



Policies and



Procedures

Version Control

Title	Policies and Procedures manual
Date of Approval	18 October 2023
Next Review Date	18 October 2023
Responsible Authority	CEO – Tooba Khan
Version Number	1.3
File Location	Main Drive

Details of Changes

Version No.	Date	Amendments
1.1	08/08/2023	<ol style="list-style-type: none"> 1. Removed all National Code 2018, CRICOS and international student related clauses, policies and procedures. 2. Phone number for the Critical Incident contact from Grant Savari's number to 0424 660 830. 3. Made uniform all wording from working days to business days, instead of having a mix of both terminologies. 4. Added wording to sections on change (under the Legislation, Trainer and Assessor Competency and Currency and Enrolments policies): Where this is not possible – such as when there are training package updates or when legislation is assented, our learners and clients will be notified of the change within 5 business days of the changes being published. 5. Changed the wording in the 'Enrolment Procedure' as JobOutlook is no longer active.
1.2	05/09/2023	Added the new requirements under the SRTOs Amendment (Fit and Proper Person) Instrument 2023 to the Fit and Proper Person policy.
1.3	18/10/2023	Added and updated checklists into the manual.

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Organisation Vision

At Training 2U, our vision is to deliver high quality training and assessment services, producing graduates who are job-ready that meets the needs of the industry. We aim to do this by recruiting and retaining talented and passionate Trainers and Assessors, providing a safe and equitable environment, upholding ethical conduct and integrity, catering to the needs of the industry and the workforce, and placing our students at the centre of all that we do.

Legislation

As a Registered Training Organisation (RTO), we are subject to legislation relating to our training and assessment services, as well as to our business operations as an RTO and as an incorporated company governed under the laws of Australia. We will ensure we comply with the Standards for RTOs 2015 at all times, including where services are being delivered on our behalf, as per Clause 2.1.

In accordance with Clause 8.5 of the Standards for RTOs 2015, Training 2U will comply with all Commonwealth, state and territory legislation and regulatory requirements relevant to its operations.

We will apply a risk management approach in meeting legislative requirements to ensure we truly are learner-centered.

Training 2U also acknowledge that we have a responsibility to educate our staff about the relevant legislative requirements that apply to our business functions and operations in accordance with Clause 8.6 of the Standards for RTOs 2015. This will be achieved through our induction process and through our refresher training sessions.

Where a new piece of legislation or regulation is introduced which affects our operations, we will conduct a special training session to ensure our staff are informed of any changes to legislative and regulatory requirements, and advise our learners and clients at least 7-days before the change to the legislation or regulation comes into effect. Where this is not possible, our learners and clients will be notified of the change within 7-days of the change coming into effect. The only exception to this is when a training product has been superseded or deleted from the National Training Register. You are to refer to the Training Package Transition policy and procedure for the action steps to follow and complete when the change concerns a training product being superseded or deleted.

The following legislation affects our business functions, particularly the delivery of our training and assessment services:

Commonwealth

- Age Discrimination Act 2004
- Competition and Consumer Act 2010
- Copyright Act 1968
- Disability Act 2006
- Disability Discrimination Act 1992
- Disability Regulations 2018
- Disability Standards for Education 2005
- Fair Work Act 2009
- National Vocational Education and Training Regulator Act 2011
- National Vocational Education and Training Regulator Amendment Act 2020
- National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020
- National Vocational Education and Training Regulator (Financial Viability Risk Assessment Requirements) Instrument 2021
- Privacy Act 1988
- Racial Discrimination Act 1975
- Racial Hatred Act 1995
- Sex Discrimination Act 1984
- Standards for Registered Training Organisations 2015
- Standards for Registered Training Organisations Amendment (Fit and Proper Person) Instrument 2023
- Student Identifiers Act 2014
- Student Identifiers (VET Exemptions) Instrument 2021
- Work Health and Safety Act 2011

Australian Capital Territory

- Children and Young Persons Act 1999
- Discrimination Act 1991
- Fair Trading (Australian Consumer Law) Act 1992
- Training and Tertiary Education Act 2003
- Work Health and Safety Act 2011

- Workers Compensation Act 1951

New South Wales

- Anti-Discrimination Act 1977
- Children and Young Persons (Care and Protection) Act 1998
- Disability Services Act 1993
- Disability Services Regulation 2003
- Fair Trading Act 1987
- Privacy and Personal Information Protection Act 1998
- Work Health and Safety Act 2011
- Workplace Injury Management and Workers Compensation Act 1998

Northern Territory

- Care and Protection of Children Act 2007
- Community Welfare Act 1987
- Consumer Affairs and Fair Trading Act 1990
- Work Health and Safety (National Uniform Legislation) Act 2011

Queensland

- Child Protection Act 1999
- Commission for Children and Young People Act 2000
- Fair Trading Act 1989
- Further Education and Training Act 2014
- Vocational Education, Training and Employment Act 2000
- Vocational Education, Training and Employment Regulation 2000
- Work Health and Safety Act 2011
- Workers' Compensation and Rehabilitation Act 2003

South Australia

- Children's Protection Act 1993
- Fair Trading Act 1987
- Training and Skills Development Act 2008
- Work Health and Safety Act 2012
- Workers Rehabilitation and Compensation Act 1986

Tasmania

- Children, Young Persons and Their Families Act 1997
- Fair Trading Act 1990
- Industrial Relations Act 1984
- Industrial Relations (Commonwealth Powers) Act 2009
- Work Health and Safety Act 2012
- Workers Rehabilitation and Compensation Act 1988

Victoria

- Australian Consumer Law and Fair Trading Act 2012
- Child Wellbeing and Safety Act 2005
- Children, Youth and Families Act 2005
- Disability Act 2006
- Education and Training Reform Act 2006
- Education and Training Reform Regulations 2017
- Occupational Health and Safety Act 2004
- Privacy and Data Protection Act 2014
- Working with Children Act 2005
- Workplace Injury Rehabilitation and Compensation Act 2013

Western Australia

- Children and Community Services Act 2004
- Equal Opportunity Act 1984
- Fair Trading Act 2010
- Occupational Safety and Health Act 1984
- Vocational Education and Training Act 1996
- Working with Children (Criminal Record Checking) Act 2004

Terms

Term	Definition
Activity end date`	Refers to the date reported as the date the learner completed their training and assessment in a specific unit of competency.
Activity start date	Refers to the date reported as the date the learner commenced their training and assessment in a specific unit of competency.
Apprentice	An individual undertaking an apprenticeship.
Apprenticeship	A structured training arrangement which combines practical experience at work under the instruction of a suitable employer, with off-the-job training provided by a Registered Training Organisation. On successful completion they are issued with a nationally-recognised qualification and on-the-job skills that employers value. This typically results in a full time position in a career they love.
AQF	Refers to the Australian Qualifications Framework.
AQF certification documentation	The set of official documents confirming an AQF qualification (also known as the certificate or testamur) or Statement of Attainment (also known as a transcript) has been issued to the individual. This documentation generally comprises of the certificate and the transcript which meets the requirements of the Standards for RTOs 2015 and the Australian Qualifications Framework.
AQTF	Refers to the Australian Quality Training Framework.
ASQA	Refers to the Australian Skills Quality Authority – the National VET regulator under the NVETR Act 2011 (Cth).
Assessment	The process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.
Assessment system	A co-ordinated set of documented policies and procedures (including the assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment, which is reliability, fairness, flexibility and validity.
Assessors	Persons who assess a learner's competence in accordance with Clauses 1.13 to 1.16 in the Standards for RTOs 2015. They are also usually the Trainers for the course.

Audit	An inspection of records and practices undertaken by the VET Regulator – such as ASQA, VRQA or WA TAC, or the Funding Authority – such as the Victorian Government Department of Education.
Australian Consumer Law	Refers to the law set out in Schedule 2 of the Competition and Consumer Act 2010 (Cth).
AVETMISS data report	Refers to the Australian Vocational Education and Training Management Information Statistical Standard which is to be reported to NCVER by close of business on the 28 th of February of each year (certain RTOs are required to submit them more often). It reports on learner training and assessment outcomes.
Business day	Means a day in which that is not a Saturday, Sunday or a public holiday in any given state or territory in Australia.
Business hours	Means the hours from 9.00am to 5.00pm of a business day.
CEO	Refers to the Chief Executive Officer.
Compassionate circumstances	<p>Circumstances beyond the control of the learner which has an impact on their course progress or wellbeing, including, but not limited to:</p> <ul style="list-style-type: none"> - Serious illness or injury (evidenced by a medical certificate); - Bereavement of close family members (evidenced by a death certificate or obituary); - Major political upheaval or natural disaster; or - A traumatic experience such as the involvement in, or the witnessing of, a serious accident or crime.
Confidential information	Refers to all confidential or commercially sensitive information of a Party (could be our RTO, a third-party, an employee, or even a learner), but does not include information that is already in the public domain (other than due to a breach of a specific agreement).
Credit transfer	Also known as national recognition, it allows for the unit(s) of competency previously achieved by the student to be recognised when they are enrolling.
Current industry skills	The knowledge, skills and experience required by VET trainers and assessors, and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of the industry.
Data provision requirements	The reporting requirements each RTO is required to observe. Examples of these are the AVETMISS data and Quality Indicator data reports.

Deferral	To delay the commencement of a course.
Department of Education and Training (DET)	<p>Is responsible for:</p> <ul style="list-style-type: none"> - The overarching policy development and administration of the ESOS Act and its associated legislative framework, including the Tuition Protection Service (TPS) framework and the management of PRISMS; - Administering ESOS-related charges for cost recovery; and - Final registration or renewal and compliance monitoring and enforcement decisions (including suspensions and cancellations) as the ESOS agency for schools.
Financial viability risk assessment requirements	The requirements made under section 158 of the National Vocational Education and Training Regulator Act 2011, or equivalent requirements made by VRQA or WA TAC. This generally means that the RTO is able to fulfil all of its financial obligations and has ample funds for its operations.
High managerial agent	An employee or representative of the organisation with duties wherein his or her conduct may fairly be assumed to represent the organisation.
Host employer	The employer organisation providing practical placement activity for the learner under the work placement agreement.
Industry	<p>The bodies that have a stake in the services provided by RTOs. These can include, but are not limited to:</p> <ul style="list-style-type: none"> - Enterprise / industry clients such as employers; - Group training organisations; - Industry organisations and regulators; - Industry skills councils or similar bodies; - Industry training advisory bodies; and - Unions.
Industry and Skills Council	The Commonwealth, State and Territory ministerial councils established by the Council of Australian Governments (COAG), or its successor.
Industry engagement	<p>For the purposes of Clauses 1.5 and 1.6, may include, but is not limited to strategies such as:</p> <ul style="list-style-type: none"> - Partnering with local employers, regional / national businesses, relevant industry bodies and/or enterprise RTOs; - Involving employer nominees in industry advisory committees and/or reference groups; - Embedding staff within enterprises;

	<ul style="list-style-type: none"> - Networking in an ongoing way with industry networks, peak bodies and/or employers; - Developing networks of relevant employers and industry representatives to participate in assessment validation; and - Exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.
Industry regulator	A body or organisation responsible for the regulation and/or licensing arrangements within a specific industry or occupation.
Learner	The person being trained and assessed by the RTO for the purpose of issuing AQF certification documentation.
Licensed or regulated outcome	An RTO's compliance with an eligibility requirement for an occupational licence or a legislative requirement to hold a particular training product in order to carry out an activity.
Mode of delivery	The method adopted by an RTO to deliver training and assessment services. This could be via online learning, face-to-face learning, or a blend of the two.
Module	A group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.
National register	The database maintained by ASQA, as referred to in section 216 of the National Vocational Education and Training Regulator Act 2011.
Nationally Recognised Training (NRT) logo	Is a registered trademark used to identify nationally recognised training and VET accredited courses. It can only be used according to the conditions specified in Schedule 4 of the Standards for RTOs 2015.
NCVER	Refers to the National Centre for Vocational Education and Research.
Professional development	<p>Activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge, as well as the practice of vocational training, learning and assessment, including competency-based training and assessment.</p> <p>Examples of professional development activities include:</p> <ul style="list-style-type: none"> - Participation in courses, workshops, professional associations or other learning programs; - Participation in mentoring, professional associations or other learning networks;

	<ul style="list-style-type: none"> - Personal development through individual research or reading of publications or other relevant information; - Participation in moderation or validation activities; and - Participation in industry release schemes.
QI Data report	The Quality Indicator report each RTO needs to submit by the 30 th of June each year declaring that their operations are in compliance with the Standards for RTOs 2015.
Recognition of Prior Learning (RPL)	The assessment process that assesses the competency(ies) of an individual that may have been acquired through formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.
Record of Results	An AQF certification documentation that accompanies a testamur. It usually contains the units of competency the learner has undertaken for the training program and the outcomes of the learner's training and assessment activity.
RTO	Stands for Registered Training Organisation.
RTO code	The registration identifier given to the RTO on the National Register.
Scope of registration	The courses for which an RTO is approved to issue AQF certification documentation. It allows the RTO to provide training and assessment services which results in the student achieving an AQF certification documentation by the RTO, or provide assessment resulting in the student being awarded AQF certification documentation by the RTO.
Skill set	A single unit of competency or a combination of units of competency from a training package which links to a licensing or regulatory requirement, or a defined industry need.
Statement of Attainment	The statement issued to a person confirming that the person has satisfied the requirements of the unit(s) of competency(ies) or accredited short course.
Suspension	To temporarily delay the enrolment once the course has commenced.
Testamur	Issued to learners who have met the requirements of a vocational education and training qualification and accompanies the learner's record of results. It usually contains the nationally recognised code and title of the undertaken training program along with the date of issue and the learner's full legal name.

Third-party	Any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.
Trainee	An individual undertaking a traineeship.
Traineeship	A training arrangement between the trainee and their respective employer whereby the employer agrees to train the trainee in a specific industry, and the trainee agrees to work and learn.
Trainers	Persons who provide training in accordance with Clauses 1.13-1.15 of the Standards for RTOs 2015.
Training	The process used by an RTO or a third-party delivering services on its behalf, to facilitate learning
Training and Assessment Strategy	The overarching document that describes the training and assessment approach, practices and strategies.
Training and assessment strategies and practices	The approach of, and methods adopted by, an RTO with respect to training and assessment. This includes whether the training is delivered online or in-person, what resources and equipment are to be used, the structure of the course, and the number of hours dedicated to training and assessment.
Training package	The units of competency, assessment requirements, qualifications, and credit arrangements; endorsed by the Industry Skills Council or its delegate components. A training package also consists of a quality assured companion volume(s) which contains industry advice to RTOs on different aspects of implementation.
Training product	An AQF qualification, skill set, unit of competency, accredited short course and module.
Tuition Protection Service (TPS)	<p>The TPS is a placement and refund service to assist overseas students whose registered providers are unable to fully deliver their course of study. The TPS ensures overseas students can either:</p> <ul style="list-style-type: none"> - Complete their studies in another course or with another registered provider; or - Receive a refund of their unspent tuition fees.
Unit of competency	The smallest component of a training package that can be assessed and recognised. It gives a description of the skills and knowledge required to effectively perform a particular workplace role or function to a certain standard.
VET	Stands for Vocational Education and Training.

VET Quality Framework	<p>Comprises of:</p> <ul style="list-style-type: none"> - The Standards for Registered Training Organisations; - The Australian Qualifications Framework; - The Fit and Proper Person Requirements; - The Financial Viability Risk Assessment Requirements; and - The Data Provision Requirements.
VET regulator	The body established under the National Vocational Education and Training Regulator Act 2011 such as ASQA, and the separate regulators in Victoria and Western Australia such as VRQA and WA TAC that ensure training providers, both public and private satisfy a suite of requirements.
Withdrawal	The cessation of an enrolment of a course.
Work placement agreement	The written agreement signed by the learner, host employer and us which outlines and specifies the information about the work placement arrangement. This would include the shifts and duration, scope of the work placement, as well as the responsibilities of the learner, the host employer and us.
Work placement / Work based training	Any structured workplace learning and assessment that is linked to specific unit(s) of competency. It includes work observation activities, work experience, and other forms of workplace learning.
Workplace supervisor	The person nominated to oversee and support the learner during the work placement.

Recruitment and Induction

Training 2U is committed to meeting our obligations as an employer and as a registered training organisation, in compliance with the relevant legislation. We aim to ensure we have sufficient and skilled Trainers and Assessors for the delivery of our services in accordance with Clauses 1.13 to 1.16, as well as adequate support staff to meet the needs of our learners and our operations. Training 2U is also committed to ensuring that our staff are appropriately inducted and given the organisational knowledge to perform their duties.

General Recruitment and Induction Principles

At Training 2U, we will ensure to:

- Always remain in compliance with all relevant laws at the time of recruitment;
- Be fair and recruit staff based on their merit;
- Provide a safe environment for our underaged students by ensuring all final stage candidates who will be working with students under 18 are to complete a Working with Children Check or already have a current Working with Children Check – whilst we do not make it a policy to enrol students under the age of 18, should we have an employer who wishes to enrol a staff member under 18 in one of our training programs, we will make arrangements for our staff member(s) to meet this requirement;
- Have sufficiently qualified and experienced Trainers and Assessors for our training and assessment delivery;
- Hire another personnel or contractor where there are needs that cannot be fulfilled by the current personnel;
- Train and instruct all staff in a timely and appropriate manner to enable them to fulfil their duties to the expected standards;
- Train and provide all staff with sufficient information about our policies and procedures to help them understand our operations, expectations, as well as relevant employment and administrative procedures;
- Record all staff details accurately, including their qualifications and credentials; and
- Support all staff adequately at all times.

Responsibilities

The CEO will be responsible for:

- Providing adequate induction programs and procedures to achieve the objectives of this policy and to foster a cohesive and productive work environment; and
- Implementing the induction programs and procedures and work closely with the new staff to ensure they are prepared for their duties in accordance with the aims of this policy.

Current staff members play a crucial role in peer support and are to actively engage with new employees to guide their induction and provide support.

New staff members are to proactively participate in induction programs and seek out information, including:

- Reviewing Training 2U's Policies and Procedures manual, relevant management and operational documents such as learning and assessment tools and resources and training and assessment strategy documents; and
- Taking responsibility for their own preparation to commence their duties and seek clarification to any ambiguity.

Trainer Ratios

When developing a training and assessment strategy for our training programs, it is standard practice at Training 2U to undertake competitor analysis, consult with the industry and speak to trainers and assessors who are already delivering the training program at other RTOs to determine what is an appropriate student-to-trainer ratio. We also consult with our accountant as to whether the ratio would work financially and what resources we will need for the suggested student-to-trainer ratio. This is how we arrive at the student-to-trainer ratio for each of our training program.

Recruitment and Induction Procedure

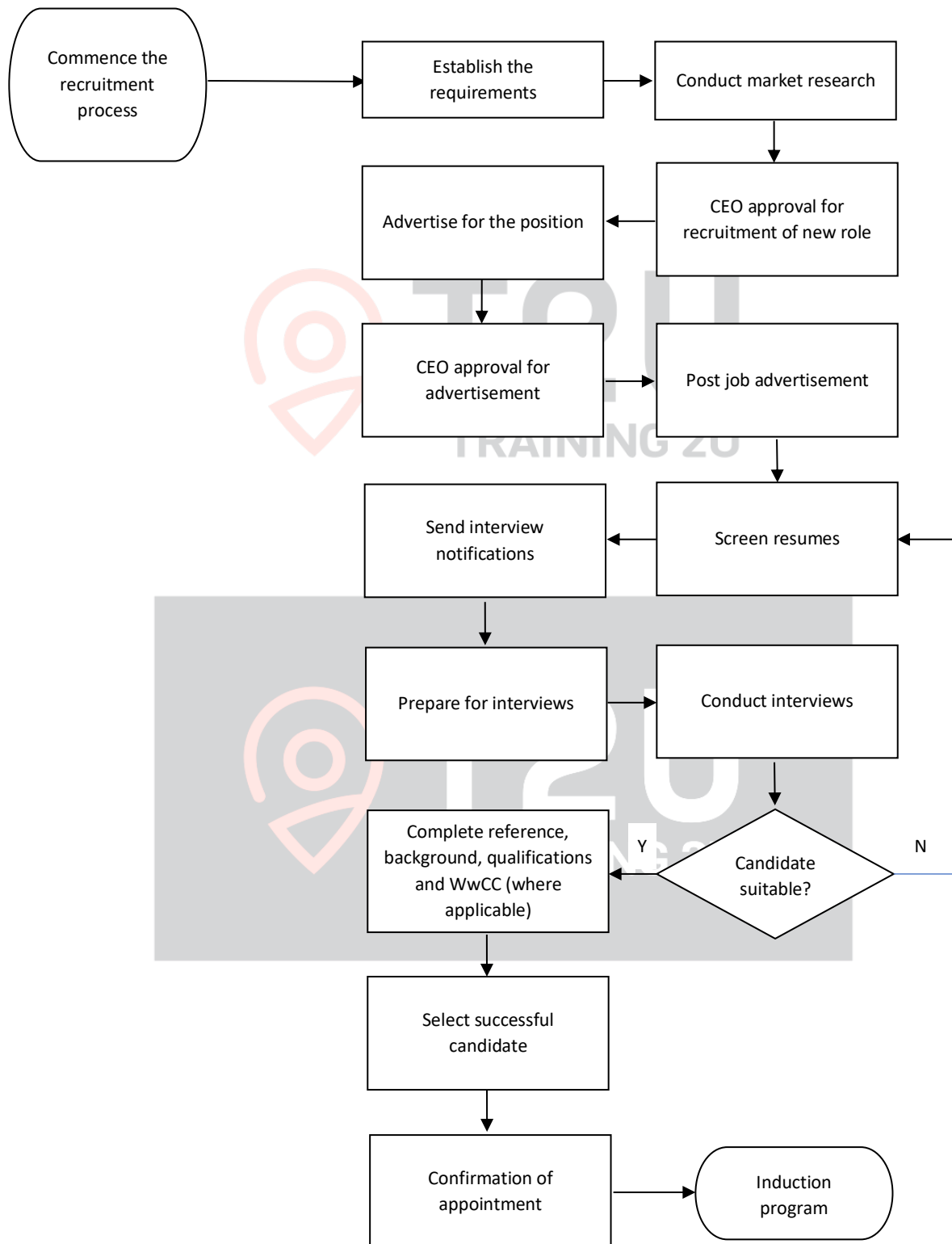
The following procedure is to be followed:

- 1. Establish the requirements** – this involves consulting with the Department Head on the title and scope, including what skills and experience is required of the candidate; the budget; reporting lines; and whether employment will be on a full-time, part-time, casual or contractual basis.

2. **Conducting market research** – it is important to understand the quality of the candidates currently available and their expectations such as their expected salary. Indeed, Seek and Fair Work websites are a great place to start. Not having this information can place the business at a disadvantage.
3. **CEO approval** – once this information is collected, the CEO will need to approve of the request.
4. **Prepare advertisement** – an advertisement will need to be prepared for the role. The language and design used in the advertisement will need to match the organisation's voice and brand. Once prepared, submit the copy to the CEO for approval. **IMPORTANT:** The advertisement must include the following: **Candidates must be able to pass a Working with Children Check if they are working with minors under 18.**
5. **Post the advertisement** – platforms such as Indeed, Seek.com.au, and other local job boards may be suitable for the advertisement to be posted on. This will be dependent on the budget available.
6. **Screening of resumes** – it is important that all resumes are screened without prejudice and interviews are to be awarded based on their merit – experience and qualifications.
7. **Notification of interviews** – the selected candidates should be notified of the interview via e-mail.
8. **Prepare for the interviews** – it is important to be well-prepared for any interview. Plan your list of questions and practical tasks (where applicable) in advance. Send calendar or meeting invites to the CEO to be present for the interview. For the purposes of efficiency, only one interview is to be scheduled per candidate.
9. **During the interviews** – be sure to observe any special considerations and sensitivities (such as cultural, religion or gender sensitivities), and it is imperative that you always observe a high professional code of conduct. It is important to ask the candidate not just what their roles and responsibilities are in their various work experiences, but also how. This will indicate how well they understand their work, how capable they are, how clearly they communicate with others, how involved they are, and their style of work. These are all good indicators of how the candidate will fit in with our organisation.
10. **Reference, background and qualifications check** – ensure that the candidate's references can corroborate the information given by the candidate and check that their qualifications are genuine. Additionally, no person convicted of a sex offence will be permitted to work in any position with us. The candidate must also be able to pass a Working with Children Check (where applicable).

- 11. Select successful candidate** – the CEO will select a successful candidate in a joint co-operation. The successful candidate will then be contacted via telephone to inform them of their appointment and the HR Manager will be responsible for preparing an Employment Contract (or a Terms of Service Agreement for Contractors) and sending it out to the candidate. The candidate will be requested to sign and return a scanned copy of the contract within **3 business days**, prior to the commencement date. If there is a tight schedule between when the contract is sent out and the start date, flexibility can be exercised, and the signed copy of the contract can be provided on the day of commencement.
- 12. Where candidate is working under supervision** – ensure that it is outlined in their contract or agreement the specific requirements under Clauses 1.17 to 1.20 of the Standards for RTOs 2015, where individuals working under supervision are not able to determine assessment outcomes. However, they may be involved in aspects of the assessment process. Training 2U will ensure that we will determine and put in place the level of supervision required and any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and the collection of assessment evidence prior to the commencement of their employment with us. We will also ensure that the Trainers who are providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.
- 13. Confirmation of appointment** – when the successful candidate confirms they accept the terms of employment, the CEO will e-mail all staff to notify them of the new appointment. Induction will be organised by the CEO and other staff members are informed of the new appointment.
- 14. Induction program** – this will vary according to the background and experience of the new staff member. As a general guide, the new staff member should spend the first day meeting their team members and key personnel, orientation of the facilities and appointment of workstation, issuing of any resources and access, ensuring all the required employment paperwork including the *Professional Development Plan* has been completed and submitted, and reviewing the Policies and Procedures manual. The second day should be dedicated to their respective work area, systems and software programs used in the organisation, and work health and safety training. The third day should be dedicated to further training and any testing requirements. Refer to the *Staff Induction Checklist* for a more information on what is to be covered in the induction program. The *Staff Induction Checklist* is to be completed to ensure each item is covered and the completed checklist is to be saved to the new staff member's file.

Recruitment and Induction Process Flow-Chart



Staff Induction Checklist

Name	
Date	
Role	
Reporting manager	

Item	Staff Initial
Sign contract	
Complete employee / contractor details form (if applicable)	
Complete Tax File Number Declaration (if applicable)	
Complete Superannuation Standard Choice form	
Assign workstation and equipment	
Provide keys, access cards and logins	
File legal documents, certificates and transcripts	
Tour of office / campus	
Walk through evacuation plan	
Discuss role: <ul style="list-style-type: none"> - Job scope and responsibilities - Reporting line - KPI - Expectations of role and organisation - Career trajectory or vision for self 	

Item	Staff Initial
Complete Professional Development Plan and Trainer Matrix	
Meet with management	
<p>Training:</p> <ul style="list-style-type: none"> - Organisation structure - VET framework - AQF framework - Other relevant legislation - Policies and procedures - Work Health and Safety - Student and Learning Management Systems - Training and Assessment strategy and tools <ul style="list-style-type: none"> o Where they are kept o Structure and format o Contextualisation o Lesson and workshop planning o RPL o Collection and storage of assessment evidence o Benchmarks o How feedback is to be given o Moderation o Validation - Student support matters - Administrative matters - Equipment - Software programs 	

Trainer and Assessor Competency and Currency

Under clauses 1.13 to 1.16 in the Standards for Registered Training Organisations (RTOs) 2015, Trainers and Assessors employed by Training 2U are required to meet specific competency requirements. According to the Standards for RTOs 2015, competency is the consistent application of knowledge and skill to the standard of performance required in the workplace.

General Competency and Currency Principles

As part of the Standards for RTOs 2015, an RTO's training and assessment may only be delivered by Trainers and Assessors who:

- Hold the required credentials;
- Hold vocational competencies;
- Have current industry skills;
- Have current vocational training and learning knowledge and skills; and
- Undertake relevant professional development at least once every 12-months.

Responsibilities

The CEO is responsible to:

- Ensure that all Trainer and Assessor competency and currency certificates are verified;
- Ensure that all Trainer and Assessor maintain their currency with regards to both industry skills and vocational training knowledge and skills;
- Review and approve of the *Professional Development Plans* and the *Training Matrixes* to ensure that we maintain compliance with Clauses 1.13 to 1.16 of the Standards for RTOs 2015.

The Trainers and Assessors are to take a proactive approach in ensuring that they maintain their currency with respects to their industry skills and vocational training knowledge and skills and an annual performance review is undertaken between each Trainer and Assessor and the CEO to determine their Professional Development plan for the coming year, review their Professional development activities in the past year and how they have been performing.

Required Credentials

Trainers and Assessors must hold one of the following credentials:

- TAE40116 Certificate IV in Training and Assessment (or its successor); or
- TAE40110 Certificate IV in Training and Assessment, and
 - o Either TAELN411 or TAELN401A, and
 - o Either TAEASS502 or TAEASS502A; or
- A diploma of higher-level qualification in adult education.

Where a person is hired to only conduct assessments, Training 2U will ensure that the Assessor holds the following credentials:

- TAE40116 Certificate IV in Training and Assessment (or its successor); or
- TAE40110 Certificate IV in Training and Assessment, and
 - o Either TAELN411 or TAELN401A, and
 - o Either TAEASS502 or TAEASS502A; or
- A diploma of higher-level qualification in adult education; or
- TAESS00011 Assessor Skill Set (or its successor), or
- TAESS00001 Assessor Skill Set, and
 - o TAEASS502 Design and develop assessment tools (or its successor), or
 - o TAEASS502A Design and develop assessment tools, or
 - o TAEASS502B Design and develop assessment tools.

Working Under Supervision

Under Clauses 1.17 to 1.20, 1.23 and 1.24, if a Trainer does not hold the required credentials (as listed for Trainers and Assessors above), they may be able to work under supervision. Whilst it is not a standard practice of Training 2U to hire Trainers without the required credentials as specified in Schedule 1 of the Standards for RTOs 2015, we have the following policy in place to guide us in the event we are in a situation where we do not have an option but to hire a Trainer to deliver one of our training programs.

Anyone working under supervision is required to have:

- One of the following skill sets:
 - o TAESS00007 Enterprise Trainer – Presenting Skill Set, or
 - o TAESS00014 Enterprise Trainer – Presenting Skill Set or its successor, or
 - o TAESS00008 Enterprise Trainer – Mentoring Skill Set, or

- TAESS00013 Enterprise Trainer – Mentoring Skill Set or its successor, or
- TAESS00003 Enterprise Trainer and Assessor Skill Set, or
- TAESS00015 Enterprise Trainer and Assessor Skill Set or its successor; and
- Current industry skills directly relevant to the training and/or assessment provided; and
- Vocational competencies at least to the level being delivered and/or assessed.

Individuals working under supervision are not able to determine assessment outcomes. However, they may be involved in aspects of the assessment process. Training 2U will ensure that we will determine and put in place the level of supervision required and any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and the collection of assessment evidence prior to the commencement of their employment with us. We will also ensure that the Trainers who are providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Vocational Competencies

Vocational competency means the Trainers and Assessors have the skills and knowledge relevant to the industry area in which they are delivering. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. In determining requirements for vocational competency, Training 2U will be guided by the advice in the respective Training Package(s) relating to the vocational competencies of Trainers and Assessors. Training 2U will also refer to information gathered during industry consultation activities that inform the current industry skills required of the Trainers and Assessors.

Training 2U requires that Trainers and Assessors must have vocational competencies at least to the level being delivered and assessed. This means that they either hold the actual qualification, or a higher qualification. If the Trainer and Assessor does not hold the actual qualification, they may provide other supporting evidence to demonstrate their competency to the level being delivered and assessed. Evidence may include certified copies of higher or related qualification or statements of attainment, work samples, employer references, resume, referees contact information, etc.

Training 2U will capture the evidence of equivalence by mapping the requirements of the training product and comparing these to the Trainer and Assessor's actual industry skills and knowledge.

During the mapping exercise, Training 2U will:

- Document all skills and knowledge requirements for each unit of competency / module the Trainer and Assessor is delivering
- Collect evidence of the Trainer and Assessor's vocational competencies
- Verify the evidence provided
- Record a documented analysis between the evidence and the competency requirements

Current Industry Skills

Under Clause 1.13 of the Standards for RTOs 2015, Training 2U require that Trainers and Assessors have current industry skills directly relevant to the training and assessment being provided.

Currency in skills will depend on the industry area. Some industries operate in an environment where continual changes to technology or societal needs can mean that resources and processes are quickly out of date. In these industries, Training 2U is required to stay informed and regularly engage with the industry to understand the industry skills Trainers and Assessors need. These industry engagements will help us identify which activities our Trainers and Assessors should undertake and how often.

Training 2U aims to ensure that our Trainers and Assessors:

- Are regularly exposed to industry workplaces as part of their professional development plan
- Have the ability to participate in workplace tasks
- Undertake professional development activities relating to the industry at least once every 12-months

Evidence relating to Trainers' and Assessors' current industry skills can be demonstrated through:

- Participating in relevant professional development activities
- Networking by attending events such as industry breakfasts, workplace health and safety meetings or discussions with employers
- Participating in mentoring activities or be part of a professional membership association
- Participating in projects with the industry or an industry employer
- Shadowing or working closely in the industry or an industry employer
- Undertaking personal development by reading industry journals
- Completing relevant accredited training such as single units of competency, skill sets or qualifications
- Working in the relevant industry on a part-time or casual basis

Current Vocational Training and Assessment Knowledge and Skills

Training and assessment can only be delivered by Trainers and Assessors who have current knowledge and skills in vocational training and learning. Currency in vocational training and learning encompasses having current skills and knowledge to deliver in the adult vocational education environment.

A Trainer and Assessor who has recently completed any qualification or skill set from the TAE Training Package would be able to demonstrate current vocational training and learning knowledge and skills.

This ensures that our Trainers and Assessors:

- Have contemporary knowledge of the vocational education and training environment
- Can demonstrate this knowledge when delivering training and assessment
- Can deliver training and assessment relevant to learners' needs
- Undertake professional development activities relating to training and assessment at least once every 12-months

Professional Development

Under Clause 1.16 of the Standards for RTOs 2015, Training 2U is required to ensure that all of Trainers and Assessors undertake professional development in the fields of knowledge and practice of vocational training, learning and assessment, including competency-based training and assessment. It is a requirement for an RTO to provide for the continued professional development of staff members, ensuring we maintain and develop the professional competence of Trainers and Assessors, as well as our training support personnel. This is made up of three components – continued development of a staff member's vocational competence, training and assessment competence, and awareness of applicable legislative and organisational requirements.

In order to achieve this, Training 2U requires each staff member to complete a *Professional Development Plan* during their induction program, and on each anniversary of their employment with Training 2U. The plan must include the professional development activities covering vocational, industry and legislation. Professional development activities are valid for a 12-month period. This means that if a Trainer and Assessor had completed their last vocational professional development activity in July 2024, they will not have to complete another vocational professional development activity until July 2025.

Training 2U will provide individual financial support to our permanent staff members who are no longer in their probationary period of employment to assist with the undertaking of professional

development activities. The amount will vary depending on the role currently held by the staff member and the professional development activity – this is subject to approval by the CEO.

This enables us to provide our staff with adequate support for their career advancement aspirations in order to retain staff who perform well, prepare staff members for possible future responsibilities with our organisation, enhance the standard of performance, maintain and increase job satisfaction, improve and develop the ability of staff members to initiate and respond constructively to change, maintain and continuously improve and maintain the currency of their vocational skills and knowledge.

All staff members are required to submit evidence of their professional development participation to the CEO so that it can be properly reviewed and recorded on their file.

The table below is a guide as to the types of evidence that will need to be submitted for the professional development activity to be recognised as a valid activity.



Professional Development Activity	Suitable Evidence Guide
Internal professional development workshop	Certificate of Attendance
Industry seminars	Certificate of Attendance
Completing nationally recognised training	AQF qualification with a record of results or a Statement of Attainment
Industry events	Certificate of Attendance or some other proof
Networking events	Certificate of Attendance or some other proof
Professional membership association	Membership letter or paid invoices evidencing association
Mentoring activities	Written reference from the mentor
Work placement with an industry employer	Written reference from the industry employer
Participating in projects with an industry employer or industry body	Written reference from the industry employer or industry body
Working in the relevant industry on a part-time basis or casual basis or volunteer basis	Letter from the employer or contract of employment with a reference from the employer
Industry site visit	Post-site visit report signed by those in attendance
Reading industry journals	Report prepared outlining the content of the industry journal

Staff Training Matrix

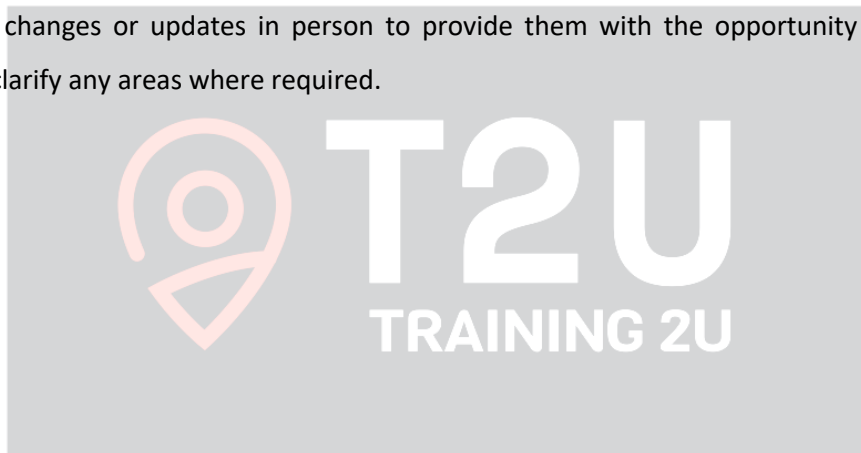
Training 2U will endeavour to maintain a *Trainer Matrix* that tracks and maintains records of a Trainer and Assessor's qualifications, competencies, work experience and professional development. The *Trainer Matrix* will also act as a central register, recording the units of competency each Trainer is approved to deliver.

Keeping Staff Informed of Requirements and Changes

It is a policy of Training 2U to ensure that all of our staff members are across any changes or updates to be able to provide accurate and timely access to information and services to our students.

Where there is a change or update in the VET industry that affects our students and/or our operations, the CEO will review this change or update and notify all staff via e-mail at least 7-days prior to the changes coming into effect. Where this is not possible, we will notify all staff within 7-days of the changes coming into effect.

We will also utilise the monthly scheduled management team meeting to inform staff of any potential or upcoming changes or updates in person to provide them with the opportunity to discuss the matters and clarify any areas where required.



Trainer and Assessor Competency and Currency Checklist

Name of Trainer and/or Assessor	
Date	
Qualifications and Courses Covered	

Item	Date Checked	Staff Initial
Hold the required credentials		
Hold vocational competencies		
Have current industry skills		
Have current vocational training and learning knowledge and skills		
Undertake relevant professional development (no more than 12 months old)		

Individual Professional Development Plan

Name	
Date	
Role	
Reporting manager	

Current status
Workload and responsibilities (hours and number of classes):
Career path:
Professional opportunities for improvement:

Professional Objectives			
Objectives		Key Performance Measure	
1			
2			
3			
Professional Development Activities			
Activity		Dates	Cost
1	<i>Vocational competence</i>		
2	<i>Industry competence</i>		
3	<i>Legislative competence</i>		
4	<i>Other suitable professional development activity</i>		

Staff Records Retention and Management

Training 2U is required as a Registered Training Organisation to retain verified copies of relevant staff records. It is good governance to ensure that these records are retained safely and securely.

General Staff Records Retention and Management Principles

All staff records are retained in a safe and secure manner and are only accessible by the CEO. A staff member can request information on the retained information held by Training 2U by submitting a *Staff Information Release Form* to the CEO. This request will be actioned within **2 business days** from receipt of a completed and signed form.

Responsibilities

The CEO, with the support of the Student & Administration Support personnel is to ensure the records are retained safely and securely, with access permitted only to authorised personnel.

Types of Records to be Retained

The following records are to be retained:

- Contractor or Employee Details Form
- Employment Contract or Contractor Agreement
- Evidence of the professional development activities undertaken by the staff member
- Information of the qualifications held by the staff member (originals to be sighted and verified by the CEO and then returned to the staff member)
- National Police Check (if required)
- Position Description
- Professional Development Plan
- Relevant licence evidence such as Working with Children Check
- Resume
- Staff Induction Checklist
- Superannuation Choice form (if an employee)
- Tax File Number Declaration form (if an employee)
- Trainer Matrix

Record Keeping and Access

As a Registered Training Organisation, Training 2U recognise our obligation to retain certain records from our delivery of training and assessment services. The maintenance of well-structured records management system assists us in our continuous improvement processes and provides a basis for compliance with legal and quality assurance requirements.

General Record Keeping and Access Principles

Records retained must:

- Be compliant with the requirements of and best practice management in line with:
 - o The ATO requirements relating to financial records,
 - o Fair Work's requirements relating to employee records,
 - o State Funding Authority requirements relating to training and assessment records, and
 - o ASQA's general direction on record retention for completed student assessment items;
- Be stored safely to avoid loss by theft, or any damage by fire, flood, termites, or any other pests;
- Be stored securely to prevent any unauthorised access;
- Be backed up at least once a month – to be backed up by the Student & Administration Support personnel onto our Cloud-based Document Storage Manager; and
- Be easily retrievable and access to the records are quickly facilitated, when required.

Responsibilities

The CEO is responsible in implementing suitable arrangements to comply with the requirements of the Standards for RTOs 2015 and the NVETR Act 2011.

The Student & Administration Support personnel is responsible for:

- Ensuring the procedures for the retention, management, storage, the backing up of records and access to records are correctly followed; and
- Monitoring the sufficiency of the processes and provide feedback on opportunities for improvement.

The Trainers and Assessors are to:

- Ensure that learner records are appropriately collected during and at the completion of any training program;
- Safely and securely record and/or upload the learner records into their respective files on the Student Management System;
- Liaise with the Student & Administration Support personnel to ensure that their practices are aiding the efficient retention of student records;
- Ensure student records are fully completed with sufficient information recorded by assessors to allow an independent review of the assessment decision by a third-party (where required);
- Record the assessment evidence with detailed comments to support their assessment decision;
- Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy (as required); and
- Accurately and promptly record student progress and the outcomes of assessment activities on the student's file.

Types of Records to be Retained and Retention Periods

The following records are to be retained in a safe and secure location:

- RTO management and operations records – to be retained for a period of at least **5-years**:
 - Policies and procedures manuals
 - Financial records
 - Trainer records
 - Validation and moderation schedule and records
 - Records of industry engagement and stakeholder consultation
 - Records of internal audits and risk management
 - Records of advertising and marketing campaigns
 - Records of meetings
 - Data found in our continuous improvement register
 - Data found in our complaints and appeals register
 - Written records of any critical incidents and remedial actions taken
 - Templates and forms
 - Third-party agreements

- Learner administrative information – to be retained for a period of at least **5-years**:
 - Enrolment form
 - Confirmation of Enrolment documents
 - Direct debit form
 - Payment Refund form
 - Extension requests
 - Request for support
 - Medical certificates
- Completed assessment records – to be retained for a period of at least **1-year** from the date the learner completes their training program, or a period of at least **7-years** for training products that relate to **High Risk Work Outcomes**:
 - Completed assessment tools – that is the actual assessment tool the student used for assessment that contains their responses and the assessor’s feedback
 - Assessor guides
 - RPL tools
- Learner training and assessment outcomes – to be retained for a period of at least **30-years** from the date the learner completes their training program:
 - Training and assessment (including any RPL) outcomes
 - Training start and end dates
 - Course and unit code and titles
 - Credit transfer information
 - Information contained in their Qualification or Statement of Attainment documents. Training 2U does not keep physical or electronic copies of a learner’s Qualification or their Statement of Attainment documents. This helps protect the integrity of the issued Qualification or Statement of Attainment documents and reduce the risk of any unauthorised duplication or fraud.
 - Personal information such as their full name, their date of birth, their address, their contact details, and their Unique Student Identifier (USI)
 - The reason they are undertaking the training
 - Any apprenticeship or traineeship information (if applicable)
 - Commencing program identifier
 - Training delivery location and mode
 - Funding source
 - STA funding information (if applicable)

- Training and assessment resources and tools – to be retained for a period of at least 5-years:
 - o Training and assessment strategy for each training product
 - o Learning resources such as workbooks and learning texts
 - o Assessment mapping plan
 - o Assessment tools (every version developed)
 - o Marking guides (every version developed)
 - o Assessment plans
 - o Session plans

Methods of Record Retention

All records are to be retained electronically. Any records received in hard copy are to be scanned and uploaded or saved into the relevant files. These records are to be backed up on the last day of each month on an external hard drive kept by the CEO.

