation

10.1 CEO Schedules validation sessions for each training area at least annually.

10.2 CEO Invites trainers/assessors to validation sessions at least 2 weeks PRIOR to the event.

10.3 Trainer/Assessor Confirms attendance within 3 days of receipt of invitation.

10.4 CEO Prepares materials for validation meeting at least 3 days PRIOR to meeting.

10.5 CEO Sends confirmation email to all attendees 2 days PRIOR to meeting.

10.6 CEO Facilitates Validation meeting as per **Assessment Review Checklist and Report** and the **Guidelines for Validation**.

If issues arise requiring rectification go to **Clause 10.7**

If no issues arise go to **Clause 10.9**

10.7 CEO Completes **Continuous Improvement Form** and provides copy of report and schedule to any staff responsible for rectifying the identified issues.

10.8 Responsible Staff Member Rectifies issue/s in line with **Continuous Improvement and Compliance** procedure.

10.9 Responsible Staff Member Submits finalised documentation to CEO within scheduled time-frame.

10.10 CEO Reviews submitted documents to ensure compliance.

If compliant go to **Clause 9.11**

If not compliant **Clauses 9.7 – 9.10** are repeated

10.11 CEO Submits copy of finalised **Assessment Review Checklist and Report** and **Continuous Improvement Form** to the CEO within 3 days of finalisation.

10.12 CEO Places original of finalised **Assessment Review Checklist and Report** plus any rectifications in the Training Quality Folder within 3 days of finalisation.

10.13 CEO Undertakes an annual review of all training as per **Managing the Training Quality System** policy.

Repeating Units

(International Students Only)

Records

| Records | Retention and Disposal | Storage Location |
|--|---|-------------------------|
| Application For Recognition Assessment | 7 Years And Dispose | RTO Student Folder |
| Assessment Outcome Sheets | 7 Years And Dispose | RTO Student Folder |
| Assessment Review Checklist And Report | 3 Years And Dispose | Training Quality Folder |
| Student Handbook | Dispose on update | UIC website |
| Student Results Completion forms | 30 years and Dispose | |
| | 7 Years And Dispose | RTO Student Folder |
| Student induction kit | Dispose on Update | Training quality folder |
| Course feedback form | 7 Years And Dispose | RTO course folder |
| Credit transfer application form | 7 Years And Dispose | RTO Student Folder |
| Guidelines for student discipline | Dispose on Update | UIC website |
| Guidelines for validation | Dispose on Update | Training quality folder |
| Training and Assessment Strategy | 7 Years And Dispose | RTO course folder |
| Recognition assessment pack | 7 Years and Dispose | RTO Student Folder |
| Recognition self assessment tool | 7 Years And Dispose | RTO Student Folder |
| Student's completed assessment | 7 Years and Dispose | RTO Student Folder |
| Session plans | 7 years and Dispose | RTO course folder |
| Training plans | 7 years and Dispose | RTO course folder |
| Training record book | Return To Student On Issuing Of qualification | RTO Student Folder |
| Self review of training and assessment | 2 Years, Then Dispose. | RTO Course Folder |
| Continuous improvement form | 7 Years And Dispose | Training Quality Folder |

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|---|
| Policy/Procedure No. Task | 7 Learning Support Policy |
| Performed by/Relevant to | CEO, Head Teacher, RTO Trainers/Assessors, Reception staff, 'Compliance Officer' |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations |
| Frequency | As required |

Policy

UIC will provide appropriate support to all students of Nationally Recognised Training Programs, to assist them in achieving their training goals and to contribute to their career aspirations and personal growth.

Procedure

1. The CEO will contact students each semester by either phone or mail to enable students to raise any learning support issues.
2. Any phone queries relating to learning support issues will be referred to the CEO.
3. The CEO will contact the participant to discuss their learning support issue and make appropriate arrangements (in consultation with the Technical/PD Manager as appropriate) which may include notifying the training venue, arranging a meeting with the participant and the course trainer/assessor, arranging extra assistance from the trainer/assessor or external assistance as required.
4. File notes will be made of the action taken in each case where access/equity assistance is required and the outcome for the participant.
5. The CEO will ensure that these notes are discussed in the bi-annual continuous improvement meetings (see Continuous Improvement Policy).

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | 8 |
| Task | Marketing of Accredited Courses/events Policy |
| | 4 |
| Performed by/Relevant to | CEO, Marketing Officer, 'Compliance Officer', CEO |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations – standard 12 |
| Frequency | As required |

Policy

UIC's policy is to ensure that all marketing of training activities will be conducted with integrity, accuracy and professionalism, avoiding vague, misleading or ambiguous statements.

In the provision of information, no false or misleading comparisons will be drawn with any other provider or course.

UIC staff will take reasonable steps to ensure that the information included in marketing materials is accurate. The CEO and Compliance Officer will ensure the following practices are adhered to:

- A trainer's or participant's written permission will be obtained before UIC uses information about that individual in any marketing materials and will abide by any conditions the trainer/participant places on the use of that information.
- UIC will accurately represent recognised training products to prospective students.
- AQF qualifications will only be advertised if UIC is registered with the scope to deliver those qualifications.
- UIC advertisements will identify nationally recognised products separately from courses recognised by other bodies (industry groups) or without recognised status.
- UIC agrees that the use of qualification titles such as Certificate III or Diploma is not permitted unless the course has been accredited by the Accreditation Council or an appropriate disclaimer is printed clearly on the document or in the advertising.
- UIC will only use the Nationally Recognised Training and appropriate logos on relevant qualifications or awards when the students have satisfactorily completed all requirements and/or achieved the stated competencies.

Procedure

All marketing material will be reviewed and signed off by the CEO as per the attached checklist.

1. The CEO will provide the external Graphic Designer with the appropriate course details, in consultation with the Compliance Officer as necessary.
2. The Graphic Designer will provide a draft for review.
3. The Compliance Officer and the CEO will signoff using the attached list.

4. If changes are required, the Graphic Designer will provide a further copy for sign-off once these changes have been made.

Marketing Material SIGN-OFF Checklist

Course/Event: _____

Course Code: _____
(if applicable)

Unit: _____
(if applicable)

Unit Code: _____
(if applicable)

Date: _____

Venue: _____

Type: **Website** **Brochure** **Flyer** **Other**

Compliance Officer:

- Date and time details are correct
- Venue details are correct
- Pricing details are correct
- Course content is accurate

CEO:

- Course content is accurate
- Reference to available information on website
- Permission has been obtained from trainers/students for use of information
- Course/qualification titles are accurate and use correct nomenclature

Final Sign-Off

Signature: _____ **Date:** _____

MARKETING INFORMATION REQUEST

Section 1

Information Request (to be completed by UIC staff)

Course Name: _____

Course Date: _____

Purpose of Information Request:

Details of information requested:

Section 2

Declaration (to be completed by trainer/participant)

I _____ hereby agree to provide UIC with the above Information as requested.

I understand this information will be used for this purpose only and that UIC agrees to abide by any conditions I place on the use of that information.

Signature: _____ Date: _____

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | 9 |
| Task | Privacy Policy |
| | 2 |
| Performed by/Relevant to | All the staff members and office bearers of UIC and all the contract staff working for UIC. |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations |
| Frequency | As required |

Policy

UIC understands and appreciates that members and students may be concerned about their privacy and the confidentiality and security of their information held by UIC. UIC is committed to protecting your privacy and to complying with the National Privacy Principles. UIC's Privacy Policy and Procedure sets out UIC's practices and procedures on the collection, use, protection and recording of personal information that is collected online and offline. The Privacy Policy is regularly reviewed to ensure its currency and relevance.

Information collected

UIC collects personal information about our members from registration forms. The type of information we collect will depend on which of our products or services are used. The personal information we want to collect includes:

- name
- contact details (for example, postal address, e-mail address, telephone number(s),
- Facsimile number)
- citizenship
- qualifications
- date of birth
- occupation
- subject/course
- membership details
- professional development choices.

Any printed forms completed and sent to us will be kept on file. If personal information is not provided, we may not be able to provide education, membership or professional services.

Use and disclosure of information

Personal information supplied by a member or student is only used by UIC in connection with conducting its business as a professional association and provider of education and membership services. UIC uses personal information to provide educational and/or membership services, to improve its services, to undertake marketing activities directed at students, members or prospective students and members. It also uses the information provided, such as survey data and feedback, to continually improve its products and services.