Handling of Records

During the handling of records, particularly those relating to a student's enrolment and training and assessment outcomes, there is the potential for the records to be misplaced, not entered correctly, or mishandled. To minimise the potential for inaccurate record keeping, Training 2U have automated many of our processes such as the enrolment process, the updating of the unit outcomes, as well as the training start and end dates.

Training 2U will also confirm that the information available on the Student Management System matches the information available on the student records (such as enrolment form, payment plan, and assessment outcome records) when the learner has completed all their entire training program, and before their Qualification or their Statement of Attainment documents are issued. This ensures the integrity and accuracy of the data prior to the issue of any Qualification or Statement of Attainment documents.

It is also important for correspondences (both written and electronic correspondences) be recorded and retained appropriately. Student correspondences are to be recorded on their respective files on the Student Management System, and where an e-mail is to be sent to the student, a note is to be recorded on the student's file.

Access to Records

At Training 2U, we acknowledge that learners and other parties may require access to certain records for reasons such as learners wanting to know what information we hold about them or employers may want to confirm the outcomes of a learner's training. Training 2U will facilitate access to records in a systematic and legal manner.

Learners who require access to their records or other parties requesting access to a learner's records are required to complete a Student Information Release Form. This form can be obtained from and submitted to the Student & Administration Support personnel. It is the Student & Administration Support personnel's responsibility to respond positively to these requests and assist the learner to complete the request form and facilitate prompt access. When a learner has requested for access to the records, the Student & Administration Support personnel will organise for the learner to access their records within **2 business days**.

Where another party is requesting access to a learner's records, the Student & Administration Manager is to contact the learner via e-mail advising them of the request and seek permission from the learner to release this information. The learner is to be instructed to provide us with instructions in writing as to whether they approve or reject of the release of information to the other party.

The Australian Skills Quality Authority (ASQA) is entitled to collect activity data about a learner's enrolment and personal information. This information includes all information submitted by the learner during the enrolment process. This information is collected for the purpose of auditing participation and the monitoring and reporting of training outcomes. The information provided by learners may be accessed by Commonwealth and State or Territory government departments and authorised agencies, by the National VET regulator – ASQA, and by National Centre for Vocational Education and Research (NCVER) for statistical research purposes.

Destruction of Records

The CEO is the only person authorised to destroy the records after the retention period has lapsed. This will only be undertaken where the retention period as specified in this policy is over and it is lawful for Training 2U to do so. The student's file must be updated in the 'Notes' section to indicate that a particular record has been destroyed.

Record Management on the Cessation of Operations

It is a requirement that RTOs who cease to operate forward ASQA an electronic copy of the records for each student who was enrolled in a course during the RTO's entire period of registration within **30-days** of the date the cessation takes effect. The records can be downloaded from the Student Management System and are to be supplied to ASQA in an Excel Spreadsheet format.

The records which are to be forwarded to ASQA include the student's:

- Full name
- Date of birth
- Address (including post code)
- Student ID number
- Unique Student Identifier (USI)
- Training start and end dates
- Training and assessment outcomes
- Code and title of qualifications
- Code(s) and title of unit(s) of competency(ies)
- Date the Qualification or Statement of Attainment documents were issued

Version Control

It is imperative that Training 2U manages its documentation and their versions correctly to ensure that all staff members are using the correct version of the documents. An efficient and effective version control can be used to track any amendments made to a document.

General Version Control Principles

Each version must:

- Be saved securely for record keeping purposes;
- Have its amendments recorded in the Continuous Improvement Register; and
- Be approved by the CEO prior to its use.

Responsibilities

The CEO is responsible in approving any amendments made and in implementing the current versions of the document.

The Student & Administration Support personnel is responsible in supporting the CEO, ensuring only the current versions of documents are accessible and the previous versions to be archived accordingly.

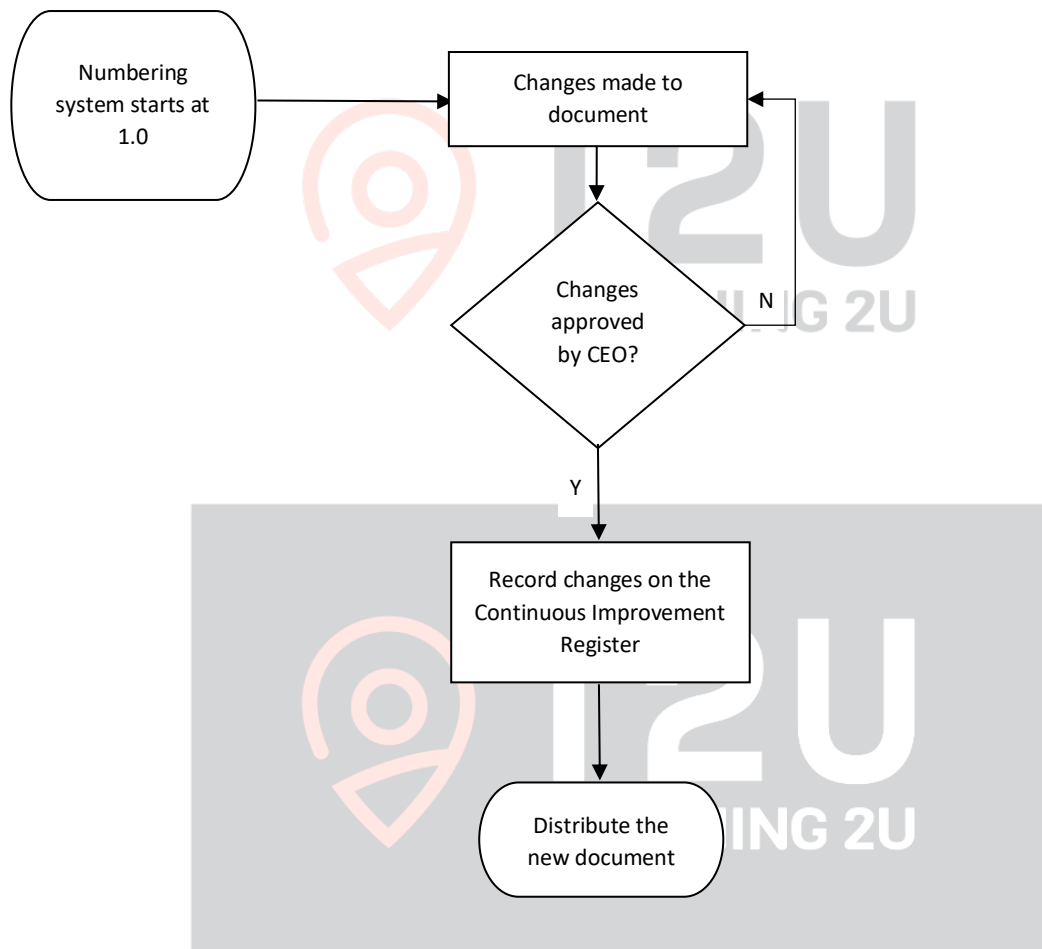
Version Control Procedure

The following procedure is to be followed:

1. **Numbering system** – each document once authorised is to be published with a version number starting at 1.0. When an amendment to a published document is made, the number to the right of the decimal point would increase by 1 until it reaches 9. After which it will then revert to 0. For example, if a document version is 1.9, when the amendment is approved, it will then be numbered 2.0. This information is to be included in the footer, along with the month and year of the publication (i.e. Version 2.0, January 2024).
2. **Approval by CEO** – when a document has been amended, it needs to be approved by the CEO.
3. **Recording of changes on the Continuous Improvement Register** – once the change(s) are approved by the CEO, the changes are to be recorded on the Continuous Improvement Register.
4. **Distribution of the new document** – once the change(s) are recorded in the Continuous Improvement Register, the document is then to be distributed for use (ideally in a PDF format,

unless it is unsuitable to be used in a PDF format) and the previous version is to be saved in an Archive folder which is not accessible by non-management staff members.

Version Control Process Flow-Chart



Fit and Proper Person

In accordance with Clause 7.1 of the Standards for Registered Training Organisations 2015, Training 2U is to ensure that our authorised executive officers, owners and person(s) of control or influence meet the Fit and Proper Person Requirements.

General Fit and proper Person Principles

At Training 2U, we will ensure that our executive officers or high managerial agent(s):

- Are vested with sufficient authority to ensure Training 2U complies with the Standards for RTOs 2015 at all times; and
- Meet the following criteria at all times where the individual must:
 - Not have ever been convicted of an offence against a law of the Commonwealth or a State or Territory of Australia, or of another country, and if so, the seriousness of the offence, whether any pecuniary penalties applied, and the time elapsed since the conviction was recorded;
 - Not have been found to be a Fit and Proper Person under the following:
 - National Vocational Education and Training Regulator Act 2011
 - Australian Education Act 2013
 - Education Services for Overseas Students Act 2000
 - Higher Education Support Act 2003
 - Tertiary Education Quality and Standards Agency Act 2011
 - VET Student Loans Act 2016
 - Subsidy funding arrangements with a State or Territory for the provision of education
 - Any other law of the Commonwealth or of a State or Territory
- Not have ever been disqualified from managing corporations under Part 2D.6 of the Corporations Act 2001, and if so, whether the disqualification remains in place;
- Not have ever been or been a director of a company which was insolvent or bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors, not have been under external administration (within the meaning of subsection 600H (2) of the Corporations Act 2001, and if so, the time elapsed since this event occurred;

- Not have ever been or been a director of a company with outstanding debts to the Commonwealth;
- Not have ever been an executive officer, owner or high managerial agent of an RTO at a time that the RTO had its registration on the National Register cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration;
- Not have ever been an executive officer, owner or high managerial agent of an RTO at a time that the RTO was determined to have breached a condition of its registration under the Education Services for Overseas Act 2000 or the Tertiary Education Quality and Standards Agency Act 2011;
- Not have ever been involved in the business of delivering courses or other services on behalf of a person that was the subject of regulatory action where the registration of the RTO was cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration, or where the RTO was determined to have breached a condition of its registration under the Education Services for Overseas Act 2000 or the Tertiary Education Quality and Standards Agency Act 2011;
- Be in a position where the public is likely to have confidence in the individual's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications;
- Not have ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a government training contract;
- Not have ever provided a VET Regulator with false or misleading information or made a false or misleading statement to a VET Regulator, and if so, whether it is reasonable to assume that the person knew that the statement made or information provided to the VET Regulator was false or misleading; and
- Not be related to person(s) who does not meet the above. Related person(s) include:
 - A spouse or de facto partner;
 - A child or a child of a spouse or de facto partner;
 - A parent or the parent of a spouse or de facto partner; and
 - A sibling, including step and half siblings.

Definition of Roles

Executive Officer – any person who takes part in the management of the organisation, such as:

- A director of the company
- A secretary of the company
- A chief executive of the organisation
- A principal executive officer of a CRICOS provider

Owner and Executive Officer – any person who:

- Owns 15% or more of the organisation
- Is entitled to receive 15% or more of the dividends paid by the organisation
- Is a trustee of a trust associated with the organisation
- Relevant persons at sister-entities

High Managerial Agent – any employee or agent who represents the organisation in relation to the business of providing a course, such as:

- A consultant or employee with an ongoing role related to regulatory compliance
- A consultant or employee who represents your organisation at audit
- An agent who recruits students on behalf of your organisation
- People employed by third-party organisations who fulfil any of the roles described above on behalf of your organisation
- People employed by third-party organisations who provide training and/or assessment on behalf of your organisation

Person of Control or Influence – any person that exercises a degree of control or influence over the management or direction of the organisation.

Financial Management

In accordance with Clause 7.2 of the Standards for Registered Training Organisations 2015, Training 2U has systems, policies and procedures implemented to present an acceptable level of financial viability risk at all times.

General Financial Management Principles

At Training 2U, we will ensure to:

- Observe all relevant legislation and standards relating to financial management;
- Act responsibly and ethically when making financial decisions;
- Plan and rigorously test our projections; and
- Have a comfortable buffer set aside to ensure our ability to continue delivering quality training and assessment services to our clients.

Financial Viability Risk Assessment

An RTO is required to demonstrate its financial viability risk, upon request by the National VET Regulator – ASQA. The CEO is responsible in maintaining the financial viability of Training 2U. ASQA assesses each RTO's financial viability risk to evaluate the likelihood of business continuity and the RTO's capacity to achieve quality outcomes, as outlined in the National Vocational Education and Training Regulator (Financial Viability Risk Assessment Requirements) Instrument 2021. ASQA considers this against the potential or adverse consequences if an entity collapses or becomes unviable and makes a judgement about whether the level of risk is acceptable, unacceptable, or requires additional controls.

This assessment informs ASQA as to whether Training 2U has the financial resources required to effectively deliver the proposed or current training and assessment services to its learners and potential learners, acquire the required assets and resources to deliver the training and assessment services on its scope or its proposed scope, employ appropriately qualified staff to cover the courses for which it accepts enrolments for, provide appropriate levels of support services to learners, and maintain and operating environment to ensure each learner enrolled is able to complete their course. Existing RTOs may be required to complete a Financial Viability Risk Assessment upon request.

The Financial Viability Risk Assessment Tool provided by ASQA and is a requirement for:

- Applicants seeking initial registration as a Registered Training Organisation (RTO) or as a provider of education services to overseas students (CRICOS provider);
- Any RTO seeking to change their scope of registration within the first 2 years of their registration; and
- Any RTO or CRICOS provider who is notifying ASQA of a change of 50% or more of their shareholdings in the previous 12 months.

A Financial Viability Risk Assessment will examine an organisation's:

- Business and strategic plans
- Bank statements and tax records
- Risk factors
- Profit and loss
- Assets and liabilities
- Cashflow and balance sheets
- Expense reports and forecasts
- Financial projections
- Enrolment forecasts
- Creditors and loans

The National Vocational Education and Training Regulator (Financial Viability Risk Assessment Requirements) Instrument 2021 can be accessed [here](#).

Management and Maintenance of Financial Records

The CEO will manage Training 2U's finances and accounts in accordance with the guidelines outlined by the Australian Accounting Standards Board (AASB). The CEO shall be responsible for ensuring that all accounting records, source files, and financial documents are retained for a minimum period of 5-years, as per the ATO directive. The CEO must ensure the records are kept and maintained for its accuracy and integrity and are kept in such a manner as to satisfy an audit against the AASB.

Audit and Reporting of Accounts

Training 2U will have its accounts certified by a qualified accountant in Australia, at least once each financial year, and will provide the certificates of account to ASQA or another statutory authority on

request. The CEO is responsible in ensuring that all accounts and records are accurate and provided to ASQA or another statutory authority in a timely manner.



Insurances

In accordance with Clause 7.4 of the Standards for RTOs 2015, Training 2U holds public liability insurance to cover all training and assessment activities we provide as an RTO – protecting us against claims resulting from accidents or injuries that occur as a result of our training and assessment activities, as well as accidental damage to property owned or controlled by someone else.

General Insurance Principles

Training 2U resolves to maintain the following insurances to protect ourselves and parties we interact with:

- Building and Contents Insurance – to cover loss or damage to our physical premises and/or contents.
- Motor Vehicle Insurance – to cover any damages and theft to motor vehicles owned and operated by us.
- Professional Indemnity Insurance – to protect the organisation against claims for alleged negligence or breach of duty arising from an act, error or omission in the performance of professional services.
- Public Liability Insurance – to cover any claims that arise from accidents or injuries that occur.
- Volunteer Insurance – to cover learners who may be undertaking voluntary work placement as part of their training program (if applicable).
- Worker's Compensation Insurance – to meet our obligations by law to cover injuries to employees and provide protection against worker's compensation claims.

Responsibilities

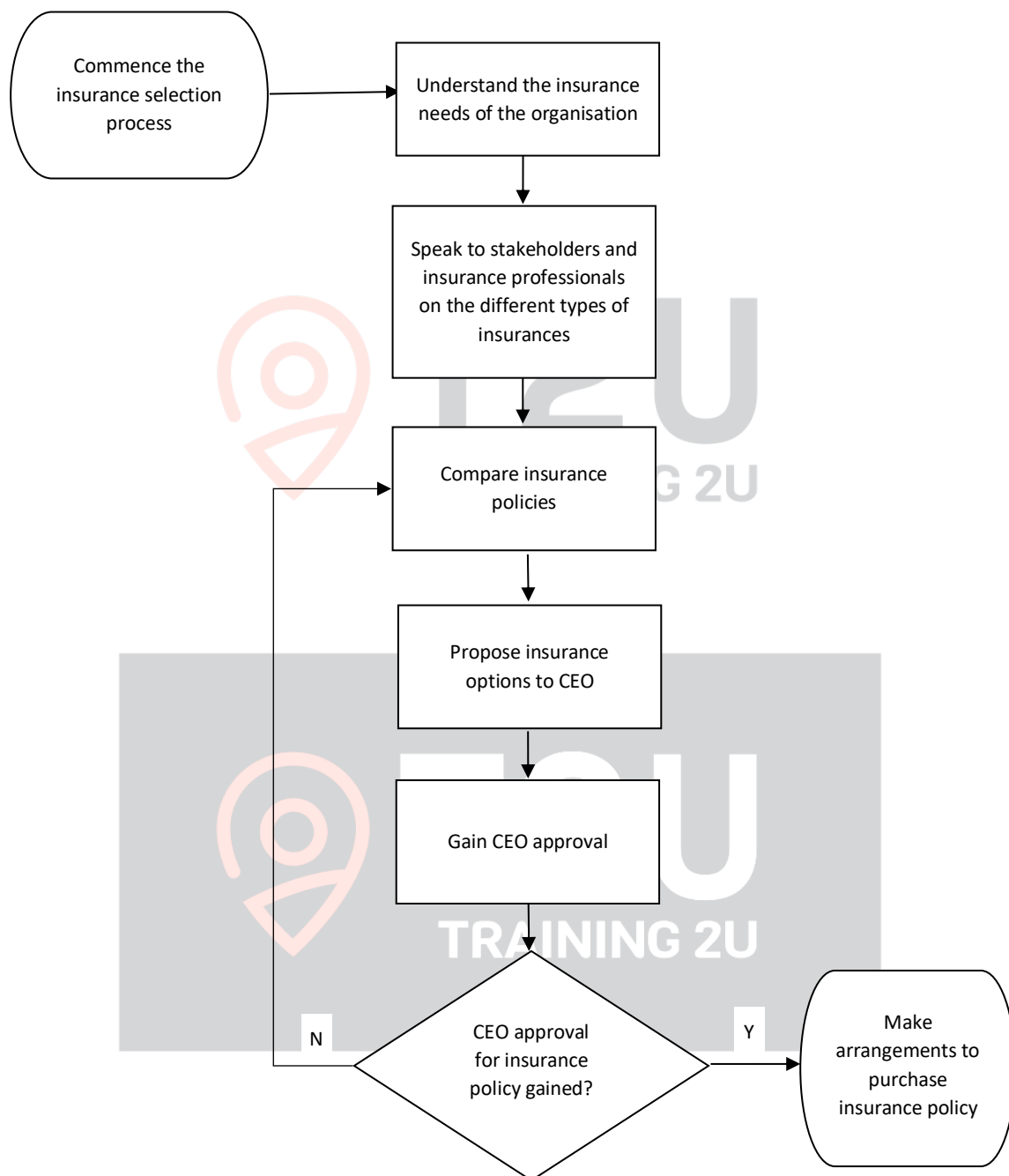
The CEO is responsible for ensuring the required insurance policies are maintained and reviewed periodically to ensure adequate coverage for Training 2U.

Selection of Insurance Policy Procedure

- 1. Understand the insurance needs of the organisation** – it is important to understand what coverage Training 2U requires before conducting research on policies available on the market. This can include consulting with stakeholders and speaking to insurance professionals to understand the different types of insurances and which insurances are suitable for our needs.
- 2. Undertake a comparison of the policies available on the market** – seek out quotes and policy information, including inclusions and exclusions, to find out which policy is the best value.
- 3. Get approval from CEO** – propose the most suitable options to the CEO and gain approval from the CEO. The CEO must review and approve of the policy before Training 2U enters into any insurance contract.



Selection of Insurance Policy Process Flow-Chart



Information Technology Acceptable Use & Security

Training 2U seeks to provide our staff members and learners with a secure and timely access to IT equipment as well as online services and resources necessary to be able to carry out their duties and learning. Training 2U's IT facilities and services shall be used in an approved, ethical and lawful manner to avoid loss or damage to our operations, image, or financial interests and to comply with official acceptable use. Users of Training 2U's IT facilities and services shall contact the Student & Administration Support personnel prior to engaging in any activities not explicitly covered by these policies.

General Information Technology Acceptable Use & Security Principles

Training 2U strives to maintain a safe, secure and easy to use information technology systems and networking framework for our staff members and learners.

We aim to do so by ensuring:

- Adequate training is provided in the use of our IT platforms and facilities;
- Our staff members and learners have timely access to IT support;
- Our IT systems and framework are regularly reviewed and undergo maintenance to ensure it is able to fend off any intrusions and cyberattacks, and is upgraded to recognise and incorporate the latest technologies for the benefit of our staff members and learners;
- We build a seamless experience for our users; and
- Our IT personnel and contractors are adequately skilled and knowledgeable to undertake and perform to our expectations and requirements.

Acceptable and Unacceptable Use of IT Facilities and Services

- Training 2U's IT facilities and services are provided for use in the professional, administrative, commercial and community activities of the organisation. Some reasonable non-commercial personal use may be allowed, but this is a privilege and is not a right. If that privilege is abused, it will be treated as a breach of this Policy.
- The use of the IT facilities and services must not jeopardise the fair, safe and productive IT environment of our community, nor our operations, assets and reputation.
- The IT facilities and services provided must not be used unlawfully or for an unlawful purpose.

Access and Accounts

- All staff and learners are entitled to access the IT facilities and services, at a level appropriate to their position and role, via a unique password protected account.
- Training 2U may impose quotas on the use of the IT facilities and services (including print, file storage, e-mail and internet download) and will revise them as necessary. Where quotas exist, account holders are expected to comply with them. If an account holder exceeds any of their quotas, they may be temporarily prevented from using Training 2U's IT facility or service.
- When staff or learners no longer have a relationship with the organisation or are no longer authorised to have access to the IT facilities and services, their accounts will be disabled for a period of 3-months, and then deleted.
- Users may have their IT access suspended immediately where there is a suspected breach.
- All users must:
 - Not use their access to gain any inappropriate personal, professional or other advantage;
 - Not manipulate Training 2U's data without authorisation; and
 - Maintain the confidentiality of any personal or confidential information accessed via the IT facilities and services.

Security

- Training 2U will take reasonable steps to protect the IT facilities and services from unauthorised and unacceptable use and intrusions.
- To preserve the organisation's standard operating environment and ensure compliance with licensing obligations, users of the IT facilities and services may only modify the standard configuration of any of the IT facilities and services, after first gaining approval from the IT Manager. Users must never install or use unlicensed or malicious software on the IT facilities and must not connect unapproved networking devices to our organisation's IT infrastructure.
- Users of the IT facilities and services must not circumvent the authorised internet connection(s) or subvert our IT security measures.
- All Training 2U's IT hardware, especially portable devices, must be kept secured at all times against damage, misuse, loss or theft. In addition, hardware and software containing sensitive information or data must be protected with appropriate security measures such as passwords and encryption.

User Responsibilities

- It is a condition of use of the IT facilities and services that this Policy, particularly the principles of acceptable and unacceptable use, and its associated procedures must be complied with.
- Users must not:
 - Access pornographic or obscene material or material that could offend others;
 - Let anyone else use any of your accounts or tell anyone else your password;
 - Download videos, music or anything else that is copyrighted by other people;
 - Use the IT facilities to bully or harass other people;
 - Install unlicensed or malicious software;
 - Use the IT facilities to advertise for goods or services for personal purpose;
 - Forget to log out of the computer systems when you have finished using them;
 - Use the IT systems for purposes not relating to your work or learning at Training 2U; and
 - Forget to think carefully about your online conduct to protect personal information.
- Users are responsible for all activity initiating from their account.
- Users must only access the IT facilities and services using their own account.
- Users must ensure that their passwords are securely stored.
- Users of the IT facilities or services provided by a third-party provider on Training 2U's behalf must comply with any terms and conditions issued by that third-party provider.
- Users of the IT facilities and services must not create, send, store, upload, access, use, solicit, publish or link to:
 - Offensive, obscene, profane or indecent images or material;
 - Material likely to cause annoyance, inconvenience or distress to other individuals or cultures;
 - Discriminating or sexually harassing material or messages that create an intimidating or hostile work environment for others;
 - Defamatory material or material that makes misrepresentations or could otherwise be construed as misleading;
 - Material that infringes the intellectual property (including copyright) of another person or organisation;
 - Malicious software such as viruses, worms or address-harvesting software.
- The IT facilities and services must not be used in the conduct of any personal business or unauthorised commercial activities.
- The IT facilities and services must not be used for any illegal activity such as sending chain letters, breaching the SPAM Act 2003, or attacking of other computer systems.

- Staff must include the appropriate sections of the organisation's official signature and disclaimer on all e-mail messages sent.
- Electronic materials must never be forwarded on without the express or implied permission of the material's creator.
- Peer-to-peer and torrent software must only be used for lawful purposes.
- Any observed security weaknesses in or is a threat to the IT facilities and services, as well as any known or suspected breach of this Policy and its associated procedures must be reported to the Student & Administration Support personnel as soon as practicable.

Managing and Monitoring

- Training 2U will manage user accounts, maintain a secure IT environment and keep users of the IT facilities and services informed of their user responsibilities and expected best practice standards.
- Training 2U reserves the right to investigate any and all aspects of its electronic information systems if it is suspected that any user of the IT facilities and services is acting unlawfully or violating this Policy or any other business Policy.
- Training 2U may take action it considers necessary to remedy immediate threats to the IT infrastructure or security, including suspending authorised accounts and/or disconnecting or disabling relevant IT facilities or other equipment, with or without prior notice.
- Training 2U reserves the right to block or filter any network traffic that potentially breaches this Policy or is potentially illegal.

Consequences of Non-Compliance

- Minor breaches of this Policy will be addressed by sending e-mails to users requesting that they desist from the breaching behaviour.
- Ongoing or serious breaches of this Policy or any other related IT Policies by any user will be addressed by the relevant disciplinary procedures.
- If a breach of this Policy, including procedures, appears to constitute an offence under State or Commonwealth law, Training 2U may (and in some cases is obliged to) refer the suspected breach to the appropriate law enforcement agency(ies).

Utilising Social Media

- The same standards you use in real life should be applied online – including laws, business policies, behavioural expectations and the rules or common courtesy.
- The following principles provide some additional guidance specifically relevant to social media use:
 - Be respectful, genuine and credible.
 - Remember each social media platform is different. Make sure you understand the nuances and accepted communication style of each tool, before you jump in and start posting.
 - Remember social media spreads far and wide – please therefore post appropriately. If you would not do something in front of a room full of people, you should not be posting it online either.
 - If you make a mistake, admit it and fix it quickly.
 - Maintain confidentiality. Social media is inherently unsecure and far-reaching in its audience. Do not share any confidential, private or sensitive information through social media.
 - Protect your own safety and privacy. Consider your own privacy and safety before broadcasting real-time details about where you are or what you are doing. make sure you fully understand the privacy settings you have for limiting who can see your information or posts.
 - Be aware of liability. You are responsible for your own posts, and they are almost impossible to erase. Be sure that what you post would not come back to haunt you later.

- Think about how your posts might affect other people. If you write something negative or inflammatory about someone on a social media site, the whole community can see it – so it may have a much greater impact on others, even though you may not see that impact first-hand. If you would not say it to someone's face, do not post it online.
- Think about what capacity you are acting in. If you are acting in an official Training 2U capacity, or as a person with a Training 2U connection, see the additional guidance below. If you are acting in your personal capacity, be sure to make that clear (especially where people might get confused as to whether you are speaking on behalf of the organisation).
- Distinguish between your personal and professional capacity. Make it clear when you are not speaking on behalf of the organisation. If an issue relates to your role within Training 2U and you are commenting on it, you should identify yourself and your connection to the organisation. You must then behave as the business directs through policies, codes and employment terms.
- Act within your authority. Just as you need authority to speak on behalf of the organisation to the media or to any outside entities, you need authority to speak as a Training 2U representative on social media sites.
- Do not use your online presence to damage the organisation and its reputation.
- All staff and learners should exercise careful judgement when interacting with others on social media sites. The guiding principles should be the same as for your relationships with others in the non-online world, including that you do not exert undue influence (or give the perception of exerting undue influence, or make the other feel like they are being influenced).
- Something posted on a social media site is still a written communication, so the same legal ramifications can flow, such as defamation, trade practices or fair trading violations, or a breach of privacy or confidentiality – and because it is written in a permanent forum, hard copy communication. Do not post anything on behalf of the organisation without prior approval from the CEO, as it may have legal consequences.
- Respect the organisation's reputation and branding.
- Reach out to others across the organisation who are maintaining our social media sites or posts, especially when they are targeted to the same audience. Work collaboratively to ensure a consistent tone and approach.

- Ask yourself whether there is anyone you should keep informed about your social media communications on behalf of the organisation. Think about who you would include in on the same communication if it was in hard copy or e-mail from – the same people should be informed about your social media posting.

E-mail Etiquette

- Efficient and effective use of e-mail is crucial to many business activities. Please observe the following recommendations when using Training 2U's e-mail services:
 - Make sure your e-mail messages are concise and limited to relevant individuals.
 - Use Training 2U's recommended signature and disclaimer on all e-mails.
 - Ensure that all e-mails sent complies with the SPAM Act 2003 – this means that commercial electronic messages should not be sent except to e-mail lists or groups that have been established specifically for the purpose of buying or selling goods or services. Commercial electronic messages may only be sent from Training 2U e-mail accounts if:
 - The consent of the recipient can be construed, a functional unsubscribe facility allows the recipient to withdraw their consent at any time, and any requests to unsubscribe are actioned within **5 business days**; or
 - The message relates to goods or services supplied by Training 2U and is sent to current or former employees, clients or candidates that have previously registered their details with Training 2U.
 - Use a meaningful subject to ensure the recipient will know what the e-mail is about.
 - Lay out the message neatly for clear readability and do not use very long sentences. Use spaces and breaks between paragraphs.
 - Take care with sarcasm and humour so that you are not misinterpreted. E-mail lacks the cues of body language and intonation which are present in verbal communication.
 - Take time to consider and re-read your message before sending it. Do not reply in the heat of the moment as a message may not be able to be recalled.
 - Do not write anything you would not say in public – e-mail is not confidential.
 - When sending attached files such as spreadsheets or word-processed documents, use a version which is likely to be supported by the recipient.
 - When replying to all, review the list of addresses and only include those who need to receive your reply.

- Keep the thread when replying to an e-mail and use the reply option to preserve the thread of the discussion.
- Carefully check the addressee before sending.
- Do not re-direct message without the original sender's permission – it may not be appropriate.



Privacy Protection

As a Registered Training Organisation, Training 2U has a responsibility to collect, use and store personal and sensitive information on our students, clients and staff members.

Under the Privacy Act 1988 and the Privacy Amendment (Enhancing Privacy Protection) Act 2012 (s6(1)), personal and sensitive information is defined as follows:

- Personal information – information or an opinion about an identified individual, or an individual who is reasonably identifiable: (a) whether the information or opinion is true or not; and (b) whether the information or opinion is recorded in a material form or not.
- Sensitive information – information or opinion about an individual's:
 - (a) racial or ethnic origin, or nationality
 - (b) indigenous status
 - (c) languages spoken
 - (d) political opinions or membership of a political association
 - (e) religious beliefs, affiliations, or philosophical beliefs
 - (f) membership of a professional or trade association, or a trade union
 - (g) sexual preferences or practices
 - (h) criminal record
 - (i) health such as one's disability or long-term impairment status, and dietary requirements
 - (j) genetics (that is not otherwise health information)
 - (k) biometric (used for the purposes of automated biometric verification or biometric identification)
 - (l) biometric templates

General Privacy Protection Principles

Training 2U does collect, use and store personal and sensitive information in compliance with the Privacy Act 1988 (Cth), the National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020 and the Standards for Registered Training Organisations 2015, with authority under the National Vocational Education and Training Regulator Act 2011 which is one of the legislative instruments that Training 2U must comply with as a condition of our registration. The data provision requirements require Training 2U to collect personal and sensitive information in accordance with the Australian Vocational Education and Training Management Standard (AVETMISS)

and retain and store the information for up to 30 years. The Standards for RTOs 2015 also require Training 2U to report training activity information.

Training 2U collects personal information, either directly or indirectly, that is reasonably necessary for, or directly related to the delivery of our services. Some of the information collected can be regarded as personal and sensitive, such as student contact information – name, organisation, position, address, telephone, and e-mail address, which is used for communication and compulsory reporting purposes; employment-related information such as our staff members' full legal and preferred name, contact numbers, emergency contact details, bank account details, taxation information and superannuation fund and membership details.

Training 2U also collects information relating to student and employer satisfaction surveys to help inform us on our current and future services, practices, systems, policies, procedures and strategies, as well as for complaints and appeals handling purposes.

Privacy Notice

In accordance with Part B, Clause 7.2 of the National VET Data Policy and the Data Requirements 2020, Training 2U provides a Privacy Notice on our website and in our Student Handbook. Training 2U also provides a privacy notice at the start of the Enrolment Form so that students and clients are aware of the collection of their personal and sensitive information at the point of enrolment.

In our Privacy Notice, we outline the following information:

- Why we collect personal information;
- How we use the personal information collected;
- Who we are legally obliged to disclose the personal information collected to;
- How we disclose the personal information collected;
- How NCVER and other bodies handle the personal information collected;
- Surveys that students may receive from a government department of an NCVER employee, agent, third-party contractor or another authorised agency; and
- Who can be contacted to request access to the personal information we have collected, how to correct the personal information we retain, how to make a complaint about how the personal information collected has been handled, and to ask questions about the Privacy Notice.

Data Collection Methods

Training 2U endeavours to notify individuals of the collection of their personal and sensitive information before, or at the time of collection, or as quickly as possible thereafter, such as at enrolment. Notifications are usually made in writing but may be verbal.

Training 2U uses the following avenues to collect information:

- Student and client personal and sensitive information is collected directly from our students and clients using administrative tools such as enrolment forms, enrolment interview forms, recognition of prior learning application forms, credit transfer forms, complaint forms, appeal forms, payment refund forms, surveys and questionnaires. This information is entered into the Student Management System and the physical forms or documents are scanned into the learner's folder and stored electronically with any hard copies destroyed responsibly.
- Student and client personal information such as personal contact information may also be collected at the enquiry stage directly from individuals.
- Training 2U also collects information relating to our performance as an RTO and this information can be collected electronically or in hard copy formats. The responses are then collated, reviewed and analysed (where required), and any hard copies are then destroyed (if applicable).
- Staff personal and sensitive information is collected from individuals when they come in for an interview and upon commencement of their employment or contractual period with Training 2U.

If Training 2U should receive any unsolicited personal or sensitive information, it will be treated and managed according to the Australian Privacy Principles.

Access, disclosure, and correction of personal information

Learners and third-party individuals or organisations may request access to the personal and sensitive information held by Training 2U where the information has been collected directly from individuals, subject to certain exceptions prescribed by the Australian Privacy Principles. Request for access to the personal and sensitive information should be made in writing. You can refer to our Record Keeping and Access policy for more information on accessing personal information.

Training 2U does not sell or share your personal and sensitive information to third-parties for marketing purposes. We do not disclose any personal and sensitive information other than for the

purpose which it was collected for, if an individual has consented to a secondary purpose or would reasonably expect, or if required to by law.

We are obligated to collect and disclose personal information to the National Centre for Vocational Education Research (NCVER), the Australian Skills Quality Authority, as well as any relevant State or Territory Training or Funding Authority in accordance with any legal or contractual obligations such as funding contracts and reporting obligations. Training 2U will inform and seek consent from the individuals concerned at the point of enrolment.

Under the National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020, we are required to collect personal information about you and disclose that personal information to the National Centre for Vocational Education Research (NCVER). NCVER is responsible for collecting, managing, analysing and communicating research and statistics about the Australian VET sector. NCVER collects, holds, uses and discloses your personal information in accordance with the law, including the Privacy Act 1988 and the NVETR Act 2011. This information may be used and disclosed by NCVER to the Australian Government department of Employment and Workplace Relations (DEWR), Commonwealth authorities, State and Territory authorities (other than Registered Training Organisations) that deal with matters relating to VET and VET regulators for the purposes of those bodies, including to enable:

- Populating authenticated VET transcripts;
- Administering vocational education training, including program administration, regulation, monitoring and evaluation;
- Facilitation of statistics and research relating to education, including surveys and data linkage; and
- Understanding the VET market, such as how the VET industry operates, for policy development purposes, workforce planning and consumer data.

NCVER may also disclose personal information to persons engaged by NCVER to conduct research on NCVER's behalf and NCVER does not intend to disclose any personal information to any overseas recipients. You can refer to NCVER's Privacy policy [here](#) for more information on how NCVER handles personal information.

NCVER also administers student surveys which may be run by an Australian government department, or an NCVER employee, agent, third-party contractor or another authorised agency, which learners are able to opt-out of when they are contacted.

We may also disclose personal information to individuals or organisations for the purposes of our operations, such as to a Compliance Consultant.

Whilst we endeavour to ensure the personal and sensitive information we collect, use or disclose is accurate, current, and complete, we rely on individuals to help us manage the accuracy, currency, and completeness of the information.

Where the information has changed or requires updating, Training 2U will update the information held in the Student Management System accordingly.

Management of personal information

Any personal and sensitive information collected is stored on servers in Australia. Training 2U does not retain any personal and sensitive information collected on servers overseas. We take steps to protect personal information from misuse, interference and loss, and from unauthorised access, modification or disclosure of the information.

Training 2U have systems and an internal network which is protected from unauthorised access and minimise the risk of unauthorised access. Data transferred over the internet through Training 2U's website, online learning platform, and the Student Management System is protected by a Secure Socket Level protocol (SSL). Access to our website, online learning platform and the Student Management System is protected through user log-on and password, and assignment of user access privileges.

All hard copy documents containing personal and sensitive information is to be scanned and saved in the respective folders, the information entered into the Student Management System or the relevant system or register, and the hard copy document shredded and disposed of securely. No personal and sensitive information should be left unsecured or in view of others who are not authorised access.

Training 2U retains personal information for a period of **30-years** when personal information is no longer necessary for our business operations. Where it is lawful to do so, Training 2U will destroy the information by permanently deleting the relevant electronic files.

Individuals are advised to reach out to us should they have any concerns about the way we manage their personal and sensitive information, as well as about our Privacy Notice. They also have the right to make a complaint to the Office of the Australian Information Commissioner (OAIC) about the handling of their personal information by Training 2U.

Direct Marketing

Training 2U respects an individual's right to not receive any marketing material. We provide an option within our communications for individuals to unsubscribe from receiving any marketing material from us. We conduct our marketing communications and dissemination of service information in accordance with the Australian Privacy Principle 7 – Direct Marketing, the Spam Act 2003, and the Do Not Call Register Act 2006. It is important to note that it is not Training 2U's practice to make any unsolicited calls for the purpose of marketing our products and services.

Google Analytics and Cookies

Google Incorporated provides a web service known as Google Analytics which gives businesses the ability to track and report website traffic, and the tools a business would need to better understand your customers and strategise our future operations. Cookies, which are packets of data that a computer receives, and then sends back without changing or altering it is stored in a file located in the web browser. Cookies helps our website track our visitors and their activity, and record log-in information.

These cookies are stored on Google's servers in the United States where they are used to generate reports on website activity. Google may transfer this information to third-parties, if required by law, or for information processing on its behalf.

No personal information is recorded, and this data is only used for website management and improvement purposes. It is possible to disable cookies by changing a web browser's settings and to opt-out of Google Analytics. It is important to note that by disabling the Google Analytics function may affect a user's experience on our website.

Bullying, Discrimination and Harassment

Training 2U are committed to ensuring that our practices, systems, policies and procedures support an environment that is free from bullying, discrimination and harassment. We do not tolerate any kind of harm, be it physical, emotional or mental harm, regardless of the circumstances. We encourage our students, staff members and visitors to report any discriminatory or harassment behaviours they experience or witness.

General Bullying, Discrimination and Harassment Principles

We aim to provide a safe, inclusive and secure environment through training, awareness campaigns and implementing practices, policies and procedures that are effective to achieve our aim. We endeavour to promote appropriate standards of conduct at all times and build an environment which is safe from any form of discrimination and harassment, where our students, staff members and visitors are treated with kindness, respect and fairness. We strive to treat all complaints in a sensitive and just manner, as well as guaranteeing protections by the complainant or appellant from any victimisation or reprisals.

The Australian Human Rights Commission defines bullying as any verbal, physical, social or psychological abuse by an employer (or manager), another person or group of people. That includes behaviour that intimidates, offends, degrades or humiliates someone. Whilst it can happen to anyone, Training 2U are committed to do our best to stem out any bullying behaviours within our community. It is important to note that some types of bullying are criminal offences and suspected criminal behaviour will be reported to the local police authorities immediately.

Bullying can include:

- Repeated hurtful remarks or attacks; making fun of one's work;
- Making fun of something someone has done or their personality;
- Sexual harassment, particularly unwelcome touching and sexually explicit comments;
- Excluding behaviours such as stopping one from working with others or from taking part in activities;
- Playing mind games;
- Ganging up on someone;
- Intimidation;
- Deliberately holding back information so that one cannot get their work done properly;
- Pushing, shoving, tripping, and grabbing;

- Attacking or threatening with knives or any type of weapon; and
- Initiation or hazing where one is made to do humiliating or inappropriate things in order to be accepted as part of a team.

Discrimination happens when a person, or a group of people, is treated less favourably than another person or group because of their background or because of their:

- Race, colour, nationality or ethnicity;
- Gender orientation, sexual preference, pregnancy or marital status;
- Age;
- Disability; or
- Some other characteristic such as one's political affiliations or religion.

Harassment can be against the law when a person is treated less favourably on the basis of certain personal characteristics, such as race, sex, pregnancy, age, disability, sexual orientation, gender identity or intersex status.

Harassment does not need to be a chain of continuous and related incidents; one-off incidents can also constitute as harassment. Examples of harassment include joking about a racial group in an insulting manner, sending sexually suggestive messages to a colleague or student, displaying racially offensive material making derogatory comments about someone's race, and asking intrusive questions about someone's personal life, including their sex life.

Responsibilities

The CEO has the responsibility:

- To ensure that our Bullying, Discrimination and Harassment policy, expectations and standards is covered in the induction programs of all students and staff members; and
- To review the policy periodically to ensure it is operating effectively and contains up-to-date information.

The Student & Administration Support personnel is responsible for:

- Monitoring the environment to ensure it is free from any material that is likely to offend, such as those with sexual, racial or even political messages; and
- Working cooperatively with other staff members to promote an environment free from bullying, discrimination and harassment.

Trainers and Assessors should:

- Ensure that all training and assessment programs, materials, resources and tools encourage inclusivity and is free from discrimination and harassment; and
- Monitor students' behaviours and engage with students casually to get a feel as to whether they feel safe at Training 2U, how they are doing and whether there is anything they are experiencing that they are uncomfortable or feel threatened by.

All staff members:

- Have a responsibility in familiarising themselves with this policy and our expectations;
- Should be a role model of appropriate conduct for others and provide support to individuals who may be experiencing bullying, discrimination or harassment; and
- Are also expected to respect individual differences and encourage others to maintain an inclusive environment that is supportive and understanding.

Rights

Every person has the right to make a report about any bullying, discrimination or harassment experienced or witnessed, with no prejudice or repercussions. Training 2U will provide the reporter as well as any other person(s) involved with protection from any victimisation or reprisal and will treat any and all information shared by the complainant with the strictest of confidentiality. We will also endeavour to address and investigate all claims thoroughly and where there are opportunities for improvement, implement systems and processes to reduce the risk of the event occurring again.

Principles of Natural Justice

Training 2U will handle all incidents of bullying, discrimination or harassment identified by applying the principles of natural justice and will result in actions which reflects the seriousness of the individual circumstances. Criminal or unlawful behaviour will be reported to the police immediately and will result in immediate dismissal of one's employment or enrolment with Training 2U. Actions taken by Training 2U may include counselling, re-training, apology, conciliation, re-assigning of duties, transfer of class, suspension of employment or enrolment, warning, dismissal of employment or termination of enrolment.

Lines of Assistance

The following agencies can provide assistance to Training 2U in the management of bullying, discrimination and harassment, and in maintaining an inclusive and supportive environment:

- **Human Rights and Equal Opportunity Commission**
General line: 1300 369 711
Complaints line: 1300 656 419
Website: www.humanrights.gov.au
- **Australian Capital Territory Human Rights Office**
General line: 02 6207 0576
Website: www.hrc.act.gov.au
- **New South Wales Anti-Discrimination Board**
General line: 1800 670 812
Website: www.antidiscrimination.nsw.gov.au
- **Northern Territory Anti-Discrimination Commission**
General line: 1800 813 846
Website: www.nt.gov.au/adac
- **Queensland Anti-Discrimination Commission**
General line: 1300 130 670
Website: www.adcq.qld.gov.au
- **South Australia Equal Opportunity Commission**
General line: 1800 188 163
Website: www.equalopportunity.sa.gov.au
- **Tasmania Anti-Discrimination Commission**
General line: 03 6233 4841
Website: www.equalopportunity.tas.gov.au/discrimination
- **Victoria Equal Opportunity Commission**
General line: 1800 134 142
Website: www.humanrightscommission.vic.gov.au
- **Western Australia Equal Opportunity Commission**
General line: 1800 198 149
Website: www.wa.gov.au/organisation/equal-opportunity-commission

Bullying, Harassment, and Discrimination Investigation Procedure

The following procedure is to be followed:

1. **Provide support** – it is important that any staff member approached regarding an incident of bullying, discrimination or harassment handle the situation with sensitivity and care. Individuals who approach you about their experience may feel a range of emotions such as anger, distress, vulnerable, frustration, and powerless. Support them by reassuring them that they are safe and have done the right thing by approaching you. Take them seriously and inform them that no form of bullying, discrimination or harassment is acceptable, and it is their right to feel safe and secure. It is imperative that the staff member not pass off the student's complaint to another staff member, as the student may not feel comfortable sharing this information with others.
2. **Listen to the reporter and explain the process** – ask them how they want the situation handled. Listen to their point of view and clarify the situation with them. Explain the process and discuss options and outcomes with the reporter.
3. **Record and document** – all information provided must be recorded in our Complaint Form and scanned into the student's file. The information should also be entered into the Complaints and Appeals register.
4. **Investigate the claim** – it is important to investigate the claim(s) made and speak to all parties involved to verify the claims. When speaking to the reportee, clarify expectations, what is acceptable and unacceptable behaviour, and inform them that if the alleged behaviours did occur, they would be in breach of the organisation's policy and/or state or federal law. It is important to not disclose any personal information or the identities of the complainant and any witnesses that have been identified. Remember to apply the principles of natural justice during the course of the handling of the complaint and anyone interviewed during the course of the investigation should be provided with a support person during their interviews.
5. **Consider the evidence** – a formal complaint should not be dismissed on the ground that no one saw or heard the incident(s) occurring. Given the nature of the offence, these are often no direct witnesses to alleged acts of bullying, discrimination and harassment. Those responsible for investigating complaints should consider all available evidence, including any surrounding evidence such as:
 - Supporting evidence provided by a medical practitioner, counsellor, family member, friend or co-worker;
 - Managerial or Trainer and Assessor's reports and personnel records;

- Complaints of information provided by others about the behaviour of the alleged reportee;
- Records kept by the person claiming to have been discriminated against or harassed;
- Whether the evidence was presented by the parties in a credible and consistent manner; and
- The absence of evidence where it should logically exist.

6. Notify the CEO and discuss options for action(s) – a meeting is to be set with the CEO to discuss the matter and bring the complaint to their attention. Options and outcomes discussed with the complainant, and findings of the investigation should be discussed with the CEO. In determining the appropriate actions, management may consider factors such as:

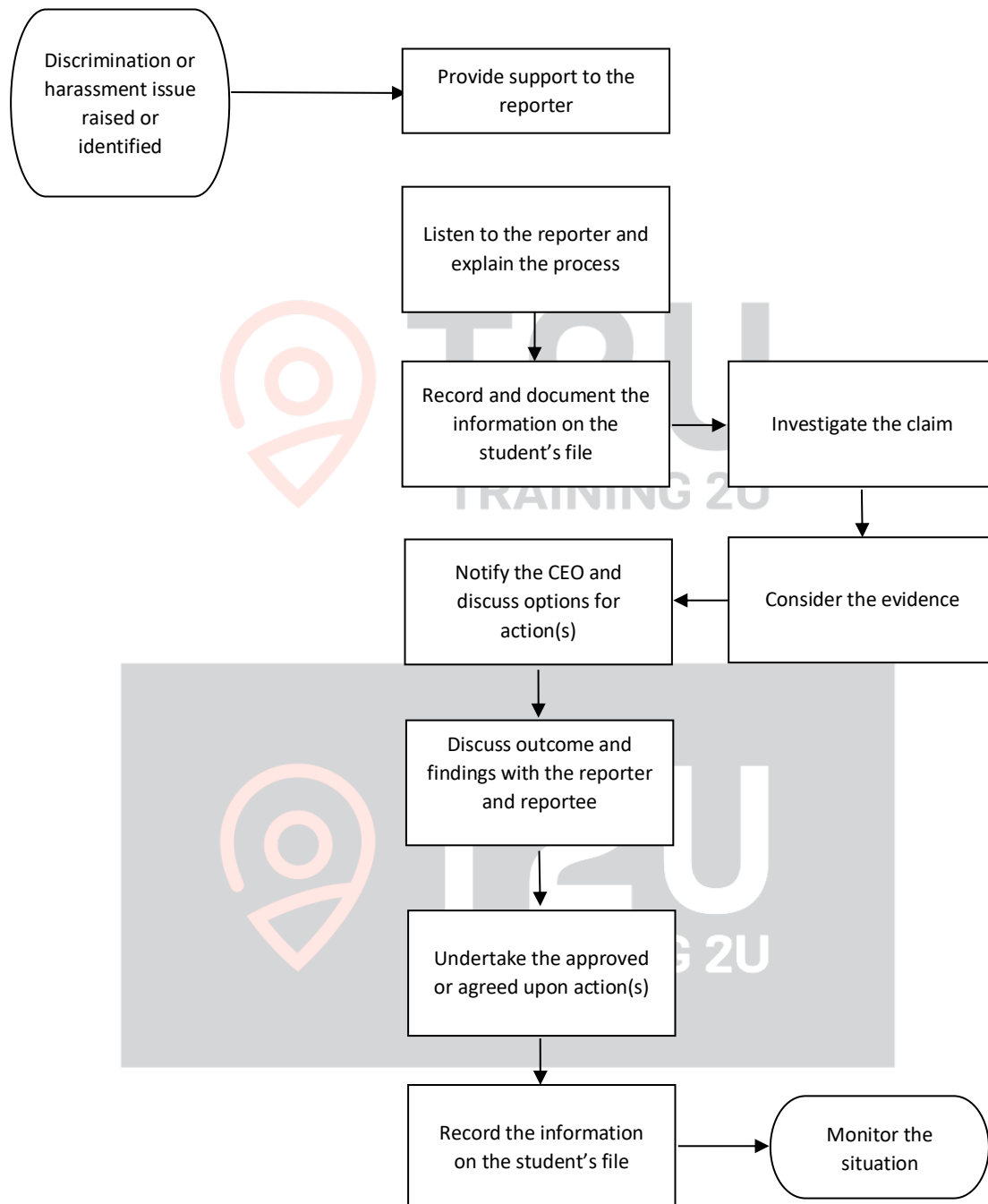
- The severity and frequency of the discrimination or harassment;
- That the actions will not disadvantage the reporter;
- The weight of the evidence;
- The wishes of the person who was discriminated against or harassed;
- Whether the harasser could have been expected to know that such behaviour was a breach of policy; and
- Whether there have been any prior incidents or warnings.

If there is insufficient proof to decide whether or not discrimination or harassment has occurred, everyone involved should be reminded of the expected standards of conduct, further training and awareness raising sessions should be conducted, and the situation should be monitored carefully.

The CEO may need to seek professional or legal guidance when making a decision.

- 7. Discuss outcome and findings** – it is important to sit down with the reporter and reportee to discuss the outcome, the findings and the action(s) to be undertaken. If appropriate, advise the reportee of potential penalties if the behaviour continues and advise of the need for confidentiality and the prohibition of victimisation.
- 8. Undertake the approved or agreed upon action(s)** – implement the approved or agreed upon action(s) and prepare a report for the CEO.
- 9. Record the information** – the discussions, interviews, findings, options and outcomes must be recorded on the Complaints and Appeals register and reviewed for continuous improvement purposes.
- 10. Monitor the situation** – this is to ensure that the behaviour does not re-occur and that the complainant is not victimised.

Bullying, Harassment and Discrimination Investigation Flow-Chart



Critical Incident Response

A critical incident is a traumatic event, or the threat of such, which causes extreme stress, fear or injury. Critical incidents may include, but are not limited to, a missing student, severe verbal or psychological aggression, death, serious injury, a natural disaster, domestic violence, physical abuse, sexual abuse, and other potentially life-threatening events. It should be noted that this does not include serious academic misconduct.

Exposure to a critical incident can be overwhelming and threatening and may lead to distress. This can be harmful when a person has demands and expectations that are out of keeping with their needs, abilities, skills and coping strategies. This distress can result in a decline in one's wellbeing.

General Critical Incident Response Principles

Training 2U will strive to instil a comprehensive, integrated and systematic approach in our response to critical incidents. In our quest to do so, will be guided by the following:

- Provide information on our approach to critical incidents in the Induction program for both learners and staff members;
- Meet our duty of care as an employer and as an RTO;
- Consider any relevant laws when managing a critical incident;
- Respond to the critical incident in a timely manner;
- Ensure the safety and security of our learner at all times;
- Cooperate with the relevant agencies such as the police department;
- Where a learner under the age of 18 is involved in a critical incident, we notify their parent or guardian appropriately and in a timely manner, **unless the learner has advised that it is their parent or guardian who has caused the critical incident or they are emancipated from their parent or guardian;**
- Regularly monitor the effectiveness of the response and risk control measures (where applicable); and
- Maintain a written record of any critical incidents and remedial action taken for at least 5-years from the date of the critical incident.

Critical Incident Response Team

In the event of a critical incident, Training 2U will assemble a Critical Incident Response Team who will be responsible for:

- The implementation of the critical incident response procedure
- Identify the cause of the critical incident, assessing the situation and controlling any further risk that it may pose
- Implement, monitor and maintain risk control measures
- Regularly monitor the effectiveness of the critical incident risk control measures and rectify any deficiencies identified
- Consult and liaise with other staff members and learners on the effectiveness of our critical incident practices
- Report to the CEO at least once a day with updates on the critical incident and our response
- Liaise with Emergency Response authorities (where applicable)
- Liaise with the relevant government agencies (where applicable)
- Ensuring the well-being of all learners, staff members and others involved or witness to a critical incident
- Arranging for counselling or trauma services (where appropriate) following the critical incident

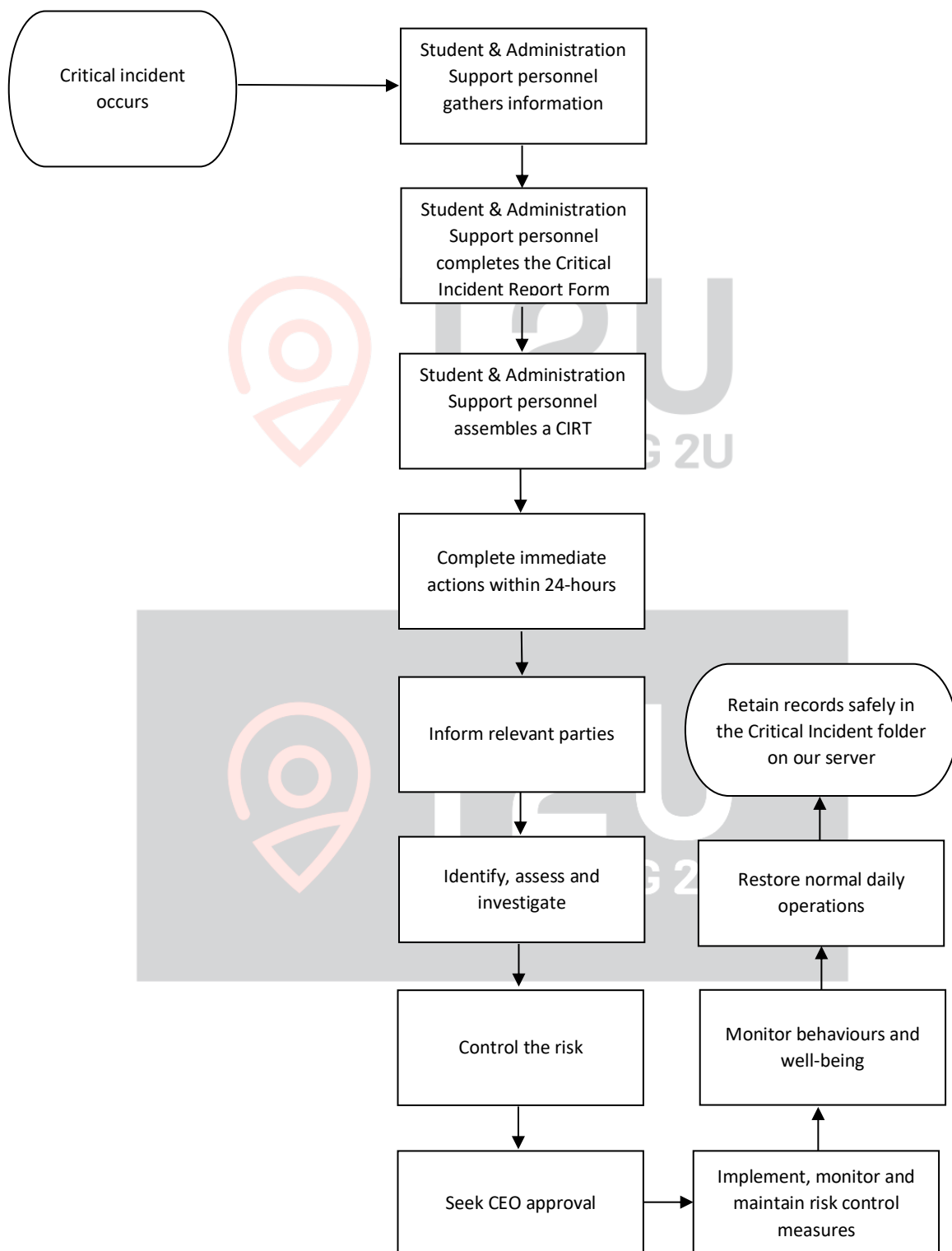
Critical Incident Response Procedure

1. **Critical incident is reported to the Student & Administration Support personnel** – the learner or staff member is to call 0424 660 830 to report the situation to Training 2U. The Student & Administration Support personnel is to complete the *Critical Incident Report Form* and assemble a Critical Incident Response Team (CIRT). The CIRT is to consist of the Student & Administration Support personnel and other staff members with the appropriate skills and qualities to contribute to a successful outcome in our management of the critical incident. The CIRT is to be provided with the *Critical Incident Report Form* and a member of the team appointed as the Designated Officer. The Designated Officer is responsible in delegating tasks and overseeing the management of our response to a critical incident.
2. **Immediate actions** – the CIRT is to undertake the following immediately (or within 24-hours):
 - Check on the safety of the learners and other staff members
 - Identify the cause of the critical incident
 - If practical, remove or minimise the cause for any potential for the critical incident to spread or escalate
 - Ensure the injured and/or traumatised learners and staff members are provided with appropriate emergency and medical care
 - Arrange for counselling, trauma or religious services (as appropriate)
 - Ensure adequate support and practical is available for and offered to learners and staff members
 - Ensure the site of the incident is not disturbed (if in relation to a police matter or where an investigation is required by WorkSafe)
 - Manage media reports (if applicable)
 - Commence an investigation to record real-time or factual data on the critical incident
3. **Inform relevant parties** – the CIRT is to:
 - Brief all relevant personnel involved in the critical incident; and
 - Keep learners, their families (where appropriate), staff members and other relevant agencies informed.
4. **Identify, assess and investigate the critical incident** – the CIRT is now to commence their investigation into the critical incident. They are to identify the cause and assess the likelihood of it reoccurring. They are to also assist with the police or any other agency, where required. They may refer to our 'Risk Management and Internal Audit' policy to guide their approach and steps in this process.

5. **Control the risk** – once the critical incident has been investigated and the cause uncovered, the CIRT is to analyse the information and brainstorm and research ways to control the risk to prevent any re-occurrence. Once a list of risk control measures has been developed, the CIRT is to present it to the CEO for approval.
6. **Implement, monitor and maintain risk control measures** – once the CEO has approved of the risk control measures, the CIRT is to implement, monitor and maintain them. Throughout the process, the CIRT is also responsible in keeping learners, their families (if appropriate), and staff members informed of the management of the critical incident response.
7. **Monitor behaviours and well-being** – throughout the process, the CIRT is responsible in:
 - Ensuring learners and staff members are provided ongoing access to counselling, trauma or religious services (as appropriate)
 - Monitor the attitudes and behaviours of learners and staff members for any signs of Post-Traumatic Stress Disorder (PTSD)
 - Monitor the general health and well-being of all learners and staff members
8. **Restore normal daily operations** – where practical and safe to do so, the CIRT will be responsible in restoring normal daily operations of Training 2U. Ensure records are kept for a minimum of 5-years.



Critical Incident Response Process Flow-Chart



Complaints and Appeals

In accordance with Clauses 6.1 to 6.6 of the Standards for RTOs 2015, Training 2U is committed to providing a fair and transparent complaints and appeals process that is publicly accessible and easily understandable.

General Complaints and Appeals Principles

Training 2U resolves to:

- Review and finalise all complaints and appeals as soon as possible, and no longer than 60-days, unless absolutely necessary, and where more than 60-days is required to finalise the complaint or appeal, reasons provided to the complainant or appellant as to why;
- Keep the complainant or appellant informed of the process and update them on the progress of their complaint or appeal every fortnight;
- Record the details of the complaint or appeal and all other pertinent information in our Complaints and Appeals register, and maintain the records securely;
- All written records, including the Complaint or Appeals Form, any follow-up letters and the outcome letter is to be saved on our Complaints and Appeals register, only accessible by authorised personnel;
- Utilise any complaints and appeals received as an opportunity for continuous improvement and take immediate corrective action to eliminate or mitigate the likelihood of re-occurrence;
- Treat any and all information received in a complaint or appeal in the strictest of confidence;
- Where a complaint is received about a particular staff member, the staff member is not to be involved in the complaints handling process;
- Not negatively impact or discriminate against the complainant or appellant for submitting a complaint or appeal;
- Ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- Ensure this policy is publicly available, and easily accessible by our prospective and current students, staff and third-parties – published in our Student Handbook and on our website (once our website is up and live);
- Handle all complaints and appeals at no cost to the complainant or appellant;
- Provide adequate support mechanisms, such as providing the complainant or appellant to be accompanied or assisted by a support person at any meeting or interview;

- Provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal; and
- Co-operate with any statutory body or external agency that may investigate the handling of a complaint or appeal.

Complaints vs Appeals

A complaint is dissatisfaction expressed about the services or people connected with Training 2U. It may involve matters concerning the quality of our courses, the efficiency of our systems and processes, the conduct of another learner, interactions with one of our staff members, or a third-party marketing our courses. Staff members should do their best to address, acknowledge and resolve issues that arise as they occur. Where it is not possible, the individual should be encouraged to lodge a complaint. A complaint can be made in any form and does not need to be formally documented by the complainant in order for us to act on it. However, we should encourage the complainant to complete our *Complaint Form* to ensure the accuracy of the information. This form is available on our website (once our website is up and live), or it can be requested for by the Student & Administration Support personnel and it is to be submitted either in hard copy, or electronically via e-mail to <insert email address once live>. It can also be made by any person, whether they are a learner, a staff member or even a passer-by. There is no time limitation on a person who is seeking to make a complaint.

A learner can appeal any decision made by Training 2U or a third-party providing services on Training 2U's behalf, not just assessment judgements. At times, a learner may appeal a decision due to compassionate or compelling circumstances. These circumstances are generally those beyond the control of the learner and they have an impact on the learner's capacity and/or ability to progress through a course. These circumstances may include chronic illness or severe injury sustained (including any mental health illnesses or injuries), where a medical certificate is able to corroborate the illness or injury; the passing of a close family member; major political upheaval or natural disaster; or a traumatic experience. An appellant must complete the *Appeals Form*, which is available on our website (once our website is up and live), or it can be requested for by the Student & Administration Support personnel and it is to be submitted either in hard copy, or electronically via e-mail to <insert email address once live>. An appeal must be made within **20 business days** from the date the decision is informed to the individual.

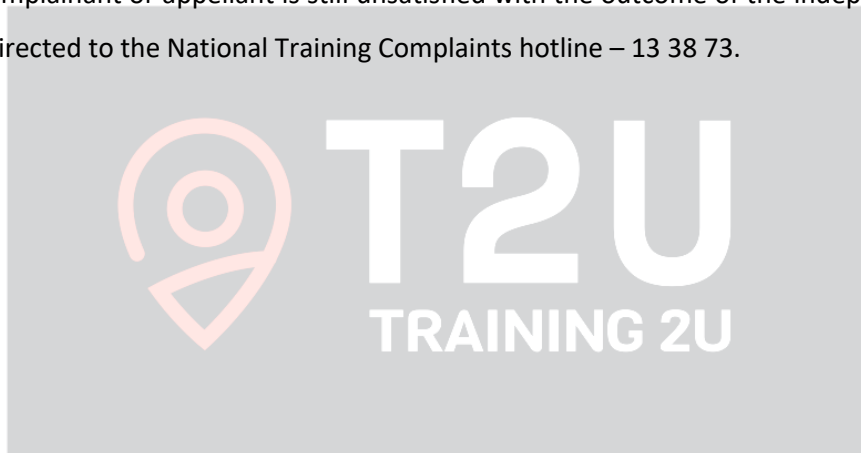
Unresolved Complaints and Appeals

Where the person making a complaint or appeal is not satisfied with the handling of the matter by Training 2U, they are provided with the opportunity for an independent party – **Mediation Victoria**, to review his or her concerns following the completion of our internal complaints and appeals handling process.

We will advise the complainant or the appellant of the availability of an independent party to review the handling of and the outcome of their complaint or appeal. The independent party is required to respond with their recommendations and their advice will be accepted by Training 2U as final, advised to the person making the complaint or appeal in writing, and implemented without prejudice.

Where we appoint an appropriate independent party to review a complaint or appeal, Training 2U will meet the full cost to facilitate the review. Where the complainant or appellant objects to this appointment and requests to engage a party of their appointment, Training 2U may seek for the complainant or appellant to contribute to the cost of engaging this party to undertake the review.

Where the complainant or appellant is still unsatisfied with the outcome of the independent review, they can be directed to the National Training Complaints hotline – 13 38 73.



Complaints Handling Procedure

1. **Complaint received** – when a complaint is received, the information is to be recorded in our Complaints and Appeals register. If a *Complaint Form* is submitted, scan and save the form on the Complaints and Appeals register, and securely destroy the physical document. If a complaint is verbally submitted, encourage the complainant to complete a *Complaint Form* which is available on our website **(once our website is up and live)**. Alternatively, the Student & Administration Support personnel can provide the form to the individual. This is to ensure we capture the information accurately and completely. However, if the complainant is unwilling to complete a form, take down as much information as possible verbally (using the *Complaints Form* as a template) and enter the data into our Complaints and Appeals register. The Complaints and Appeals register must also be updated regularly throughout the complaints handling process. A note is also to be left on the student's or staff member's file (if applicable) regarding the complaint and referencing the Complaints number assigned to the complaint.
2. **Letter of acknowledgement sent to complainant** – within **2 business days** of receiving the complaint, the complainant is to be sent the *Acknowledgement of Complaint* letter, informing them that we have received their complaint, our complaints handling process, and the associated timeframe in which we will endeavour to finalise the matter. Where the complainant is under the age of 18, their parent or legal guardian must also be sent copies of all correspondences regarding the complaint. This information is to be entered into and the documents to be scanned and saved in our Complaints and Appeals register.
3. **Forward complaint to the CEO** – the CEO is then to be notified of the complaint via e-mail. The e-mail should contain:
 - The Complaints number assigned;
 - The nature of the complaint with the *Complaint Form* attached;
 - Which business unit, staff member or learner concerned; and
 - When the acknowledgement letter was sent out to the complainant.

Where the complaint is about the CEO, an independent and external consultant with experience in handling RTO complaints is to be appointed.
4. **Investigate the complaint** – the CEO is then responsible to investigate the claim. If the complaint is about the CEO, the independent consultant is responsible to investigate the claim. This investigation must commence within **5 business days** from the date the complaint was submitted and must identify the potential cause(s) of the complaint. The investigation

can involve meeting with the complainant, consulting with other parties such as witnesses to the event, as well as reviewing the evidences provided and any other relevant materials to assist the CEO (or the independent consultant) in making a determination. Complaints are to be considered and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the complaints handling process. This means that the complainant is entitled to be heard with access to all relevant information with the right of reply. The complainant is entitled to have their complaint heard by a person that is without bias and may not be affected by the decision. Finally, the decision must be made based on logical evidence and the decision-maker must take account relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations.

5. **Finalise the complaint response** – as a benchmark, we will endeavour to resolve all complaints as soon as possible. The CEO (or the independent consultant) must finalise their response to the complainant and prepare the response as soon as possible, but no later than **10 business days** from when the assessment of the complaint commenced. The response to the complainant must include information that demonstrates that the matter was thoroughly reviewed, what corrective actions will be taken, and what outcomes have been identified as a result of the complaint. If a complaint is unable to be finalised within **10 business days**, the complainant should be notified on a fortnightly interval of the progress of the investigation and why the additional time is required. The complaint should be finalised within 60-days, unless absolutely necessary.
6. **Meet with the complainant in-person** – the Student & Administration Support personnel is to organise a meeting between the CEO (or the independent consultant) and the complainant in order for the outcome of the investigation to be communicated to the complainant – verbally, and the written response provided in the meeting. Be sure to advise the learner that should they wish, they can bring a support person to the meeting. This should be done as soon as possible, and no later than **5 business days** from when the CEO (or the independent consultant) has finalised their response to the complainant. Under no circumstances is the response to be provided via a third-party. Where the complainant is unable to meet in person, a Skype session should be organised. Should the complainant be dissatisfied with the outcome of their complaint, advise the complainant of the options available.
7. **Independent review** – where the complainant is dissatisfied with the outcome of their complaint or the handling of the complaint, the CEO is to arrange for the complaint to be considered by an appropriate independent third-party – **Mediation Victoria**. Any recommendations made by the independent third-party will be accepted as final, advised to

the complainant and implemented by Training 2U within **10 business days** (unless circumstances does not permit) without prejudice. Where the complainant is still unsatisfied with the outcome, they may refer the matter to the National Training Complaints Service – 13 38 73.

8. **Continuous improvement** – opportunities for improvement identified as a result of the complaint are to be recorded in our Continuous Improvement register and submitted to be discussed at the next management meeting. Any decisions or outcomes of the complaints handling process that find in the favour of the complainant shall be implemented immediately.
9. **Records entered into and documents saved** – the Student & Administration Support personnel is responsible for ensuring that all of the information relating to the complaint is entered into and any pertinent document saved into the Complaints and Appeals register.



Appeals Handling Procedure

1. **Appeal received** – when an appeal is received, it is important that the Student & Administration Support personnel checks the form for its completeness, and that the appeal is made no later than **20 business days** from when the decision was advised to the individual. The information regarding the appeal is to be recorded in our Complaints and Appeals register. It is also important to scan and save the *Appeals Form* on the Complaints and Appeals register, and securely destroy the physical document. If an appeal is verbally submitted, advise the appellant to complete an *Appeals Form* which is available on our website (once our website is up and live) before we will review their appeal request. Alternatively, the Student & Administration Support personnel can provide the form to the individual. This is to ensure we capture the information accurately and completely. A note is also to be left on the student's file regarding the appeal, and referencing the Appeals number assigned to the appeal.
2. **Letter of acknowledgement sent to appellant** – within **2 business days** of receiving the appeal, the appellant is to be sent the *Acknowledgement of Appeal* letter, informing them that we have received their appeal, our appeals handling process, and the associated timeframe in which we will endeavour to reach an outcome. Where the appellant is under the age of 18, their parent or legal guardian must also be sent copies of all correspondences regarding the appeal. This information is to be entered into the documents to be scanned and saved in our Complaints and Appeals register.
3. **Forward appeal to the CEO** – the CEO is then to be notified of the appeal via e-mail. The e-mail should contain:
 - The Appeals number assigned so that the CEO is able to easily locate the appeal;
 - Learner concerned;
 - The nature of the appeal with the *Appeals Form* attached;
 - Personnel involved in making the decision – i.e. Trainer and Assessor or CEO;
 - Which course and assessment activity; and
 - When the acknowledgement letter was sent out to the appellant.
4. **Review the facts, materials and evidences pertaining to the appeal** – the CEO is then responsible to review the appeal. This review must commence within **5 business days** from the date the appeal was submitted. The investigation can involve consulting with the Trainer and Assessor, as well as reviewing the materials and evidences such as the completed assessment tools to assist the CEO in making a determination. Appeals are to be considered

and handled to ensure the principles of natural justice and procedural fairness are applied at every stage of the appeal handling process. This means that the appellant is entitled to be heard with access to all relevant information with the right of reply. The appellant is entitled to have their appeal heard by a person that is without bias and may not be affected by the decision. Finally, the decision must be made based on logical evidence and the decision-maker must take account relevant considerations, must act for a proper purpose and must not take into account irrelevant considerations. Where the appeal is in relation to an assessment decision, a re-assessment may be recommended. Learners participating in a re-assessment should be provided with detailed counselling about the perceived gaps in their skills and knowledge, along with additional training to support the improvement and ability to demonstrate competence. Re-assessments should be scheduled to occur as soon as possible following the outcome of an appeal. The re-assessment should be undertaken by a different Assessor than used during the initial assessment and following the re-assessment, the learner must be provided with detailed feedback about their performance and the outcome.

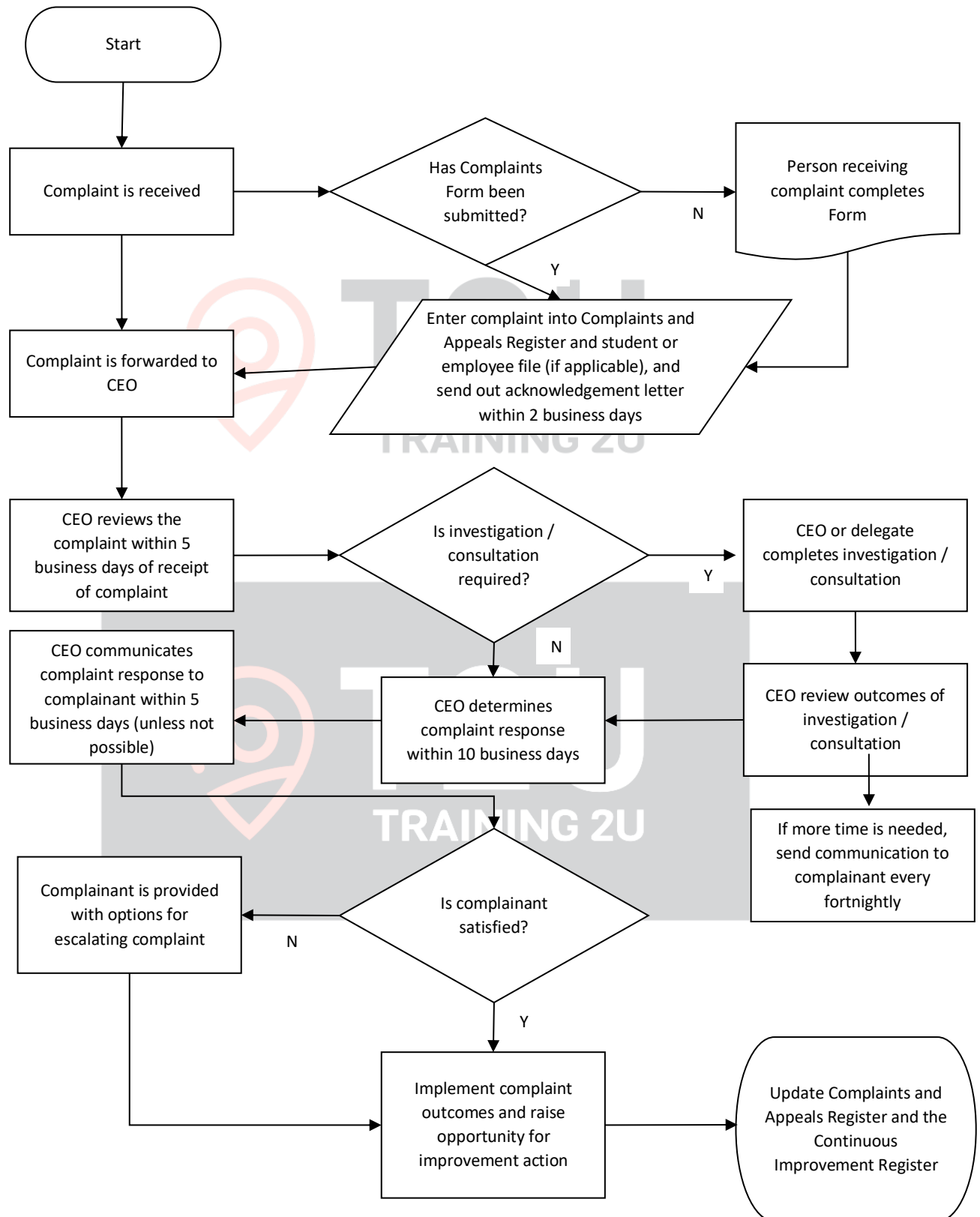
5. **Finalise the appeal response** – as a benchmark, we will endeavour to resolve all appeals as soon as possible. The CEO must finalise their response to the appellant and prepare the response as soon as possible, but no later than **10 business days** from when the assessment of the appeal commenced. The response to the appellant must include information that demonstrates that the matter was thoroughly reviewed, what corrective actions will be taken and outcomes have been identified as a result of the appeal. If an appeal is unable to be finalised within **10 business days**, the appellant should be notified on a fortnightly interval of the progress of the review and why the additional time is required. The appeal should be finalised within 60-days, unless absolutely necessary.
6. **Meet with the appellant in-person** – the Student & Administration Support personnel is to organise a meeting between the CEO and the appellant in order for the CEO to communicate the outcome of the appeal – verbally, and the written response provided in the meeting. Be sure to advise the learner that should they wish, they can bring a support person to the meeting. This should be done as soon as possible, and no later than **5 business days** from when the CEO has finalised their response to the appellant. Under no circumstances is the response to be provided via a third-party. Where the learner is unable to meet in person, a Skype session should be organised. Should the appellant be dissatisfied with the outcome of their appeal, advise the appellant of the options available.
7. **Independent review** – where the appellant is dissatisfied with the outcome of appeal or the handling of the appeal, the CEO is to arrange for the appeal to be considered by an appropriate

independent third-party – **Mediation Victoria**. Any recommendations made by the independent third-party will be accepted as final, advised to the appellant and implemented by Training 2U within **10 business days** (unless circumstances does not permit) without prejudice. Where the appellant is still unsatisfied with the outcome, they may refer the matter to the National Training Complaints Service – 13 38 73.

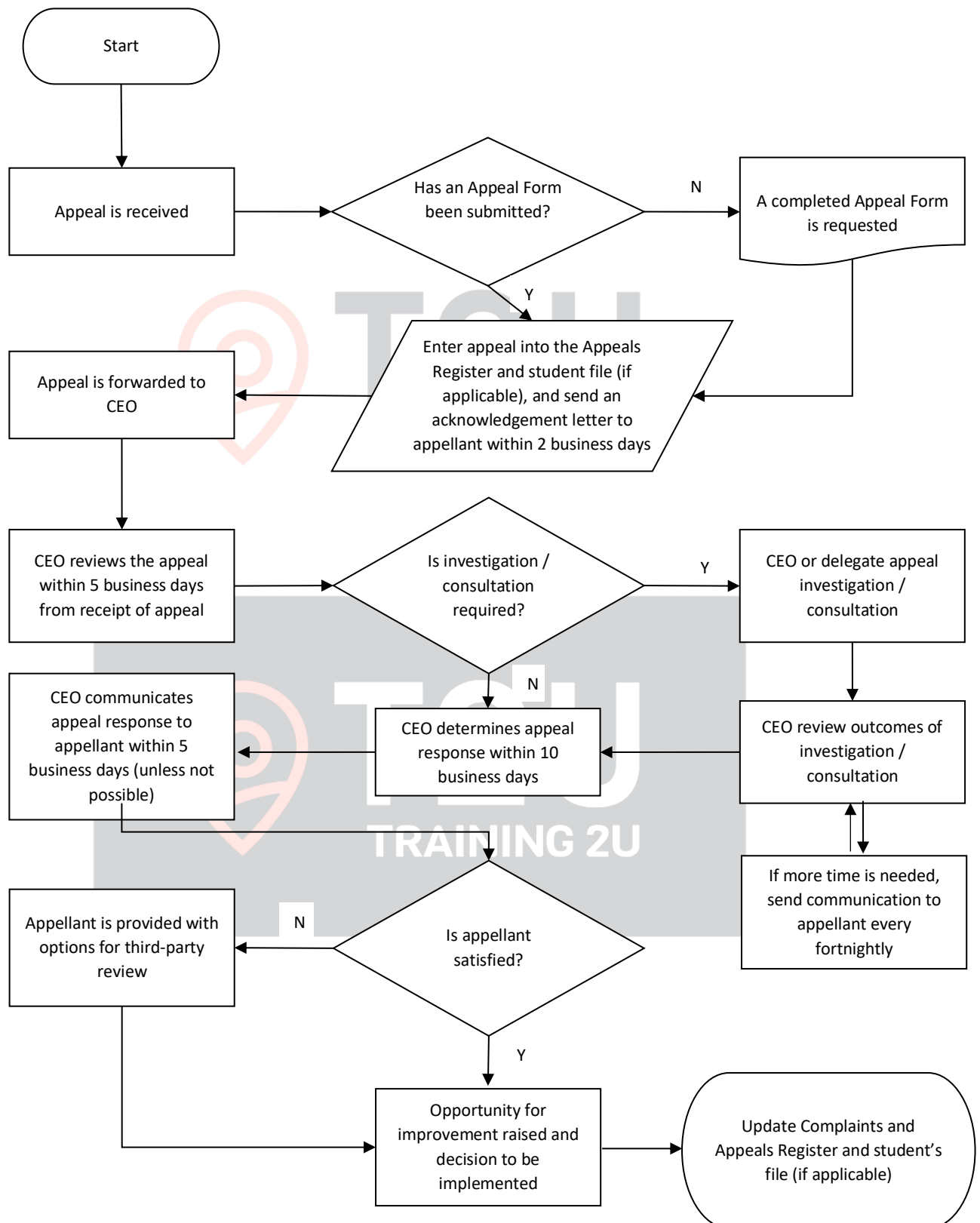
8. **Continuous improvement** – opportunities for improvement identified as a result of the appeal are to be recorded in our Continuous Improvement register and submitted to be discussed at the next management meeting. Any decisions or outcomes of the appeal handling process that find in the favour of the appellant shall be implemented immediately.
9. **Records entered into and documents saved** – the Student & Administration Support personnel is responsible for ensuring that all of the information relating to the appeal is entered into and any pertinent document saved into the Complaints and Appeals register, and on the student's file.



Complaints Handling Process Flow-Chart



Appeals Handling Process



Continuous Improvement

Training 2U strongly believes in continually improving our practices, systems and processes to be able to deliver a high standard of training and assessment services. This enables us to meet the requirements of Clause 2.2 of the Standards for RTOs 2015 and in order to achieve this, we apply a clear and systematic approach as part of our operations and strategies.

General Continuous Improvement Principles

Continuous improvement is at the core of all of our strategies and covers all aspects of our operations. We believe that continuous improvement activities drive organisational excellence to improve the delivery of our services, which is why we are committed to reviewing and discussing continuous improvement matters at each management meeting.

We endeavour to implement a culture of continuous improvement by:

- Encouraging stakeholders to provide suggestions and feedback freely and anonymously (should they wish to remain anonymous) through our *Suggestion and Feedback Form*;
- Focusing on understanding our students, clients and stakeholders in detail;
- Meeting and surpassing our students' and clients' expectations;
- Benchmarking and regularly measuring the performance of key processes;
- Using facts and accurate data, not opinions;
- Analyse data using appropriate metrics;
- Monitoring practices, systems and processes regularly, particularly our training and assessment strategies, practices and tools to ensure ongoing compliance with Standard 1 of the Standards for RTOs 2015;
- Reviewing learning and assessment resources and tools, particularly as our student numbers grow;
- Systematically evaluating and using the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices;
- Promoting active teamwork;
- Recognising and rewarding improvement efforts by staff members;
- Raise and discuss continuous improvement matters at each management meeting; and
- Form a Continuous Improvement Committee consisting of at least one staff member from each business unit.

Continuous Improvement Procedure

1. Compile data for review and analysis – data is collected to support our continuous improvement efforts (refer to the Documents and Continuous Improvement Review document for the scheduled period of review) from the following sources to enable us to review, strategise and respond appropriately:

- AQTF Learner Questionnaires
- AQTF Employer Questionnaires
- Marketing materials – such as course brochures, website content, and all other materials used to advertise and market our training programs, including those published and distributed by third-parties (where applicable)
- Industry Engagement Questionnaires
- Trainer and Assessor Feedback
- Staff Member Feedback
- Stakeholder Feedback
- Assessment Validation Checklists
- Suggestion and Feedback records
- Critical Incident Report records
- Complaints and Appeals records
- Training and Management reports
- Internal Audit reports
- External Audit reports
- Quality Indicator reports
- Attendance records
- Completed Training and Assessment tools and records
- Policy & Procedure manual
- Other sources as appropriate

This wide range of sources will enable us to gather feedback from a variety of stakeholders which can help us understand our performance and the effectiveness of various aspects of our operations.

The Student & Administration Support personnel is responsible for compiling the data and collate them for the Continuous Improvement Committee meeting each month.