UIC at all times strives to ensure that the use of information provided is transparent. If personal details need to be used for a purpose other than one that could reasonably be expected by members or students, specific consent will be sought.

UIC will not generally disclose personal information concerning a member or student to external parties, other than for a purpose directly related to the provision or improvement of its education and membership services.

In order to deliver services, UIC occasionally needs to provide some personal information provided to its agents, contractors or third party service providers (such as providers of administrative, telecommunications, computer or other services). These service providers support the operation of UIC's business and are under contract to UIC to keep that information confidential and secure.

Personal information is occasionally shared, on a strictly confidential basis, for the purpose of running joint venture professional development events and/or sponsorship. UIC does not provide or sell any database information to external organisations for commercial purposes.

All staff will confirm details before divulging personal information, including information regarding course status, fees paid or other personal details. This will include asking for two forms of identification, one of which will be the id number generated by the database.

Access to information

In order to properly service member and industry needs, UIC invites members and students to regularly access and update their personal information at any time. UIC always strives to maintain accurate, complete and up-to-date information.

To access, check or amend any such information held by UIC, please contact UIC CEO.

If any student, practitioner or member has any queries about the way in which UIC is handling their personal information, they should contact UIC. In the event that the individual and UIC are unable to resolve any queries, the individual is entitled to arrange for an independent person (such as the Privacy Commissioner) to investigate his/her complaint.

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|--|
| Policy/Procedure No. | 10 |
| Task | Student Misconduct Policy 6 |
| Performed by/Relevant to | CEO, Head Teacher, Trainers/Assessors |
| Purpose | To ensure a positive learning outcome and environment for all students that meet AQTF requirements |
| Frequency | As required |

Policy

This policy applies to incidents of academic and non-academic misconduct by students enrolled in UIC courses.

Misconduct refers to both non-academic and academic conduct by course students.

UIC will implement this policy in accordance with the following principles: -

- Each case of alleged misconduct will be dealt with on its merits, considering the circumstances surrounding the case, and in accordance with this policy
- Any participant who is the subject of an allegation of misconduct will be treated fairly, with dignity and with regard for their privacy
- UIC will treat all students facing allegations of misconduct fairly and equitably regardless of gender, race, ethnicity, age, disability or background consistent with equal opportunity policy and the principles of natural justice and procedural fairness.
- Any participant who is the subject of an allegation of misconduct is entitled to be regarded as not having committed the act of alleged misconduct unless and until they admit to the misconduct; or
- A fair and proper investigation or hearing leads to a reasonable determination that they committed the act of misconduct.
- Knowledge that a participant has acted in a particular way in the past will not be assumed to be evidence that they have acted in the same manner again. Such knowledge may, however, be evidence that a participant is aware that such action constitutes misconduct, or may be relevant to any penalty imposed
- Where any work (or part of work) submitted for assessment by two or more students is deemed by an UIC assessor or staff member to be the same or substantially the same, UIC will consider this to be prima facie evidence of copying by those students

Definitions

Plagiarism

Plagiarism refers to attempts by students to use the work, words or ideas of others without proper acknowledgement or attempts to pass off the work, words or ideas of others as their own.

In the context of assessment, plagiarism occurs if a participant:-

- Presents any phrase or extracts, verbatim, without using quotation marks or referencing the author
- Paraphrases all or part of an author's work and presents it without referencing the author, or providing inadequate reference to the author
- Copies or paraphrases all or part of another participant's work and presents it as their own
- Presents all or part of an assessment item previously submitted for assessment in another course or module
- Presents all or part of the work of another participant (past or present) as their own

Collusion

Collusion is an agreement or cooperation in order to cheat or deceive for a fraudulent purpose. Collusion can apply to students (past or present) who intentionally co-operate to gain an unfair advantage towards the achievement of an award, qualification, statement of attainment or credit towards these.

Collusion also refers to the following practices which are not considered allowable assessment preparation approaches:

- Unauthorised and unacknowledged joint effort in an assessment
- Unauthorised and unacknowledged copying of material prepared by another person for use in an assessment
- Unauthorised and unacknowledged assistance from another person
- Work prepared in collusion with other students will be regarded as academic misconduct

Non-Academic Misconduct

Non-academic misconduct is any action or conduct by students relating to people or property which does not meet UIC standards. Non -academic misconduct includes:

- A participant behaving inappropriately in an activity under the administration or supervision of UIC.
- Obstructing any UIC staff member in the performance of their duties
- Acting dishonestly or knowingly making false or misleading representations in relation to enrolment in an UIC activity
- Altering or defacing any UIC document or record
- Misusing, stealing, damaging or destroying any property of UIC , a staff member or another participant
- Wilfully disobeying or disregarding any order, direction or condition made by UIC
- Failing to comply with an outcome resulting from this Policy
- Interfering with the freedom of others to pursue UIC activities
- Harassing or intimidating another participant or staff member based on race, ethnicity, sex, marital status, sexual preference, disability, age, religious or political convictions or for any other reason
- Prejudicing the good name, academic standing or good order and government of UIC.

Student Misconduct Procedure

STEP 1:- Where an UIC staff member, assessor or another participant suspects an act of misconduct has occurred, they must report the matter to the CEO and the Chief Executive.

The CEO is responsible for investigating all cases of alleged misconduct and recommending appropriate action to the Chief Executive taking into consideration:

- The type of misconduct alleged
- The seriousness of the allegation(s)
- The available evidence
- Any time constraints or procedural expediency required.
- The CEO's response will include:-
 - Informing the person about whom the complaint is made and seeking their views and perspective
 - Giving consideration to the use of a mediator
 - Informing the complainant of the outcome of the complaint in writing within five (5) working days

STEP 2:- If the matter remains unresolved, the CEO will refer the matter to a misconduct committee comprising:-

- The CEO
- Assessor
- 'Compliance Officer'

The CEO will provide written notification to the person(s) concerned at least ten (10) days prior to the hearing date. The written notification will contain

- The date, time and location of the hearing
- Details of the alleged misconduct
- Composition of the committee
- Notification that the participant should attend the hearing and that one support person may attend the hearing

The person(s) who is/are the subject of the allegations may:

- Present written or oral submissions, give evidence, correct information, explain their conduct and any mitigating or extenuating circumstances
- hear all the evidence presented, examine all written submissions and question any person giving evidence before the committee.

Committee hearings will be recorded in writing and utilised if an appeal against the committee's decision is lodged.

The participant(s) results will be deferred until all proceedings have been finalised.

As soon as possible after the hearing, the participant(s) will be sent a letter outlining:

- The decision of the committee
- The reasons for the decision
- The penalty to be imposed (if applicable)
- The procedure for lodging an appeal (if applicable)

If the committee finds misconduct did not occur, the decision will be final and all records destroyed. The CEO will arrange for assessment and/or the release of the participant(s) results if applicable.

If an academic penalty is imposed, the CEO will record this in the relevant course file.

STEP 3:- Appeals Process

The person(s) concerned must provide notification of their intention to appeal in writing and must outline the grounds for their appeal as follows:-

- That the penalty imposed was excessive
- New evidence is available
- Misconduct committee decision was made without due consideration of the facts, evidence and circumstances

- Bias, prejudice or conflict of interest
- Some significant policy or procedural irregularity occurred in the investigation or hearing.

The matter will be referred to an independent panel acceptable to all parties.

The Chair of the appeals panel will determine whether the appeal should be dismissed or a hearing convened.

Written notification will be provided informing the person(s) that their appeal has been dismissed (including the reason for this decision) or that the appeal will be allowed and providing details of the appeal hearing.

The appeal hearing will normally take place no more than five (5) days after receipt of the above written notification

At appeal hearings, UIC and the person(s) concerned are entitled to representation, to question other parties and address the hearing.

The person(s) concerned and relevant UIC staff will be notified of the outcome of their appeal in writing by the CEO.

The proceedings and decision of an appeal will be kept confidential.

The Appeals Committee decision will be binding and final on all parties. There will be no further right of appeal.

Should the matter not be resolved to the participant(s) satisfaction, they may take whatever action is open to them under Commonwealth and State legislation.

Where the Appeals Committee upholds an appeal, the Appeals Committee may reduce the penalty.

Where the Appeals Committee does not uphold, or dismisses, an appeal, the original decision of the Misconduct Committee will be confirmed and processed.

The Appeals Committee may recommend a reduced penalty even if it does not uphold an appeal.

STEP4:- Documentation

Details of both academic and non academic misconduct must be recorded in the UIC Office:-

Records should include:

- Initial report of alleged misconduct
- Notification to the participant(s) if the investigation does not proceed
- Notice of allegation of misconduct and misconduct committee hearing
- Notification of outcome and right to appeal
- Notice of appeal
- Appeal Committee decision
- Documentation tabled at Appeals Committee hearing
- Other documentation relevant to the investigation of the incident Where it is determined that no misconduct occurred, all record of the alleged misconduct, apart from Appeals Committee proceedings, will be destroyed.

Penalties

It is UIC policy that the penalty imposed should be appropriate to the type and severity of the misconduct.

A decision of the CEO, Misconduct or Appeals Committee will consider, but not be limited to, the following:-

- The previous record of the participant(s)
- Whether participant(s) admitted the misconduct and whether, in so doing, they came forward on their initiative
- Whether the participant(s) assisted or hindered the investigation process
- Whether there were significant extenuating or mitigating factors
- Type of misconduct
- Number of participant(s) affected or involved and the impact of the misconduct
- Benefit derived from the misconduct by the participant(s)

Academic Misconduct

Where academic misconduct is proven, the following penalties may apply:-

- A formal caution or reprimand to be recorded on the participant(s) record with UIC
- A deduction of a specific amount of marks for the assessment or part thereof
- The imposition of a maximum allowable grade for the particular assessment event or subject/module
- The annulment or disallowance of results in a particular assessment
- A requirement to undertake further or supplementary assessments with the associated costs borne by the participant(s)
- The exclusion of the participant(s) from UIC courses either permanently or for a period of time.

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|---|
| Policy/Procedure No. Task | 11 Administration and record Management Policy 6 |
| Performed by/Relevant to | CEO, Compliance Officer and RTO Trainers/Assessors |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standard 4 |
| Frequency | As required |

Policy

(1) UIC will document and implement procedures to assure the integrity, accuracy and Currency of records that include, but are not limited to:

- secure storage, including backup of electronic records.
- retention, archiving and retrieval of sufficient information on Student results to enable the re-issue of a qualification or statement of attainment if required, for a period of 30 years, and transfer of these records consistent with state and territory registering body requirements in the event of closure of UIC
- retention, archiving, retrieval and transfer of all other records consistent with contractual and legal requirements and the requirements of the state or territory registering body that has registered the organisation
- compliance with external reporting requirements
- safeguarding any confidential information obtained by the RTO and committees, individuals or organisations acting on its behalf (see Privacy Policy)
- ensuring that, except as required under the *Standards for Registered Training Organisations* or by law, information about a Student is not disclosed to a third Party without the written consent of the Student
- access by Students to their personal records.

(2) UIC will maintain up-to-date records of:

- the verified training and/or assessment and vocational competencies of all staff and persons working on behalf of UIC as trainers and assessors, consistent with the requirements of standard 7 of AQTF standards for RTO.
- enrolments and participation
- fees paid and refunds given.
- Each student's current residential address as supplied by the student
- The amount of course money that the student has paid, whether the amount paid was for the full course or part of the course and the duration of such.
- Copies of any written agreements between UIC and the student
- Any amounts that have become payable to UIC by the student for the course and have not been paid.
- These records will be kept for two years after the student ceases to be a student.

(3) UIC will implement version control procedures for managing materials that relate to its scope of registration (including Training Packages, accredited course documents and learning/assessment materials) so that:

- materials are reviewed for currency by authorised and competent staff prior to issue or re-issue
- a list of materials with the respective issue and/or amendment status identified is maintained
- all persons required to perform any function under UIC's scope of registration

For the purpose of ensuring consistency, there will be 5 main folder types:

- RTO Course Folder
- RTO Student Folder
- RTO Staff Folder
- Staff Recruitment Folder
- Training Quality Folder

And 7 on-line registers:

- National Continuous Improvement Register
- Complaints Register
- Authorised Certificate Signatory Register
- National Business Development Register
- Audit Issue Tracking Register
- Professional Development Register
- Resource Register

This procedure applies to the training delivery, assessment and administration of UIC's training operations.

The key processes covered by this document are summarised in the flowchart.

To go directly to the written procedure, click on the appropriate title listed below:

PROCEDURE

Creating RTO Course Folder

1.1 Head Teacher will prepare a **RTO Course Folder Checklist** with the help of CEO.

Creates folder in accordance with this checklist. This must initially include the following mandatory forms:

- Training and Assessment Strategy
- Session Plans
- Offer List
- Teacher/Assessor support material
- Students support material

Points to Note:

1. Where no marketing has occurred, please note in comments section of checklist.

1.2 Head Teacher Sends RTO Course Folder to Compliance Officer.

1.3 Compliance Officer Checks to ensure forms have been completed correctly.

If so, go to **Clause 1.4**.

If not, advises Head Teacher of incomplete areas requiring further action.

Clause 1.1 & 1.2 are repeated.

1.4 Compliance Officer Processes RTO Course Folder as per **VETtrak Instruction Manual**.

1.5 Administrative Officer Files RTO Course Folder in a secure, lockable filing cabinet.

Points to Note:

1. Filing cabinets MUST be locked at all times.

1.6 Head Teacher Submits other forms noted on **RTO Course Folder Checklist** on completion to Compliance Officer.

Other forms include:

1. **Attendance Register/s**
2. **Course Feedback Forms**
3. **Course Feedback Summary Report**
4. **Marketing Approval Form** (if applicable)
5. **Marketing Consent Form** (if applicable)
6. **Venue Booking Form** (if applicable)
7. **Self Review of Training and Assessment**
8. **Assessment**

1.7 Compliance Officer Checks to ensure forms have been completed correctly.

If so, go to **Clause 1.8**.

If not, advises Head Teacher of areas requiring further action.

Clause 1.6 is repeated.

1.8 Compliance Officer Processes as per **VETtrak Instruction Manual**.

1.9 Administrative Officer Files in the relevant RTO Course Folder.

Creating RTO Student Folder

2.1 Administration Officer prepares **RTO Student Folder Checklist**. Creates folder in accordance with this checklist. This must initially include:

- Training Registration Form
- Student Induction Confirmation Checklist
- Training Plan
- LLN Assessment Form/Pre Training Assessment

2.2 Administrative Officer Files RTO Student Folder/s in a secure, lockable filing cabinet.

Points to Note:

1. Filing cabinets MUST be locked at all times.

2.3 Head Teacher Submits other forms noted on **RTO Student Folder checklist** on completion to Compliance Officer

Other forms include:

1. **Course Offer Letter**
2. **Assessment Outcome Sheet/s**
3. **Training Record Book**
4. **Defer/Withdraw/Amend**
5. **Completion Form**
6. **Change of Address/Personal Circumstances**
7. **Recognition Assessment Pack**
8. **Credit Transfer Application Form** (if applicable)
9. **Assessment Appeal Form and related documents**
10. **Complaint Action Request and related documents**
11. **Signed Copy of Qualification or Statement of Attainment**
12. **Payment Arrangement**
13. **Missed Payment Letter**
14. **Authority to Release Form** (if applicable)

2.4 Compliance Officer Checks to ensure forms have been completed correctly.

If so, go to **Clause 2.8**.

If not, advises Head Teacher of areas requiring further action. **Clause 2.3** is repeated.

2.5 Compliance Officer Processes as per **VETtrak Instruction Manual**.

2.6 Compliance Officer Files in RTO Student Folder.

Creating RTO Staff Folder

3.1 CEO forms **RTO Staff Folder Checklist**.

Creates folder in accordance with this checklist.