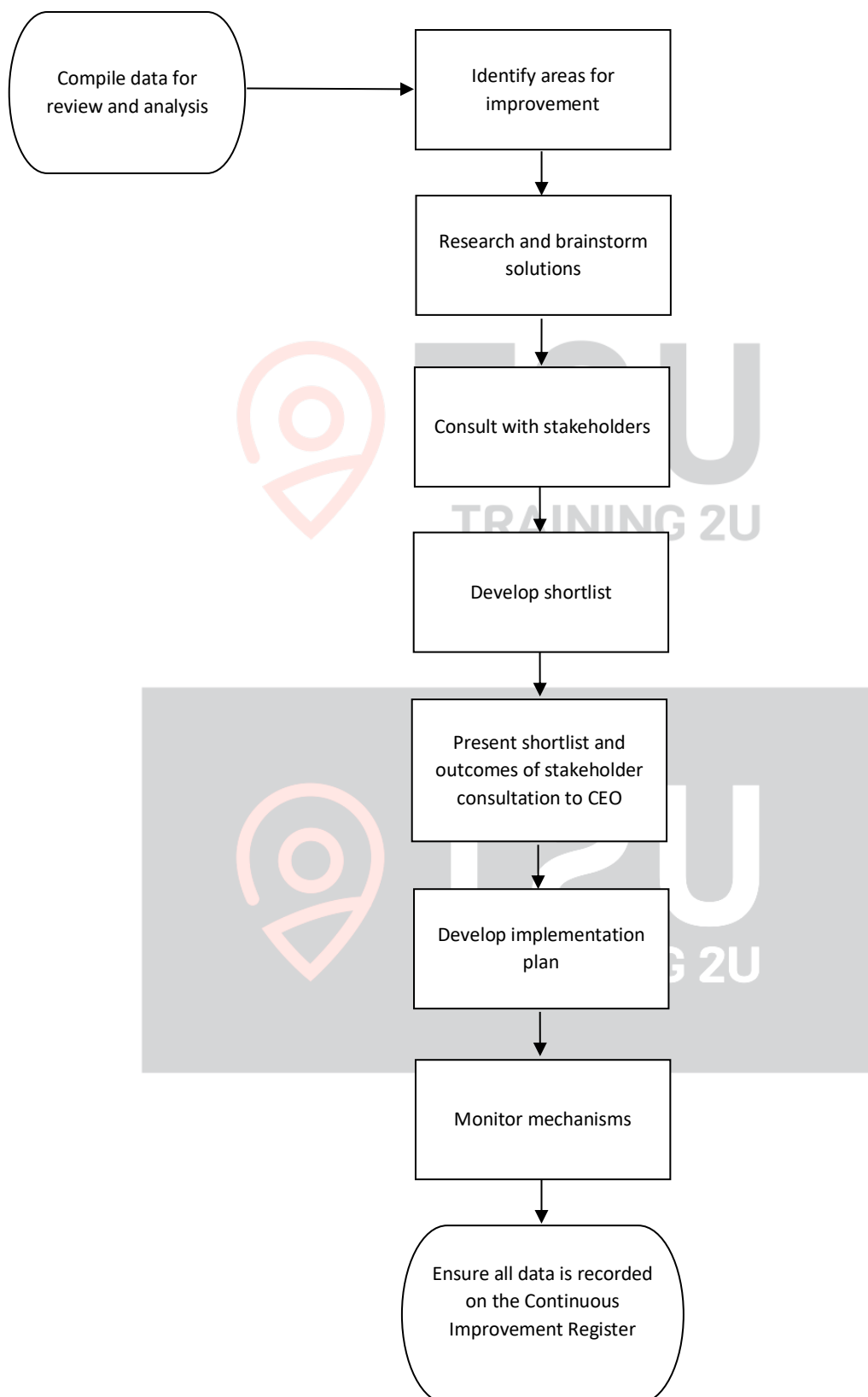
2. Identify areas for improvement – from the review and analysis of the data, the committee is then able to identify areas for improvement. Once areas for improvement have been

identified, the committee is to review them and discuss on a possible plan of action, including delegating duties and setting timeframes. The areas for improvement should be added to the Continuous Improvement Register.

3. **Research and brainstorm** – solutions should then be brainstormed and researched, and the committee should discuss the merits and downfalls of the possible solutions. A shortlist of the possible solutions is then developed.
4. **Consult with stakeholders** – the committee is then tasked with consulting with stakeholders on the shortlisted solutions. Stakeholders should provide a robust and honest input.
5. **Implement agreed actions for improvement** – the shortlist along with the outcomes of the stakeholder consultation should then be presented to the CEO. The CEO, in consultation with the committee will then develop an implementation plan for action. This information should be updated on our Continuous Improvement Register.
6. **Monitor mechanisms** – once the actions have been implemented for several weeks, they should be monitored and feedback gathered on the new systems, processes or practices. Whenever changes are made, improvements must be monitored and checked on to ensure it is working as intended. Update reports should be recorded on our Continuous Improvement Register.



Continuous Improvement Process Flow-Chart



Risk Management and Internal Audit

We are committed in ensuring that we are more than capable in delivering quality vocational education training and assessment services and in ensuring we are compliant to the relevant legislation. Risk management is an integral part of good governance and management at Training 2U. The Australian / New Zealand Standard on Risk Management (AS/NZ ISO 31000:2009) sets the basis for our best practice risk management process and framework.

We are also committed in ensuring that our policies, systems, processes or strategies are checked to the Standards for the RTOs 2015 and the NVETR Act 2011 prior to its implementation by undertaking an internal audit prior to implementing a new policy, system, process or strategy.

Training 2U undertakes an internal audit at least once a year to support our risk management processes. In addition to supporting our risk management processes, internal audits assist us in understanding our learners, our operations, and our market better, ensuring that we are able to provide quality training and assessment services to our learners. Our internal audits also aim to compliment the external audit processes undertaken by the national regulator, ASQA.

General Auditing and Risk Management Principles

The application of our risk management process encompasses the vision to promote high quality training and assessment services. The risks will be analysed against our compliance with the Standards for RTOs 2015 and the conditions of registration as an RTO.

Training 2U will endeavour to adequately analyse our risks and exposure, along with the impact on our operations, our staff and learners in order to:

- Provide quality training and assessment services consistently;
- Maximise training and assessment outcomes for learners;
- Adhere to principles of access and equity for all learners, regardless of cultural background, race, religion, beliefs, age, gender, socioeconomic background, and intellectual and physical abilities;
- Employ suitable staff members who promotes ethical practices and places our students and their interests above all else;
- Operate responsively to the needs of the organisation, staff, learners, stakeholders and the market;

- Operate responsibly in accordance with the relevant laws and regulations of the applicable Commonwealth, State and/or Territory;
- Operate compliantly ensuring we meet and exceed the applicable standards in line with ASQA's requirements;
- Maintain the required insurances to ensure the protection and the longevity of the organisation and our staff, learners and stakeholders;
- Manage our finances to ensure compliance with the applicable standards; and
- Strategically market our training and assessment services accurately, ethically and in consistent with our scope of registration.

Responsibilities

The CEO is responsible for:

- The overall risk oversight through overseeing the conduct of operational risk management reviews;
- Approving risk management action plans and strategies; and
- Reporting to regulatory authorities and relevant stakeholders on matters relating to operational risk management.
- Conducting operational risk management reviews annually, or when required (such as when new legislation is enacted);
- Implementing risk management action plans and strategies; and
- Providing on-going guidance on risk management plans, strategies and processes.

Criteria

When undertaking an internal audit for the purposes of risk identification, Training 2U is to take into consideration the following:

- Persons involved in an internal audit must consist of:
 - The CEO
 - The Compliance Consultant – the consultant must:
 - Hold the TAE40116 Certificate IV in Training and Assessment (or a higher qualification); and
 - Hold an appropriate qualification in quality auditing;
 - At least one Trainer and Assessor
 - At least one administrative staff member

- Are aware of and understand the real operating risks and their potential impacts on our operations, staff and learners;
- Are confident that risks are management appropriately, commensurate with their level of threat or exposure;
- Apply due diligence to decision making;
- The National Vocational Education and Training Regulator Act 2011;
- The National Vocational Education and Training Regulator Amendment Act 2020;
- The Standards for Registered Training Organisations 2015;
- The relevant Commonwealth, State and/or Territory legislation and regulations; and
- Any applicable industry, licensing or certification requirements.

Review Period

Risk management reviews are to be undertaken at least once a year, or when required, such as when a new legislation is passed or if the need for increased monitoring is required due to a change in market conditions.



Risk Management and Internal Audit Procedure

The following procedure is to be followed:

1. Planning – the risk-based methodology is used to plan and inform the focus of the audit.

During the planning process, the audit team is to:

- Review the outcomes and findings of previous audits – both internal and external audits (where applicable);
- Refer to feedback collected in the Quality Indicator surveys conducted (if available);
- Review the information available in the Continuous Improvement register;
- Review the industry consultation responses;
- Review the information held in the Complaints and Appeals register;
- Review selected learning and assessment resources and tools (preferably in courses considered high-risk courses);
- Review the ASQA website for guidance on the Standards and review the Internal Audit Checklist to see if we need to add or amend any items to help us with the audit, where the audit is on something not related to the Standards or the NVETR Act 2011, such as a work health and safety audit, you are to use the Risk Management Checklist template instead; and
- Formulate an evidence gathering plan to systematically review the above evidences against the scope of audit.

2. Communicate and consult – Training 2U is to communicate and consult with internal and external stakeholders, including regulatory authorities, neighbouring businesses (where relevant), industry partners, Trainers and Assessors, administration and business support staff members, as well as current and past learners to seek assistance and clarification where required during the audit process. This means that plans for communication and consultation should be developed at an early stage and address issues relating to the risk itself, its causes and its consequences (if known), along with the measures that can be taken to treat them.

A consultative approach may:

- Help establish the risk context appropriately;
- Ensure that the interests of stakeholders are understood and considered;
- Help ensure that risks are adequately identified;
- Bring different areas of expertise together for the analysis of risks;
- Secure endorsement and support for a treatment plan;
- Enhance appropriate change management during the risk management process; and

- Develop an appropriate external and internal communication and consultation plan.

Communication and consultation with stakeholders is important as they make judgements about risk based on their perceptions of risk. These perceptions can vary due to differences in values, needs, assumptions, concepts and concerns of stakeholders.

As their views can have a significant impact on the decisions made, the stakeholders' perceptions should be identified, recorded, and taken into account in the decision-making process.

Communication and consultation should facilitate truthful, relevant, accurate and understandable exchanges of information, taking into account confidential and personal integrity aspects.

It is important that all notes and steps taken throughout the process are recorded in the Continuous Improvement Register and in the checklists used. At the completion of the process, the checklists are to be uploaded onto the Continuous Improvement Register.

- 3. Establish the context** – by establishing the context, the organisation articulates its objectives, defines the internal and external parameters to be taken into account when managing risk, and sets the scope and risk criteria for the remaining process.

The internal context can include:

- Advertising and marketing strategies;
- Student enrolment process;
- Assessment validation or moderation processes;
- Governance, organisational structure, roles and accountabilities;
- Policies, objectives, and the strategies that are in place to achieve them; and
- Capabilities, in terms of resources and knowledge, including capital, time, people, processes, systems and technologies.

The external context can include:

- The social and cultural, political, legal, regulatory, financial, technological, economic, and competitive environment, whether international, national, regional or local;
- Key drivers and trends having impact on the objectives of the organisation; and
- Relationships with, perceptions and values of external stakeholders.

The context of the audit will vary on our needs, which can involve:

- Defining the goals and objectives of the internal audit;
- Defining responsibilities for and within the risk management process;
- Defining the scope, as well as the depth and breadth of the internal audit to be carried out, including specific inclusions and exclusions;

- Defining the relationships between a particular project, process or activity and other projects, processes or activities of the organisation;
- Defining the way performance and effectiveness is evaluated;
- Identifying if the training and assessment is up to and exceeds industry standards;
- Identifying whether the learning needs of clients are met;
- Identifying and specifying the decisions that have to be made and how we can continuously improve the outcomes;
- The nature and types of causes and consequences that can occur and how they will be measured;
- How likelihood will be defined;
- The timeframe(s) of the likelihood and/or consequence(s);
- How the level of risk is to be determined;
- The views of stakeholders;
- The requirements of the national VET system;
- The level at which risk becomes acceptable or tolerable; and
- Whether combinations of multiple risks should be taken into account and, if so, how and which combinations should be considered.

Once the context has been established, the audit team is to prepare an audit tool. Where it is an audit to the Standards for RTOs 2015, we are to use our Internal Audit Checklist for this audit.

4. **Risk identification** – once the context of the risk is established, Training 2U can now identify the source of the risks, the areas of impact, their causes and their potential consequences. It is important to identify the risks associated with not pursuing an opportunity or project, therefore comprehensive identification is critical.

Training 2U should apply risk identification tools and techniques that are suited to our objectives and capabilities to the risks faced. It is important to consider current information, including appropriate background information where possible, and information as well as perspectives of experts in the field. For example, if the matter concerns compliance, the Compliance Manager should be involved in the risk identification (and management) process.

5. **Risk analysis** – involves developing an understanding of the risk. Risk analysis provides an input to risk evaluation and to decisions on whether risks need to be treated, and on the most appropriate risk treatment strategies and methods. Risk analysis can also provide an input into making decisions where choices must be made and the options involve different types and levels of risk.

Training 2U can undertake the analysis with varying degrees of detail, depending on the risk, the purpose of the analysis, and the information, data and resources available. Analysis can be qualitative, semi-quantitative or quantitative, or a combination of these, depending on the circumstances. It should involve consideration of the causes and sources of risk, their positive and negative consequences, and the likelihood that those consequences can occur. Factors that affect consequences and likelihood should be identified. Risk is analysed by determining consequences and their likelihood, and other attributes of the risk. An event can have multiple consequences and can affect multiple objectives. Existing controls and their effectiveness and efficiency should also be taken into account.

Consequences and their likelihood can be determined by modelling the outcomes of an event or set of events, or by extrapolation from experimental studies or from available data. Consequences can be expressed in terms of tangible and intangible impacts. In some cases, more than one numerical value or descriptor is required to specify consequences and their likelihood for different times, places, groups or situations.

Training 2U typically uses a Qualitative Risk Rating, which means that risks are analysed and based on that analysis is classified as minimal, low, medium, high, or severe. This form of risk rating is used to determine which risk takes priority over another in terms of deciding what to do and when. It is the simplest and most straight forward form of risk rating which is why it is our preferred methodology.

6. **Risk evaluation** – once the risk has been analysed, a risk evaluation needs to be undertaken to assist in making decisions. Risk evaluation involves comparing the level of risk found during the analysis process with the risk criteria established in the first step of the risk management process. Once the comparison is completed, the need for treatment can be considered. Decisions should take into account the wider context of the risk and include consideration of the tolerance of the risks born by all stakeholders, not just Training 2U. In some circumstances, the risk evaluation can lead to a decision to undertake further analysis. The risk evaluation can also lead to a decision not to treat the risk in any way other than maintaining the existing controls. This decision will be influenced by the organisation's risk attitude and the risk criteria that have been established.
7. **Risk treatment** – involves selecting one or more options for controlling, reducing, or eliminating the risks, and then implementing the chosen treatment. This step also enables the audit team to identify not just the risk treatment, but also opportunities for improvement.

Risk treatment involves a cyclical process of:

- Assessing a risk treatment;

- Deciding whether residual risk levels are tolerable;
- If not tolerable, generating a new risk treatment;
- Assessing the effectiveness of that treatment and whether there are opportunities for improvement; and
- Implementing the treatment.

Risk treatment options are not necessarily mutually exclusive or appropriate in all circumstances. The options can include:

- Avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk;
- Taking or increasing the risk in order to pursue an opportunity;
- Removing the risk source;
- Changing the likelihood;
- Changing the consequences;
- Sharing the risk with another party or parties (including contracts and risk financing); and
- Retaining the risk by informed decision.

Selecting the most appropriate risk treatment option involves balancing the costs and efforts of implementation against the benefits derived, with regard to legal, regulatory, and other requirements such as social responsibility and the protection of the natural environment. Decisions should also take into account risks which can warrant risk treatment that is not justifiable on economic grounds, for example, severe but rare risks.

Values and perceptions of stakeholders should also be considered when selecting risk treatment options. Where risk treatment options can impact on risk elsewhere in the organisation or with stakeholders, these should be involved in the decision. Though equally effective, some risk treatments can be more acceptable to some stakeholders than to others. The risk treatment plan should clearly identify the priority order in which individual risk treatments should be implemented.

It should include:

- The reasons for selection of treatment options, including expected benefits to be gained;
- Those who are accountable for approving the plan and those responsible for implementing the plan;
- Proposed actions;

- Resource requirements including contingencies;
- Performance measures and constraints;
- Reporting and monitoring requirements; and
- Timing and schedule.

Treatment plans should be integrated with the management processes of the organisation and discussed with appropriate stakeholders. Decision makers and other stakeholders should be aware of the nature and extent of the residual risk after risk treatment. The residual risk should be documented and subjected to monitoring, review and, where appropriate, further treatment.

The CEO will be required to sign off on all of the risk treatments prior to its implementation.

8. **Monitor and review** – it is necessary to monitor and review the outcomes achieved from the implementation of risk treatments and should be a planned part of the risk management process and involve regular checking or surveillance.

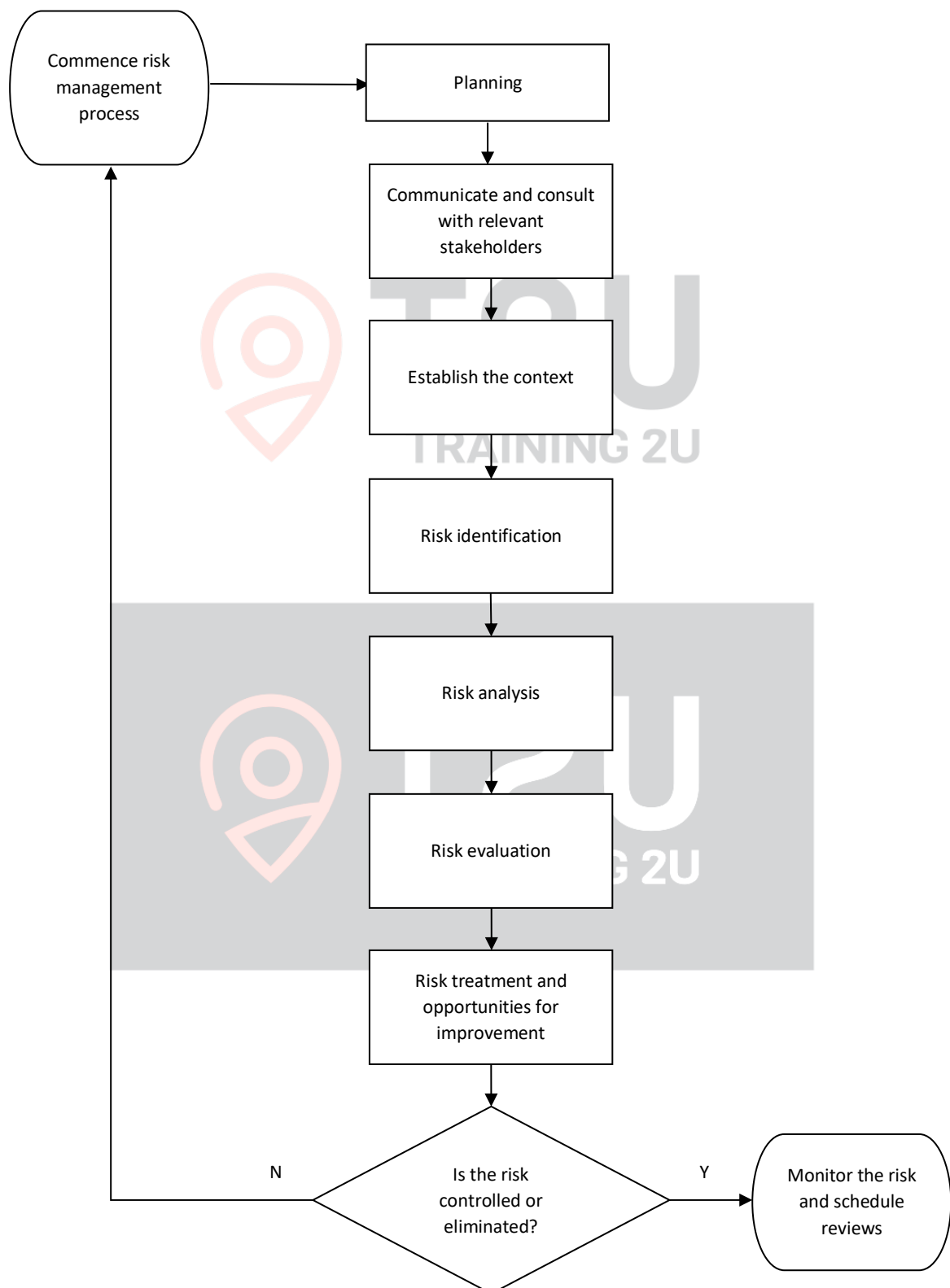
Part of the process is to collect relevant data for analysis such as the information contained in the Continuous Improvement register, the Quality Indicator survey data from both learners and employers, industry consultation data, initial internal audit findings, as well as the information held in the Complaints and Appeals register.

Responsibilities for monitoring and review should encompass all aspects of the risk management process for the purposes of:

- Ensuring that controls are effective and efficient in both design and operation;
- Obtaining further information to improve risk assessment;
- Analysing and learning lessons from events (including near-misses), changes, trends, successes and failures;
- Detecting changes in the external and internal context, including changes to risk criteria and the risk itself which can require revision of risk treatments and priorities; and
- Identifying emerging risks.

Results of monitoring and review should be recorded and internally and externally reported as appropriate. It should also be used as an input to the review of the risk management framework.

Risk Management and Internal Audit Process Flow-Chart



Internal Audit Checklist

Date of Audit	
Audit Participants	
CEO Signature	

Items

Item	Yes	No	Comments
Company Structure and Regulatory Department Databases			
CEO, Director(s) and Secretary as per ASIC record(s) and ASQA database			
Shareholders as per ASIC record(s) and ASQA database			
Information on training.gov.au is up-to-date			
Reporting			
28 Feb – AVETMISS Data Report Lodged			SRTO Clauses 2.1 and 7.5
30 Apr – CEO Declaration Lodged			SRTO Clauses 2.1 and 8.4
30 June – Quality Indicator (QI) Data Report Submitted			SRTO Clauses 2.1 and 7.5
31 July – Annual Registration Charge Paid			
Changes to information pertaining to the RTO reported within the correct timeframes			SRTO Clauses 2.1, 8.1 and 8.5
Governance			
Fit and Proper Person(s): Meets the requirements of Schedule 3 (no conviction, not bankrupt, has not been disqualified, not involved in any troubled RTOs previously)			SRTO Clauses 2.1 and 7.1
Item	Yes	No	Comments

Organisation Chart: Accurate and clearly specify if they are a third-party			SRT0 Clauses 2.1 and 7.1
FVRA: Maintained and within the acceptable risk margins as signed off by a qualified Accountant			SRT0 Clauses 2.1 and 7.2 – particularly if there is an AAT directive or a condition of registration
Public Liability insurance: Certificate of currency is valid and ensure that if RTO undertakes work-based training or work placements, that the PL insurance covers this			SRT0 Clauses 2.1 and 7.4
Fee collection – Local students: RTO collects fees no more than \$1,500 unless there is an unconditional financial guarantee from a bank operating in Australia in place, as part of the TPS scheme, and the balance is collected in proportion to the training undertaken / duration, or an alternative measure approved by ASQA			SRT0 Clauses 2.1 and 7.3 – if there is a unconditional financial guarantee, how was the guarantee amount determined and what monitoring mechanisms are in place to ensure that this level is greater than the amount of fees required to be protected
Fee collection – B2B students: In accordance with commercial agreement with client business			SRT0 Clauses 2.1 and 7.3
Keeping learners informed: Compliant process to inform students when changes occur (including change of ownership and regulatory and legislative changes such as deleted qualification or change in data collection requirements) and the process is correctly followed by RTO			SRT0 Clauses 2.1, 5.4 and 8.6
Version control and archiving: Previous documents and materials are correctly archived, process for version control and archiving is compliant and it is correctly followed by RTO			SRT0 Clauses 2.1, 8.1 and 8.2
Back-up schedule: RTO properly backs-up their data securely and the process is correctly followed			SRT0 Clauses 2.1, 8.1 and 8.2
Review schedule: Records are kept showing the document review schedule, process is complete and it is correctly followed by RTO			SRT0 Clauses 2.1, 8.1 and 8.2
Continuous improvements: Register kept up-to-date, process is compliant and it is correctly followed by RTO			SRT0 Clauses 1.7, 2.1 and 2.2

Item	Yes	No	Comments
Advertised training products and services: RTO honours all commitments it makes in all marketing materials – such as support services, training programs and resources and materials such as MYOB access at no cost			Clauses 2.1 and 4.1
Superseded training products: Compliant process is available and it is correctly followed by RTO: <ul style="list-style-type: none"> - For replaced training products: Learners' training and assessment completed within 1-year of the date the replacement training product was released, or learner is transitioned to the new training product – unless the training product is to be delivered as part of a current qualification or skill set - For deleted qualifications: Learners' training and assessment completed and AQF certification documentation issued within 2-years from the date the training product was deleted - For deleted skill sets, unit of competencies or accredited short courses: Learners' training and assessment is completed and AQF certification documentation issued within 1-year from the date the training product was deleted - No new learners are enrolled in the deleted training product 			SRTO Clauses 1.26, 1.27 and 2.1
Complaints and appeals register: Ensure that the register contains is kept up-to-date and contains: <ul style="list-style-type: none"> - Records of actions taken to address the root cause of complaints - Minutes of staff meetings at which actions arising from complaints were agreed - Changes made to RTO's systems as a result of reviewing complaints and appeals 			SRTO Clauses 2.1 and 6.1 – 6.6
Item	Yes	No	Comments

Complaints and appeals process: Process is compliant and it is correctly followed by RTO, including processes that addresses third-parties who are providing services: <ul style="list-style-type: none"> - How prospective and current students, staff and third-parties are advised of the policy and process - Policy and process is publicly available - Clear procedure for making a complaint or requesting an appeal - Identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence - How the data about complaints and appeals are monitored and reviewed to ensure timeliness, identify systemic issues and improve RTO operations and services - Ensure complaints and appeals are acknowledged in writing and finalised as soon as practicable - Take no more than 60 calendar days to process and finalise the complaint or appeal and what happens if they do take more than 60 calendar days to process - Regularly updates the complainant or appellant on the progress of the matter - Securely maintains records of all complaints and appeals and their outcomes - Ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process - Independent party review once formal process is completed internally 			SRT0 Clauses 2.1, 2.2 6.1 – 6.5 and 6.6
Item	Yes	No	Comments
Advertised training products and services: RTO honours all commitments it makes in all marketing			SRT0 Clauses 2.1 and 4.1

materials – such as support services, training programs and resources and materials			
AQF certification documentation: Process for the issuing of AQF certification documentation and the records of the AQF certification documentation is maintained is compliant and it is correctly followed by RTO			SRTO Clauses 2.1, 3.1, 3.3 and 3.4
AQF certification documentation: Ensure that they contain:			SRTO Clauses 2.1 and 3.2
Certificate			
- RTO name			
- RTO code			
- RTO logo			
- Course code and title as per National Register			
- NRT logo (for accredited training only)			
Testamur			
- State / Territory Training Authority logo			
- Industry descriptor (where applicable)			
- Occupational or functional stream, in brackets (i.e. Fabrication) (where applicable)			
- The words 'achieved through Australian Apprenticeship arrangements' (where applicable)			
- The words 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules (where applicable)			

Item	Yes	No	Comments
Statement of Attainment			
- RTO name			
- RTO code			
- RTO logo			
- List of units of competency, including code and title as per National Register			
- The authorised signatory			
- NRT logo			
- Organisation's seal, corporate identifier or unique watermark			
- The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'			
- The State / Territory Training Authority logo (where applicable)			
- The words 'These competencies form part of [code and title of qualification(s)/course(s)]' (where applicable)			
- The words 'These competencies were attained in completion of [code] course in [full title]' (where applicable)			
- The words 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules (where applicable)			

Item	Yes	No	Comments
Third-Party Arrangements			
If the RTO is a third-party provider: Cannot advertise a VET course using its own name, and must use the name of the principal RTO on all marketing materials			SRTO Clauses 2.1 and 4.1
Written agreement signed and scope clearly outlined in the document, including monitoring processes, record-keeping procedures and the requirement to cooperate with ASQA (or the VET regulator) as and when required			SRTO Clauses 2.1, 2.3 and 8.2
Inform ASQA of arrangement within 30 calendar days of entering into the agreement or prior to the obligations ending the agreement taking effect, whichever occurs first			SRTO Clauses 2.1 and 8.3
Compliant monitoring and continuous improvement processes, and the RTO has sufficient strategies and resources to undertake the activities and processes are correctly followed by RTO			SRTO Clauses 2.1 and 2.4
Inform ASQA within 30 calendar days of the agreement ending			SRTO Clauses 2.1 and 8.3
RTO engaged or entered into an agreement with to deliver training and/or assessment must have the relevant course on scope, that is both RTOs must have the course on their scopes			NVR Sections 93 and 94
If the RTO engages a non-RTO to deliver training and/or assessment as long as it is done entirely in the RTO's name and on the RTO's behalf			NVR Sections 116 and 117
RTO cannot engage a non-RTO third-party to provide training and/or assessment for 'VET courses of concern' without prior written approval from ASQA			SRTO Clauses 2.1 and 2.4
RTO cannot use a third-party arrangement to avoid responsibility for compliance and is wholly responsible for all services provided on its behalf			SRTO Clauses 2.1 and 2.4

Item	Yes	No	Comments
A non-RTO third-party cannot offer to provide or provide a VET course under its own name, that is they cannot advertise, offer to provide or provide a VET course in its own name, and they cannot issue qualifications or SoAs in their name or with their logo included			SRT0 Clauses 2.1 and 2.4
Marketing			
Marketing materials must include:			SRT0 Clauses 2.1, 4.1, 5.2 and 5.3 – regardless of who is providing the information (i.e. education agents and brokers) and regardless of the medium (i.e. website / social media / brochures)
- RTO name, code and logo (and CRICOS code, where applicable)			
- NRT logo in accordance with Schedule 4			
- Course code and name as per the National Register			
- Entry requirements, such as: <ul style="list-style-type: none"> o LLN / CSI requirements o Completion of Year 10 or 12 / any equivalent prior training 			
- Units of competencies			
- Location and mode of delivery			
- Duration			This include breaks
- Resources required (if applicable)			
- Career opportunities			Ensure there are no promises made
- Not guarantee a particular employment outcome where it is outside of the control of the RTO			
- Not guarantee that a learner will successfully complete a training product			
- Not guarantee that a course can be completed without meeting the requirements			
Item	Yes	No	Comments

- Fees and charges and refund policies			This includes what is included in the fees and the payment terms, including deposits, refunds as well as defaults
- Accurate information on any VET Student Loans, government-funded subsidies or other financial arrangements			
- Provide details of any loss of entitlement that may occur if a student undertakes the course			Such as where they can only access one course with the subsidy or grant
- Licensing or accreditation outcomes (if applicable)			
- Support services and attendance requirements			
- Assessments and satisfactory course progress			
- Recognition of prior learning and credit transfer			
- Work placement / Work based training information (if applicable)			
- University / further learning pathways (if applicable)			
- RTO's obligations to the learner, including who is responsible for the quality of the training and assessment and for the issuance of the AQF certification documentation			
- Learner's rights including the Complaints and Appeals process and what happens if a third-party closes or ceases to deliver any part of the training product			
- Distinguishes between NRT and non-accredited training (if applicable)			

Item	Yes	No	Comments
<ul style="list-style-type: none"> - Specifies clearly if there is a third-party recruiting or conducting the training and assessment, including the name and contact details of the third-party and related educational and support services available to the learner by the third-party (if applicable) 			
Only markets current training products or a non-current training product whilst it remains on the RTO's scope of registration			
Monitoring processes for marketing channels are in place and it is correctly followed by RTO			SRTO Clauses 2.1 and 4.1
VET Student Loans: The marketing materials must clearly state that the VET Student Loans must be repaid, and the RTO must not: <ul style="list-style-type: none"> - Have any social media marketing to mention the availability of a VET Student Loan - Engage in cold-calling to market courses and offer a VET Student Loan - Allow for agents or brokers to provide any information about a VET Student Loan - Offer benefits such as laptops/tablets, prizes or vouchers of greater than a \$30 value to encourage students to sign up for a VET Student Loan - Describe that the training is paid for through the student's VET Student Loan as being 'free', 'government-funded', or any other term that implies it is 'not a loan'. 			SRTO Clauses 2.1 and 4.1
Website			
Privacy Notice			SRTO Clauses 2.1 and 4.1 – this may be in the student handbook
Complaints and Appeals			SRTO Clauses 2.1 and 4.1 – this may be in the student handbook
Student Handbook			SRTO Clauses 2.1 and 4.1
Item	Yes	No	Comments

Complete and accurate course information			SRT0 Clauses 2.1 and 4.1 – refer to the Marketing section for the itemised list of inclusions
Enrolment process and form is compliant			SRT0 Clauses 2.1 and 4.1 – check that the declaration covers the Privacy Notice
Enrolment			
Compliant pre-enrolment process and it is correctly followed by RTO			SRT0 Clauses 2.1 and 4.1
Compliant process to collect and verify a learner's USI and it is correctly followed by RTO			SRT0 Clauses 2.1 and 3.6 – should have an AVETMISS compliant SMS or a process which involves the USI portal
Compliant process to assess a learner's individual needs, pre-existing skills and experience and it is correctly followed by RTO			SRT0 Clauses 2.1 and 5.1
Clear LLN / CSI policy and procedure			SRT0 Clauses 2.1 and 5.1
Enrolment form must also contain:			SRT0 Clauses 2.1 and 5.3 – on top of the personal information fields
- Privacy Notice			
- Disability Supplement			
- Declaration contains that the student has read, reviewed and understand the:			
o Terms & Conditions of enrolment			
o Rights and obligations			
o Fees and charges			This includes fees to be paid and the terms of payment (and if the course is being paid for by the employer or job network provider, information about the course, the student's progress and outcomes, as well as the certificate and/or transcript will be shared with the employer or job network provider)
o Cancellation and refund policies			
Item	Yes	No	Comments
o Course information and marketing materials			

<ul style="list-style-type: none"> ○ Complaints and Appeals process ○ Privacy Notice ○ Release clause for RTO to use photos in public (and opt-out) - Checklist of requirements to be submitted 			Including it does not remove the student's right to take action under Australia's consumer protection laws
			This includes the consent to collect, use and disclose of the personal information
Trainers and Assessors			
TAE qualifications: <ul style="list-style-type: none"> - TAE40116 Cert IV in TAE; or - TAE40110 and TAELN411 (or its predecessor), and TAEASS502 (or its predecessor); or - Diploma or a higher level qualification in adult education 			SRTO Clauses 1.14, 1.15 and 2.1
Vocational requirements: <ul style="list-style-type: none"> - Vocational competencies at least to the level being delivered and assessed - Current industry skills directly relevant to the training and assessment being provided - Current knowledge and skills in vocational training and learning that informs their training and assessment 			SRTO Clauses 1.13, 1.14 and 2.1
CPD undertaken for both vocational and TAE in the past 12 months			SRTO Clauses 1.16 and 2.1

Item	Yes	No	Comments
Supervised trainers who do not determine assessment outcomes, they possess: <ul style="list-style-type: none"> - TAESS00007; or - TAESS00014; or - TAESS00008; or - TAESS00013. 			SRTO Clauses 1.17-1.19 and 2.1
Ensures there are supervision, monitoring and accountability mechanisms are in place for the supervised trainer: <ul style="list-style-type: none"> - Determines the level of supervision required 			SRTO Clauses 1.20 and 2.1
<ul style="list-style-type: none"> - Any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and the collection of assessment evidence 			
<ul style="list-style-type: none"> - Ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under supervision 			
Training and Assessment Essentials			
Compliant TAS, outlining and taking into consideration: <ul style="list-style-type: none"> - Course code and title as per National Register 			SRTO Clauses 1.1-1.4, 1.7, 1.13-1.24, 2.1 and 2.2
<ul style="list-style-type: none"> - Duration 			This should include release number
<ul style="list-style-type: none"> - Name of Trainer(s) and Assessor(s) 			Identify if breaks are included
<ul style="list-style-type: none"> - Trainer-to-Learner Ratio 			RTO should be able to explain how they arrived at the ratio
<ul style="list-style-type: none"> - Support Staff-to-Learner Ratio 			RTO should be able to explain how they arrived at the ratio
<ul style="list-style-type: none"> - Contact Time 			This includes classroom sessions, phone and e-mail support (where applicable)

Item	Yes	No	Comments
- Qualification Description			Should match to data on training.gov.au
- Target Learner			This includes target learner's characteristics – skills, knowledge and educational and work experience
- Training package and training package developer			
- Mode of delivery			
- Authorisation			
- Licensing, legislative, regulatory or certification considerations			
- Entry requirements and pre-requisites			This includes unit of competency pre-requisites (if applicable)
- Training Outcomes			Cannot allude to promises of specific work
- Core skills requirements			
- Work placement / Work based training			
- Managing learner needs			This should include educational and support services to meet the needs of the learner cohort in undertaking the training program
- Amount of training for each target market and how the calculation was decided on			This should include the learner's existing skills, knowledge, experience and mode of delivery for the training program
- Units of competencies			
- Sequence of delivery			Can be the timetable
- Meets all requirements specified in the relevant training package or VET accredited course			
- Learning Resources			Must be easily accessible to learners and sufficient for the class

Item	Yes	No	Comments
- Assessment Resources			Must be easily accessible to learners and sufficient for the class
- Facilities			Whether physical or virtual – such as campus facilities or LMS
- Assessment process			
- Suitable and reasonable adjustments			
- Benchmarks for assessment			
- Re-assessment and appeals			
- Assessment validation			This includes the evaluation of validation outcomes
- Industry engagement			This includes whether the industry agrees with the trainers and assessors' current industry skills, as well as how they align with the TAS, practices and resources
- Continuous improvement			This includes monitoring systems and the systematic evaluation of trainer and client feedback, and other relevant items to improve
Assessment Tools meet:			SRTO Clauses 1.1-1.4, 1.8, 2.1 and 2.2
- Principles of Assessment			
o Fairness			
▪ Learner's needs are considered in the assessment process			
▪ Reasonable adjustments are applied by the RTO to take into account the individual learner's needs			
▪ Informs the learner about the assessment process			
▪ Provides the learner with the opportunity to challenge the result of the assessment and be re-assessed, if necessary			
Item	Yes	No	Comments
o Flexibility			

<ul style="list-style-type: none"> ▪ Assessment reflects the learner's needs 			
<ul style="list-style-type: none"> ▪ Assessing competencies held by the learner no matter how or where they have been acquired 			
<ul style="list-style-type: none"> ▪ Draws from a range of assessment methods, appropriate to the context, the unit of competency, assessment requirements and the learner 			
<ul style="list-style-type: none"> ○ Validity <ul style="list-style-type: none"> ▪ Assessment decision made is justified, based on evidence submitted by the learner 			
<ul style="list-style-type: none"> ▪ Assessment maps to the unit of competency completely 			This includes mapping to the foundational skills component
<ul style="list-style-type: none"> ○ Reliability <ul style="list-style-type: none"> ▪ Assessment evidences are consistently interpreted (same determination) regardless of the Assessor 			
<ul style="list-style-type: none"> - Rules of evidence: <ul style="list-style-type: none"> ○ Validity <ul style="list-style-type: none"> ▪ The learner evidences that they have the skills, knowledge and attributes for the unit of competency ○ Sufficiency <ul style="list-style-type: none"> ▪ Enough evidences are collected to make a judgement on a learner's competency ○ Authenticity <ul style="list-style-type: none"> ▪ Assured that the evidence submitted is the learner's own work 			

Item	Yes	No	Comments
<ul style="list-style-type: none"> ○ Currency <ul style="list-style-type: none"> ▪ Evidence submitted is from the present or the very recent past 			
<p>Assessment submissions are marked to the Marking Guide and the Marking Guide has:</p> <ul style="list-style-type: none"> - Model answers and benchmarks to ensure consistency in assessment judgements - Sample of work items / responses, where applicable 			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
Assessor Instructions are clear			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
Student Instructions are clear			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
Feedback sections are appropriate and feedback is provided adequately and promptly provided to students			SRT0 Clauses 1.1-1.4, 2.1 and 2.2 – tool cannot be tick and flick
Compliant RPL process and tools and it is correctly followed by RTO			SRT0 Clauses 1.8, 1.12 and 2.1
Work Placements / Work Based Training (if applicable)			
WBT Agreements signed by host employer, RTO and student			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
WBT logbook and observation checklists meets the benchmarks for the relevant units of competency			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
WBT processes are correctly followed by RTO			SRT0 Clauses 1.1-1.4, 2.1 and 2.2
Industry Engagement			
Industry engagement process and it is correctly followed by RTO			SRT0 Clauses 1.5, 1.6 and 2.1
Industry engagement activities are meaningful and shows that the training and assessment strategies, practices and resources are relevant to the needs of the industry and informed by the industry			SRT0 Clauses 1.5, 1.6 and 2.1
Industry engagement activities evidence that the trainers and assessors have the current industry skills required			SRT0 Clauses 1.5, 1.6 and 2.1 – this includes CPD guidance and matters
Industry engagement schedule and it is correctly followed by RTO (should be at least once a year)			SRT0 Clauses 1.5, 1.6 and 2.1

Item	Yes	No	Comments
Assessment Validation			
Compliant Assessment Validation process and it is correctly followed by RTO			SRTO Clauses 1.9, 1.10, 1.25 and 2.1
Compliant Assessment Validation schedule which includes: <ul style="list-style-type: none"> - Training products to be validated - Who will lead and participate in validation activities - How the outcomes of these activities will be documented and acted upon - When validation will occur – at least 50% of products validated within the first 3-years of each 5-year cycle (more often with higher risk training products) 			SRTO Clauses 1.9 -1.11 and 2.1
Panel of Assessment Validation is recorded and panel: <ul style="list-style-type: none"> - The systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery - Vocational competencies and current industry skills relevant to the assessment being validated - Current knowledge and skills in vocational teaching and learning - Has the required TAE credentials 			SRTO Clauses 1.11, 1.25 and 2.1
Support and Progression			
Compliant policy and process in place to inform students of any changes to legislative and regulatory requirements that affect the services being delivered, such as where the qualification has been deleted or superseded, or there are new personal information collection guidelines			SRTO Clauses 2.1 and 8.6

Item	Yes	No	Comments
Compliant support process and process is correctly followed by RTO			SRT0 Clauses 1.3, 1.7 and 2.1
Intervention strategies			
Attendance			
Academic performance			



Risk Management Checklist

Date(s) of Audit	
Purpose of Audit	
Scope of Audit	
Audit Participants and their job titles	

1. Planning

Item	Date Completed	Staff Initial
Review the outcomes and findings of previous audits – both internal and external (where applicable)		
Refer to feedback collected in the Quality Indicator surveys conducted (if available)		
Review the information available in the Continuous Improvement register		
Review the industry consultation responses		

Item	Date Completed	Staff Initial
Review the information held in the Complaints and Appeals register		
Review selected learning and assessment resources and tools (preferably in courses considered high-risk courses)		
Formulate an evidence gathering plan to systematically review the above evidences against the scope of audit		

2. Communicate and consult

Item	Date Completed	Staff Initial
Generate a list of internal and external stakeholders to be included in the audit process.		
Prepare plans for communication and consultation		

3. Establish the context

Item	Date Completed	Staff Initial
Review the information collected in the <i>Planning</i> and the <i>Communicate and consult</i> phases to establish objectives, parameters, context and scope		
Prepare audit tool – ASQA’s self-assessment tool can be used as a basis (downloadable here)		

4. Risk identification

Item	Date Completed	Staff Initial
Identify source of risk(s) and cause(s)		
Identify area(s) of impact		
Identify potential consequence(s)		

5. Risk analysis

Item	Date Completed	Staff Initial
Audit team to review all information available in order to understand the risk(s)		
Analyse risk(s) using appropriate methods – qualitative, semi-quantitative or quantitative, or a combination of these depending on the circumstances		
Consult with experts (where required)		

6. Risk evaluation

Item	Date Completed	Staff Initial
Compare level of risk(s) found during the <i>Risk Analysis</i> process with the risk criteria established		
Decide whether risk(s) are to be treated and conduct research on what the most appropriate risk treatment strategies are		
Decide on the risk treatment strategy		

7. Risk treatment and opportunities for improvement

Item	Date Completed	Staff Initial
Compare level of risk(s) found during the <i>Risk Analysis</i> process with the risk criteria established		
Assess a risk treatment		
Decide whether residual risk levels are tolerable, if not, generate a new risk treatment		
Assess the effectiveness of that treatment and whether there are opportunities for improvement		
Implement the treatment		
Identify and document any opportunities for improvement		

8. Monitor and review

Item	Date Completed	Staff Initial
Set a schedule for monitoring and reviewing the risk treatment		
Collect relevant data for analysis		
Analyse the effectiveness of the implemented risk treatment		
Review and make amendments (where required)		
Results of monitoring and review should be recorded		
Report internally and externally (as required)		

Interactions with Regulatory and Statutory Bodies and Reporting Obligations

As a Registered Training Organisation (RTO), Training 2U is required to interact with and report to various regulatory and statutory bodies. The main regulatory body Training 2U will be required to interact with and report to is the National VET Regulator, which is the Australian Skills Quality Authority (ASQA). ASQA is the National VET Regulator, established under the National Vocational Education and Training Regulator Act 2011. Training 2U is registered by ASQA and therefore must comply with requirements set out by ASQA under the VET Quality Framework. It is vital that Training 2U implement arrangements to ensure appropriate co-operation and interaction with ASQA.