This must initially include:

- Position Description
- Job application, recruitment and selection documentation
- Tax File Number Declaration
- Memorandum of Understanding or Employment Contract/Performance Agreement
- Staff Currency and Competency Profile
- Trainer Supervision Form (if applicable)
- Employee Advice Form
- Completed Staff Induction Quizzes
- Staff Induction Confirmation
- Trainer Appraisal (if applicable)
- Certified Copies of Qualifications
- Working with Children Check
- Any other record pertaining to the employment relationship

3.2 Administrative Officer Processes documents as per **VETtrak Instruction Manual**.

3.3 Compliance Officer Files documents in a secure, lockable filing cabinet.

Points to Note:

1. Filing cabinets MUST be locked at all times.

Creating Staff Recruitment Folder

4.1 Compliance Officer prepares **Staff Recruitment Folder Checklist** and creates folder in accordance with this checklist. This must include:

- Copies of advertisements
- Position Description
- Request for New/Reclassification of Position Form
- Applications received
- Short-listing checklists
- Questions asked at interviews
- Applicants ratings by the Selection Panel
- Recruitment Advertising Authorisation Form

4.2 Compliance Officer Files Staff Recruitment Folder in a secure, lockable filing cabinet.

Points to Note:

1. Filing cabinets MUST be locked at all times.

Creating Training Quality Folder

5.1 CEO Files the following documents in a secure, lockable filing cabinet within 3 days of completion.

- Internal Audit Schedule
- Audit Tools
- Audit Issue Tracking Register
- Audit Planning Checklist
- Risk Management Schedule

- Risk Assessment Report
- Meeting Minutes
- Complaints and Appeals Register
- Assessment Review Checklist
- Continuous Improvement Form
- Validation and Review Reports
- Destination Surveys
- Destination Survey Summary Report

Points to Note:

1. Filing cabinets MUST be locked at all times.

5.2 CEO Forwards completed documents outlined in **Clause 5.1** to the CEO within 3 Days of completion.

5.3 CEO Reviews all reports for issues requiring policy or procedural changes.

Notifying DIAC of Changes to Student Enrolment

UIC will notify DIAC of any changes to a students enrolment. All communications that are to take place with the DIAC will take place through the Department web interface, PRISMS.

The Compliance Officer and Chief Executive Officer has the responsibility of ensuring that all changes in circumstances or breaches of VISA conditions are referred to the department through PRISMS within 7 working days of the change being notified to him or her.

The Compliance Officer is also responsible for notifying the student of the breach to the VISA conditions.

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | 12 |
| Task | Admission and Enrolment Policy |
| Performed by/Relevant to | CEO, Compliance Officer and Overseas Educational agents having pact with UIC |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standard 4 |
| Frequency | As required |

Section 1 - Purpose and Context

The admission policy for Unique International College states that students should be a minimum of 15 years of age and/or have completed Year 10 or its equivalent to enter certificate level programs.

Section 2 - Policy Statement

Admissions Policy and Procedures

- (1) Admission into the Unique International College is determined on the basis of capacity for Unique International college level study.
- (2) The Unique International College undertakes to assess all applicants through policies and procedures that are fair and equitable.
- (3) The Unique International College may apply quotas on the number of admissions to any particular course.
- (4) A successful applicant who subsequently enrolls in a particular course of the college, is subject to all relevant rules and requirements of the course.
- (5) A successful applicant may enrol as a full time candidate only (20 hours per week).
- (6) Applications should be received by the nominated closing date. After this date applications will incur a non-refundable late lodgement fee. More information can be found on the college website.
- (7) Applicants in receipt of a letter of offer who wish to defer must submit a request in writing to the college no later than the published date (published on the UIC web site).

Overseas Student Admission

- (8) In addition to the requirements in the relevant sections of the Admissions Policy & Procedures, applicants who are not Australian or permanent residents of Australia must also satisfy the following:
 - a) Must pay the full cost of their tuition and support and meet all other expenses associated with their education;
 - b) Enrol on a full time basis; and demonstrate that they have a satisfactory command of the English language. Where English is not the first language or where an applicant has completed studies in a language other than English, it is necessary to demonstrate proficiency in English by achieving a prescribed level in an approved English examination. The approved English Language tests include the International English Language Testing System (IELTS).

- (9) Overseas students who have received a letter of offer, who applied for a particular intake, but miss out due to the application of a quota, will be offered a place in the next available intake.
- (10) A student may only defer commencement or suspend studies of a course on medical grounds (with a doctor's certificate) or other exceptional compassionate circumstances. If a student defers commencement or suspends studies on any other grounds, the Compliance Officer will report the student to DIAC via PRISMS, as not complying with visa conditions.
- (11) Applications should be received by UIC by the nominated closing date. More information can found on the college website.
- (12) Information on any additional course pre-requisites or selection criteria that must be met, is available on the UIC website. These may include an interview, audition or submission of a portfolio.
- (13) Students are not required to be enrolled full time in their final semester where they have been required to repeat units.

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|--|
| Policy/Procedure No. Task | 13 Staff Recruitment Policy |
| Performed by/Relevant to | ALL STAFF |
| Purpose | To ensure training, assessment and other staff employed by, or working on behalf of, UIC have the necessary and verified training and/or assessment and vocational competencies to perform their duties. |
| Frequency | As required |

Policy

All staff and contractors will be recruited with a clear understanding of personal and environmental safety and our commitment to customer focussed and safe operation.

We will comply with all relevant legislation and regulations and industry requirements.

We are an equal opportunity employer and will not accept sexual harassment, discrimination, illicit drug use or any other workplace activity that may bring discredit to the company.

Responsibilities

- 1 . The Head Teacher is responsible for the identification of resources needed, advertising and selection of new staff members and function as the manager of the recruitment process along with the CEO.
- 2 . The CEO is responsible for providing a safe work environment and this includes the office and training and assessment locations.
- 3 . All employed and contracted staff are required to support our safe work practices and to assist in promoting safety as a requirement of day-to-day operations.
- 4 . Workcover legislation requires all personnel to strive for workplace safety. They must advise any colleague they see that is working unsafely of the correct way things must be done.

Pre-selection criteria for new staff

- 5 . All training and assessment staff must have:
 - a. Certificate IV in Training and Assessment (TAA40104) or
 - b. Certificate IV in Assessment and Workplace Training (BSZ40198)
 - c. Relevant industry experience;
 - d. Vocational qualifications to a least the level being trained and assessed
- 6 . The CEO may allow the applicant to demonstrate their competency by completing a project or other assessment. The evidence will be included in the Staff Files.
- 7 . The Trainer must be able to comply with all the requirements listed within their duty statement.

Points to Note:

UIC may see a benefit in appointing a trainer/assessor who has exceptional industry experience, but does not have the Cert IV in Training & Assessment. In this case, the

trainer/assessor will deliver training under direct supervision, as stipulated in the AQTF standards.

In the case that this person is involved in the assessment of UIC students, they must work with a TAA qualified assessor.

The Trainer Supervision form should be used to record the supervision and placed in the staff member's file on completion of training and assessment duties.

Recruitment

- 8 . Applicants for positions at UIC will be interviewed by the CEO and Head Teacher.
- 9 . The Head Teacher will then assess the application and make confirmatory calls or make general enquiries to confirm the validity of the submitted documents and the skills level and experience of the applicant. (Please refer to the Verification of Staff Competence procedure below).
- 10 . Subcontracted trainers/assessors must also meet the following criteria:
 - a. Have appropriate qualifications as specified in the selection criteria document and;
 - b. Have workers compensation or equivalent insurance against personal injury; and
 - c. Have sufficient industry experience
 - d. Able to comply with all requirements specified in the Employment Contract
- 11 . If an appointment is to proceed the applicant(s) are advised in writing they are successful and detailing commencement details.
- 12 . The Head Teacher or CEO will take photocopies of the following for inclusion in the staff file:
 - (b) Resume
 - (c) Qualifications
 - (d) References
- 13 . These copies are to be endorsed by in ink as "I certify this to be a true copy of the original". <Signed > < Date.> <CEO [or] Head Teacher>.
- 14 . These records must be kept current with updated copies provided as required.
- 15 . A signed copy of the completed Staff Induction Confirmation is to be sent to the CEO and is to be included in the staff file.
- 16 . Prior to the new training staff member commencing training and assessment delivery, their competencies are to be mapped by the Head Teacher in collaboration with the new staff member for each vocational area against the competencies required within the Training Package.

Verification of Staff Competence

- 17 . The new prospective staff member must present their qualifications as the original certification and accompanying transcript or statement of attainment.
- 18 . The CEO will contact the issuing authorities to confirm the originality of the qualifications. If the issuing authorities require permission from the new prospective staff member before releasing result details, the CEO will seek this in writing from the new prospective staff member.