General Interaction and Reporting Principles

Training 2U will strive to assist and comply with the requests of the relevant regulatory and statutory bodies in a timely manner. We will endeavour to maintain our systems and records systematically so that the information required by the regulatory and statutory bodies are easily located and provided. We aim to approach all communications in a professional, transparent and friendly manner and ensure all requests for information are provided in a clear and easy to read format.

Training 2U will also ensure we meet all requirements and responsibilities as specified in the Data Provision Requirements 2020 and Standards for RTOs 2015 to ensure we maintain compliance to them.

Responsibilities

The CEO is responsible in:

- Overseeing and co-ordinating arrangements to facilitate timely and efficient interactions with ASQA, including but not limited to information requests and reports, audits and corrective actions as a result of a compliance audit; and
- Ensuring the information provided to ASQA is accurate and current at the time of interaction or reporting.

The Student & Administration Support personnel, Trainers and Assessors, as well as other staff members will be required to assist and support the CEO in ensuring the data and information entered and maintained in our systems are accurate, current, clear and free of errors.

Cooperation with ASQA in the conduct of audits and the monitoring of our operations

In accordance with Clause 8.1, we are to ensure that during the course of an audit and ASQA's monitoring of our operations, we cooperate with the auditors truthfully, earnestly and transparently. We are to provide the auditors with any requested records or reports, regardless of its compliance status or completeness, within 1 working day, or no later than the due date specified by the ASQA auditors.

AQTF Learner and Employer Surveys

In accordance with the Data Provision Requirements, it is a requirement of all RTOs to provide an annual summary report of their performance against their learner engagement and employer satisfaction quality indicators. Training 2U is committed to report accurate data to ASQA and has a process in place to collect this data. When a learner completes their training program with us, they are provided with an AQTF Learner Questionnaire form to complete. If an employer has engaged us to deliver training to their employees, we would also forward the AQTF Employer Questionnaire to the employer. Whilst it is not compulsory for learners and their employers to complete the questionnaires, we strongly encourage them to do so.



Annual Reporting Obligations

In accordance with Clauses 7.5 and 8.4 of the Standards for RTOs 2015, Training 2U is required to maintain information and data on our performance and governance, to enable accurate and timely reporting. We will complete and submit the following reports by the specified due date:

Type of report	Requirements
By the 28 February (close of business) – AVETMISS Report	<p>Report submitted to NCVER – data can be generated and downloaded from our Student Management System, in the form of NAT files, and the NAT files (listed below) are uploaded to the AVETMISS Validation Software:</p> <ul style="list-style-type: none"> - Training Organisation File (NAT00010) - Training Organisation Delivery Location File (NAT00020) - Program File (NAT00030) - Subject File (NAT00060) - Client File (NAT00080) - Client Contact Details File (NAT00085) - Disability File (NAT00090) - Prior Educational Achievement File (NAT00100) - Training Activity File (NAT00120) - Program Completed File (NAT00130) <p>The AVETMISS Data Report needs to be submitted even if no training or assessment was delivered. The report to be submitted will relate to the previous calendar year training activity. This means the report submitted in 2025 will relate to the activity period between the 1st of January 2024 to the 31st of December 2024.</p>

Type of report	Requirements
By the 31 March (close of business) – Annual CEO Declaration	Data submitted to ASQA – the CEO should receive the link to complete the declaration at least 30 days prior to the due date and the CEO is to complete the questionnaire honestly and accurately. This is a great opportunity for Training 2U to undertake an internal audit on our operations, strategies and practices, particularly our training and assessment strategies and practices to ensure our compliance with the relevant Commonwealth, state and territory legislation and regulatory requirements, as well as in accordance with the requirements of the Standards.
By the 30 June (close of business) – QI Data Report	<p>Report submitted to ASQA – the Quality Indicator Annual Summary report is to be completed based on the responses received via the AQTF Learner and Employer Questionnaires submitted. Training 2U will ensure the QI Data Report is to be reported to ASQA via the Quality Indicator webform (link here) before the 30th of June each year, for the previous calendar year's data collection.</p> <p>The QI Data Report is to address and contain the following:</p> <ul style="list-style-type: none"> - Survey response rates - Expected and unexpected findings from the feedback provided - Insights on organisation's performance - Preventative or corrective actions that has been implemented in response to the feedback - How Training 2U will monitor the effectiveness of the preventative or corrective actions

Changes to be Reported

Training 2U will advise ASQA when the following changes occur:

Type of change	Requirements
Registered trading names	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Change request on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer - ASIC Record of Registration for Business Name
CEO, Director or a high managerial agent	<p>Within 90 days of change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Notification of material change on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer
Key staff members or their contact details	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Update minor VET details on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer
Principal place of business or permanent delivery sites	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Update minor VET details on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer

Type of change	Requirements
Financial administration status	<p>Within 90 days of the change of status</p> <p>Changes to financial administration status includes:</p> <ul style="list-style-type: none"> - Funding revenue sources (where significant) - Change in mechanisms for securing student fees paid in advance - RTO entering bankruptcy - RTO going into liquidation - Net tangible assets fall below 2% of revenue - Working capital falls below 2.5% of revenue - Debt ratio is greater than 1.00 - Profitability falls below 0% <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Notification of material change on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer <p>ASQA will likely request for additional information such as:</p> <ul style="list-style-type: none"> - Bank statements - Financial viability risk assessment form - Audit reports from your accountant
Staff turnover (where significant or unexpected)	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Notification of material change on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer <p>ASQA will likely request for additional information.</p>

Type of change	Requirements
Commencement of training and assessment delivery in other states or territories	<p>Within 90 days of the commencement or cessation of training and assessment delivery in other states or territories</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Update minor VET details on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer
Add items to scope of registration	<p>Prior to marketing and recruiting any students into the course – you can only start advertising or enrolling any students once the items are on the scope of registration.</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Application to add scope to RTO and/or CRICOS registration on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer <p>ASQA will request for additional information if the items are part of the TAE training package, if the RTO is within its first 2 years of registration, or it is an application for an ELICOS course:</p> <p>TAE application</p> <ul style="list-style-type: none"> - Evidence of all AQF qualifications and statements of attainment issued in the previous 6 months - Evidence relating to the training and assessment strategies for each TAE product - Learning resources, assessment materials and tools to be used - Evidence to demonstrate the training and assessment is delivered only by people with the required skills and knowledge capabilities - Evidence showing the outcomes of your RTO's independent external validation of its assessment system - Additional evidence for RTOs that have had the superseded TAE training product on scope in the previous 12 months

	<ul style="list-style-type: none"> - Additional evidence for RTOs seeking to deliver training and assessment qualifications for the first time <p>RTO within its first 2 years of registration</p> <ul style="list-style-type: none"> - A completed self-assessment and supporting evidence - A completed financial viability risk assessment tool and supporting evidence <p>ELICOS application</p> <ul style="list-style-type: none"> - A course syllabus - A Certificate of Completion and a Certificate of Partial Completion for each ELICOS course contained in the application - A Training and Assessment Strategy (TAS) or a similar document that: <ul style="list-style-type: none"> - Defines the target client group(s) and describes how it will deliver the training product(s) to meet client needs - Demonstrate how each proposed Trainer and/or Assessor possesses all relevant vocational competencies (or equivalent competencies) at least to the level of the training or assessment to be delivered - List all physical resources and equipment - Identify the range and format of all delivery and assessment methodologies and resources or tools - Describe how assessment processes, tools and judgements have been and will continue to be systematically validated
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Type of change	Requirements
Remove items from scope of registration	<p>As soon as possible – you must ensure there are no students enrolled in the course prior to removing any items from scope of registration</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Update minor VET details on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer
Third-party agreements	<p>Within 30 days of the commencement or cessation of an agreement (where it isn't possible to notify ASQA within 30 days of entering into an agreement, the RTO must notify ASQA prior to the obligations taking effect)</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Third-Party Service Arrangement notification form via ASQAnet - Partnership Agreement or Memorandum of Understanding
Sale or transfer of assets	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - The RTO whose assets are being sold or transferred must apply to ASQA to withdraw its registration - The continuing RTO must gain approval from ASQA to add any additional items to scope from the sale or transfer that are not already on its scope of registration
Ownership or control (where the shareholdings of an RTO changes)	<p>Within 90 days of the change, but as soon as practicable after the change has happened</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Change of RTO ownership on ASQAnet

Type of change	Requirements
<p>Merger of two existing RTOs or a change in ownership or control (where there is a change of legal entity and the ACN/ABN changes)</p>	<p>Within 90 days of the change</p> <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Application for initial registration to ASQA via ASQAnet - Bank statement of new entity - Financial viability risk assessment form - Public liability insurance policy document - Self-assessment for initial RTO registration form including any supporting documents - Fit and proper person declaration for all relevant people <p>You will be required to undergo a compliance audit and pay all applicable fees and charges. If the new owner is not currently an RTO at the time of the sale or when the transfer occurs, then certain requirements must meet before training services can be provided:</p> <ul style="list-style-type: none"> - The new owner must apply for initial registration, and receive approval from ASQA <p>The previous owner must have submitted an application to withdraw their registration.</p>

Type of change	Requirements
Cease to operate	<p>Within 90 days of the cessation</p> <p>Important:</p> <ul style="list-style-type: none"> - Until ASQA has approved the application to withdraw the registration, the RTO will remain registered and will need to continue to comply with the NVETR Act 2011, Standards for RTOs 2015, including any responsible for any relevant fees or charges - Training 2U should facilitate the transfer of currently enrolled students to another RTO and/or issue the students with an appropriate refund for service(s) not provided - Issue students with a Statement of Attainment or certificate based on completed units of competency(ies) <p>Required to be submitted:</p> <ul style="list-style-type: none"> - Notification of material change on ASQAnet together with the declaration by Chief Executive Officer or Principal Executive Officer <p>Once approval is granted to deregister, Training 2U must:</p> <ul style="list-style-type: none"> - Return the Certificate of Registration to ASQA within 10 days of the date the withdrawal takes effect - Forward ASQA an electronic copy of the records for each student who was enrolled in a course during the RTO's period of registration within 30 days of the date the withdrawal takes effect - Pay any outstanding fees within 30 days of the date you are issued with an invoice - Comply with all reporting requirements dependent on the reporting requirement

Third-party Arrangements

Training 2U may from time to time engage the services of other organisations (third-parties) to deliver a range of services, including providing marketing, undertaking recruitment, using facilities and resources, and training and/or assessment of vocational education and training (VET) courses. We do so to draw on the knowledge and experience of the experts in their relevant fields to enable us to meet our organisational vision and goals whilst ensuring we remain in compliance with the requirements of the NVETR Act and the Standards for RTOs.

General Third-party Arrangement Principles

It must be noted that it is not a preferred practise of ours to work with third-party organisations in delivering any training and/or assessment on our behalf.

In working with third-party organisations, Training 2U will work with the following guidelines:

- The arrangements with the other organisation must be ethical, responsible and focuses on the best interests of our students and staff members.
- Ensure that they provide excellent value to our organisation and our students.
- Ensure the third-party and us comply with the Standards for RTOs 2015 at all times, as outlined in Clause 2.1.
- There is always a clear and concise, signed and executed written agreement between us and the third-party, as outlined in Clause 2.3 of the Standards for RTOs.
- Develop and implement sufficient strategies, mechanisms and resources to systematically monitor any services delivered on our behalf and ensure that the services comply with the Standards at all times, as outlined in Clause 2.4 of the Standards for RTOs.
- If we engage with another RTO to deliver any training and/or assessment, we verify that they have the relevant qualification or course on their scope of registration, as outlined in Sections 93 and 94 of the NVETR Act. However, it is not a preferred practise of Training 2U to engage with another RTO to deliver any training and/or assessment on our behalf.
- It must be noted that it is not a preferred practise of Training 2U to engage a non-RTO to deliver any training and/or assessment on our behalf as it is an area of high risk, and would only do so if the need for an expert in the subject matter is required. However, where we do engage a non-RTO, such as a natural person or a non-RTO legal entity under a third-party arrangement, to deliver training and/or assessment on our behalf, we do so in our name and on our behalf as per Sections 116 and 117 of the NVETR Act – this means that the non-RTO is

not to 'use' our registration to issue any Qualifications or Statements of Attainment in their name or with their logo included; and they are not to 'use' our registration to offer, advertise, or provide a VET course in their own name or on their own behalf.

- We will not engage a non-RTO third-party to provide any training and/or assessment for any 'VET courses of concern' without the prior written approval from ASQA.
- We will not use a third-party arrangement to avoid responsibility for compliance with the NVETR Act or the Standards for RTOS and is wholly responsible for all services provided on our behalf.
- We will notify our students and staff of the engagement of any third-party within 30 days of entering into an agreement with them, outlining what the third-party's responsibilities will be and how it will affect our operations.
- We will notify ASQA of any and all third-party agreements by uploading the signed agreements onto ASQAnet, within 30 days of entering into the agreement or prior to the obligations under the agreement taking effect, whichever occurs first, as outlined in Clause 8.3 of the Standards for RTOs.
- We will notify ASQA when any third-party agreements are coming to an end within 30 calendar days, as outlined in Clause 8.3 of the Standards for RTOs.
- Where a third-party does deliver any training and/or assessment on our behalf, we are to ensure we maintain all records for each student accurately – from the student's administrative records such as their enrolment form and appeal forms, to the student's completed assessment tools and learner training and assessment outcomes.

Responsibilities

The CEO is responsible for delegating tasks, reviewing, negotiating and approving all third-party agreements prior to Training 2U entering into them.

The Student & Administration Support personnel is responsible for notifying and liaising with the regulator – ASQA to seek approval where required, and to notify ASQA of the third-party arrangement.

Written Agreements

It is important to ensure there is a written agreement in place with each third-party service provider, whether it be for marketing services, or for student recruitment services.

All written agreements should include:

- The name of our RTO and the third-party provider;
- The start and end date of the agreement;
- The nature of the arrangement including how we will cooperate together;
- The scope of services to be provided including the implementation processes;
- The costs involved – including payments and refunds (if applicable);
- The rights and responsibilities of each party – including compliance with the Standards for RTOs 2015;
- The monitoring and review of services, effectiveness and performance of the third-party through regular management meetings, internal and external audits, feedback collection from stakeholders, and site visits (if appropriate) – including when this is to occur (or at which intervals this is to occur);
- The requirement of the third-party to participate in auditing and monitoring activities, and provide accurate and factual responses to information requests from ASQA relevant to the delivery of the services and in the conduct of audits and the monitoring of the operations;
- Continuous improvement processes;
- Managing of complaints and appeals;
- Any remedial clauses of action where there is a dispute;
- The termination clauses; and
- Where the third-party is a non-RTO and will be recruiting students on our behalf:
 - It is made clear that the third-party is only recruiting prospective learners on our behalf and the arrangement details are to be included, and
 - All marketing is to be in our name and not in the name of the third-party.

Where the third-party is going to be delivering any training and/or assessment, it is important that the following is also included in the written agreement:

- The scope of training and/or assessment is provided by us and not the third-party provider;
- The third-party provider cannot advertise any VET courses in their own name;
- Students are enrolled as our students and not students of the third-party;
- Qualifications and/or Statements of Attainment are issued in our name, not the third-party provider;
- Clauses which sets out which party will provide the training and assessment materials, resources and facilities;

- The mechanisms through which we will systematically monitor the third-party provider, such as:
 - How we will ensure that the Trainers and Assessors provided by the third-party meet the requirements of the Standards for RTOs, and
 - How we will review the training and assessment materials, resources and facilities (if provided by the third-party);
- Record-keeping procedures for enrolment information and completed assessments;
- Details of which party will validate completed student assessments;
- Clauses requiring the third-party provider to cooperate with ASQA and provide accurate and factual responses to information requests about the delivery of services and in the conduct of audits and the monitoring of its operations, in accordance with Clause 8.2 of the Standards of RTOs 2015; and
- Any obligations relating to government subsidies or other financial support (if applicable), including any costs associated with the provision of training and assessment (including interest or similar costs) and any debt that will be incurred.

Engagement of Trainers and Assessors

It is important to be aware that when Training 2U engage Trainers and Assessors as an employee or contractor, this agreement is not subjected to the requirements in the Standards for RTOs that govern third-party arrangements.

Monitoring of Third-Parties

Training 2U is committed to ensuring that any third-party arrangements we enter into and have in place is adequately monitored using a robust process. This enables us to promptly detect any practices or systems the third-party may have in place that is not ethical, just or in the best interests of our business and our students. Prior to entering into an agreement with any third-party, it is a policy of Training 2U to ensure we have developed a thorough monitoring system in place, at regular intervals, written into the agreement. These intervals will vary depending on the service offered and the length of time they have worked with us, but it will be undertaken at least once a year.

These monitoring systems may include, but is not limited to:

- Engaging with stakeholders such as students, the industry and their other clients or partners
- Undertaking independent research and due diligence activities

- Generating data through our systems (where applicable)
- Requesting for data, documents and reports from third-parties
- Conducting audits on the third-party's practices and systems

Where Training 2U becomes aware of, or reasonably suspects that the engagement of a third-party, or an employee or sub-contractor of that third-party, participating in the conduct as set out below, the agreement with the third-party will be terminated effective immediately:

- Engaged in, or have previously been engaged in, dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers;
- Carries on in an unethical manner;
- Involved in criminal conduct – where this appears on the individual's record; or
- Clear breach of the written agreement between Training 2U and the third-party provider.

The only exception to this would be if the third-party has terminated the individual employee(s) or sub-contractor(s) for the misconduct. Training 2U will take immediate corrective and preventative action(s) as deemed appropriate upon becoming aware of a third-party acting in a negligent, careless or incompetent manner, or engaging in false, misleading, or unethical practices, including practices that could harm the reputation of Training 2U, and the integrity of Australia's vocational education and training industry.

Where inappropriate conduct or practices, or a breach is identified, Training 2U will undertake a review of the incident(s) and misconduct or practice or breach, and apply our continuous improvement principles and processes to be able to install precautionary measures or preventative actions to prevent potential occurrences of this misconduct, practice or breach.

Third-party Screening and Appointing Procedure

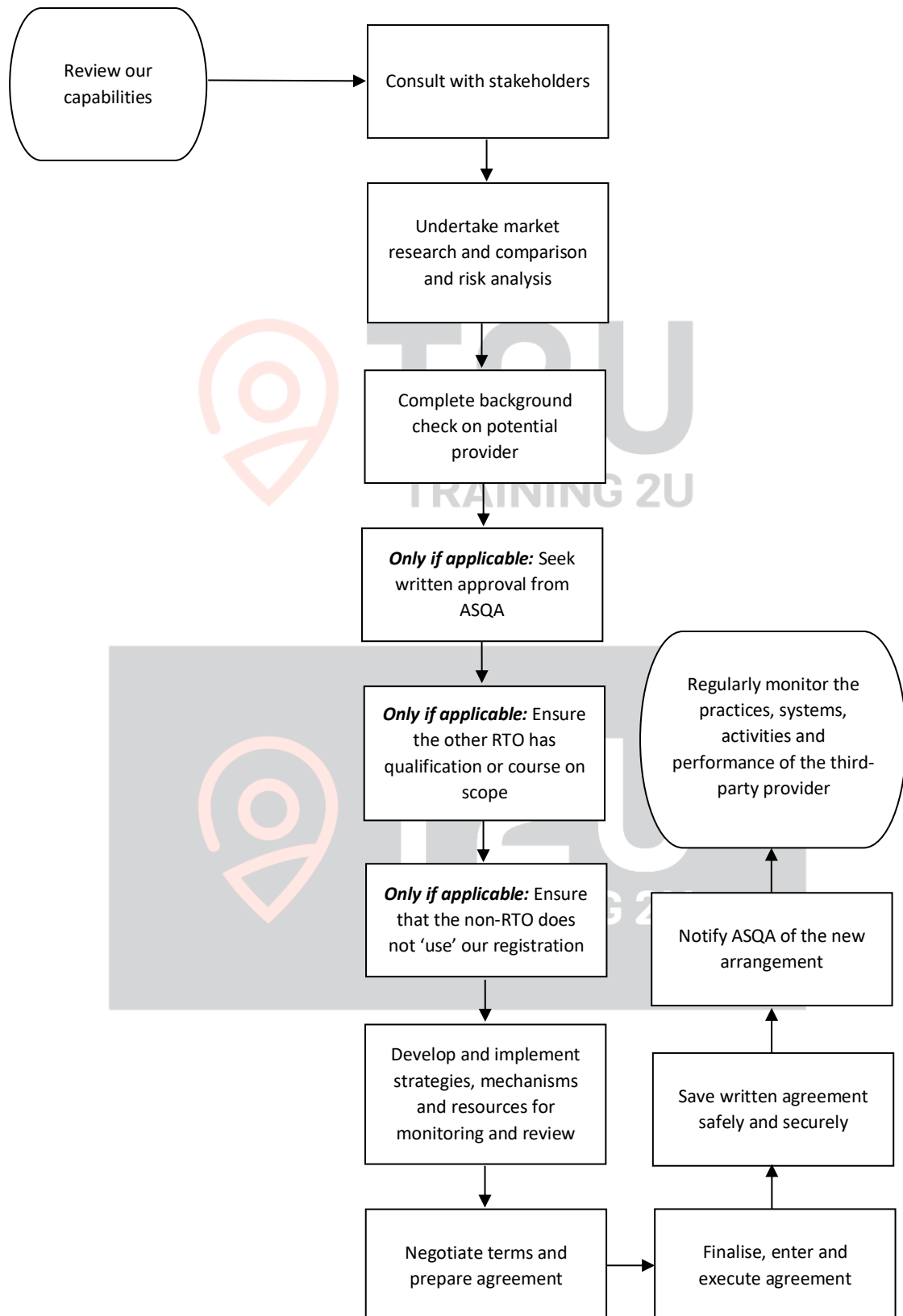
1. **Review our capabilities** – review our resources and conduct a SWOT analysis to uncover whether we are able to undertake the requirements in-house, or whether it will need to be outsourced to a third-party.

2. **Consult with stakeholders** – as part of our review, we should reach out to relevant stakeholders for input and suggestions. Find out their thoughts on the proposed undertaking, get feedback on ideas and seek out contributions on all matters relating to the requirements.
3. **Undertake market research and risk analysis** – investigate the services available on the market, compare the value and undertake a risk analysis of the various service providers.
4. **Complete background check on potential provider** – verify their claims, confirm their experience and qualifications (where applicable), review the feedback provided on any available platform and avenue to find out what their current and past clients have to say about them and their services. Check if the potential provider has been involved in any potential or confirmed criminal conduct, and confirm that they are reliable, work ethically and responsible, and are a suitable fit.
5. **Only if applicable: Seek written approval from ASQA** – where we are considering a partnership which involves the training and/or assessment of any ‘VET courses of concern’, we will need to write to ASQA to seek written approval before entering into an agreement with a third-party provider. Under no circumstances are we to enter into an agreement prior to ASQA’s approval where it concerns the training and/or assessment of any ‘VET courses of concern’.
6. **Only if applicable: Ensure the other RTO has the relevant qualification or course on their scope of registration** – where we are considering a partnership which involves the delivery of training and assessment by another RTO, Training 2U must verify that the other RTO has the relevant qualification or course on their scope of registration.
7. **Only if applicable: Ensure that the non-RTO ‘use’ our registration** – it is important that the non-RTO does not ‘use’ our registration to:
 - Issue any Qualifications or Statements of Attainment in their name or with their logo included; and
 - Offer, advertise, or provide a VET course in their own name or on their own behalf.
8. **Develop and implement strategies, mechanisms and resources for monitoring and review** – we are to systematically review and monitor any services delivered on our behalf and ensure that the services comply with the Standards of RTOs at all times. Training 2U will not use a third-party arrangement to avoid responsibility for our compliance with the NVETR Act or the Standards for RTOs. We are entirely responsible for all services provided on our behalf and this is why it is important we have strong measures in place to monitor the practices, systems, activities and performance of our third-party providers.

9. **Negotiate terms and prepare agreement** – the CEO is to negotiate the terms of the service with the third-party provider and once agreed upon, have the lawyer prepare an agreement.
10. **Finalise, enter and execute agreement** – once the agreement is prepared and the terms agreed on in writing with the third-party provider, the CEO is to sign and execute the agreement. Once signed and executed, the CEO is to prepare an implementation plan and delegate the activities to the personnel with the right skill set and strengths.
11. **Save written agreement** – it is important to save the signed agreement and have it stored safely.
12. **Notify ASQA, students and staff of the new arrangement** – we are responsible in notifying ASQA of any third-party agreement by uploading the signed agreement onto ASQAnet. This is to be completed by the Student & Administration Support personnel within 30 days of entering into the agreement, or prior to the obligations under the agreement taking effect, whichever occurs first. We will also prepare a notice and send it out to students and staff at least 7-days prior to the agreement taking effect.
13. **Monitor and review** – regularly monitor the practices, systems, activities and performance of the third-party provider as planned in Step 8.



Third-party Screening and Appointing Process Flow-Chart



Third-party Arrangement Checklist

Name of third-party organisation			
Services to be offered by third-party			
CEO Signature		Date	

Item Description	Yes	No	Comments
Can we undertake the services in-house			
Consult with stakeholders			
Undertake market research on suitable providers			
Complete background check on potential provider			
Only if applicable: Seek written approval from ASQA if the partnership involves the training and/or assessment for any 'VET courses of concern'			
Only if applicable: Where it involves the delivery of training and assessment by another RTO, ensure that the other RTO has the relevant qualification or course on their scope of registration			
Only if applicable: Where we engage a non-RTO, they do not 'use' our registration to: <ul style="list-style-type: none"> - Issue any Qualifications or Statements of Attainment in their name or with their logo included - Offer, advertise, or provide a VET course in their own name or on their own behalf 			

Item Description	Yes	No	Comments
Develop and implement sufficient strategies, mechanisms and resources to systematically monitor any services delivered on our behalf			
Are the monitoring strategies, mechanisms and resources compliant with the Standards for RTOs			
<p>Negotiate terms, ensure they are:</p> <ul style="list-style-type: none"> - Ethical - Responsible - Focus on the best interests of our students and staff members - Compliance with the Standards and the NVETR Act 			
<p>Prepare agreement, ensure it:</p> <ul style="list-style-type: none"> - Is clear and concise - Includes the nature of the arrangement - Covers the scope of services to be provided - Clearly details the costs involved - Outlines the rights and responsibilities of each party - Detail the monitoring and review of services and performance of the provider - Includes any remedial clauses of action - Contains termination clauses - Complies that the services comply with the Standards at all times 			

Item Description	Yes	No	Comments
<p>Only if applicable: If third-party provider is to deliver any training and/or assessment services, agreement should include:</p> <ul style="list-style-type: none"> - Scope of training and/or assessment is provided by us and not the third-party provider - The third-party provider cannot advertise any VET courses in their own name - Students are enrolled as our students and not students of the third-party - Qualifications and/or Statements of Attainment are issued in our name, not the third-party provider - Clauses which sets out which party will provide the training and assessment materials, resources and facilities - The mechanisms through which we will systematically monitor the third-party provider, such as: <ul style="list-style-type: none"> - How we will ensure that the Trainers and Assessor provided by the third-party meet the requirements of the Standards for RTOs - How we will review the training and assessment materials, resources and facilities (if provided by the third-party) - Record-keeping procedures for enrolment information and completed assessments - Details of which party will validate completed student assessments - Clauses requiring the third-party provider to cooperate with ASQA and provide accurate and factual responses to information requests about the delivery of services and in the conduct of audits and the monitoring of its operations 			

Item Description	Yes	No	Comments
- Any obligations relating to government subsidies or other financial support (if applicable)			
Written agreement finalised, signed and executed			
Written agreement safely and securely stored			
Notify ASQA of the third-party arrangement within 30 days of entering into the agreement or prior to the obligations under the agreement takes effect, whichever occurs first			



Advertising and Marketing

In accordance with Clause 4.1 of the Standards for RTOs 2015, Training 2U will ensure that our current and prospective students and clients are well-informed with clear, accurate and readily accessible information, in order for them to make informed choices about the training that will best meet their needs.

We intend to meet this responsibility by ensuring that our advertising and marketing strategies, practices and campaigns are ethical, student-focused and compliant with the relevant laws and standards.

We aim to recruit students through online advertising and the maintenance of a YouTube channel, exhibitions and events.

General Advertising and Marketing Principles

Training 2U will endeavour to adhere to the following when developing our advertising and marketing materials for our **nationally recognised training programs**:

- Inform learners of their rights and obligations clearly – including the total fees payable, any miscellaneous charges that may be applicable, and our refund policy;
- Only provide accurate and factual information, not false or misleading information and is consistent with the Australian Consumer Law;
- Ensure that the information provided is consistent across all advertising mediums and materials;
- Ensure we accurately represent the services we provide and the training products on our scope of registration;
- Make clear any work placement arrangements required under the training program, including whether the learner is to seek out their own work placement arrangements (if applicable);
- Include our RTO code on all of our advertising and marketing materials – written and online;
- Refer to another person or organisation in our advertising and marketing material only with their prior approval and consent;
- Use the Nationally Recognised Training (NRT) logo only in accordance with the conditions of use specified in Schedule 4 of the Standards for RTOs 2015;
- Make it clear where a third-party is recruiting prospective learners on our behalf and include details of the third-party arrangements;

- Where a non-RTO is recruiting students under a third-party agreement, all marketing and advertising must be in our name and not in the name of the third-party;
- Closely monitor the practices of any third-party recruiting for prospective learners;
- Clearly distinguish where we are delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on our behalf by a third-party;
- Maintain a clear distinction between nationally recognised training programs, and non-accredited training programs;
- Includes the title and code of any training product that is being advertised for, as published on the National Register of VET;
- Only advertise or market for nationally recognised qualifications, skill sets or units of competencies that we are approved for on our scope of registration;
- Include details about any VET Student Loans, government-funded subsidy or other financial support arrangements associated with the provision of training and assessment (where applicable), including any costs associated with the loan or subsidy (including interest or similar costs) and any debt that will be incurred;
- Will not make misleading claims of association between providers;
- Will not guarantee that a learner will successfully complete a course or will obtain a particular employment outcome where this is outside of our control;
- Will not make false claims of guaranteed automatic acceptance into another course; and
- Will review the marketing and enrolment materials every quarter – as per our Documents and Continuous Improvement Review Schedule.

When advertising and marketing **non-accredited training programs**, Training 2U will endeavour to adhere to the following:

- Clearly distinguish between nationally recognised training programs and non-accredited training programs;
- Will not use the NRT logo;
- Will not claim that the completion of non-accredited training can provide credits to any nationally recognised training program.

Responsibilities

The CEO is responsible for:

- Approving all advertising and marketing copies and materials prior to its publication; and
- Co-ordinating and spearheading all advertising and marketing campaigns.

Conditions of the Use of the NRT Logo

The NRT Logo is a registered trademark and is a distinguishable mark of quality for promoting and certifying nationally recognised training. Where Training 2U reproduces the NRT Logo in colour, we will use the shade Green PMS 343 and Red PMS 192. Where the NRT logo is reproduced in one colour, it should preferably be in the shade Green PMS 343, or where this is not suitable, it may be reproduced in black. In some situations, the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.

The NRT Logo is only to be used on the advertising and marketing of nationally recognised training programs that is part of our scope of registration and on the AQF certification documentation, specifically on the learner's Qualification Testamur or on the learner's Statement of Attainment. The NRT Logo is not to be used on our corporate stationery such as pens and lanyards, on our business cards and building signage. The NRT Logo is not to be incorporated into or on the cover of learning and assessment resources and tools supplied by Training 2U, including our workbooks and PowerPoint presentations.

Monitoring our marketing and advertising practices

Monitoring marketing practices is essential to maintain the integrity of our brand and ensure ethical standards. By regularly assessing our marketing strategies and materials, we are able to ensure that they align with our values, engage our target audience, and comply with industry regulations. This vigilance allows us to adapt to changing trends, measure the effectiveness of our campaigns, and make data-driven decisions for continuous improvement. We believe that by upholding the highest standards in our marketing practices, we not only protect our reputation but also build trust with our customers, fostering long-term relationships and sustainable success.

It is our practice to review our marketing materials and practices at least once a quarter, as scheduled in our Documents and Continuous Improvement Review Schedule.

As part of this review, we are to undertake the following activities:

- Review the data on our marketing and advertisement platforms such as the Facebook Ads Campaign Performance Dashboard or the Google Ad Manager;
- Engaging with stakeholders such as students, the industry and their other clients or partners
- Undertaking independent research and due diligence activities
- Requesting for feedback, data, documents and reports from relevant stakeholders

From time to time, Training 2U may engage the services of a third-party organisation, such as a marketing or digital agency to help us market and promote our courses and our brand. When we do so, it is important for us to ensure that we clearly outline in our agreement, the scope of the engagement, each party's roles and responsibilities, acceptable and unacceptable practices, the monitoring and review of the third-party's services, effectiveness and performance – which can include regular management meetings, internal and external audits, undertaking independent research and due diligence activities, data and feedback collection from our own systems, the third-party's systems and stakeholders and site visits (if appropriate) as well as when this review would take place.

Where Training 2U becomes aware of, or reasonably suspects that the engagement of a third-party, or an employee or sub-contractor of that third-party, participating in the conduct as set out below, the agreement with the third-party will be terminated effective immediately:

- Engaged in, or have previously been engaged in, dishonest practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers;
- Carries on in an unethical manner;
- Involved in criminal conduct – where this appears on the individual's record; or
- Clear breach of the written agreement between Training 2U and the third-party provider.

The only exception to this would be if the third-party has terminated the individual employee(s) or sub-contractor(s) for the misconduct. Training 2U will take immediate corrective and preventative action(s) as deemed appropriate upon becoming aware of a third-party acting in a negligent, careless or incompetent manner, or engaging in false, misleading, or unethical practices, including practices that could harm the reputation of Training 2U, and the integrity of Australia's vocational education and training industry.

Where inappropriate conduct or practices, or a breach is identified, Training 2U will undertake a review of the incident(s) and misconduct or practice or breach and apply our continuous improvement principles and processes to be able to install precautionary measures or preventative actions to prevent potential occurrences of this misconduct, practice or breach.

Advertising and Marketing Materials Checklist

Promotion Name			
Promotion Partner		Date	
Promotion Head			
CEO Signature		Date	

RTO Standards	Yes	No	N/A
Has our full legal name, RTO number			
Only provide factual and accurate information			
Inform learners of their rights and obligations clearly, including: <ul style="list-style-type: none"> - Total fees payable - Any miscellaneous charges that may be applicable - Our refund policy 			
Maintains a clear distinction between nationally endorsed training being offered and other training programs offered by us			
Uses the NRT logo only in accordance with Schedule 4 of the Standards for Registered Training Organisations – ensure it is reproduced as is, or if it is reproduced in one colour, it should be in GREEN PMS 343 or black			
Only advertises the qualifications or units of competency listed on our scope of registration and accurately represents our courses and services (ensure that they have not been superseded)			

RTO Standards	Yes	No	N/A
Identifies qualifications in advertising by its full code and title as it appears in the training package			
Does not provide guarantees to students about the successful completion of training or any particular employment outcome that is outside of our control			
Does not refer to another person or organisation in any marketing material without obtaining prior consent and approval			
Includes details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment			
Make clear any work placement arrangements required under the training program, including whether the learner is to seek out their own work placement arrangements (if applicable)			
Clearly distinguish where training and assessment is being marketed or delivered on our behalf by a third-party organisation			
Ensure that where a non-RTO is recruiting students under a third-party agreement, all marketing and advertising must be in our name and not in the name of the third-party			
Does not provide approval for any third-party organisation to advertise on our behalf (unless it is appropriately specified with limitations within a written and signed agreement with the third-party organisation)			
Monitoring and Supervision Schedule set up for third-party organisation in-charge of the promotion			
Does NOT give false or misleading information or advice in relation to claims of association between providers			
Does NOT give false or misleading information or advice in relation to the employment outcomes associated with a course			

Does NOT give false or misleading information or advice in relation to automatic acceptance into another course			
Does NOT give false or misleading information or advice in relation to any other claims relating to Training 2U, our courses or outcomes associated to those courses			

In-house Requirements	Yes	No	N/A
Disclaimer / Terms & Conditions added to the bottom of the promotional material(s)			
Images selected for the promotion approved and signed off on by CEO (and licence purchased if applicable)			
All staff informed and briefed on promotion – training session if required			
Implementation and monitoring systems and mechanisms developed and put in place			
Final versions of promotional material and finalised promotional activity(ies) signed off by CEO			

Advertising and Marketing Review Checklist

Date of Review			
Personnel Responsible			
CEO Signature		Date	

General Items	Yes	No	N/A
Is the wording used in all marketing copies for this strategy clear and in plain English			
Is the strategy and approach ethical and aligned with our values of honesty and transparency			
Has there been any feedback or suggestions provided from a stakeholder to improve matters concerning this marketing strategy			
Is this strategy effective and has an ROI of at least 3x of our investment			
Is this process and strategy still aligned with our overall business goal and strategy			
Does this process and strategy align with our systems			
Has a risk assessment been completed on this marketing strategy			

Marketing Materials	Yes	No	N/A
Has our full legal name, RTO number			
Only provide factual and accurate information			

Marketing Materials	Yes	No	N/A
<p>Inform learners of their rights and obligations clearly, including:</p> <ul style="list-style-type: none"> - Total fees payable - Any miscellaneous charges that may be applicable - Our refund policy 			
Maintains a clear distinction between nationally endorsed training being offered and other training programs offered by us			
Uses the NRT logo only in accordance with Schedule 4 of the Standards for Registered Training Organisations – ensure it is reproduced as is, or if it is reproduced in one colour, it should be in GREEN PMS 343 or black			
Only advertises the qualifications or units of competency listed on our scope of registration and accurately represents our courses and services (ensure that they have not been superseded)			
Identifies qualifications in advertising by its full code and title as it appears in the training package			
Does not provide guarantees to students about the successful completion of training or any particular employment outcome that is outside of our control			
Does not refer to another person or organisation in any marketing material without obtaining prior consent and approval			
Clearly distinguish where training and assessment is being delivered on our behalf by a third-party organisation			
Includes details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment			
Does not provide approval for any third-party organisation to advertise on our behalf (unless it is appropriately specified with limitations within a written and signed agreement with the third-party organisation)			

Marketing Materials	Yes	No	N/A
Monitoring and Supervision Schedule set up for third-party organisation in-charge of the promotion			
Does NOT give false or misleading information or advice in relation to claims of association between providers			
Does NOT give false or misleading information or advice in relation to the employment outcomes associated with a course			
Does NOT give false or misleading information or advice in relation to automatic acceptance into another course			
Does NOT give false or misleading information or advice in relation to any other claims relating to Training 2U, our courses or outcomes associated to those courses			

In-house Requirements	Yes	No	N/A
Disclaimer / Terms & Conditions added to the bottom of the promotional material(s)			
Images selected for the promotion approved and signed off on by CEO (and licence purchased if applicable)			
All staff informed and briefed on promotion – training session if required			
Implementation and monitoring systems and mechanisms developed and put in place			
Final versions of promotional material and finalised promotional activity(ies) signed off by CEO			

Course Brochure Content Checklist

Course Code			
Course Name			
Date of Development			
CEO Signature		Date Approved	

Content Description	Yes	No	N/A
Wording to the effect of: 'Only use when approved by ASQA' on each page (only for new registrations / add to scope projects)			
RTO logo			
Has RTO full legal name			
RTO and CRICOS provider number (or placeholder for it for new registrations)			
Contact e-mail address (or placeholder for it for new registrations)			
Website address (or placeholder for it for new registrations)			
Head office or campus location			
Course code as per the National Training Register and CRICOS Register			
Course title as per the National Training Register and CRICOS Register			
Course fees (not applicable to enterprise RTOs)			
A note that nationally recognised courses are exempt from GST and explain which fees GST will apply (not applicable to enterprise RTOs)			
Course fees protection mechanism (not applicable to enterprise RTOs)			
What is included in the fees (not applicable to enterprise RTOs)			

Content Description	Yes	No	N/A
Payment terms (not applicable to enterprise RTOs)			
Itemise any additional fees (must be clear if any GST is applicable)			
Methods of payment (not applicable to enterprise RTOs)			
Refund policies (not applicable to enterprise RTOs)			
NRT logo: only used in accordance with Schedule 4 of the Standards for Registered Training Organisations – ensure it is reproduced as is, or if it is reproduced in one colour, it should be in GREEN PMS 343 or black			
AQF logo			
Mode of learning			
Duration of training program (recommended to also include the expected hours the learner will need to allocate for the training program)			
Units of competencies – the unit code and name must match that on the National Training Register			
Entry requirements, including (but not limited to):			
- Age (if applicable)			
- Highest level of qualification attained (if applicable)			
- English Proficiency Test score			
- LLN skills the learner must already possess			
- Working with Children Check			
- Police Check			
- Physical capability requirements (if applicable – usually for courses such as Certificate III in Individual Support and Certificate III in Carpentry)			

Content Description	Yes	No	N/A
Any equipment, tools and materials required for the training program (including whether the RTO will be providing these, or whether the learner is expected to provide them) such as software programs, working tools, PPE, internet connection, etc.			
Training outcomes – important to not promise any specific job placements			
The target cohort – who the course is suitable for			
Wording to the effect of: the learner will receive a nationally recognised qualification upon completion			
Support mechanisms provided to learners			
Types and description of each assessment type			
Information on credit transfer processes			
Information on recognition of prior learning processes			
Information on changes to terms and conditions of enrolment			
Information on the RTO's guarantee to the learner			
Information that a certificate or a statement of attainment will not be issued unless all fees are paid in full (not applicable to government funded courses and enterprise RTOs)			
Wording to the effect of: The Terms & Conditions of a student's enrolment, and the availability of the complaints and appeals processes does not remove the right of the student to take action under Australia's consumer protection laws			
Only provide factual and accurate information			
Maintains a clear distinction between nationally endorsed training being offered and other training programs offered by the RTO			
Only advertises the qualifications or units of competency listed on our scope of registration and accurately represents our courses and services (ensure that they have not been superseded)			

Content Description	Yes	No	N/A
Does not provide guarantees to students about the successful completion of training or any particular employment outcome that is outside of our control			
Does not refer to another person or organisation in any marketing material without obtaining prior consent and approval			
Includes details about any government funded subsidy or other financial support arrangements associated with the provision of training and assessment			
Make clear any work placement arrangements required under the training program, including whether the learner is to seek out their own work placement arrangements (if applicable)			
Clearly distinguish where training and assessment is being marketed or delivered on our behalf by a third-party organisation			
Does NOT give false or misleading information or advice in relation to claims of association between providers			
Does NOT give false or misleading information or advice in relation to the employment outcomes associated with a course			
Does NOT give false or misleading information or advice in relation to automatic acceptance into another course			
Does NOT give false or misleading information or advice in relation to possible migration outcomes			
Does NOT give false or misleading information or advice in relation to any other claims relating to the RTO, our courses or outcomes associated to those courses			
Images selected for the promotion approved and signed off on by CEO (and license purchased if applicable)			
Any testimonies used are specific for the course and there is a written approval from the learner that they give the RTO the right to use their testimony in their marketing materials			

Enrolments

At Training 2U, we endeavour to present information about our courses, support services, fees and charges clearly and in an easy-to-understand format to enable prospective learners and clients make informed decisions about their training and assessment options and pathways.

General Enrolment Principles

In accordance with Clauses 5.1 to 5.3 of the Standards for RTOs 2015, we will strive to identify a learner's needs during the enrolment process, taking into account their existing skills and competencies to ensure that our services to each individual learner can be appropriately adjusted to allow for their unique requirements; provide them with accurate information that enables them to make informed decisions; and be clear about the fees and refunds policy.

To achieve this, we will be guided by the following:

- Ensure our marketing materials and our pre-enrolment information is clear and easy to understand.
- Provide prospective learners and clients with accurate and ethical marketing and pre-enrolment information.
- Inform the learner of the following:
 - Course Brochure**
 - The course code and title, as published on the National Register of VET;
 - The requirements for acceptance into a course, including the educational qualifications, any requirements for previous work experience and core skills requirements;
 - The course content and duration – including holiday breaks;
 - The modes of delivery available and location;
 - The assessment methods;
 - Information on any relevant work placements, including whether they are to seek out their own work placement arrangements (if applicable);
 - Information on credit transfers and recognition of prior learning processes available;
 - Any special requirements or resources required for the course;
 - The occupational outcomes produced by the relevant course;

- Campus locations and a general description of the facilities, equipment and learning resources available to the learners;
- Details of any arrangements with a third-party to market or deliver the course, or part of the course (if applicable);
- Total fees and charges – such as tuition fees, transfer of program fees, etc; and
- Refund information.

Student Handbook

- The Student Code of Conduct;
 - Our obligations and responsibilities to the learner,
 - The learner's rights and obligations;
 - Privacy information;
 - Fees and refund policy and procedure;
 - Continuous improvement processes;
 - Our complaints and appeals policy and procedure;
 - Academic integrity matters;
 - Information on assessments, credit transfer and recognition of prior learning;
 - Monitoring and tracking of course completion;
 - Intervention strategies; and
 - Information about the grounds on which the learner's enrolment may be transferred, deferred, suspended or cancelled.
- Determine if the learner has any need for reasonable adjustments by completing an enrolment interview process with them and by the learner completing a core skills indicator assessment and ensure that there are no unnecessary barriers for the learners to participate in the training program at the point of enrolment (where possible). If there are any reasonable adjustments to be made, this is to be recorded on the student's file and the student's Training Plan updated accordingly.
 - Provide comprehensive administrative support that enables the learner to complete the enrolment process efficiently.
 - Where we are not able to provide the required course or services to the learner, we are to direct them to the Australian Government's Your Career platform: <https://yourcareer.gov.au>.

Changes

In accordance with Clause 5.4 of the Standards for RTOs 2015, where there is a change to the agreed services to be provided, policies relating to the learner's rights and the payment of fees and charges, or to the conditions of a learner's enrolment at any time, Training 2U is to inform current learners prior to any of these changes coming into effect. This includes changes to any third-party arrangements or the ownership of Training 2U.

It is a policy of Training 2U to inform current learners of the changes at least **7-days** prior to the changes coming into effect. Where this is not possible – such as when there are training package updates or when legislation is assented, our learners and clients will be notified of the change within **7-days** of the changes being published.

The information notice should include:

- What has prompted the change;
- Why we have made the change;
- How it affects them;
- The benefits of the change;
- When it will come into effect; and
- Any opt-out options (if applicable).

We will also endeavour to publish a newsletter with an updates and performance information relevant to our RTO on a quarterly basis.

Enrolment Procedure

1. **Initial contact** – when a prospective learner initially contacts us, we should establish their training requirements. Establishing the needs of prospective learners or clients is important to ensure that they enrol in programs that meets their career goals and are able to make an informed decision on their training needs.

We should always endeavour to answer all of their questions completely and accurately – from questions about the course, to the support services available, to the fees and charges applicable. Be active in providing solutions and build a positive and professional relationship from the first contact.

Where a prospective learner or client's needs are aligned with one of our training programs, we are to request for them to provide us with their e-mail address and provide them with our enrolment pack (where appropriate):

- The relevant course enquiry response template;
- Course brochure; and
- Student Handbook.

Where we are unable to offer them the training program of their choice, we should direct them to the Australian Government's Your Career platform: <https://yourcareer.gov.au>.

2. **Follow up – 3 business days** after sending out the enrolment pack to the prospective learner or client, we are to follow up with them to offer assistance and ask if they have any questions.
3. **Enrolment application** – where a prospective learner or client proceeds with enrolment, we are to check their application has been completed correctly and completely. If there are any information that requires clarification or confirmation, note them down in the *Enrolment Interview Form* and clarify them with the learner during the Enrolment Interview process.
4. **Student file created on the Student Management System** – when an application for enrolment is received, a student file is to be created on the Student Management System. We should update the *Notes* section at every stage of their enrolment, and every time we are in contact with the learner.
5. **Enrolment Interview** – the Student & Administration Support personnel is to contact the learner to undertake an enrolment interview within **1 business day** of receiving their application for enrolment. During the interview, the Student & Administration Support personnel is to confirm their understanding of the pre-enrolment materials provided and listen out for any issues with listening and comprehension and with their speech and oral communication. They are to note down any detected deficiencies in these areas on the

Enrolment Interview form. The Student & Administration Manager is also to find out more about the learner's education background. Has the learner completed a higher qualification in Australia previously? If yes, the learner will not be required to complete a Core Skills Indicator assessment as it is a reasonable assumption that the learner would have adequate core skills to undertake the training program as they have already completed a higher qualification. If no, the learner will need to be sent a Core Skills Indicator assessment to complete.

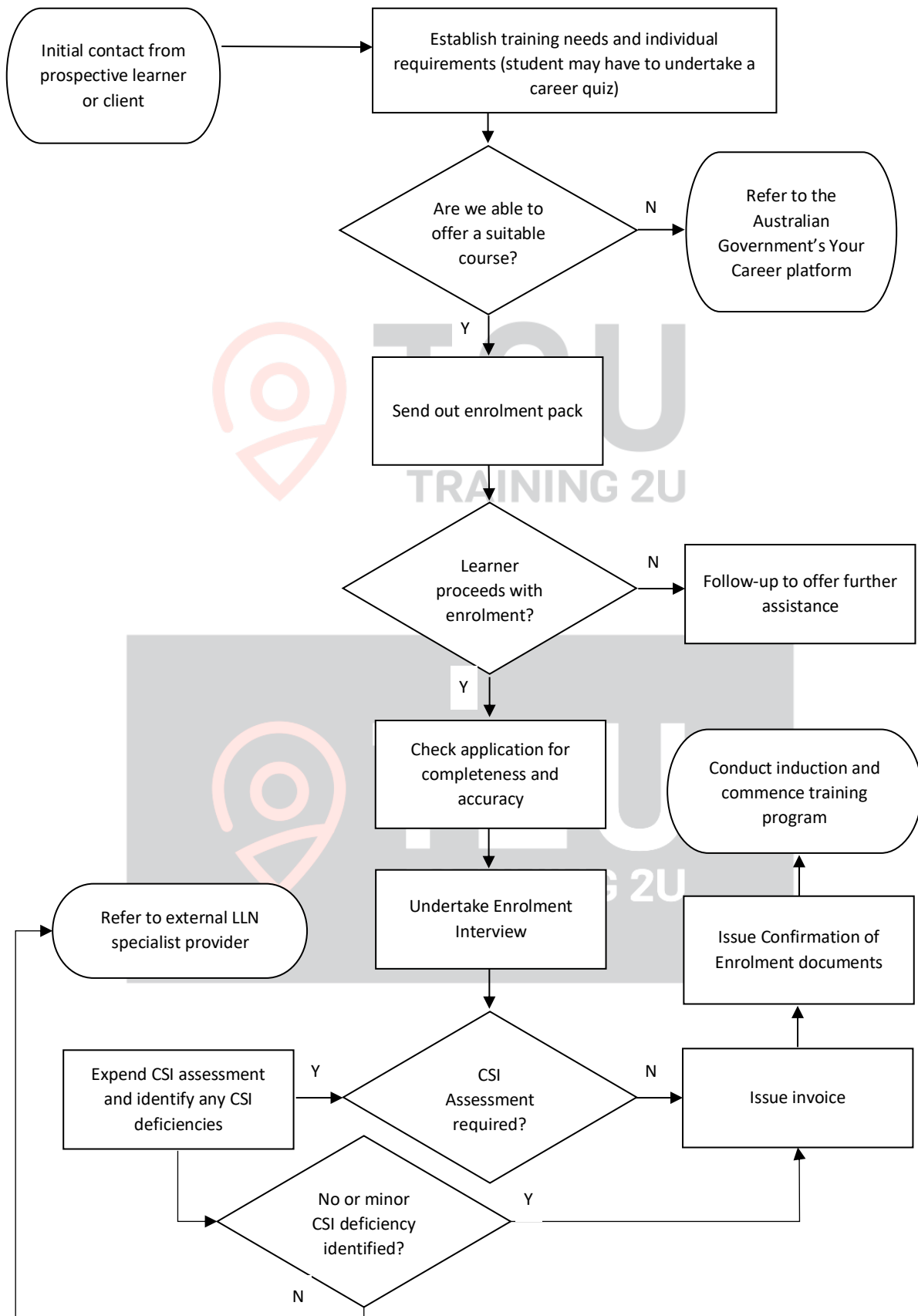
6. **Core Skills Indicator Assessment** – learner who are required to complete a Core Skills Indicator assessment will be provided with a link to complete the activities online. They are to complete it within **2 business days**. Once they have returned the completed assessment, the Trainer and Assessor for the training program is to assess their submission within **5 business days** and provide feedback. If the learner's enrolment form indicates that they have a disability, impairment or long-term condition, the Trainer and Assessor is to contact the learner to organise a time to undertake the assessment over Google Meets. Where we have identified the learner has minor deficiencies, the Trainer and Assessor is to develop a tailored support plan for the learner. Where major deficiencies are identified, the Trainer and Assessor is to explain to the learner that they do not have the requisite core skills required to undertake this training, and to refer them to an approved language, literacy and numeracy specialist service provider. Refer to our Core Skills Support policy for more information and guidance on core skills matters.
7. **Verify USI** – the learner's USI is to be verified on the Australian Government's USI platform: www.usi.gov.au and once verified, the notes are to be entered into the student's file.
8. **Credit Transfer** – where the learner has informed us that they would like to apply for credits, we should send them the *Credit Transfer Form* to complete. Ask for them to return it to us with a certified copy of their AQF certification documents – i.e. their testamur and record of results, or their statement of attainment, or their authenticated VET transcript; which evidences that they have successfully attained the unit(s) of competency they are applying credits for. Advise them that if they do not return the form together with the certified copy of their supporting evidences, we will not be able approve of their request for credits. Refer to our Credit Transfer policy for more information on the credit transfer requirements and process.
9. **Recognition of Prior Learning** – where a learner has expressed interest in applying for an RPL assessment, they are to be provided with the *Recognition of Prior Learning Application Form*

and briefed about the process. Refer to our Recognition of Prior Learning policy for more information.

- 10. Invoice fees** – once we have ascertained that the learner meets all of the training program requirements and they have completed the enrolment process, the Accounts department is to issue an invoice for the applicable fees.
- 11. Confirmation of Enrolment** – once the learner has been formally accepted into the training program, the Student & Administration Support personnel is to generate the *Confirmation of Enrolment* document and issue it to the learner.
- 12. Conduct induction and commence training** – The learner is then issued with their log-in information and the learner will now undergo induction and commence their training program.



Enrolment Process Flow-Chart



Enrolment Checklist

Student Name	
Course Code	
Course Name	

Item	Date Completed	Completed By	Comments
Pre-enrolment			
Provide enrolment pack to prospective student or client:			
- Course brochure			
- Student handbook			
Where we are unable to offer them a suitable training program of their choice, we should direct them to the Australian Government's Your Career platform: https://yourcareer.gov.au			
Follow-up with prospective student or client 3 business days after sending out enrolment pack and help assist prospective student or client with any questions they may have			

Item	Date Completed	Completed By	Comments
Once enrolment form has been received			
Check application has been completed completely and correctly			
If there is any information that requires clarification or confirmation, note them down in the <i>Enrolment Interview Form</i> and clarify with learner during the Enrolment Interview process			
Create student file on the Student Management System			
Scan enrolment form and save it onto the learner's file on the Student Management System			
Update <i>Notes</i> section with any information that requires clarification or confirmation from their enrolment form which is to be clarified with the learner during the Enrolment Interview process			
Enrolment interview			
Contact learner within 1 business day of receiving enrolment form to undertake an Enrolment Interview			
During the interview, listen out for any issues with listening, comprehension, speech and oral communication			
Where any issues with listening, comprehension, speech or oral communication is detected, this is to be noted down in the Enrolment Interview Form			

Item	Date Completed	Completed By	Comments
Scan the Enrolment Interview Form and save it onto the learner's file on the Student Management System			
Update <i>Notes</i> section recording when the enrolment interview was conducted and whether it was done over the telephone or via Google Meets. Where it was conducted over telephone, record the phone number down, and where it was conducted over Google Meets, the link is to be recorded.			
Core Skills Indicator (CSI) Assessment			
If the learner indicated in their enrolment interview that they have completed a qualification higher than a certificate III program, they do not have to undertake the CSI Assessment			
If the learner indicated in their enrolment interview that they have not completed a qualification higher than a certificate III program, they are to be sent the CSI Assessment to complete			

Item	Date Completed	Completed By	Comments
If the learner's enrolment form indicates that they have a disability, impairment or long-term condition, the Trainer and Assessor is to contact the learner to organise a time to undertake the assessment over Google Meets			
Advise the student to read the Instructions clearly before commencing and that they are to return the assessment within 2 business days and should they require more time, to contact us before the end of the 2 business days to negotiate a more suitable submission date			
Trainer and Assessor is to assess the CSI Assessment submission within 5 business days and feedback provided to learner			
Where major deficiencies are identified, the Trainer and Assessor is to explain to the learner that they do not have the requisite core skills required to undertake this training and to refer them to an approved language, literacy and numeracy specialist service provider – refer to Core Skills Support policy for more information and guidance on this			

Item	Date Completed	Completed By	Comments
Where minor deficiencies are identified, the Trainer and Assessor is to prepare a tailored support plan and discuss this with the CEO before approaching the learner with it to receive their acceptance of the support plan			
Save the completed CSI Assessment onto the learner's file on the Student Management System			
Update <i>Notes</i> section recording if any minor or major deficiencies are identified and what was done for the learner if so			
Verify USI			
Verify the learner's USI			
Where the USI is valid, record this in the <i>Notes</i> section in the student's file on the Student Management System			
Where the USI is not valid, the learner is to be contacted and informed as to which piece of information is not matching – they are then to provide the correct information and their USI re-verified – be sure to record this in the <i>Notes</i> section in the student's file on the Student Management System			

Item	Date Completed	Completed By	Comments
Credit Transfer			
Where the learner has informed us that they would like to apply for a credit transfer for one or some of the units they are undertaking, we are to send them the Credit Transfer Form to complete and follow Credit Transfer policy and procedure			
Recognition of Prior Learning			
Where the learner has informed us that they would like to apply for RPL for one or some of the units they are undertaking, we are to send them the Recognition of Prior Learning Application Form to complete and follow Recognition of Prior Learning policy and procedure			
Invoice fees			
Once all of the above have been completed correctly and we have ascertained that the learner meets all of the training program requirements, we are to issue an invoice for the applicable fees			
Confirmation of Enrolment			
Once the fees have been received, we are to complete and issue the Confirmation of Enrolment and Training Plan document to the learner			

Item	Date Completed	Completed By	Comments
Issue the learner with their log-in information to the LMS and issue learning materials			
Induction			
Deliver induction slides to student and they can then commence their training program			



Unique Student Identifier

The Council of Australian Governments agreed to implement the Unique Student Identifier (USI) to provide students with the ability to obtain a complete record of their training from a single source. The Student Identifiers Act 2014 was introduced and it came into effect from 1 January 2015.

General USI Principles

Training 2U is required to:

- Ensure students undertaking nationally recognised training provide their USI to us. Should a student not have one, they are required to obtain one from the Australian Government's USI website [here](#).
- Verify each student's USI to confirm their validity prior to issuing any Qualification or Statement of Attainment documents. At Training 2U, we verify the validity of a student's USI during the enrolment stage, or when the USI is provided if it is not collected during the enrolment stage.
- Follow the guidelines as outlined in the Student Identifiers (VET Exemptions) Instrument 2021 where a USI is not required to be collected, as follows:
 - o Where, after having consulted with ASQA, is exempt from the requirement to collect and submit AVETMISS compliant data on a nationally recognised training activity where submission of that data would conflict with defence or national security legislation or could jeopardise the security or safety of defence, border protection, customs, national security or police personnel;
 - o International students undertaking and completing their nationally recognised training program outside of Australia; and
 - o Individuals who have been granted an exemption from the Registrar to be assigned a USI in order to be issued a VET Qualification or Statement of Attainment where the individual has a genuine personal objection to being assigned a USI.

USI exemption

Where students meet the guidelines as outlined in the Student Identifiers (VET Exemptions) Instrument 2021 where a USI **is not required** to be collected, Training 2U has a responsibility to inform these students that their assessment results will not appear on their authenticated VET transcript or

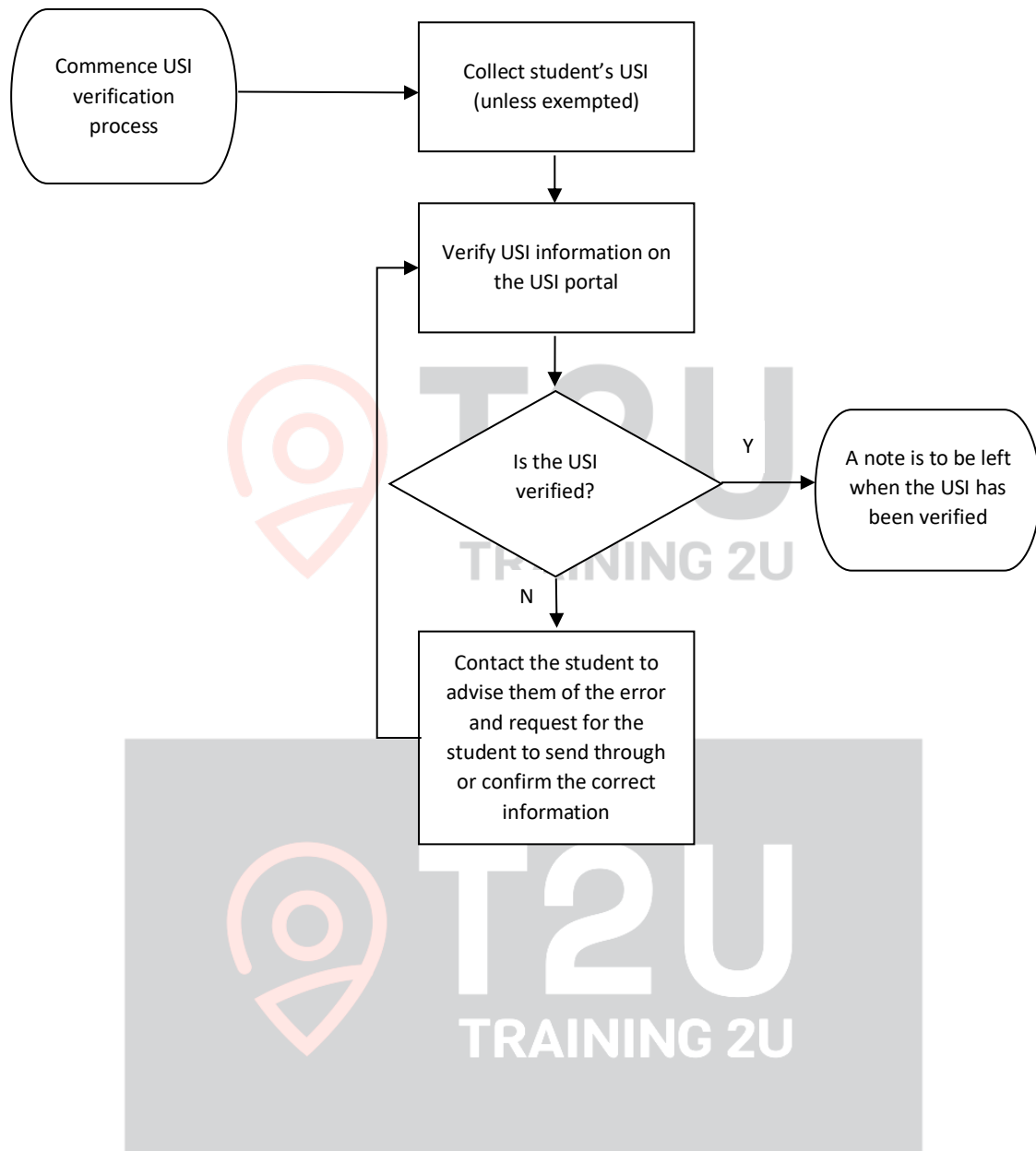
be available to them through the USI registry system. This information is relayed to the student pre-enrolment in the Student Handbook.

USI Verification Procedure

1. **Collection** – Training 2U collects a student's USI during the enrolment process, when the student submits their enrolment form. If a student is having trouble creating a USI, offer them assistance and walk them through the steps. If it is an unfamiliar error, refer them to the USI Help Centre on the USI website.
2. **Verification** – when the Student & Administration Support personnel receives the student's enrolment form, they are to review the information provided and confirm that a USI has been provided. If no USI is provided, the student is to be contacted to request for the USI to be provided to us. If a USI has been provided, the staff member is to verify that the information matches to that on the USI Registry.
3. **Notification** – if the USI is verified to be correct, a note is to be left so that you know that it has been verified to be correct. If the USI portal returns with an error advising that the information entered is not matching, it is advisable to check the information and try again a second time. Sometimes, the student may have entered their first name as Kate, however their first legal name is Katherine. The first name provided by the student must align with their first legal name as that would have been the name provided when they registered for their USI. If it is still returning an error, the Student & Administration personnel is to contact the student advising them of the error and requesting for them to provide us with the correct information.

IMPORTANT: All information relating to a student's USI must be kept secure. This includes the information stored within the Student Management System and only authorised personnel will have access to this information.

USI Verification Process Flow-Chart



Fees and Refunds

Training 2U charges a reasonable fee for the educational products and training and assessment services provided to students and clients. We clearly advertise our fees and charges, including whether GST applies, and refund policies on our website, as well as on our marketing materials to ensure prospective students and clients are aware and informed prior to enrolment or prior to the commitment to purchasing our products and/or services.

General Fees and Refunds Principles

Training 2U strives to:

- Be fair and competitive in setting our course fees and other charges;
- Be clear as to what our fees and charges are, including whether they are GST inclusive or exclusive;
- Offer a variety of options for students and clients to make payment;
- Be clear on our refund policy and process;
- Approach reasonably, flexibly and act in the best interests of our students and clients when authorising refund approvals and processes; and
- Inform learners of their rights as a consumer, including but not limited to any statutory cooling-off periods.

Responsibilities

The CEO is responsible for:

- Setting the applicable fees and charges; and
- Approving any refund applications made and for setting the refund policy.

The Student & Administration Support personnel will be responsible for:

- All administrative duties associated with publishing, collection and reporting of the fees and charges invoiced and collected; and
- Answering any student or prospective student's enquiries regarding our fees and refund policy and process.

Protection of Pre-paid Fees

In accordance with Clause 7.3 of the Standards for RTOs 2015, Training 2U ensure that we protect the pre-paid learner fees collected. To meet this responsibility, it is our practice to collect no more than \$1,500 prior to the commencement of the course, with the balance divided equally over the course of the training program, invoiced prior to the commencement of each term. This requirement only applies when the payment of fees is made directly by a student, and not by an employer or a funding authority.

Fees and Charges Information

It is important that prospective students and clients are aware of our fees and charges prior to their enrolment with Training 2U.

The following information must be included and maintained on our website and in our pre-enrolment materials to ensure its accuracy and currency:

- The applicable course fees, resource fees, and any other charges such as the re-issue of certificates or statement of results, and any photocopying or printing fees that may apply;
- Payment terms and options, including when the fees are to be paid by and what methods of payment we accept;
- Any non-refundable deposit or administration or enrolment fees that may apply;
- Guarantee provided by Training 2U to honour our commitment in delivering the agreed upon training and assessment services;
- Any discounts, fee reductions or exemptions that may be available for certain groups of enrolments, such as those with a concession card holder, those who are referred by a family or friend, etc; and
- Refund policy.

Good and Services Tax

Under section 38-85 GSTR 2003/1 Goods and Services Tax, Goods and Services Tax (GST) is exempt on our nationally recognised training courses. We will only apply GST on administrative fees and charges such as the re-issue of certificates or the printing of learning materials, educational products and courses which are not exempted under the aforementioned tax ruling. Further information can be found [here](#).

Our Guarantee

If Training 2U is not able to fulfil our agreement with our learners, regardless of the reason, Training 2U are to issue a full refund for any services not provided. This means that if we cancel a training program which has not yet commenced, we are to refund the full amount of the fees paid. Where we cancel a training program part way through the course, we are to refund the learners based on the units of competency not yet delivered to the learner and issue the learner with a Statement of Attainment based on the units the learner has already completed.

Collection of Fees

The fees and charges are displayed clearly in the relevant marketing materials, as well as on our website.

For students undertaking nationally recognised training, it is Training 2U's practice to collect no more than \$1,500 prior to the commencement of the course, with the balance divided equally over the course of the training program, and invoiced prior to the commencement of each term. Training 2U has a right to discontinue the delivery of training and assessment services if fees are not paid in accordance with the agreed upon fee schedule.

For employer clients who are enrolling their employees into nationally recognised training, and students undertaking non-accredited courses, it is Training 2U's practice to collect the entire course fees prior to the commencement of the course as part of a commercial agreement.

Statutory Cooling-Off Period

The Standards for Registered Training Organisations 2015 require RTOs to inform individuals of their right to a statutory cooling-off period. The Australian Consumer Law defines cooling-off periods as a specified timeframe of **10 business days** during which a consumer who has 'cooled off' on their decision to enter into a contract or agreement, where that contract or agreement was established through unsolicited marketing or sales tactics, to enable the consumer to legally withdraw from the contract with little or no penalty.

It must be noted that Training 2U does not engage in unsolicited marketing or sales tactics and therefore a statutory cooling-off period will not likely be applicable to our students and clients who have enrolled into a course with us.

Fee Extension

If a learner is experiencing financial difficulties in paying the fees by the due date and require a reasonable extension, they are to inform the Student & Administration Support personnel as soon as possible.

Each extension request will be assessed on its merits and Training 2U will do our best to provide reasonable extensions to the affected learner and outcomes of all requests are to be communicated to the learner within **10 business days**.

Refunds

Training 2U will provide a full refund for any services not provided, where we fail to deliver a course or unable to fulfil our service agreement as part of our guarantee to our students and clients. Where Training 2U is unable to deliver a course or fulfil our service agreement, we will calculate the refund based on the units of competency not yet delivered to the student or client.

Approved refunds will be actioned within **10 business days**. If the student had paid for their fees via electronic funds transfer, they will be refunded via the same method using the authorised bank account nominated by the student and must be in the name of the student for security purposes. If the student paid via credit or debit card, the refund will be processed to the credit or debit card they had paid with.

Where a student has purchased texts, training workbooks or materials, Training 2U will not refund the monies for this expense.

Students who give notice to cancel their enrolment **10 business days** or more prior to the commencement of a program, will be entitled to a full refund of fees paid.

Students who give notice to cancel their enrolment **9 business days** or less prior to the commencement of a program will be entitled to a refund of up to 75% refund of the course fees paid. The amount retained by Training 2U is required to cover the costs of staff, materials and resources which will have already been committed based on the student's initial intention to undertake the training.

Students who cancel their enrolment **within 28-days** of the course commencing will only be entitled to a refund of up to 25% of any course fees paid in advance. The amount retained by Training 2U is required to cover the costs of staff, materials and resources which will have already been committed based on the student's initial intention to undertake the training. An exception to this policy is where

Training 2U fails to fulfil its service agreement and the fees are refunded under our guarantee to clients.

Students who cancel their enrolment **after 28-days** of the course commencing will not be entitled to a refund of fees. Discretion may be exercised by the CEO if there is extenuating or significant personal circumstance that led to their withdrawal.

Setting and Advertising of Fees Procedure

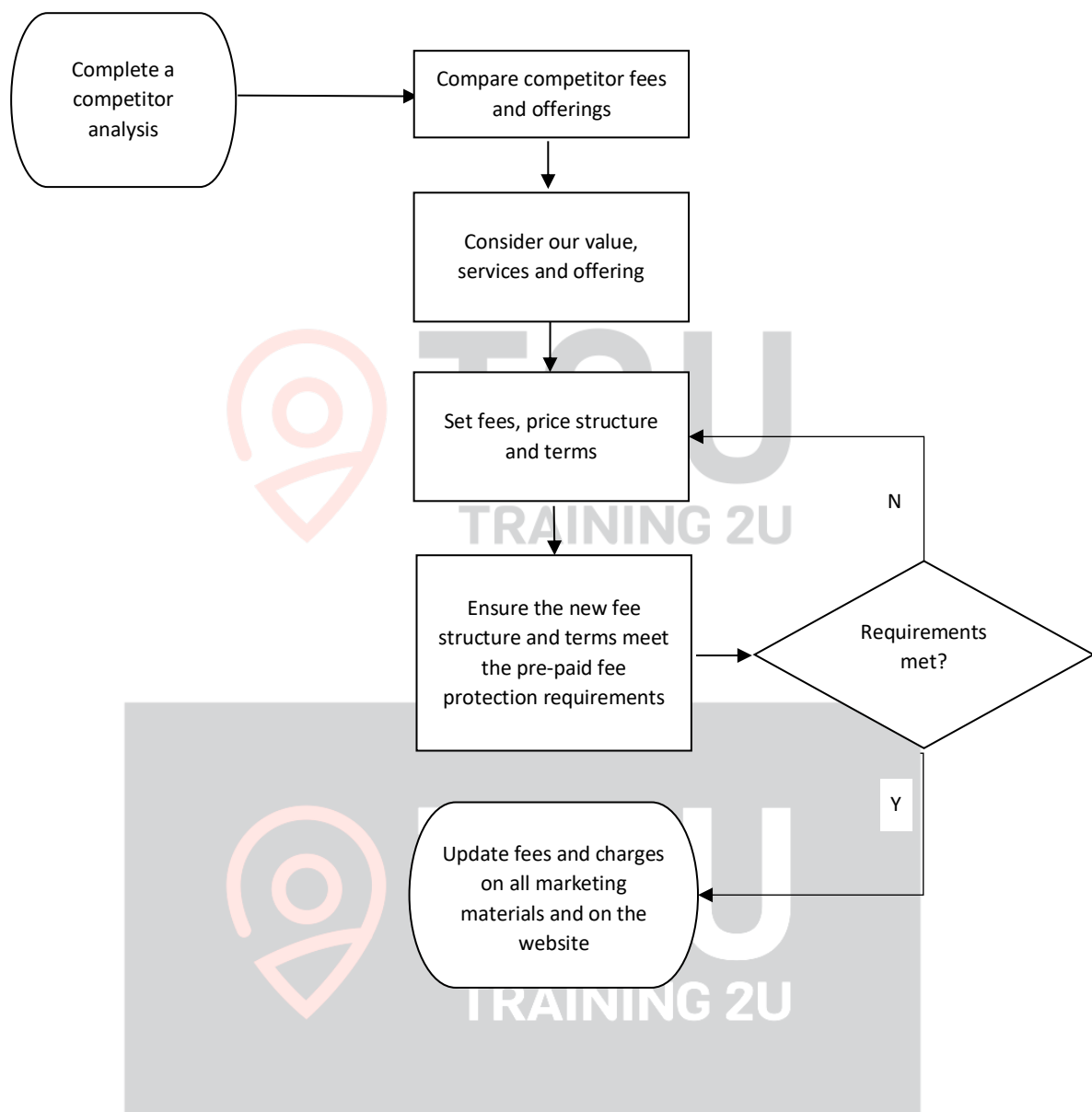
1. **Complete a market competitor analysis including fee analysis** – select a variety of competitors to conduct the competitor analysis on. For the purposes of fee analysis, RTOs with have similar target markets, and those with the same course offering(s) should be included. Dissect their value, not just their pricing structure. This will enable us to understand our positioning in the market and what thresholds we are able to charge for our courses.
2. **Consider the value and services offered by Training 2U** – having done a fee analysis of competitors, analyse our costs, factor in our value and the quality of services offered. A fair and competitive price can then be set for the courses, and the fee structure and terms can be arrived at.
3. **Ensure the new fee structure and terms meets the pre-paid fee protection requirements** – it is important that the new fee structure and terms meet Clause 7.3 of the Standards for RTOs 2015. This means that we do not collect more than \$1,500 prior to the commencement of the training program from the student (this only applies where the student is paying for the course fees by themselves and they are not employer sponsored), with the balance invoiced equally over the course of the training program, prior to the commencement of each term.
4. **Ensure the new fees and charges are updated on all marketing materials and on the website** – once the new fees and charges has been set, they will need to be updated on all marketing materials and on the website to ensure prospective students and clients are correctly informed prior to enrolment. It is important that the information also contains how much of the fees are collected, and when they are collected; as well as what methods of payment are available.

Refunds Procedure

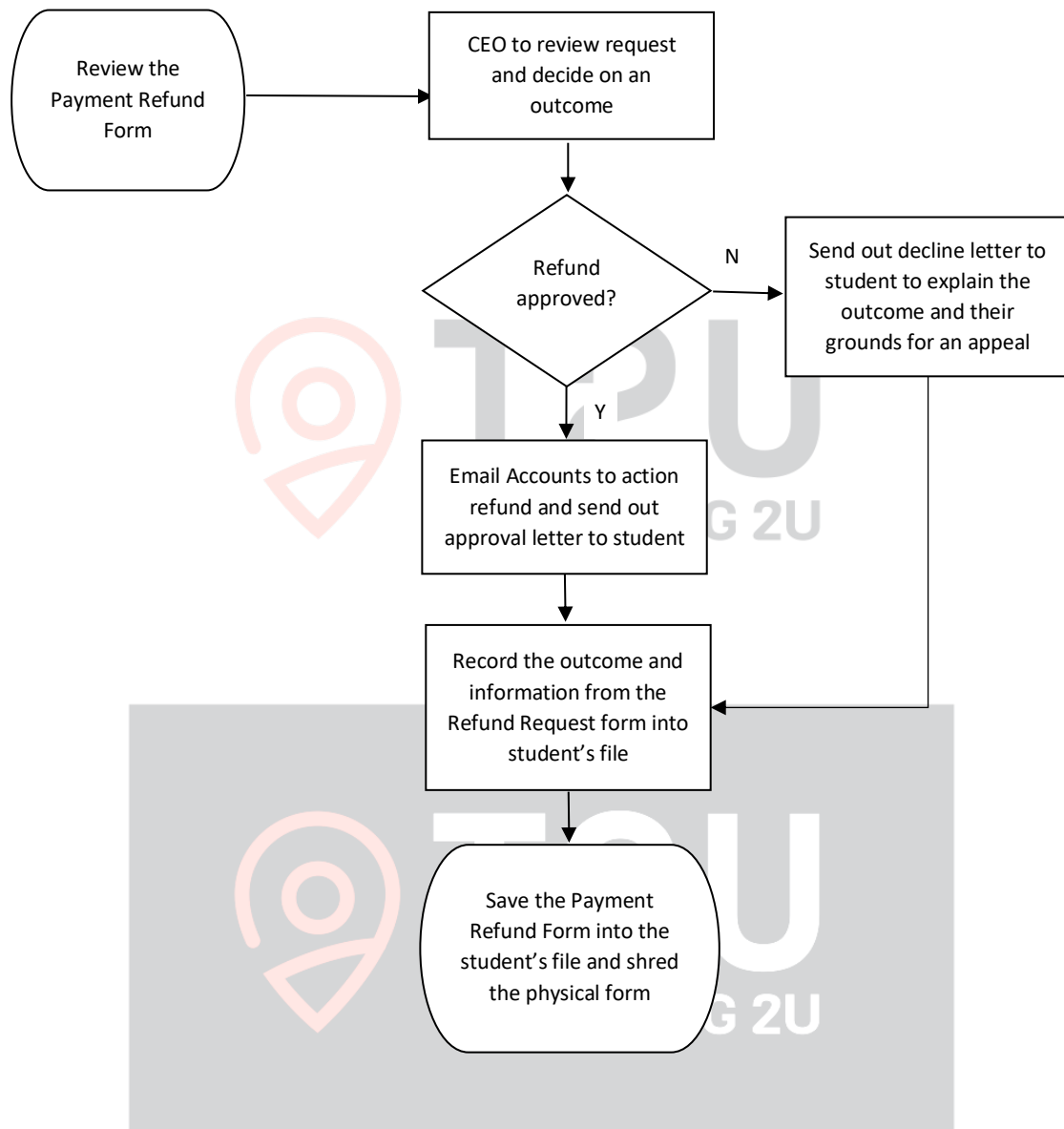
1. **Review the Payment Refund Form and send out acknowledgement** – ensure all of the fields are populated and send the student a letter acknowledging the receipt of their request. This must be done within **2 business days** of receipt of the *Payment Refund Form*.
2. **Seek CEO approval** – the form should then be sent to the CEO for review and approval. The form should be reviewed within **5 business days** of receipt of the *Payment Refund Form* and the outcome informed to the Student & Administration Support personnel.
3. **If approved** – send an e-mail to the Accounts department to action refund and send approval letter to student or client advising that the refund will be actioned within **10 business days**.
4. **If declined** – send decline letter to student or client to explain the outcome and their grounds for an appeal within **2 business days** of the CEO reviewing the request.
5. **Record the information** – the information in the *Payment Refund Form* is to be entered into our Student Management System for record keeping purposes and the physical form scanned into the student's file. The form should then be shredded and disposed of securely. Ensure that the Accounts department issues the refund to the student within **10 business days**.



Setting and Advertising of Fees Process Flow-Chart



Refunds Process Flow-Chart



Student Code of Conduct

Training 2U strives to provide a supportive, inclusive, rich and positive experience to our learners. Learners who conduct themselves in a manner that contradicts the Student Code of Conduct may be liable for student misconduct and disciplinary action.

General Code of Conduct Principles

Training 2U aim to be guided by the following:

- Provide adequate training to learners on the acceptable and unacceptable behaviours in the Induction Program;
- Hold a high standard of ethical behaviour;
- Build a culture of acceptance, honesty and respect amongst our learners and staff members; and
- Provide a safe and secure environment to all of our learners and staff members.

Responsibilities

All staff members are expected to:

- Model exemplary behaviour to act as a benchmark for learners and other staff
- Supervise learner behaviour and the behaviour of other staff
- Treat all learners and other staff with respect, dignity, impartially and fairly
- Maintain and respect the privacy of learners and other staff members
- Protect the rights of all individuals and groups
- Respect the cultural and individual needs of all learners and staff members
- Promote a positive and safe environment
- Implement a zero tolerance to the use of alcohol or drugs on premises at all times
- Reprimand a learner where they are smoking on premises
- Respond immediately to observed behaviour of misconduct to maintain a safe environment for learners and other staff, and where the behaviour is of a violent nature, immediately notify the CEO who will make a decision as to whether the police authorities are to be called for assistance in managing the matter
- Report any behaviour misconduct to the Student & Administration Support personnel and appropriate actions taken

Explanation of the Code

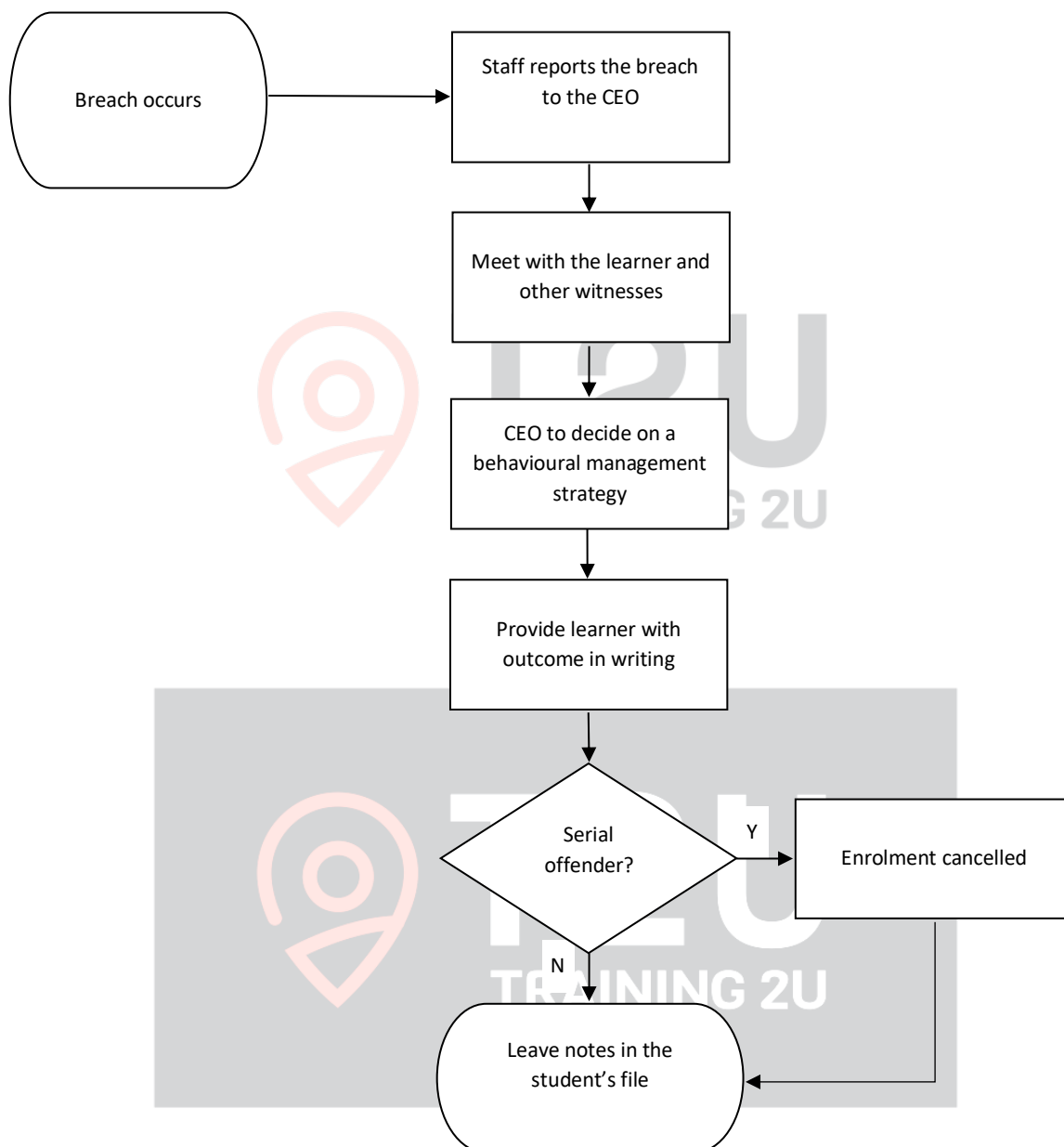
To ensure all learners receive equal opportunity to gain the maximum benefit from their training program, learners are expected to:

- Treat others with respect, dignity and fairly
- Respect the rights and privacy of other learners and staff members
- Accept cultural, gender, race, sexual preference, political affiliation, disability, religious belief and other individual differences of other learners and staff members
- Engage in practices that provide a positive, safe and secure environment for all
- Follow all reasonable instructions and directives provided by our staff members
- Attend classes punctually and be responsible for your own learning and development by ensuring that you maintain progress with your learning
- Participate in the training and assessment activities actively and positively
- Seek out help and assistance where required
- Not disrupt the class consistently and egregiously
- Not bring any dangerous items onto any training and/or assessment sites, such as lighters and knives
- Not smoke in or around the training and/or assessment sites
- Maintain the peace of the learning environment
- Act and present their work honestly and ethically, without plagiarism, cheating or collusion
- Be free from any prohibited drugs and substances, including alcohol
- Not be aggressive or behave in a violent manner towards any individual
- Not use or behave in an offensive, bullying, discriminatory or harassing manner
- Refrain from any activity that deliberately obstructs, offends, harms or injures others
- Make use of our facilities, equipment and resources responsibly and respectfully without intentionally destroying or damaging them
- Abide by all laws, regulations and terms of enrolment

Student Code of Conduct – Breach Procedure

1. **Breach occurs** – where a learner breaches the terms of the Student Code of Conduct, depending on the severity, one of the following may need to be implemented:
 - Immediately suspend the learner for a period not exceeding **10 business days** – this will depend on the severity of the misconduct
 - Contact the police to help control the situation – where the learner is displaying violent and aggressive behaviours, or where State or Commonwealth law appears to have been breached
2. **Inform the CEO** – the CEO is to be notified of the breach immediately.
3. **Meeting with the learner and any other witnesses** – a meeting will be organised with the learner to find out more about the misconduct – what might have caused it, why they believed that was their only course of action, and what they believe is appropriate action to be taken against them. Witnesses to the event should also be interviewed to get a complete picture of the breach that has occurred.
4. **Impose an appropriate behavioural management strategy** – the CEO is then to decide on a behavioural management strategy, which can include:
 - Issue the learner with a formal warning;
 - Suspend the learner from their enrolment for a period of time
 - Instigate a behavioural management contract with the learner, including agreed monitoring arrangements and consequences based on repetition of the misconduct
 - Cancel the learner's enrolment where serious misconduct involving violence and aggression to others, damage to property, or a breach of State, Territory or Commonwealth law
5. **Outcome in writing** – the learner will be advised of the action Training 2U believes is appropriate and their rights to an appeal.
6. **Serial offender** – where the learner continually breaches the Student Code of Conduct and have been formally warned on at least two occasions, their enrolment will be cancelled.
7. **Record notes in student's file on the Student Management System** – the Student & Administration Support personnel is to record all notes and evidences on the student's file.