In the event that the issuing authority is not contactable, the new prospective staff member will need to produce additional evidence of authenticity sufficient to satisfy the CEO.
- 19 . The CEO will also verify the employment history of prospective staff members by contacting former employers or Students. The purpose of this is to determine the accuracy of the relevant work experience of the prospective staff member.

The CEO may also request that the new staff member provide an original, signed reference letter from a former employer or client, which the CEO will in turn verify by a telephone call to that former employer or client.

Staff Induction

- 20 . All members of the staff undergo induction training on joining UIC, delivered by either the Head Teacher or CEO. New staff will be given a presentation delivered via PowerPoint (Staff Induction.ppt).
- 21 . Staff will be issued with documentation and training relevant to their position, including but not limited to:
 - a. "a handbook for teachers and other staff"
 - b. Policies and Procedures
 - c. RPL and UIC's obligation to recognise AQF qualifications from other RTOs
 - d. Evacuation, OHS, Site Map
 - e. Introduction to other staff
 - f. Facilities

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|---|
| Policy/Procedure No. | 13 |
| Task | Refund Policy |
| Performed by/Relevant to | Compliance Officer and CEO |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations |
| Frequency | As required |

For delivering **Quality Education** to Overseas and Local students **Unique International College** has formulated the following refund policy on the basis of directions given in Part 3 (obligations on registered providers) Division 2 (Refunds of course money) of ESOS Act 2005.

Policy: - This policy applies to the refund of fees to international and domestic students. It applies to all students irrespective of who paid the fees. Applications for refunds that are not covered by any of the provisions of this policy will be determined on a case-by-case basis by the CEO.

(In addition to refund policy, for the protection of students' money Unique International College is a member of the Tuition Assurance Scheme) The refund amount is decided on the basis of the fact whether the student or the provider is at default.

The College will provide every student refunded monies with a statement detailing how that amount was determined.

The portion of fees to be refunded is as follows:-

1. Total Refunds

In the event that an offer of a place is withdrawn or the Provider is unable to provide the program, all tuition fees paid are fully refundable. Where the offer was made on the basis of incorrect or incomplete information being supplied by the applicant/student, the Provider will retain 10% of the tuition fees due.

If, before arriving in Australia, a student provides documentary evidence that their application for a student visa was unsuccessful, a full refund of all tuition fees paid will be made.

A student who fails to meet academic progression rules, and who is thus not permitted to re-enrol, will be eligible for a refund of all tuition fees paid, where the fees were paid in advance of the notification of exclusion or were paid for a subsequent term of study.

A notice of withdrawal from a program due to exceptional circumstances (as defined in subsequent paras) may be accepted as grounds for a total refund of tuition fees paid.

2. Partial Refunds

Partial refunds may be made to commencing and continuing students. The periods of notice stated below begin from the date the Provider receives the written notification from the student. Written notification for the purposes of this section must take the

form of a formal letter, fax, or an email and must be directed to the CEO.

Where a student, after accepting an offer of a place, gives a minimum of four weeks written notice prior to the commencement of term of an inability to undertake the program, all tuition fees paid are refundable less 10% of the tuition fees due.

Where a student gives less than four weeks written notice prior to the commencement of the term of an inability to undertake the program, or where the student withdraws from a program prior to the last day for students to drop courses without financial penalty (as indicated in the Calendar of Principal Dates within the UIC Handbook), then all tuition fees paid are refundable less 50% of the tuition fees due.

Where a student accepts an offer of admission and pays relevant tuition fees, defers commencement once only to a later term but then cancels their program, a refund will be assessed based on the circumstances of the later commencement date.

Where a student defers commencement a number of times and then gives notice of an inability to undertake the program, a refund will be assessed based on the circumstances of the second commencement date.

A student whose visa is cancelled (regardless of visa type) prior to the last day to drop without financial penalty will be eligible for a refund of tuition fees paid less 10 % of the tuition fees due.

Where a student pays and accepts their offer of admission and fails to enrol, or to notify the Provider of their intentions, then all tuition fees paid are refundable less 50% of the tuition fees due.

Where a continuing student fails to re-enrol, or notify the Provider of their intentions, they will be deemed to have cancelled their program and will incur the appropriate administration fee of \$300.

A student who fails to meet the conditions of their offer, and thus is not permitted to enrol, will be eligible for a refund of all tuition fees paid less 5% of the tuition fees due.

Where a student drops all courses, does not substitute additional courses, and does not have an approved deferment of studies, then the student will be deemed to have cancelled their program and will incur the financial penalty appropriate for the period of notification.

3. No Refunds

A student who withdraws from a program after the last day to withdraw without financial penalty in a term shall not be eligible for a refund.

A student whose visa is cancelled (regardless of type) after the last day to drop without financial penalty is not eligible for a refund of fees paid for that term.

Exceptional Grounds for Refunds

A written notice of withdrawal from a program due to exceptional circumstances may be lodged up to the last day to withdraw from courses without financial penalty in a term. The written notice will be considered as grounds for either a total or partial refund of fees, provided acceptable documentary evidence in support of the application for a refund is submitted. Exceptional circumstances may include:

(a) An illness or disability (certified by a licensed medical practitioner or registered psychologist).

(b) The death of a close family member (parent, grandparent, sibling, spouse or child).

(c) A political, civil or natural event that prevents full payment of fees or enrolment.

(d) An onshore student's visa being cancelled by DIAC due to a report submitted by a previous institution, or their application for review being unsuccessful.

NOTE:-

1. The final decision in this regard lies with the CEO.
2. Other legal remedies may be sought by the student if they are not satisfied with the outcome of their application.

Funds Transfer

Transfer from UIC to another Australian Provider: If a student is granted approval by DIAC to transfer to another institution, then any tuition fees paid in advance will be transferred to that institution. Written proof of acceptance and enrolment to the alternate institution is required before the transfer will be processed. An administrative fee of \$300 will be applicable.

Agreements between institutions and International students regarding fee charging and refunds

Tuition fee payments for international students will not be accepted unless accompanied by a signed declaration of agreement with UIC terms and conditions (on reverse of enrolment form). This contract signifies the student's acceptance of this Refund Policy.

Payment of Refunds

UIC will pay any refund within two weeks of receiving a legible, complete and correct application with required supporting documentation with an original signature from the student.

Where possible, refunds will be reimbursed in the same currency as the fees were originally paid and will be returned to the student's home country except in exceptional circumstances. However, if another person or organisation is identified as having originally paid the fees, the refund will be made to them instead of the student.

Appeals process related to fees refunds

If the student believes that UIC has not honoured its fee refund policy, or not all of the relevant information has been taken into account, the student may appeal the determination through an independent body.

If a student makes use of the dispute resolution procedures above in connection with a refund, this does not limit their right to pursue other legal remedies.

Important definitions regarding this section

Provider default

According to ESOS 2005 the provider is considered to be at default if:-

- the course does not start on the agreed starting day; or the course ceases to be provided at any time after it starts but before it is completed; or
- the course is not provided in full to the student.

Student default

According to ESOS 2005 the student is considered to be at default if:-

- the course starts on the agreed starting day, but the student does not start the course on that day (and has not previously withdrawn); or
- the student withdraws from the course (either before or after the agreed starting day).

agreed starting day means the day on which the course was scheduled to start, or a later day agreed between the registered provider for the course and the student.

default day means:

- the agreed starting day, if paragraph (1)(a) or (2)(a) applies;
- or
- the day on which the course ceased to be provided, if paragraph (1)(b) or (1)(c) applies; or the day on which the student withdraws from the course

Deferment

Students, unable to attend for a period of time, may lodge an Application to Defer Studies for approval by the CEO. Deferment is granted once only and for a period no longer than six (6) months. The return date will be at the discretion of the college. A re-entry fee will be charged. Students will be advised of such at the deferment interview. An Application to recommence studies must be completed and approved by the CEO.

A student may only defer commencement or suspend studies of a course on medical grounds (with a doctor's certificate) or other exceptional compassionate circumstances. If a student defers commencement or suspends studies on any other grounds, UIC will report the student to DIAC via PRISMS, as not complying with visa conditions.