Student Code of Conduct – Breach Process Flow-Chart



Student completion, progress and attendance

Training 2U strives to ensure our learners complete their training program within the outlined duration. We acknowledge that a learner's circumstances can vary from when they commenced their training program, to the circumstances they face whilst progressing through the course. We intend to address and support them to the best of our ability.

General Student Completion Principles

Training 2U intend to manage a learner's course progress and workload to ensure it is completed within the duration specified in their Confirmation of Enrolment document.

In order to do so, we will apply the following:

- Monitor a learner's academic performance and alerting the learner where necessary should they be falling below or behind on their requirements;
- Ensure a learner continues to meet their course requirements by personally checking-in with the learner at least once a month to check on their welfare and how they are finding the course and assessment materials, and to offer any additional assistance or support; and
- Prepare a tailored support plan where required to help them complete the course within the expected duration of study.

General Monitoring and Tracking Principles

Training 2U tracks a learner's progression throughout the course. We have a duty to ensure learners remain engaged and support them to complete their course.

We will be guided by the following when monitoring our learners' progress throughout the course:

- Each course is set up within the student's file with the relevant units of competency;
- Each training program's schedule is set up with the relevant start and end dates, delivery method and sessions for delivery (if applicable);
- Learners are then enrolled into the respective training program and their enrolment is monitored at least once a fortnight to ensure they are meeting their requirements and are on schedule to completing their course within the set duration – this enables us to identify any concerns immediately and help minimise any adverse effects to the learner;

- The Trainer and Assessor is to monitor the learner's behaviours and offer any additional assistance, particularly where a learner is not meeting their deadlines or not achieving competency in their respective training programs;
- The Trainer and Assessor is to consult with the CEO regarding a learner's individual circumstances to discuss what additional support may be available for the learner to support their progress through the course;
- Administer the necessary intervention strategies, taking into account the individual circumstances of the learner (where required);
- Provide an extension to the course duration under certain circumstances (outlined below);
- We cannot force a learner to attend classes or complete a course against their will, however, we can help support our learners facing difficulty to progress through their course and achieve successful completion.

Extension to Course Duration

Where it is clear that the learner will not be able to complete the course within the expected duration, Training 2U may extend the enrolment period of the learner where there are:

- Compassionate or compelling circumstances;
- An approved deferment or suspension of study granted in accordance with the Deferral, Suspension or Withdrawal policy; and
- After implementing an intervention strategy, the learners are still at risk of not meeting satisfactory course progress.

Training 2U will assess each request individually, taking into account the personal circumstances of the learner. Learners will only be permitted a maximum enrolment period of 2-years. If a learner has reached their maximum allowable enrolment period, they will not be granted any further extensions and will have to re-enrol into the course.

Intervention Strategies

It is a policy of Training 2U to implement intervention strategies for learners not meeting satisfactory course requirements. A learner's progress will be reviewed to allow Training 2U to identify 'AT RISK' learners:

- The learner has failed more than 50% of the units; or
- The learner has been identified as unable to complete the course within the set duration.

Strategies for intervention may include, but are not limited to:

- Modifications to their course load or training plan;
- Additional tuition support from the learner's Trainer and Assessor where appropriate;
- Extension in their course duration (to no more than 2-years from the date of commencement);
- Assist learners in accessing support services as listed in the Individual Learner Needs policy, such as counselling support services.



Intervention Strategies Procedure

1. **Learner identified as 'AT RISK'** – at the start of each academic quarter (i.e. January, April, July and October), the Trainer and Assessor is to notify the Student & Administration Support personnel where learners have been identified as 'AT RISK':
 - The learner has failed more than 50% of the units;
 - The learner has been identified as unable to complete the course within the set duration; or
2. **Confirm the information is accurate** – the Student & Administration Support personnel is to review and confirm that the learner is indeed 'AT RISK'. Where the learner is not 'AT RISK', the Trainer and Assessor is to be consulted as to how they arrived at that decision. Where the learner is 'AT RISK', the Student & Administration Support personnel is to organise a formal intervention strategy meeting.
3. **Organise a formal intervention strategy meeting** – the learner will be sent a meeting request. Inform the learner the purpose of the meeting and that they are able to bring a support person of their choice if they wish. The Student & Administration Support personnel is also to prepare all of the supporting documentation required for the meeting – such as the *Intervention Strategy Form*, the learner's training plan, their completed assessment tools, and any other relevant evidences.
4. **Conduct formal intervention strategy meeting** – the Student & Administration Support personnel along with the Trainer and Assessor is to attend the meeting with the learner and their support person. The Student & Administration Support personnel is to conduct the interview in a compassionate and professional manner, with the Student & Administration Support personnel overseeing the meeting.

During the meeting the learner is to:

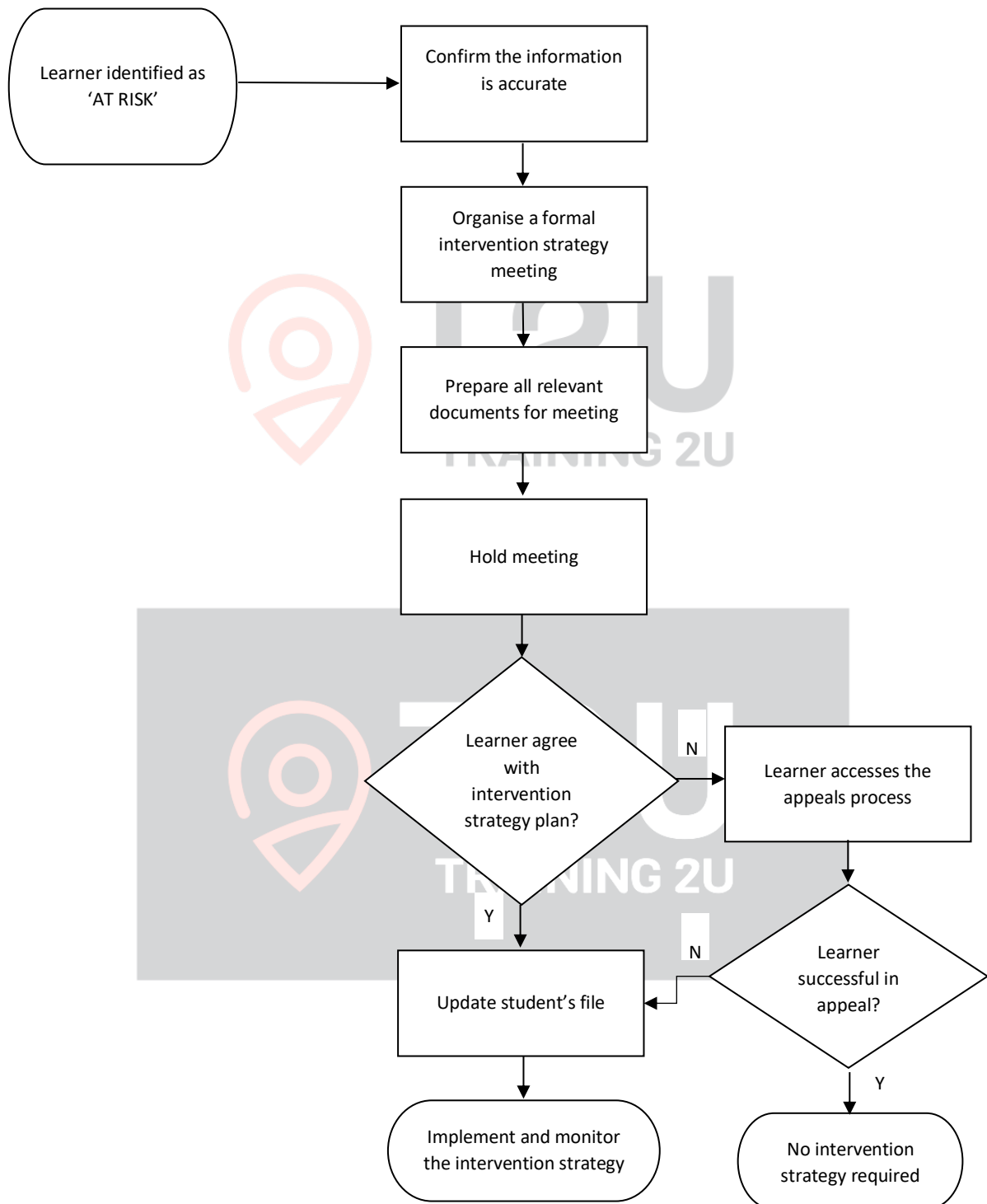
 - Be advised of the reason as to why they are considered 'AT RISK';
 - Be informed of their rights and obligations, including their right to an Appeal if they do not wish to accept the intervention strategy plan;
 - Be consulted as to what is causing their poor academic performance or lack of attendance;
 - Be counselled appropriate to the contributing factor to their 'AT RISK' status;
 - What we can do and how we can help support them through their training program;
 - Collaboratively work with their Trainer and Assessor to arrive at an agreeable intervention strategy plan;

- Sign the *Intervention Strategy Form*.

All participants are to sign the first page of the *Intervention Strategy Form* as evidence they were present in the meeting.

5. **Copy of *Intervention Strategy Form* provided to learner** – the Student & Administration Support personnel is to make a copy of the signed *Intervention Strategy Form* and provide it to the learner for their record.
6. **Update student's file on the Student Management System** – the Student & Administration Support personnel is to scan and save the completed *Intervention Strategy Form* to the student's file, and the physical copy shredded. Detailed notes are to be left on the student's file and the student's file is to be updated with the relevant information from the intervention strategy plan. For example, if we varied the learner's workload, we should amend the learner's enrolment record and issue a new *Confirmation of Enrolment* document.
7. **Appeal** – where the learner is not satisfied or prepared to accept the intervention strategy plan as outlined in the *Intervention Strategy Form*, they may access the Appeals process. The Appeal must be lodged within **20 business days** to file an Appeal. Refer to our Complaints and Appeals policy for more information on the Appeals process.
8. **Implement and monitor the intervention strategy plan** – where the learner has accepted the intervention strategy plan, it must be activated as early as practicable, and no later than 4-weeks. The Trainer and Assessor is responsible in monitoring the learner's progress, willingness and ability to follow through with the intervention plan.

Intervention Strategies Process Flow-Chart



Deferral, suspension and withdrawal

Training 2U provides our learners with the option to defer the commencement of their training program, temporarily suspend their course, and withdraw from their course. This policy outlines our approach and procedure for assessing, approving and recording a deferment, suspension or withdrawal for a learner.

General Deferral Principles

A deferral is to delay the commencement of a course.

A learner may only defer their enrolment on compassionate or compelling circumstances.

Compassionate or compelling circumstances is defined as the circumstances beyond the control of the learner which has an impact on the learner's course progress or wellbeing. These can include, but are not limited to:

- Serious illness or injury (evidenced by a medical certificate);
- Bereavement of close family members (evidenced by a death certificate or obituary);
- Major political upheaval or natural disaster;
- A traumatic experience, which can include, but is not limited to:
 - The involvement in, or witnessing of, a serious accident; or
 - The witnessing of or being the victim of a serious crime (evidenced by police or Psychologist's reports).

Applications for deferment is to be lodged with Training 2U at least **10 business days** prior to the commencement of the training program. If the learner is under 18 years of age, the parent or legal guardian are to support the deferment in writing, by signing the *Deferral, Suspension or Withdrawal Form* in the relevant section.

General Suspension Principles

Suspension is to temporarily delay the enrolment once the course has commenced.

A learner may only suspend their enrolment on compassionate or compelling circumstances.

Compassionate or compelling circumstances is defined as the circumstances beyond the control of the learner which has an impact on the learner's course progress or wellbeing. These can include, but are not limited to:

- Serious illness or injury (evidenced by a medical certificate);
- Bereavement of close family members (evidenced by a death certificate or obituary);
- Major political upheaval or natural disaster;
- A traumatic experience, which can include, but is not limited to:
 - The involvement in, or witnessing of, a serious accident; or
 - The witnessing of or being the victim of a serious crime (evidenced by police or Psychologist's reports).

Applications for suspension is to be lodged with Training 2U at least **10 business days** prior to the requested suspension start date. If the learner is under 18 years of age, the parent or legal guardian are to support the suspension in writing, by signing the *Deferral, Suspension or Withdrawal Form* in the relevant section.

Suspension Initiated by Training 2U

Training 2U may suspend a learner's enrolment on the grounds of:

- Serious misconduct or misbehaviour by the learner; or
- Continuous misconduct or misbehaviour by the learner where formal warnings have previously been issued.

Where Training 2U initiates a suspension:

- A formal written notification will be provided to the learner
- The learner has **20 business days** to lodge an appeal
- The suspension cannot take effect until the internal Appeals process has been completed, unless extenuating circumstances relating to the welfare of the learner applies
- Where the affected learner is under the age of 18, a copy of the formal notification will be forwarded to the parent or the legal guardian.

General Withdrawal or Cancellation Principles

Withdrawal or cancellation is the cessation of an enrolment of a course. Applications for withdrawal is to be lodged with Training 2U at least **10 business days** prior to the requested withdrawal date. If the learner is under 18 years of age, the parent or legal guardian are to support the withdrawal in writing, by signing the *Deferral, Suspension or Withdrawal Form* in the relevant section.

Refunds for Withdrawals

- Where a student has purchased texts, training workbooks or materials, Training 2U will not refund the monies for this expense.
- Students who give notice to cancel their enrolment **10 business days** or more prior to the commencement of a program, will be entitled to a full refund of fees paid.
- Students who give notice to cancel their enrolment **9 business days** or less prior to the commencement of a program will be entitled to a refund of up to 75% refund of the course fees paid. The amount retained by Training 2U is required to cover the costs of staff, materials and resources which will have already been committed based on the student's initial intention to undertake the training.
- Students who cancel their enrolment **within 28-days** of the course commencing will only be entitled to a refund of up to 25% of any course fees paid in advance. The amount retained by Training 2U is required to cover the costs of staff, materials and resources which will have already been committed based on the student's initial intention to undertake the training. An exception to this policy is where Training 2U fails to fulfil its service agreement and the fees are refunded under our guarantee to clients.
- Students who cancel their enrolment **after 28-days** of the course commencing will not be entitled to a refund of fees. Discretion may be exercised by the CEO if there is extenuating or significant personal circumstance that led to their withdrawal.

For further information regarding our refunds process, kindly refer to our Fees and Refunds policy.

Cancellation Initiated by Training 2U

Training 2U may cancel a learner's enrolment on the grounds of:

- Serious misconduct or misbehaviour by the learner;
- Continuous misconduct or misbehaviour by the learner where formal warnings have previously been issued;
- Failure to comply with the Student Code of Conduct;
- Failure to comply with any formal warnings issued;
- Criminal misconduct or behaviour occurring on our premises or using our facilities, resources and/or equipment; or
- The non-payment of outstanding course fees and charges – generally where they have been overdue for 90-days and the student makes no resolution or plan with Training 2U to fulfil the payment.

Where Training 2U initiates a cancellation:

- A formal written notification will be provided to the learner
- The learner has **20 business days** to lodge an appeal
- The cancellation cannot take effect until the internal Appeals process has been completed, unless extenuating circumstances relating to the welfare of the learner applies
- Where the affected learner is under the age of 18, a copy of the formal notification will be forwarded to the parent or the legal guardian.

Deferral – Learner Initiated Procedure

1. **Deferral request received** – a learner wanting to defer their enrolment, is to lodge a *Deferral, Suspension or Withdrawal Form* via e-mail to: <insert email address once live> and the form will be processed within **10 business days** by the Student & Administration Support personnel. The Student & Administration Support personnel is to advise the learner of the receipt of the form and the process. Speak to the learner to find out their reasons for deferment and ensure that they understand what a deferment means.
2. **Information entered into student's file** – the deferral request is to be recorded under the *Notes* section of the student's file. The form is to be saved in the student's file.
3. **Forward to CEO for review and approval** – the learner's deferral request is to be forwarded to the CEO for review within **1 business day** of receipt of the *Deferral, Suspension or Withdrawal Form*. The CEO should review the form within **5 business days**. The Student & Administration Manager should be notified of the outcome within **1 business day**.
4. **If approved** – the Student & Administration Support personnel is to update this information on the student's file and issue the learner with the following within **3 business days**:
 - A written correspondence of the decision;
 - An updated Confirmation of Enrolment letter; and
 - An updated training plan.
5. **If denied** – the Student & Administration Support personnel is to update this information in the student's file and notify the learner of the rejection and our appeals process within **3 business days**.

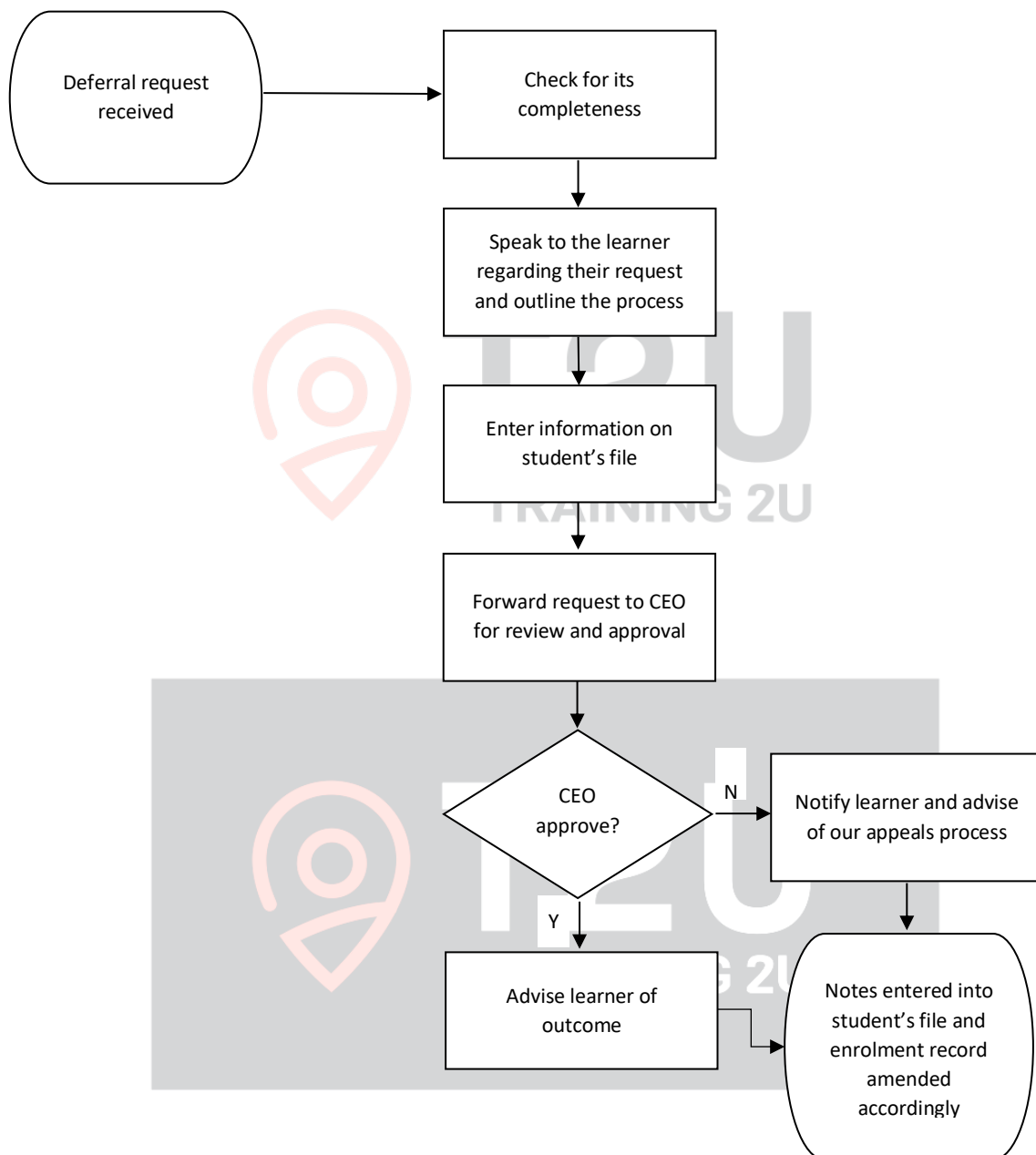
Suspension – Learner Initiated Procedure

1. **Suspension request received** – a learner wanting to suspend their enrolment, is to lodge a *Deferral, Suspension or Withdrawal Form* via e-mail to: <insert email address once live> and the form will be processed within **10 business days** by the Student & Administration Support personnel. The Student & Administration Support personnel is to advise the learner of the receipt of the form and the process. Speak to the learner to find out their reasons for suspension and ensure that they understand what a suspension of their enrolment means.
2. **Information entered into student's file** – the suspension request is to be recorded under the *Notes* section of the student's file. The form is to be saved in the student's file.
3. **Forward to CEO for review and approval** – the learner's suspension request is to be forwarded to the CEO for review within **1 business day** of receipt of the *Deferral, Suspension or Withdrawal Form*. The CEO should review the form within **5 business days**. The Student & Administration Manager should be notified of the outcome within **1 business day**.
4. **If approved** – the Student & Administration Support personnel is to update this information on the student's file and issue the learner with the following within **3 business days**:
 - A written correspondence of the decision; and
 - An updated training plan.
5. **If denied** – the Student & Administration Support personnel is to update this information in the student's file and notify the learner of the rejection and our appeals process within **3 business days**.

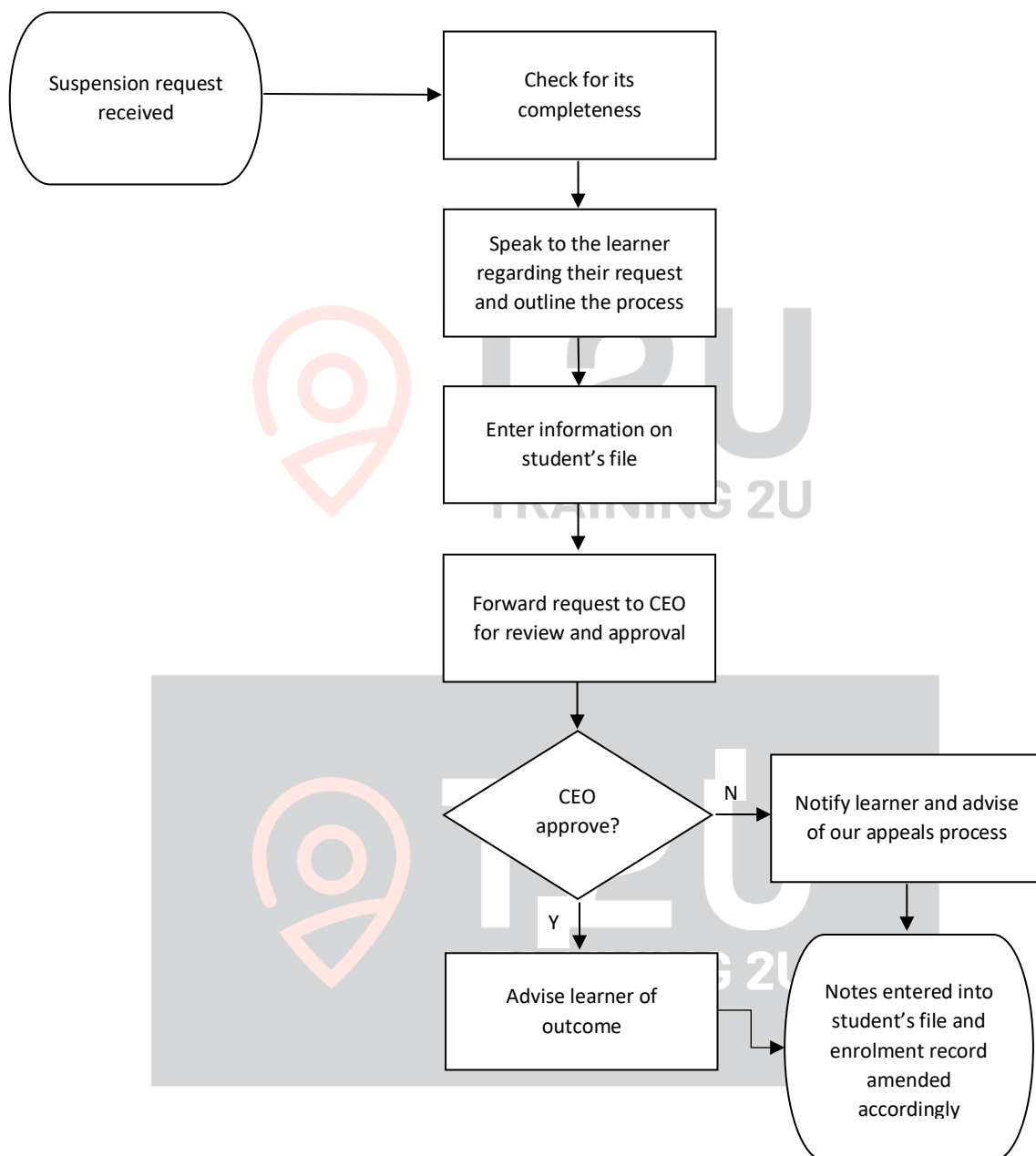
Withdrawal – Learner Initiated Procedure

1. **Withdrawal request received** – a learner wanting to withdraw from their training program, is to lodge a *Deferral, Suspension or Withdrawal Form* via e-mail to: **<insert email address once live>** and the form will be processed within **10 business days** by the Student & Administration Support personnel. The Student & Administration Support personnel is to advise the learner of the receipt of the form and the process. Speak to the learner to find out their reasons for withdrawing and ensure that they understand what a withdrawal from their course means.
2. **Information entered into student file** – the withdrawal request is to be recorded under the *Notes* section of the student's file. The form is to be saved in the student's file.
3. **Forward to CEO for review and approval** – the learner's withdrawal request is to be forwarded to the CEO for review within **1 business day** of receipt of the *Deferral, Suspension or Withdrawal Form*. The CEO should review the form within **5 business days**. The Student & Administration Manager should be notified of the outcome within **1 business day**.
4. **Once approved** – the Student & Administration Support personnel is to update this information on the student's file and issue the learner with a written correspondence of the decision within **3 business days**.
5. **Refund process** – where the learner is eligible for a refund, we are to also provide them with a *Payment Refund Form* with instructions on how to complete the form. When they return the completed form to us, we are to process the form in accordance with our Fees and Refunds policy.

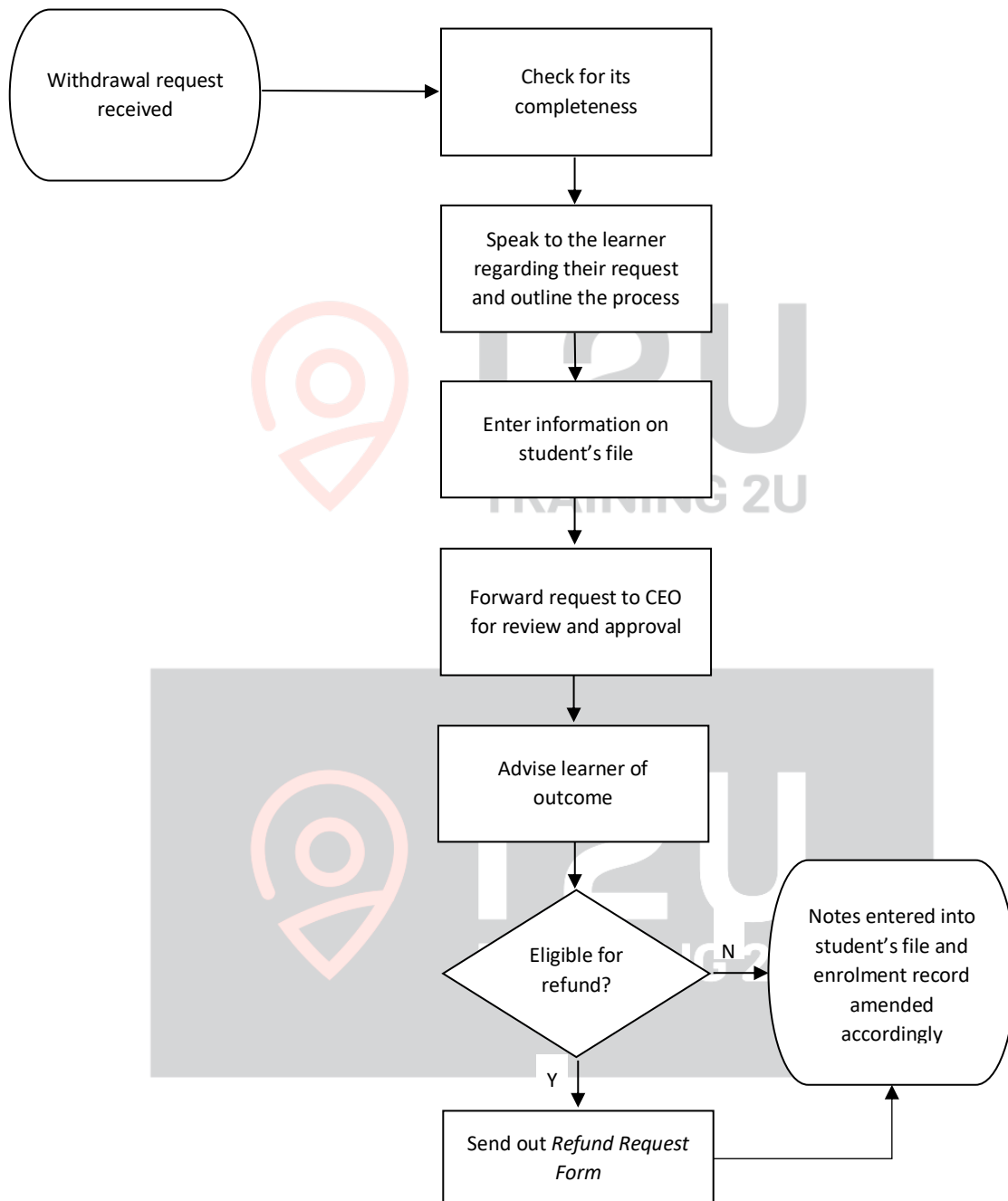
Deferral – Learner Initiated Process Flow-Chart



Suspension – Learner Initiated Process Flow-Chart



Withdrawal – Learner Initiated Process Flow-Chart



Transfer of Courses

From time to time, learners may decide that the training program is no longer suitable to their vocational goals. Where this occurs, Training 2U aims to provide a clear and systematic process for our learners to transfer programs.

General Transfer of Courses Principles

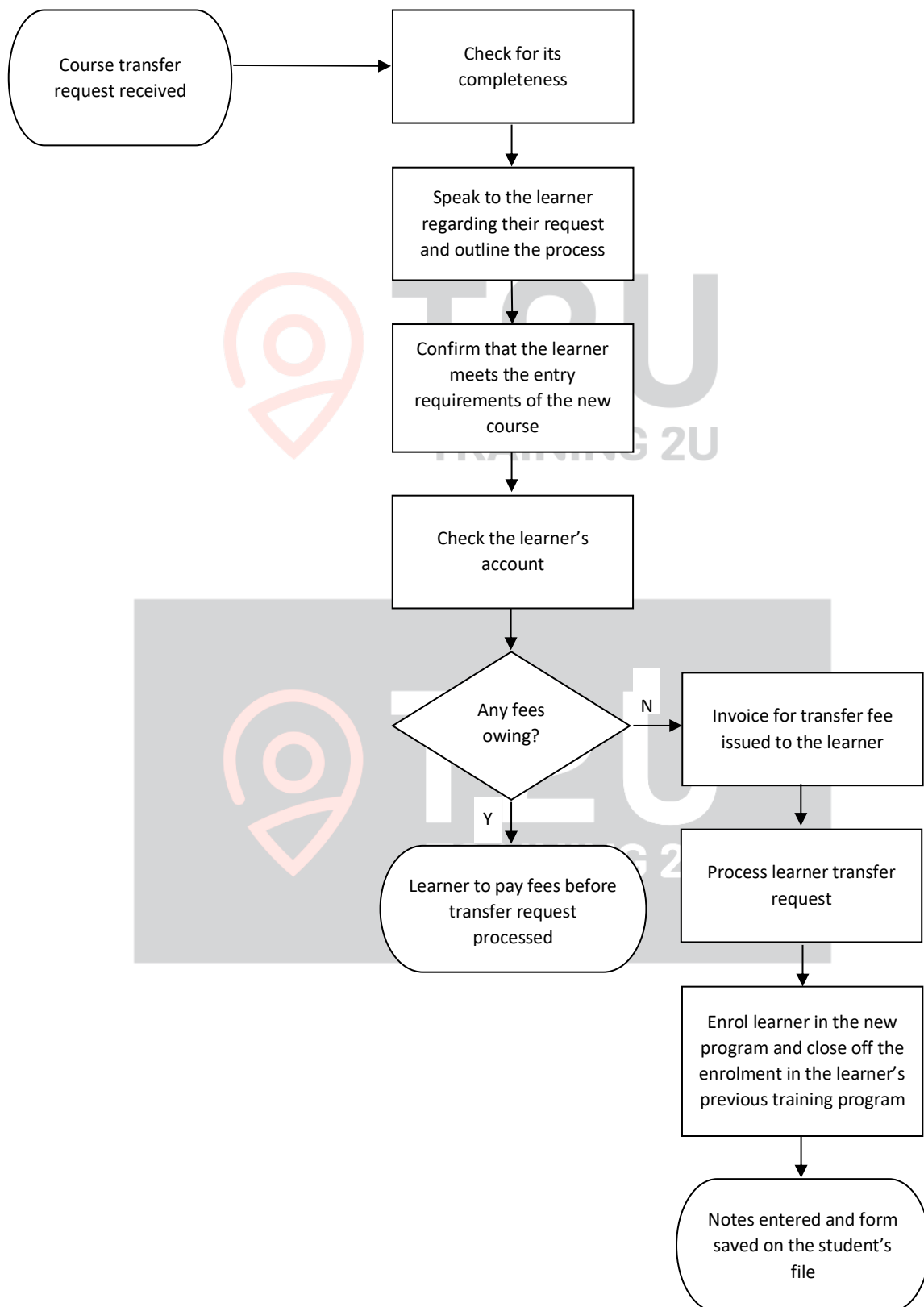
Training 2U will be guided by the following to facilitate the learner's transfer request:

- Counsel the learner to help them make the best decision for themselves;
- Provide adequate and accurate information about the transfer process, including the new training program, whether any credits can be obtained, and the fees applicable;
- Learners are advised to submit the transfer request at least **10 business days** prior to the start date of the new training program;
- Facilitate the transfer process and take no more than **10 business days** to process the transfer request;
- Ensure that if a learner under the age of 18 has applied for a transfer, that their parent or legal guardian has provided support for the transfer in writing.
- Assess all requests individually, taking into account the circumstances of the learner and if the transfer will be in the best interest of the learner;
- Where a learner has outstanding unpaid fees, they will be requested to fulfil the payment of their outstanding account prior to the transfer, or it may be denied;
- Record their transfer requests accurately and promptly in their file; and
- Where the transfer requests are successful, the learner will be issued with a Statement of Attainment for the units they have already completed in the previous training program.

Transfer of Courses Procedure

1. **Transfer application received** – the Student & Administration Support personnel is to review that the submitted *Course Transfer Form* has been completed correctly. The Student & Administration Support personnel is to advise the learner of the processing time frame of **10 business days** and the course transfer process. Confirm with the learner that the new course meets their vocational goals and needs and provide them with the Course Brochure of the new course to ensure they are properly informed. The learner is also to be informed of the costs incurred for the course transfer.
2. **Confirm the learner meets the new course's entry requirements** – the Student & Administration Support personnel is to confirm that the learner meets the entry and training requirements of the new training program such as the completion of Year 12 or having completed certain pre-requisite units. Where the learner does not meet the entry requirements, the learner is to be advised within **2 business days**. Where the learner meets the entry requirements, the Student & Administration Support personnel is to confirm that they do not have any outstanding amounts to be paid on their account. This is to be completed within **2 business days** from the receipt of a completed *Course Transfer Form*.
3. **Issue invoice** – if there is an outstanding amount payable, the learner is to be advised to fulfil their payment before we are able to process their transfer request. Where there are no outstanding amounts payable, the Student & Administration Support personnel is to advise the Accounts team is to raise an invoice to the learner for the course transfer fee.
4. **Complete transfer** – the Student & Administration Support personnel is to enrol the learner into the new training program and update the student's file with the new course and enrolment information. Detailed notes should also be recorded and the form saved to the student's file. The learner is then to be sent a letter confirming that their transfer request has been approved and a new Confirmation of Enrolment. The Student & Administration Support personnel is also to enter an 'End date' to the learner's previous course and issue the learner a Statement of Attainment for any completed units of competency, so long as their USI has been verified and fees are up-to-date.

Transfer of Courses Process Flow-Chart



Issuing AQF Certificates and Outcomes

In accordance with Clauses 3.1 to 3.4 of the Standards for RTOs 2015, Training 2U is required to provide secure AQF certification documentation. This means that Training 2U must have controls in place to ensure qualifications, statements of attainment and records of results are not issued unless the student has completed all assessment requirements. Inappropriately issued certification poses a significant risk to our reputation and to the VET sector.

General Issuing of AQF Certification Documentation Principles

To meet the requirements of the Standards, Training 2U will:

- Only issue AQF certification documentation to learners who have been assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course – this means that all of their outcomes must be competency achieved, recognition of prior learning granted, or credit transfer approved;
- No AQF certification documentation is to be issued electronically to prevent any misuse and to prevent any potential fraudulent activities that can arise by transmitting the AQF certification documentation electronically;
- Ensure that each testamur, record of results and statement of attainment (including any re-issued documents) have a unique certificate or statement number and the CEO is to personally sign each testamur, record of results and statement of attainment, and only enable those with authorised access print off the testamure, record of results and statement of attainment;
- Ensure the AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product in its entirety, and providing that all agreed fees and charges have been paid in full;
- Maintain records of all AQF certification documentation issued to learners for a period of 30-years in our Student Management System and provide reports of these records to ASQA on a regular basis, as determined by ASQA;
- Ensure that the learner's Unique Student Identifier (USI) is not included in the learner's Qualification testamur, Record of Results or Statement of Attainment; and
- Ensure that learners who have not had their USI provided and verified are not issued with their AQF qualification documents, unless an exemption applies under the Student Identifiers Act 2014. Where an exemption applies, Training 2U would have notified the learner prior to

the finalisation of their enrolment in the Student Handbook that the results of the training will not appear on any authenticated VET transcript prepared by the USI Registrar.

Responsibilities

The CEO is responsible:

- In ensuring the integrity and the security of all AQF certification documentation issued to students; and
- To review and approve of all certification documentation prior to the issuance of the documentation to learners.

The Student & Administration Support Manager is responsible for:

- Ensuring the Trainer & Assessor has correctly and completely saved all of the learner's completed assessment tools and submitted assessment evidences to the learner's file;
- Confirming that:
 - The learner's USI is correctly recorded and it has been verified on the USI database (unless an exemption applies under the Student Identifiers Act 2014), and
 - There are no outstanding balances on their account and their fees are paid in full;
- Coordinating the printing, the approval from the CEO, and the issuing of the AQF certification documentation to the learner; and
- Ensuring that the AQF certification documents are sent out to the learners within **30-days** of the learner being assessed as meeting all of the requirements of the training product.

The Trainer & Assessor is to ensure that:

- All of the learner's completed assessment tools and submitted assessment evidences are complete and are correctly saved to the learner's file; and
- The information recorded on the student's file pertaining to the learner's training activity outcome(s) are accurate – particularly the start and end dates of training activity, as well as the outcome of the training and assessment activity.

AQF Certification Documentation Requirements

It is important that Training 2U's certification documentation meets the requirements of the Standards for RTOs 2015 and the Australian Qualifications Framework. In order to do so, our certification documents will contain the following:

- **Qualification testamur** – issued to learners who have met the requirements of a vocational education and training qualification:
 - Our legal name;
 - Our RTO number;
 - Our logo;
 - The words: 'The qualification is recognised within the Australian Qualifications Framework';
 - Our company seal;
 - The Nationally Recognised Training logo;
 - Full legal name of learner (as verified with the USI);
 - Student number (this is not their USI, rather this is our internal student ID number);
 - Certificate number;
 - The course code and title as specified on the National Register of VET;
 - Date issued;
 - Name, title and signature of the CEO or authorised signatory;
 - Contact details for enquiries relating to issued certificates;
 - Industry descriptor (if applicable);
 - Occupational or functional stream (if applicable);
 - State / Territory Training Authority logo (if applicable);
 - Include the words: 'Achieved through Australian Apprenticeship arrangements' (if applicable);
 - Include the words: 'These units / modules have been delivered and assessed in <insert language> followed by a listing of the relevant units / modules' (if applicable);
 - Accompany each testamur with a Record of Results, on a separate page, which identifies the units of competency issued within the qualification.

- **Record of Results** – issued to learners to accompany the qualification testamur:
 - Our legal name;
 - Our RTO number;
 - Our logo;
 - Our company seal;
 - Full legal name of learner (as verified with the USI);
 - Student number (this is not their USI, rather this is our internal student ID number);
 - Certificate number;
 - The course code and title as specified on the National Register of VET;
 - Date issued – must be consistent with the qualification testamur;
 - A list of all of the units of competency or modules showing the unit code and title for each unit of competency as specified on the National Register of VET;
 - Name, title and signature of the CEO or authorised signatory;
 - Contact details for enquiries relating to issued certificates;
 - Include the words: ‘These units / modules have been delivered and assessed in <insert language> followed by a listing of the relevant units / modules’ (if applicable).
- **Statement of Attainment** – issued to learners to certify the completion of one or more units or modules from a VET qualification but the learner has not achieved all of the units of competency to receive a full qualification, or the completion of an accredited short course:
 - Our legal name;
 - Our RTO number;
 - Our logo;
 - Our company seal;
 - The Nationally Recognised Training logo;
 - Full legal name of learner (as verified with the USI);
 - Student number (this is not their USI, rather this is our internal student ID number);
 - Certificate number;
 - The course code and title as specified on the National Register of VET;
 - Date issued;
 - A list of all of the units of competency or modules showing the unit code and title for each unit of competency as specified on the National Register of VET;
 - Name, title and signature of the CEO or authorised signatory;
 - Contact details for enquiries relating to issued certificates;
 - State / Territory Training Authority logo (if applicable);

- Include the words: 'Statement of Attainment' – displayed prominently to ensure the Statement of Attainment is not mistaken for a testamur;
- Include the words: 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';
- Include the words: 'These competencies form part of (course code and title)' (if applicable);
- Include the words: 'These competencies were attained in completion of (course code and title)' (if applicable);
- Include the words: 'These units / modules have been delivered and assessed in <insert language> followed by a listing of the relevant units / modules' (if applicable).