UIC POLICIES AND PROCEDURES

Policy/Procedure No. 14
Task **Effective Financial Management Policy**

Performed by/Relevant to Compliance Officer and CEO

Purpose To ensure that UIC meets the AQTF standards for Registered Training Organisations- Standard 3

Frequency As required

Policy

UIC has a financial Management policy and have effective financial Management procedures in place to implement that policy.

Under this policy UIC is committed to:-

1. Protect the fees paid in advance.
2. Have a fair and reasonable refund policy.
3. Have capital gains as a business.
4. Provide the value of money paid by students in form of fees, by providing them with quality training and preparing them for their future.
5. Fulfil all conditions, regarding accounts (e.g. certification by qualified accountant), set by registering bodies.

Procedure

1. UIC will designate the chief executive to have defined responsibility and authority to:

(i) ensure that the RTO has financial management policies in place and that it complies with these policies

(ii) monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement

(iii) when requested, provide the state or territory registering body that has registered it with a formal assurance that the RTO has sound financial management standards for matters related to UIC's scope of registration and scale of operations.

2. UIC's accounts will be certified, at least annually, by a qualified accountant:

(a) with membership of:

- (i) Certified Practising Accountants Australia
- (ii) the Institute of Chartered Accountants of Australia or
- (iii) the National Institute of Accountants

or

(b) otherwise registered as an auditor with the Australian Securities and Investment Commission

And

on request, the report will be made available to the state or territory registering body that has registered UIC.

3. UIC, when requested by the state or territory registering body that has registered it, will obtain, and make available to the state or territory registering body, a full audit report from a qualified independent accountant:

(a) with membership of:

- (i) Certified Practising Accountants Australia
- (ii) the Institute of Chartered Accountants of Australia or
- (iii) the National Institute of Accountants

or

(b) otherwise registered as an auditor with the Australian Securities and Investment Commission.

4. UIC has a fair and reasonable refund policy (see fees refund policy).

5. UIC is a member of an approved TAS (Tuition Assurance Scheme) to protect the fees paid in advance.

6. UIC has all the insurance cover necessary to carry out its business, including

- insurance for workers' compensation
- public liability
- professional indemnity
- building and contents.

7. UIC has got separate accounts for fees paid in advance and for money in operation. As a thumb rule UIC will not use any amount of fees paid unless UIC has paid back to the students the value of their money, in form of training and skills e.g. if a student has paid for 6 months, he/she has to study at UIC, UIC will be using only 1/6th of the fees paid after 1st month, UIC will be using only 1/3rd of the fees paid after 2nd month and so on the whole fees will become UIC money only after whole term (for which fees are paid).

8. UIC will provide to the Student information on fees and charger disseminated prior to enrolment through student handbooks, posters, website, information session, telephonic enquiries' reply.

9. UIC will send a copy of its refund policy to every student with offer letter for a course.

UIC POLICIES AND PROCEDURES

| | |
|--------------------------|--|
| Policy/Procedure No. | 15 |
| Task | Version Control Policy 2 |
| Performed by/Relevant to | Compliance Officer, CEO |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- 4.3 |
| Frequency | As required |

Policy

UIC will keep all materials, related to its scope of registration, (including Training Packages, accredited course documents and learning/assessment material) version controlled so that

- materials are reviewed for currency by authorized and competent staff prior to issue or re-issue
- a list of materials with the respective issue and/or amendment status identified is maintained
- all persons required to perform any function under UIC's scope of registration have ready access to all necessary current materials
- all the requirements of the training standards are addressed.

Procedure

Version control registers and the material listed in the version control register must be readily accessible to any person required to perform any function under the RTO's Scope of Registration.

Before distributing learning or assessment materials, the CEO must ensure delivery is from the current version of the learning or assessment materials by:

Checking the version number in the footer of the document

Accessing the register of controlled documents to check the latest version number. If the version number is later than the version being checked this indicates that changes have been made to the product and the updated version needs to be accessed.

The CEO will ensure that all previous versions are filed separately to avoid confusion.

The register of controlled documents details the changes made to any RTO materials. It is located in the UIC shared drive with the relevant training material. RTO staff has read-only access to these documents.

The CEO is responsible for maintaining the register of controlled documents and ensuring that RTO staff has access to the relevant training material.

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|---|
| Policy/Procedure No. Task | 16 Ongoing professional development Policy 3 |
|------------------------------|---|

| | |
|--------------------------|--|
| Performed by/Relevant to | Compliance Officer, CEO, Head Teacher, trainer/assessors. |
|--------------------------|--|

| | |
|---------|--|
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations- 4.3 |
|---------|--|

| | |
|-----------|-------------|
| Frequency | As required |
|-----------|-------------|

Policy

UIC will encourage and provide staff with relevant opportunities for their professional development and will consistently monitor its performance.

Purpose and Scope

This procedure describes the process involved in planning, applying for, participating in, evaluating and reporting on professional development activities. It also includes the process for maintaining a professional development record for each staff member.

The procedure aims to ensure that:

- Professional development is aligned with the strategic direction of our training operations;
- Staff have the requisite qualifications and/or competencies;
- Staff are equipped with the knowledge of current and future trends, and skills within their area of expertise;
- Access to professional development activities is fair and equitable and available to all training, delivery, assessment and administration staff;
- Knowledge and skills gained through professional development are shared with colleagues,
- Professional development activities are included in all planning processes.

The procedure applies to professional development activities for establishment (permanent) and casual staff and may also apply to contracted staff at the discretion of management.

The key processes covered by this are as follows:-

- 1. Identifying Professional Development Needs**
- 2. Applying for Professional Development**
- 3. Register of Professional Development**
- 4. Reporting and Review of Professional Development**

1. Identifying Professional Development Needs:-

1.1 CEO Identifies annual priorities for professional development as part of the annual review and strategic planning process.

1.2 CEO Identifies programs required for compliance under the Australian Quality Training framework (AQTF) including currency of competencies.

1.3 CEO Reviews priorities and incorporates these into annual Professional Development Plan. The Plan will include:

- Targeted areas for professional development based on the professional development priorities and needs. This will also include AQTF requirements,
- Methodology to be used to achieve targeted areas,
- Budget allocations for targeted areas,
- Reporting requirements, and an
- Evaluation process.

1.4 CEO communicates to the managers responsible the budget allocations and expected outcomes.

1.5 Training Quality Reference Group (TQRG) Publicises professional development opportunities on a quarterly basis detailing: Selection criteria, Selection and application process costs etc

1.6 Managers Undertake an annual Performance Review in consultation with staff and develops for each staff member a professional development plan detailing all their proposed professional development activities.

Managers Ensure staff are advised of process for applying for professional development.

2. Applying for Professional Development

2.1 Staff Member Identifies professional development activity which meets their need and completes **Application for Professional Development**.

Activities under this process include:

- Accredited courses
- Short courses
- Conferences and seminars

Points to Note:

1. For activities outside of these, contact the CEO

2.2 Staff Member Submits completed form to their Manager at least:

- (i) 2 weeks prior to the activity for local
- (ii) 4 weeks prior to the activity where travel is required

2.3 Manager Reviews application and authorises, based on funds availability and value to direction of our training operations within 3 days of receipt.

2.4 Manager Sends email confirmation of approval or non-approval and copy on register as per **Clause 3.1** of this policy.

2.5 Staff Member Registers for activity and, where applicable, arranges accommodation and travel within 2 days of receipt of approval email.

3 Register of Professional Development

3.1 CEO Records details of **Professional Development** activity on register, within 2 days of receipt of notification as outlined in **Clause 2.4**.

4 Reporting and Review of Professional Development

4.1 Staff member Updates **Staff Currency and Competency Profile** in January and July of each year and sends to the 'CEO and Compliance Officer' by the end of those months.

4.2 CEO Prepares an annual report of Professional Development activity for inclusion in the Annual Review.

4.3 CEO Evaluates effectiveness of professional development activity across our training operations and develops an action plan to improve the effectiveness of professional development activities for the next year.

| Records | Retention and Disposal | Storage Location |
|--|-------------------------------|-------------------------|
| Application for Professional Development | 7 years and dispose | RTO Staff Folder |
| Staff Currency and Competency Profile | 7 years and dispose | RTO Staff Folder |
| Professional Development Register | | HR record cabinet. |

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|--|
| Policy/Procedure No. Task | 17 Anti-discrimination and anti - harassment policy |
| Performed by/Relevant to | Compliance Officer, CEO, Head Teacher, trainer/assessors, all fixed and contract staff |
| Purpose | To ensure that UIC meets the AQTF standards for Registered Training Organisations. |
| Frequency | As required |

Relevant Legislation:-

- Disability Discrimination Act 1992
- Discrimination Act (ACT) 1991
- Equal Opportunity for Women in the Workplace Act 1999
- Human Rights and Equal Opportunity Commission Act 1986
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Workplace Relations Act 1996

1. RESPONSIBILITY

Consistent with its legal responsibilities to ensure staff and students are not subjected to behaviour, work practices, policies or processes that may constitute unlawful discrimination, harassment, victimisation or vilification, UIC has committed to the provision of a work and study environment that is free from discriminatory and harassing behaviours.

In making this commitment the UIC expects that all staff and students will maintain appropriate standards of behaviour and will respect individual differences.

2. COVERAGE

This Policy relates to any student or staff member of UIC involved in UIC activities. It also covers visitors to UIC and contractors working on UIC property.

3 DEFINITIONS

The definitions contained in this policy are framed with reference to specific legislation and concern unlawful discrimination. Not all unacceptable behaviour may be considered "discriminatory", but will still be proscribed by other UIC policies or rules, such as, for example, those covering work performance issues, staff or student misconduct or the principles enshrined in the Code of Conduct.

Discrimination is unfair or inequitable treatment on the basis of the characteristics and attributes listed at Clause 5.

Harassment is behaviour, comments or images that are unwelcome, offensive or intimidating and that, in the circumstances, a reasonable person should have expected would be offensive or intimidating.

Victimisation is any unfavourable treatment of a person as a consequence of their involvement in a grievance under UIC's grievance procedures. Unfavourable treatment may include such things as adverse changes to their work or study environment, denial of access to resources, work opportunities or training, or

ostracism.

Vilification is the public incitement of hatred, serious contempt or severe ridicule of a person on the basis of the race of that person. Vilification does not include, for example, legitimate academic debate about issues that might include discussions of race.

4 FORMS OF DISCRIMINATION

Direct discrimination: treating someone in an unfair or less favourable way because of one or more characteristics or attributes (see Clause 5).

Indirect discrimination: an unnecessary rule or requirement that is the same for everyone but has the effect of disadvantaging individuals and groups sharing the same characteristics or attributes (see Clause 5)

Systemic or institutional discrimination: covert or hidden discrimination against particular groups (often unconscious) built into the seemingly neutral practices and policies of an institution or organisation.

5. CHARACTERISTICS OR ATTRIBUTES

The following are the main attributes covered by anti-discrimination legislation:

- Sex, pregnancy or potential pregnancy
- Race or colour
- National or ethnic origin
- Marital or carer status
- Breastfeeding requirements
- Sexual preference or orientation
- Disability, including HIV Aids status
- Age
- Religious or political beliefs
- Membership or non-membership of an industrial association
- Family responsibilities

6. EXPECTATIONS

All students and staff are expected to contribute to the eradication of discrimination and harassment. This can be done by:

Speaking up. People should be made aware that discriminatory and/or harassing behaviour is unacceptable.

Promoting mutual respect between individuals, irrespective of whether they are students or members of staff.

Fostering informed attitudes and behaviour which support UIC's equal opportunity objectives.

If a member of staff or a student feels discriminated against they should lodge a complaint with the CEO.

If a complaint involving discrimination or harassment is received, supervisors and managers must act immediately to deal with it in accordance with UICs Policy for Discrimination and Harassment Grievance Resolution.

UIC POLICIES AND PROCEDURES

| | |
|------------------------------|---|
| Policy/Procedure No. Task | 18 DEST-DIAC Course Progress |
| Performed by/Relevant to | Compliance Officer, CEO, Head Teacher, trainer/assessors, all fixed and contract staff |
| Purpose | These procedures address the monitoring of academic performance of students studying on student visa subclass 572 (VET courses) at UIC. |
| Frequency | As required |

Policy

As per the National Code 2007, UIC will implement the DEST-DIAC Course Progress Policy and Procedures for its vocational education and training (VET) courses. UIC will indicate the decision to implement the DEST-DIAC Course Progress Policy and Procedures for all of its CRICOS registered VET courses via PRISMS.

REFERENCES

1. The National Code 2007
2. ESOS ACT 2000
3. AQTF '07

PROCEDURES

UIC training and assessment staff must monitor, record and assess the course progress of each student for the course in which the student is currently enrolled. Records of course progress are kept in the student files.

Trainer/assessors must assess each student's progress at the end of each study period by referring to students' results on the [student management form] which will clearly indicate whether the student's progress is satisfactory. Unsatisfactory progress is defined as not successfully completing or demonstrating competency in at least 50% of the course requirements in a study period.

"Course requirement" means a unit(s) of competency. At the beginning of each study period, the trainer/assessor will inform students which unit(s) are to be achieved for that study period. If there is a single unit of competency scheduled for the study period, the student will be assessed per element of competency.

The trainer/assessor must initiate the intervention strategy for any student who is not making satisfactory course progress as defined in 4.2.

If a student is identified for the first time as not making satisfactory course progress, the intervention strategy must be activated at the end of the study period and no later than four weeks into the subsequent study period.

If the student is identified as being at risk of making unsatisfactory course progress before the end of the study period, the trainer/assessor should implement the intervention strategy as early as practicable.

If a student is identified as not making satisfactory course progress in a second consecutive study period in a course, the trainer/assessor must notify the student of

his or her intention to report the student to DIAC for unsatisfactory progress using the "Notice of intention to report for unsatisfactory progress" form.

The Head Teacher will notify the Secretary of DEST through PRISMS as soon as practicable of the student not achieving satisfactory course progress where:

- (a) a student has chosen not to access the complaints and appeals processes within the 20 working day period,
- (b) the student withdraws from the process, or
- (c) the process is completed and results in a decision where the student's appeal was unsuccessful.

The intervention strategy will be made available to all staff on induction and all students on enrolment.

COMPLAINTS AND APPEALS

The trainer/assessor must inform the student that he or she is able to access UIC's complaints and appeals process under Standard 8 and that the student has 20 working days in which to do so.

A student may appeal on the following grounds:

- (a) UIC's failure to record or calculate a student's marks accurately,
- (b) compassionate or compelling circumstances, or
- (c) provider has not implemented its intervention strategy and other policies according to its documented policies and procedures that have been made available to the student.

If the student's appeal is successful, the outcomes will vary according to the findings of the appeals process.

- (a) If the appeal shows that there was an error in calculation, and the student actually made satisfactory course progress (successfully completed more than 50% of the course requirements for that study period), UIC will not report the student, and there is no requirement for intervention.
- (b) If the appeals process shows that the student has not made satisfactory progress, but there are compassionate or compelling reasons for the lack of progress, UIC will provide ongoing support to the student through the through the intervention strategy, and will not report the student.

RESPONSIBILITIES AND AUTHORITIES

The workload for each study period is defined by the trainer/assessor for the unit(s) being studied.

The course progress is checked at the end of each study period by the trainer/assessor.

It is the responsibility of the trainer/assessor to decide whether the is at risk of unsatisfactory course progress

It is the trainer/assessor's responsibility to implement the intervention strategy and inform the student of UIC's intent to report the student to DIAC via PRISMS.

The Head Teacher will hear the appeal of the student and the trainer/assessor.

The student is reported through PRISMS by the Compliance Officer or CEO.

The course progress records are kept in the academic files for the student.

A record of the student being notified of intention to report for unsatisfactory performance is kept in the student files and is the responsibility of the Compliance Officer.

TIMEFRAMES

The student's progress is assessed in the final week of each study period.

The intervention strategy is implemented in the final week of a study period, after a student has been assessed as not satisfactorily completing at least 50% of the course requirements for that study period, and the student has been notified of UIC's intention to report. If the student is identified as being at risk of making unsatisfactory course progress before the end of the study period, the trainer/assessor should implement the intervention strategy as early as practicable.

The student is allowed up to 20 working days to initiate a complaint or appeal.

INTERVENTION STRATEGY

Activation Procedure

The intervention strategy must be activated where the student is deemed not yet competent in 50% or more of the units attempted in any study period. If the trainer/assessor can see evidence that the student may be in danger of being deemed not yet competent in 50% or more of the units *before* the end of the study period, they may implement the intervention strategy earlier to enhance its effectiveness.

The record of intervention form must be kept in the student academic file to record the actions and counselling provided to the student during the intervention process. The trainer/assessor must use this to record all actions that take place to assist the student in enhancing their academic progress.

Contacting/informing students

Students are notified both verbally and in writing to inform them that they have not achieved at least 50% competency during the study period. This is done via the intervention form which explains the intervention strategy, the support and counselling they will receive, and their obligations.

Counselling

A meeting with the student and the trainer/assessor will take place to ascertain the cause of the unsatisfactory performance.

The trainer/assessor will take notes of the meeting on the record of intervention form.

Assistance Strategies

Depending on the cause(s) of unsatisfactory performance the trainer/assessor may recommend to the student one or more potential solutions, including but not limited to the following:

Academic Skills Support

If the trainer/assessor identifies that the student's performance has suffered due to a lack of academic skills, the trainer/assessor may provide additional help and support to remedy this. The trainer will decide on the most appropriate support depending on the area of study and student needs. Support may include things such as tips for studying at home, goal-setting or organisational skills.

Additional English Support

If the student is identified as performing unsatisfactorily due to English language difficulties, UIC will recommend and/or refer the student to appropriate services to remedy this.

Additional tutoring

A student may need additional tutoring to lift their academic progress. The trainer/assessor will arrange additional tutorial sessions, appropriate to the requirements of the student.

Increased Monitoring

The student may need to be monitored more closely to ensure items such as class attendance, academic performance or meeting deadlines are being achieved.

Personal Counselling

If a student has been identified as having unsatisfactory progress due to personal issues that they wish not to discuss with the trainer/assessor, the student can be referred to the student services staff member. If the student wishes to discuss the matter with an external party, they may access one of the following services free of charge.

Reachout:

www.reachout.com.au

Lifeline:

131 114

www.lifeline.org.au

Student Services In Australia, Social Life and Settlement Consulting:

www.studyinaustralia.com/australia-contact-people.html

International Student Support:

www.studyinaustralia.com/study-in-australia-international-student-support.html

Life Explored

Level 4, 91 George Street, Parramatta, 2125

Phone: 02 9633 1789

Website: www.lifexplored.com.au

DEFINITIONS (DEST-DIAC Course Progress Policy)

Trainer/Assessor – Staff employed or contracted by UIC to conduct training and assessment for qualifications and/or units of competency

DEST – Department of Education Science & Training

DIAC – Department of Immigration and Citizenship

PRISMS - Provider Registration and International Students Management System

Course Requirements – Predestudy periodined outcomes required for each study period, usually unit(s) of competency

Appeals Process – UIC's appeals and complaints process

Intervention Strategy – Strategy employed by training and assessment staff to help students in danger of unsatisfactory course progress.

Study Period – 10 week term

Definitions

| TERM | DEFINITION |
|---|---|
| Accredited course | A structured sequence of vocational education and training that has been accredited and leads to an Australian Qualifications Framework (AQF) qualification or Statement of Attainment. |
| Application Pack | Contains Job Applicant's Declaration, Consent Form, and a short guide of what to expect during the job application process. |
| Australian Qualifications Framework (AQF) | Framework for all qualifications in post-compulsory education and training Introduced in 1995 |
| AQF Qualification | <p>Formal certification issued by a Registered Training Organisation in recognition that a person has achieved learning outcomes or competencies.</p> <p>Within the VET sector this includes:</p> <ul style="list-style-type: none"> Diploma Advanced Diploma Certificate (1-IV) |
| Assessment Guidelines | An endorsed part of the training package which underpins assessment and which sets out the industry approach to valid, reliable, flexible and fair assessment. Assessment guidelines include the assessment system overview, assessor requirements, designing assessment resources, conducting assessment and sources of information on assessment. |
| Assessment Plan | <p>Document outlining all information relating to assessment of a unit or units of competency within a course. This includes;</p> <ul style="list-style-type: none"> • Assessment Summary document • Master copies of all assessor checklists and marking guides, and • Master copies of the assessment tools |
| Assessment Tool | <p>An assessment tool contains both the instrument and the instructions for interpreting and gathering and interpreting evidence. These include:</p> <ul style="list-style-type: none"> • Questions/activities developed • Marking Guides • Instruction sheets etc |
| Assessor | Person assigned responsibility for assessing competency against stated Performance Criteria. |
| Assessment | The process of collecting evidence and making judgments on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed in the relevant endorsed industry/enterprise competency standards or the learning outcomes of an accredited course. |
| Audit | A methodical, independent and documented process for obtaining evidence to satisfactorily determine whether the activities and related outcomes of our training organisation comply with the Standards for Registered Training Organisations and/or our contractual obligations. These audits may be internal or external. |
| Australian Quality Training Framework (AQTF) | The quality framework for the vocational education and training system in Australia |

| | |
|---|--|
| Student | Any person undertaking a course or qualification within our training operations |
| Contract Trainers | Trainers employed under an MOU with a fixed date contract. |
| Head Teacher | Person(s) responsible for coordinating the scheduling and delivery of courses or managing programmes or processes within our training operations. |
| Course | Structured sequence of VET, generally resulting in assessment against a range of learning outcomes or competencies. |
| Credit Transfer | Direct transfer of credit given when a Student has successfully completed identical units of competency with another Registered Training Organisation (RTO). |
| Training and Assessment Strategy | A document which summarises the approved delivery and assessment strategy for a course. This document includes; <ul style="list-style-type: none"> • Course structure • Target groups • Schedule • Trainer/Assessor matrix • Assessment Matrix • Resources • Validation methods |
| Documented evidence | Information relating to the provision of services which can be readily verified or tested. This evidence can be in the form of documents, records, unbiased observations, or facts. |
| Established Staff | Staff permanently employed either full or part-time. |
| Internal audit | See Audit |
| Letter of Offer of Employment | A document between UIC and the employee outlining both parties' rights and obligations. |
| Marking guide | A profile of acceptable answers, performance and decision-making rules. |
| Memorandum of Understanding (MOU) | A written agreement between UIC and person/s or organisations that provides training and/or assessment on behalf of UIC |
| Non-compliance | Failure to comply with one or more of the Standards for Registered Training Organisations or UIC policy. |
| Programme Action Plan | Annual planning process undertaken to document how KPI's will be achieved. |
| Recognition of other RTOs qualifications | Refers to: <ol style="list-style-type: none"> 1 The acceptance of the decisions made by any State Registration Authority in granting registered training organisation status, or accredited course status 2 The recognition by all State and Territory registering/course accrediting bodies of the national endorsement of Training Packages as notified on the National Training Information Service. 3 The recognition and acceptance by a registered training organisation (RTO) of Australian Qualifications Framework qualifications and Statements of Attainment issued by other RTOs, enabling individuals to receive national recognition of their achievements. |
| Registered Training Organisation (RTO) | Any training organisation registered by a State Registering Authority in accordance with the Australian Quality Training Framework. |

| | |
|--------------------------------|--|
| Registration | Formal approval and recognition of a training organisation, by a State or Territory registering body, in accordance with the Standards for Registered Training Organisations and the Standards for Registering/Course Accrediting Bodies. |
| Risk Management | Systematic application of management policies, procedures and practices to the tasks of identifying, analysing, evaluating, treating and monitoring risk of non compliance against RTO standards. |
| Scope of Registration | Defined scope for which a training organisation is registered that identifies the particular services and products that can be provided. A registered training organisation may be registered to provide either: a training delivery and assessment services and products and the issuance of Australian Qualifications Framework (AQF) qualifications and Statements of Attainment, or b assessment services and products, and issue AQF qualifications and Statements of Attainment. The scope of registration is further defined by AQF qualifications and/or endorsed units of competency. |
| Statement of Attainment | Record of recognized learning which, although falling short of achieving a full AQF Qualification, may contribute to a qualification outcome. |
| Training Package | An integrated set of nationally endorsed competency standards, assessment guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise. |
| Training Record Book | Summary of achievements against all performance criteria within a Unit of Competency |
| Transcript of Results | Summary of results attained against each learning outcome or units of competency |