Where required, you can refer to ASQA's sample forms of AQF certification documentation [here](#).



Issuing of AQF Certification Documentation Procedure

1. **Issue the AQTF Learner Questionnaire to the learner** – send the learner the ‘Student Completed Course’ e-mail and attach the AQTF Learner Questionnaire to the e-mail.
2. **Confirm the learner’s USI is correct and has been verified** – check that their USI has been collected from the learner and it has been verified to be true and correct. If we have not been provided with the learner’s USI and/or it has not been verified, collect this information as soon as possible from the learner. This must be done within **2 business days** of the learner being assessed as meeting all of the requirements of the training product. It should be noted that Training 2U collects and verifies all learners’ USI information during the enrolment process, prior to the commencement of their training so that it will not cause any delays in issuing the certification documentation to the learner. Under Clause 3.3 of the Standards for RTOs, an RTO must issue the AQF certification documentation to a learner within **30-days** of the learner being assessed as meeting the requirements of the training product, providing all agreed fees have been paid. Note. Where the USI has not been verified, or not exemption has been recorded, you should not be issuing the student with their AQF certification.
3. **Confirm the learner has no outstanding balances on their account** – confirm that the learner has paid their fees in full and there are no outstanding arrears on their account. If there are any outstanding fees, the learner is to be contacted via telephone immediately and notify them that we are not able to send out their certification documentation until their fees are paid in full. This must be done within **2 business days** of the learner being assessed as meeting all of the requirements of the training product.
4. **Ensure the data and student files have all been saved securely** – check that the learner’s completed assessment records and the assessment evidences collected for each unit are all complete on the student’s file, and that the training activity information – such as the unit code, start and end training dates, as well as the training and assessment outcome is accurately entered and marked as competent, recognition of prior learning approved, or credit transfer granted. Should there be any files or data missing, the learner’s Trainer & Assessor is to be contacted via e-mail to request for the file or data that is missing. This must be done within **2 business days** of the learner being assessed as meeting all of the requirements of the training product.
5. **Print out the AQF certification documentation** – once the USI is correctly verified, the fees paid in full, and the data and files are all complete and accurate, the certification documentation is to be printed from the Student Management System. The Testamur (i.e. the

Certificate) is to be printed on Certificate Grade paper – specifically, the J. Burrows Premium 200gsm A4 Digital Copy Paper; and the Statement of Attainment, the Record of Results and the Graduation letter is to be printed on Copy Grade paper – specifically, the J. Burrows 80gsm A4 Premium White Copy Paper. This must be done within **5 business days** of the learner being assessed as meeting all of the requirements of the training product.

6. **Check that the correct certification documentation has been printed** – once the certification documentation has been printed, check that the correct types of documents have been printed.

If the learner has completed a full qualification, the following must be printed out:

- Graduation letter
- Certificate (Testamur and Record of Results)

If the learner has only completed several units, or an accredited short course, the following must be printed out:

- Graduation letter
- Statement of Attainment

7. **Confirm that the information on the printed certification documentation matches the information recorded** – check that the information, specifically the learner's name, student ID number, course code and title, units of competency code and title completed, and outcomes which have been printed matches to the information on the student's file to avoid any errors. This must be done within **5 business days** of the learner being assessed as meeting all of the requirements of the training product.
8. **Submit them to the CEO for review and approval** – present the printed certification documentation to the CEO for review and approval. The CEO may want to review the learner's records to confirm the validity of the certification documentation. This must be done within **5 business days** of the learner being assessed as meeting all of the requirements of the training product. It is imperative that the certification documentation is not left unattended at any time to ensure the integrity of the documents.
9. **Send out AQF certification documentation together with the graduation letter** – the Student & Administration Manager is to ensure that the certification documentation is sent out within **15 business days** of the learner being assessed as meeting all of the requirements of the training product. It is important that the certification documentation is only to be sent to the address on file and the post addressed to the learner via Registered Post. Under no circumstances should the certification documentation be sent via e-mail to the learner or handed over to any third-party.

10. **Record the tracking number** – once the certification documents are mailed out, the Student & Administration Support personnel is to record the tracking number on the student's file.

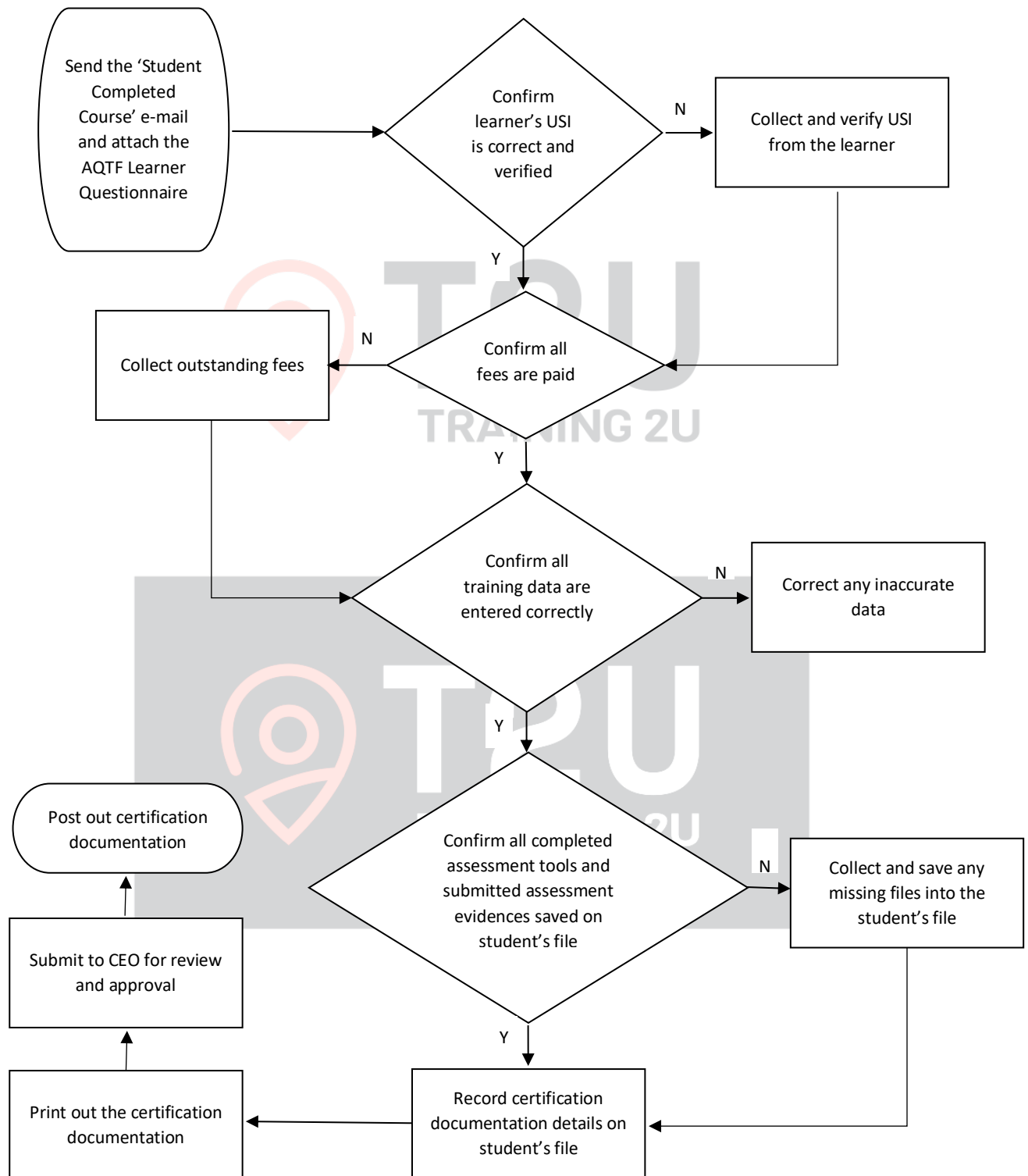
Re-Issuing of AQF Certification Documentation Procedure

1. **Receive request to re-issue Qualification Testamur and Record of Results, or Statement of Attainment** – from time to time, a learner may inform us that they have misplaced or lost their AQF certification documents and require another copy issued to them. We are to advise them of the fee for the re-issue (including postage), which is \$50 + GST, and ask if they would like to proceed.
2. **Issue invoice for re-issue of certification documentation** – if the learner advises that they agree to the fee and would like to proceed, issue an Invoice to the learner.
3. **Print out AQF certification documentation for the learner** – once payment for the re-issue of certification documentation has been received, print out the learner's requested certification documentation. In order to print out the AQF certification documentation for the learner, the corresponding 'Student Enrolment' entry must be selected, and the 'Print' button clicked on. Then, choose the 'Certificate Re-issue' button. Once the file is downloaded, the document is to be printed. The Testamur (i.e. the Certificate) is to be printed on Certificate Grade paper – specifically, the J. Burrows Premium 200gsm A4 Digital Copy Paper; and the Statement of Attainment, the Record of Results and the Graduation letter is to be printed on Copy Grade paper – specifically, the J. Burrows 80gsm A4 Premium White Copy Paper. This must be done within **2 business days** of the receipt of payment for the re-issue of certification documentation.
4. **Submit them to the CEO for review and approval** – present the printed certification documentation to the CEO for review and approval. The CEO may want to review the learner's records to confirm the validity of the certification documentation. This must be done within **5 business days** of the receipt of payment. It is imperative that the certification documentation is not left unattended at any time to ensure the integrity of the documents.
5. **Send out AQF certification documentation** – the Student & Administration Manager is to ensure that the certification documentation is sent out within **10 business days** of the receipt of payment. It is important that the certification documentation is only to be sent to the address on file and the post addressed to the learner via Registered Post. Under no circumstances should the certification documentation be sent via e-mail to the learner or handed over to any third-party.

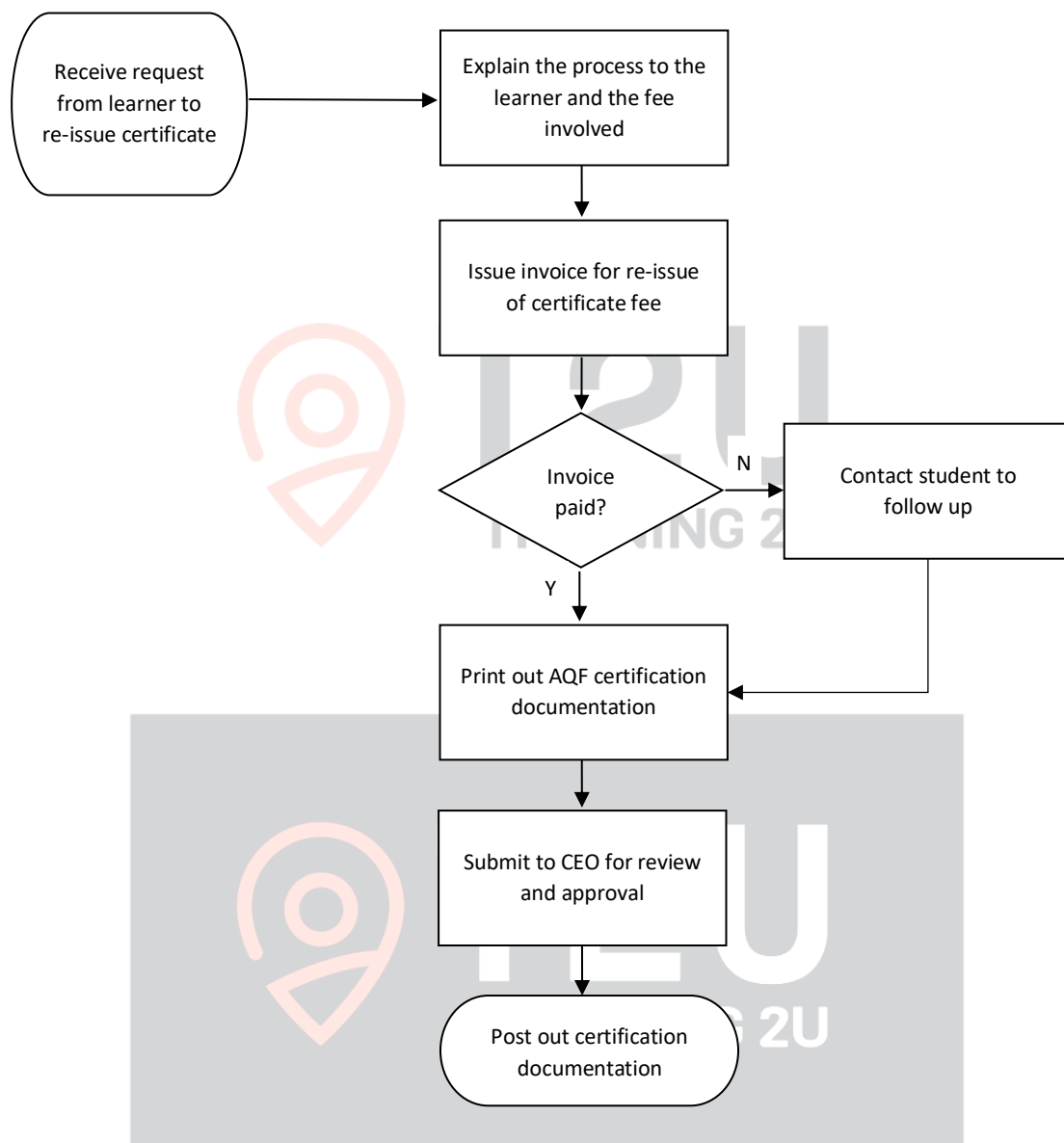
6. **Record the tracking number** – once the certification documents are mailed out, the Student & Administration Support personnel is to record the tracking number on the student's file.



Issuing of AQF Certification Documentation Process Flow-Chart



Re-issuing of AQF Certification Documentation Process Flow-Chart



Issuing of AQF Certification Documentation Checklist

Student Name	
Student Number	
Course Code and Title	
Date of Completion	

Item	Staff Initial
'Student Completed Course' e-mail sent out to learner with AQTF Learner Questionnaire attached	
Learner USI collected and verified <u>within 2 business days of the final assessment completion</u>	
Confirm fees are paid and there are no outstanding balances <u>within 2 business days of the final assessment completion</u>	
Ensure all data on student's file are accurate <u>within 2 business days of the final assessment completion</u> , particularly: <ul style="list-style-type: none"> - Course code and title undertaken - Unit code(s) completed - Training activity start and end dates - Training and assessment outcome – all marked as competent 	
Ensure the following are saved on the student's file <u>within 2 business days of the final assessment completion</u> : <ul style="list-style-type: none"> - Completed assessment tools for all units - Assessment evidences collected for all units 	

Item	Staff Initial
Populate the Enrolment End Date and Certificate Issued date on the student's file <u>within 5 business days of the final assessment completion</u>	
Print the learner's certification documentation	
<p>Check that the correct certification documentation has been printed:</p> <ul style="list-style-type: none"> - If the learner has completed a full qualification: <ul style="list-style-type: none"> - Graduation letter - Certificate (Testamur and Record of Results) - If the learner has only completed several units or an accredited short course: <ul style="list-style-type: none"> - Graduation letter - Statement of Attainment 	
Confirm that the information on the printed certification documents matches the information on the student's file	
Submit to the CEO for review and approval <u>within 5 business days of the final assessment completion</u>	
Mail out certification documentation via Registered Post and record the details on the student's file <u>within 10 business days of the final assessment completion</u>	

Re-issuing of AQF Certification Documentation Checklist

Student Name	
Student Number	
Course Code and Title	
Date	

Item	Staff Initial
Request saved to student's file	
Learner advised of process and fee - \$50 plus GST	
Issue invoice or re-issue of certification documentation	
Invoice fulfilled	
Print out learner's relevant AQF certification documentation <u>within 2 business days of receipt of payment</u>	
Submit to CEO for review and approval <u>within 5 business days of receipt of payment</u>	
Mail out re-issued certificate via Registered Post to the details saved on the student's file <u>within 10 business days of receipt of payment</u>	
Record and save all notes and tracking number to the student's file	

Core Skills Support

Core skills is an essential aspect of the basic foundations of any work task – from communicating instructions, to completing reports. It is crucial for learners to have the required language, literacy and numeracy skills they need to effectively participate in vocational education and training, which they will then require to complete various tasks in the workplace.

The Australian Core Skills Framework is a tool used to assist both specialist and non-specialist English language, literacy and numeracy which describe an individual's performance in the five core skills – learning, reading, writing, oral communication and numeracy.

General Core Skills Support Principles

Training 2U resolves to correctly identify and appropriately support learners with their language, literacy and numeracy skills. We intend to do so by:

- Assessing a learner's core skills during the enrolment process on an as needed basis to ensure they have adequate core skills to undertake the training;
- Provide learners with clear feedback on their Core Skills Indicator Assessment and support resources, where applicable;
- Provide learners with referrals to external specialist services where major core skills deficiencies have been identified; and
- Support learners throughout the duration of their training program by providing them with additional time to complete their assessments, providing additional one-on-one tuition, or any other relevant and appropriate support.

Responsibilities

The CEO is responsible for ensuring that the processes are correctly followed, by undertaking a random spot check every few weeks to ensure that a learner does not commence their training program until they are confirmed to have the suitable learning, literacy and numeracy skills to undertake the course.

The Student & Administration Support Manager is responsible in administering the Core Skills Indicator Assessment (if required) to the learner once their enrolment form has been received.

The Trainer and Assessor for the course in which the learner is enrolling into is responsible for assessing the Core Skills Indicator assessment and determining whether a support plan is to be put in

place, or if the student is to be referred externally for additional learning, literacy and numeracy assistance prior to their acceptance into the training program.

Core Skills Indicator Assessment

Training 2U assesses a learner's core skills at various points in the enrolment process:

- Enrolment form – we consider two pieces of information in the enrolment form to determine if a learner possesses adequate core skills to undertake the training program:
 - The learner is asked a series of questions about their English language proficiency and if they consider that they have adequate language, literacy and numeracy skills to undertake the course. If the learner responds that they do not speak English very well, we will issue a Core Skills Indicator Assessment for them to complete.
 - The learner is also asked about their prior education experience – if they have successfully completed vocational or higher education qualifications. Where a learner has indicated that they have completed a higher level of education in the past, we determine that they will have the ability to complete a lower-level training program without any language, literacy or numeracy challenges. The exception to this is where the learner has completed the higher level of education in a country whose primary language is not the English language, or where the university does not instruct in the English language. Where the learner has not completed a higher level of education to the one they are enrolling into, they will be issued with a Core Skills Indicator Assessment to complete.
- Enrolment interview – during the enrolment interview, the learner is asked again if they believe they have adequate language, literacy and numeracy skills to undertake this course. If the learner indicates that they do not, they will be provided with a Core Skills Indicator Assessment to complete.
- Core Skills Indicator Assessment – learners are to be issued with this assessment if they have indicated that they:
 - Do not speak English very well on the Enrolment Form; or
 - Have not completed a higher level of education to the one they are enrolling into on the Enrolment Form; or
 - They have indicated during the Enrolment Interview that they do not believe they have adequate language, literacy and numeracy skills to undertake this course.

The assessment is to help us ascertain if and where the learner may have specific language, literacy and/or numeracy deficits and to determine what support may be required by the learner.

Supporting learners

Where it has been determined that a learner has core skills deficiencies, Training 2U are to adopt strategies and develop plans to enable the learner to complete their training program successfully.

Learners may have a range of core skills deficiencies – from minor core skills deficiencies which may require minimal support to major core skills deficiencies which will require extensive support.

Where minor core skills deficiencies have been identified, the Trainer and Assessor is to draw up a support plan for the learner. This plan should be tailored to the learner's specific core skills need and can include:

- Additional one-on-one tuition support
- Weekly sit-downs with the learner to find out how they are progressing, what areas they are struggling in, and what assistance they may need
- Provide reasonable extensions for submissions
- Provide learners with additional resources to assist them in understanding the learning and assessment materials

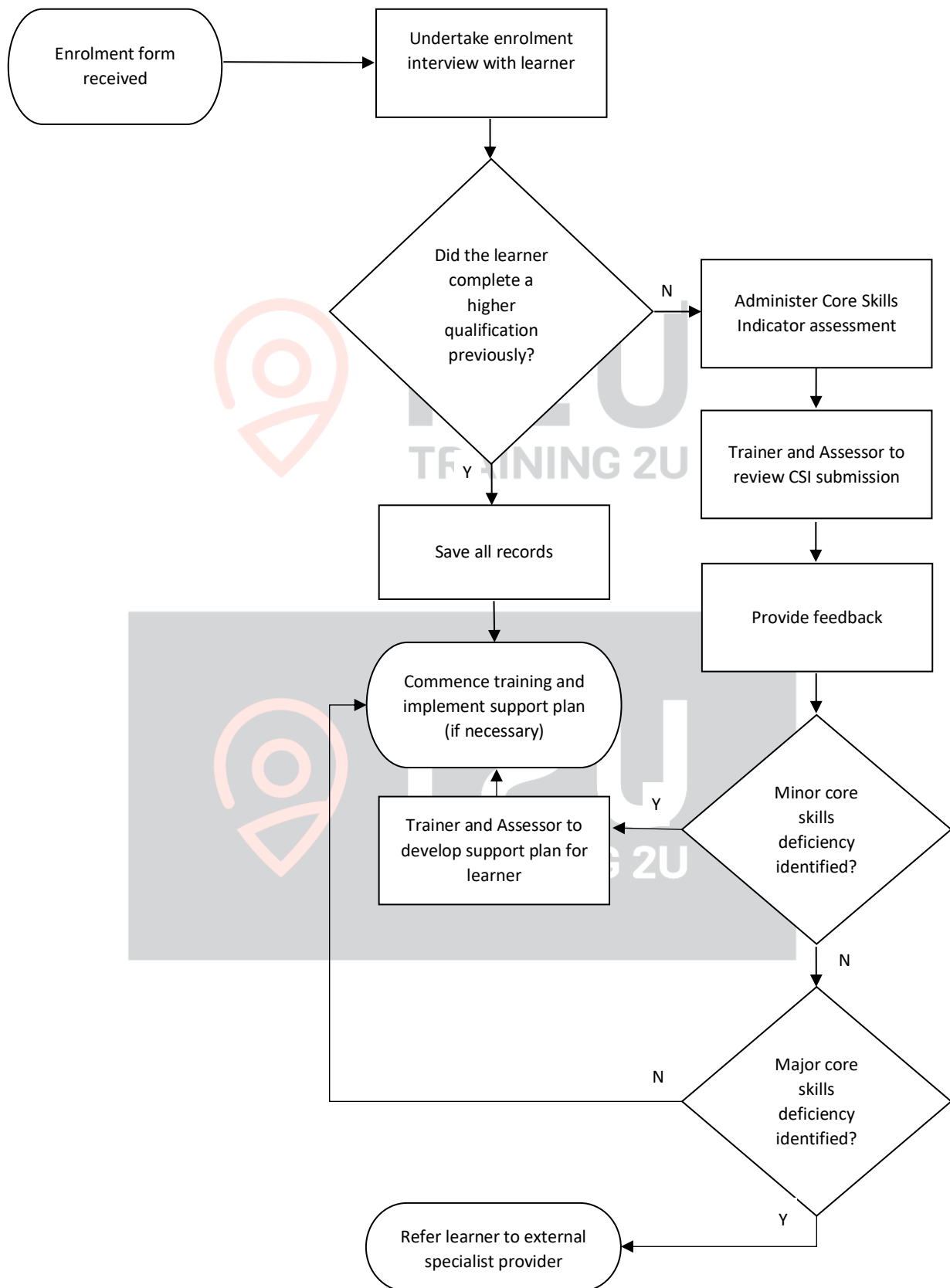
Where major core skills deficiencies have been identified, the learner is to be referred to the following language, literacy and numeracy specialist service providers before they are accepted to commence the training program:

- AMES Australia
Contact number: 13 26 37
- Kangan Institute
Contact number: 13 82 33
- Read Write Now
Contact number: 1800 018 802
- Reading Writing Hotline
Contact number: 1300 655 506
- TAFE NSW
Contact number: 13 16 01

Core Skills Support Procedure

1. **Complete enrolment interview with learner** – when an enrolment form is received, the Student & Administration Support personnel is to review the learner's enrolment form and contact the learner to undertake an enrolment interview. During the interview, the Student & Administration Support personnel is to listen out for any issues with listening and comprehension and with their speech and oral communication. They are to note down any detected deficiencies in these areas on the Enrolment Interview form. The Student & Administration Manager is also to find out more about the learner's education background. Has the learner completed a higher qualification in Australia previously? If yes, the learner will not be required to complete a Core Skills Indicator assessment as it is a reasonable assumption that the learner would have adequate core skills to undertake the training program as they have already completed a higher qualification. If no, the learner will need to be sent a Core Skills Indicator assessment to complete.
2. **Administer Core Skills Indicator assessment** – learners who are required to complete a Core Skills Indicator assessment will be provided with a link to complete the activities online. They are to complete it within **2 business days**. Where the learner has indicated that they have a disability, impairment or long-term condition, the Trainer and Assessor is to contact the learner via telephone to organise a time to undertake the assessment over Google Meets.
3. **Identify any core skills deficiencies** – once the assessment is complete, the Trainer and Assessor for the relevant course will be sent the submission to assess. They are then to assess and provide feedback regarding the learner's submission. Where minor deficiencies are detected, the Trainer and Assessor is to develop a tailored support plan for the learner. Where major deficiencies are identified, the Trainer and Assessor is to explain to the learner that they do not have the requisite core skills required to undertake this training, and to refer them to an approved language, literacy and numeracy specialist service provider (as listed above).
4. **Save all records** – save a copy of the Enrolment Interview form, as well as the learner's Core Skills Indicator assessment and support plan (where required) to the learner's file.
5. **Implement support plan (if necessary)** – once the learner has commenced their training, the Trainer and Assessor is to ensure the support plan is implemented and reviewed regularly for its effectiveness.

Core Skills Support Process Flow-Chart



Individual Learner Needs

In accordance with Clause 1.7 of the Standards for RTOs 2015, Training 2U is responsible in determining the support needs of individual learners and in providing access to the educational and support services necessary for a learner to undertake and maximise their chances to complete the requirements of their course.

General Individual Learner Needs Principles

Training 2U has a process in place where we engage with learners at different points in their enrolment and learning journey with an aim to identify any individual needs and support that they may require in the course of their training with us:

- Enquiry phase – where we engage with the learner to determine their training and career goals, as well as their education and work history. This will enable us to align the learner with a particular course.
- Enrolment interview – where we gather information about the learner, including personal information such as their English language proficiency, their education background, any special needs, and their individual needs. This will enable us to ascertain if the learner will require any specific support and whether we are able to cater for it, or whether they are to be referred to another provider or a separate organisation for the support required. The enrolment form also advises us if the learner may be eligible for a Credit Transfer of the nationally recognised training they have already completed, or a Recognition of Prior Learning where their informal training and their work experience can be assessed to provide them with a pathway to competency for one or more units of competency in the course.
- Core Skills Indicator assessment – where we assess if the learner has the required language, literacy and numeracy skills to undertake the training program. This outcome of the assessment will inform us whether we will be able to support the learner throughout their course, or whether they will need to be referred to a specialist program provider to assist them in acquiring the required skills before being accepted into the program.

This multifocal approach enables us to accurately identify a learner's needs and arrange for applicable support services promptly.

Responsibilities

The CEO is to:

- Ensure there are adequate systems in place to support the learner's individual needs; and
- Approve of any external referrals to any support services to determine the suitability of the service to the learner's needs.

The Student & Administration Support personnel is responsible in managing and coordinating the support services for the learner and will be the appointed contact for any student support matters.

Support Services

It is important that we observe the equal opportunity and disability legislation in each state (refer to our Legislation Policy for more information on the specific legislation for each state) in order to not act or conduct ourselves in a manner that could be deemed as discriminatory or biased towards those with particular individual needs.

Where the learner has specific individual needs, we are to use the following as a guide:

- **Understanding pre-enrolment materials**

Where a learner is having difficulty understanding the information in our marketing materials such as Course Brochures, or the information contained in our Student Handbook, the Student & Administration Support personnel is to engage with the prospective learner personally and clarify and explain the materials in simple and plain English to the prospective learner. The Student & Administration Support personnel is to ensure that they are compassionate to the student's comprehension abilities and provide them with information to assist them in making decisions with regards to their training.

- **Minor LLN deficiency**

Where we have identified that the learner has minor language, literacy and numeracy deficiencies through the learner's responses in the Core Skills Indicator assessment, the Trainer and Assessor should draw up a tailored support plan for the learner which can include allocating additional time to spend with the learner to support through throughout their training program, directing or supplying them to suitable resources.

- **Major LLN deficiency**

Where we have identified that the learner has major language, literacy and numeracy deficiencies that would prevent them from actively participating and completing the training program, we should refer them to the following training providers for specialist assistance:

- Kangan Institute – 13 82 33
- Read Write Now – 1800 018 802
- Reading Writing Hotline – 1300 655 506
- TAFE NSW – 13 16 01

- **Hearing impairment**

Students with a hearing impairment, whether mild, moderate, severe or profound may require particular support such as an Auslan interpreter, a specialised tutor or training participation assistance. Where a student has mild hearing impairment, this means we are able to communicate with them with ease. Training 2U can support them by speaking at a slower pace or providing them with the opportunity to record the class in order for them to play it back later or providing them with additional notes and learning resources. Reasonable adjustments can also be made for practical activities involving speech such as role plays. However, should they have the slightest of difficulties understanding our speech, the matter should be referred to the CEO.

- **Physical disability**

All possible allowances may be provided to persons with disabilities. Trainers and Assessors are to use their judgement in assessing the learner's ability to perform tasks in a safe manner and ensure that if training is to take place in-person, the entry and pathways should be easily accessible by a person in a wheelchair and special accommodations must be made to ensure the comfort and safety of the learner.

- **Low general intellectual functioning and acquired brain impairment**

Learners diagnosed with low general intellectual functioning and acquire brain impairment would require specific support mechanisms such as for the Trainer and Assessor to be extra patient with the learner, to provide them with resources that are easy to understand and simple language is used. It is best to consult with the learner's medical practitioner to help us understand more about their condition before preparing a specific support plan for their learning. Where Training 2U does not believe we are in a position to accommodate to this particular need, we are to refer them to another RTO that may be able to provide the support required for the learner.

- **Identified difficulties in learning**

Where a learner has been recognised as having learning difficulties, the Trainer and Assessor assigned should schedule in additional one-on-one support sessions at regular intervals throughout the course program. These support sessions are to be used to review the learning content with the learner and to engage the learner in discussion about the subject matter. These sessions should be structured in accordance with the planning learning for the training program. The learner should be consistently encouraged during their learning and offered additional support where required. The Trainer and Assessor should also provide the learner with additional advice on the best approach and schedule for them to complete their learning. It should be noted that some learners learn better reading, where this is the case, the learner should be provided with adequate learning texts and reading materials. Where a learner learns better visually, they should be provided with adequate videos and images to help them with their learning. Where a learner is an auditory learner, the Trainer and Assessor should provide the learner with audio recordings of classes and learning material.

- **Mental health disorders**

Students with a mental health disorder may exhibit different symptoms, and the symptoms may flare up in the presence of triggers. It is important that we provide as much support to these students as possible. If the student requires time off, offer them deferment options. If the student requires an assessment extension, provide them with an extension within reason.

- **Vision impairment**

Learners with significant vision impairments can be supported by being provided with texts with a larger font. Alternatively, they can be supplied with audio recordings of the classes and learning texts to assist them in their learning.

- **Chronic medical issues**

Where a student is unable to keep up with their training and assessment plan due to chronic medical issues, we would review their training plan and provide options such as an extension to their enrolment or offer them additional time to complete their assessments. The Trainer and Assessor should consult with their medical practitioner to better understand the learner's medical condition in order to be able to support them practicably.

- **Counselling support**

Where a learner is requiring counselling, we are to refer them to:

- Lifeline – 13 11 14
- Beyond Blue – 1300 224 636
- MensLine – 1300 789 978
- National Domestic Violence and Sexual Assault Helpline – 1800 737 732
- Sane Australia – 1800 187 263
- Suicide Call Back Service – 1300 659 467

- **Restrictive work hours**

Most learners will be trying to juggle work and their studies at the same time. Where the learner is an online student, the Trainer and Assessor is to help them develop a schedule to manage their learning and their work commitments. Where scheduling permits and resources are available, we may schedule the classes to accommodate the learner's working hours, such as night classes or weekend classes.

- **Workplace learners**

Where a learner is enrolled by their employer, we may be required to deliver training and assessment to meet their requirements, so long as it also meets the requirements of the training package. The Trainer and Assessor is to draw up a suitable training plan that satisfies and supports the needs of the employer, and the requirements of the training package. This may include substituting elective units where permitted by the rules of the qualification and/or skill set.

- **Information and Communications Technology (ICT) support**

Some learners may not have the knowledge and skills to seamlessly use the resources such as computers, and our learning management platform. Where the learner is struggling with utilising these resources, the Trainer and Assessor is to provide assistance to the student to help them navigate and utilise the ICT resources appropriately. Where required, the IT Support personnel and/or the Student & Administration Manager may also be required to render their assistance.

- **Financial difficulties**

Where a student is undergoing financial difficulties that prevent them from being able to make their tuition payments on time, Training 2U will offer them with a payment plan to assist them or be flexible with their payment due dates. Should a student be in dire need for necessities such as food due to their financial difficulties, we are to direct them to the nearest soup kitchen.

Other individual needs will need to be considered on a case-by-case basis in consultation with the CEO.

Reasonable Adjustments

From time to time, in addition to support to be provided to learners throughout their enrolment is to make reasonable assessment adjustments. Reasonable adjustments are designed to enable students to achieve their maximum potential within a framework of academic standards. It is important that we observe the Disability Standards for Education 2005 to ensure that we remain fair, equitable, flexible and balanced when deciding on what constitutes as reasonable adjustments for our learners, without compromising the outcome and purpose of the assessment.

In determining whether an adjustment is reasonable, the factors in the Disability Standards for Education 2005 (Section 3.4.2) are to be considered. This includes any effect the proposed adjustment will have on the education provider, staff and other students, and the costs and benefits of making the adjustment. It is also imperative that the principles of assessment – validity, fairness, reliability and flexibility are maintained. Where reasonable adjustments result in unfair advantage to one or more students, subsequent disadvantage will occur for other students. In this situation the award being conferred can be invalidated. The following are examples of unreasonable adjustments:

- The provision of unlimited time in examinations. The amount of additional time allowed must be justifiable based on the nature and degree of the individual's difficulties.
- Reduced workloads are viewed as lowering standards and expectations. In contrast adjusting the mode of the assessed task is reasonable in situations where the original assessment task format was not inherent to the knowledge and skills required to succeed in the unit of study.
- Extreme demands on Assessor time can also be considered unreasonable and must be determined in consultation with lecturers in the planning of reasonable adjustments.
- Provision of reasonable adjustments where there is no evidence base. Students who receive support through reasonable adjustments have a responsibility of disclosure and must provide authentic documentation such as the Educational Psychologist assessment that outlines explicitly the specific learning disability and recommended adjustments.

Examples of some reasonable adjustments that can be made for learners:

- **Unable to meet assessment deadlines**

Where this learner is genuinely unable to meet their assessment deadlines, such as due to illness or work commitments, we can provide up to a week's worth of extensions to the learner to enable them to complete their assessment tasks.

- **Learner with a dyslexic condition**

Where a learner has dyslexia, depending on their severity, we can read the assessment instructions and task out to them, and provide a scribe or use Assistive Technology – like voice to text technology to record down his responses.

- **Learner with mental health conditions**

Where a learner has a mental health condition or is going through difficulties in their personal lives, we are to offer to connect them to a psychologist or contact services such as Lifeline, and provide as much extension and flexibility for them to submit their assessments.

Where a reasonable adjustment is made for a student, this information is to be recorded on their file and on the applicable assessment tool.



Cultural Awareness

Training 2U is committed to providing a multiculturally supportive environment for our learners and staff members. We aim to achieve this by educating our learners and staff members on culturally appropriate communication techniques, as well as acceptable behaviours and actions.

General Cultural Awareness Principles

All cultures have customs, values, and codes of behaviour that are important. These contribute to the cultural diversity we get to cherish in Australia. Training 2U will outline the observances, practices and etiquettes of three common cultures in Australia:

- Aboriginal and Torres Strait Islander – the original people of Australia (both mainland and the 274 islands located north of the mainland);
- Chinese – the fastest growing cultural group in Australia since 2011; and
- Indian – the second fastest growing cultural group in Australia since 2011.

(Source: ABS Census of Population and Housing, 2016)

Aboriginal and Torres Strait Islander	
Respect	<p>Respect and acknowledgement are essential to good working relationships with Aboriginal and Torres Strait Islander communities and it should always be our first priority. This demonstration of respect will make it easier to set up mutual standards of respect and trust and will make it easier for working relationships to take place effectively.</p>
What to call people	<p>It can be offensive to refer to Aboriginal and Torres Strait Islander people in the incorrect way. Some prefer to be called 'Aboriginal' and others prefer 'Indigenous'. It is always a good idea to try and gauge how people want to be addressed. You can do so by spending some time listening to their conversation, or you can ask if you feel that it won't be offensive. It is generally better to avoid referring to Aboriginal people as Kooris or Murris, or any other name they may use themselves.</p>

Aboriginal and Torres Strait Islander

Gender protocols

Aboriginal and Torres Strait Islander societies still regard some information as specific and sacred to either men or women. The knowledge is sacred and recorded in a way that only men or women can access. Discuss with the learner if there are any aspects of the training that are considered men's or women's business, and if so, make appropriate adjustments in the program.

Communication process

The communication process requires respect, good listening, patience, understanding, checking, clarification and confirmation.

It is important to remember the following when interacting with Aboriginal and Torres Strait Islander people:

- Not to assume anything
- Be honest, sincere and open-minded
- Use simple, clear, plain and appropriate language
- Do not mimic Aboriginal and/or Torres Strait Islander ways of speaking (i.e. words, slang, speech or accent)
- Never be boastful about your ideas
- Do not be too direct as this can be taken as confrontational and/or rude
- Do not ask hypothetical questions

Language

Aboriginal and Torres Strait Islander people make considerable use of non-verbal signs, especially when discussing direction. These are an integral part of the communication process and should not be ignored. Be sensitive to the use of non-verbal communication cues. The use of silence does not mean Aboriginal and Torres Strait Islander people do not understand. They may be listening, remaining non-committal or waiting for community support. During discussions, Aboriginal and Torres Strait Islander people may delay expressing a firm opinion, preferring to listen to others' opinions first before offering their own.

Aboriginal and Torres Strait Islander

It is common for some Aboriginal and Torres Strait Islander people to use swear words in their regular vocabulary and in general conversation. Swearing is not considered offensive as it is in non-Aboriginal and Torres Strait Islander cultures.

Be aware that if an Aboriginal and Torres Strait Islander person swears, it is important not to take any offence. The only exception to this is if the person swears directly at you. When this happens, it is important to speak to the CEO about this as soon as possible as this behaviour should not be tolerated by anyone.

Providing support

It is important to approach this sensitively and not cause embarrassment or shame to the person by asking them whether or not they can read and/or write. In most cases, the person will ask for assistance if they need it, provided the issue has been approached with sensitivity and respect.

Naming and images of deceased people

Each Aboriginal and Torres Strait Islander community may have different protocols regarding naming and displaying images of the deceased. It is best to avoid naming or displaying images of the deceased. If it is important to do so, make sure that you have permission from the person's family and/or community and include a relevant disclaimer. The CEO must be consulted if it is important to name or display images of the deceased, and approval must be given by the CEO.

Welcome to Country

A 'Welcome to Country' is where the Traditional Aboriginal and/or Torres Strait Islander Custodians, in most cases the Elders, welcome people to their Land. A non-Aboriginal or Torres Strait Islander cannot perform a 'Welcome to Country' as to do so is considered to be rude and disrespectful to the traditional owners and to all Aboriginal and Torres Strait Island people. This is a significant recognition and is made through a formal process. A 'Welcome to Country' should always occur in the opening ceremony of the event in question, as the first item, and the person or group delivering the 'Welcome to Country' must be remunerated.

Aboriginal and Torres Strait Islander

Protocols in relation to the performing of a 'Welcome to Country' ceremony are wide and diverse and can vary according to region and locality. A 'Welcome to Country' may consist of a single speech by the representative of the local Aboriginal and/or Torres Strait Islander community, or it can also include a performance of some description (which varies according to region and locality). Performances can include a Traditional Welcoming Song, a Traditional Dance, a didgeridoo performance, or a combination of any of the aforementioned.

Acknowledgement of Country

An 'Acknowledgement of Country' is a way that non-Aboriginal people can show respect for Aboriginal and Torres Strait Islander heritage and the ongoing relationship of traditional owners of the land.

An 'Acknowledgement of Country' can be performed by both Aboriginal and non-Aboriginal people. It is a demonstration of respect dedicated to the Traditional Custodians of the Land and/or Sea where the gathering of participants is being conducted.

An example of 'Acknowledge of Country' is:

'Let us acknowledge that we are meeting on country for which the members and elders of the local Aboriginal community have been custodians for many centuries, and on which Aboriginal people have performed age old ceremonies. We acknowledge their living culture and unique role in the life of this region.'

Chinese

Proper character and behaviour

Traditional Chinese beliefs place a great deal of importance on observing the proper social etiquette and showing good character and behaviour. Chinese people prefer modesty and keeping a low profile, both in regard to their own achievements and status as well as their interactions with others. Chinese people will often downplay their own positions and achievements while emphasising those of others. The average Chinese person will generally not attempt to make waves or to make themselves stand out overtly when compared to others. When praised by strangers or friends, a Chinese person will often downplay an accomplishment or character trait. Those who are not as modest or prefer to claim their own accomplishments can be viewed as rude, proud or braggarts.

Chinese people also dislike being touched by strangers. It is not common for Chinese people to touch, hug, lock arms, back slap or make any body contact. You can however greet a Chinese person by using a handshake or a nod.

It is also considered rude to click one's fingers or place feet on a desk or a chair. It is important to be mindful of these behaviours as it can be taken as offense.

Respect

Chinese people place a strong emphasis on respecting the feelings of others, often by not directly refusing a request. Aside from respecting the feelings of others, speaking in a less direct, roundabout manner is also viewed as a proper way to comport oneself, and by talking in this manner, one upholds the socially acceptable idea of how to behave as a cultured individual.

Chinese people place a strong emphasis on respect, and their language reflects this intimately. They are very polite and it is not common for them to be as open with their communication as those from a Western background are.

Chinese

Language

There are many dialects in the Chinese language, with the two most common dialects being Mandarin and Cantonese. It is considered very disrespectful to assume that all Chinese people speak the same dialect.

Lucky colours

The Chinese believe that red, yellow and green are three main lucky colours and white and black are considered unlucky colours.

Red – is believed to bring happiness, beauty, vitality, good luck, success and good fortune. It is widely used during festivals and important events like weddings. Red lanterns adorn businesses and residences, red outfits are worn during weddings and festivals, and red envelopes are stuffed with money and given as gifts during Chinese New Year.

Yellow – is the most important colour from an ancient perspective and symbolises royalty and is reserved for the emperor. Emperors were dressed in yellow imperial robes, rode in yellow carriages, and travelled on yellow paths. Official seals were packaged in yellow fabric.

Green – is the colour of wealth, fertility, regeneration, hope, harmony and growth. Buildings, banks and restaurants in China are often painted in green. Packaging for milk or produce is often in green to indicate that the product is contamination free.

Indian

Family

For generations, India has a prevailing tradition of the joint family system. It is when extended members of a family live together. Usually, the oldest male is the head of the joint Indian family system and he makes most of the important decisions and rules. The other family members are likely to abide by them without question. This is why they are very respectful of their elders and treasure the family structure.

Significance of the cow

The cow is a sacred animal in Hinduism and it is believed to be the mother goddess and brings good fortune and wealth. For this reason, cows are revered in Hindu culture and feeding a cow is seen as an act of worship. It is an offense to consume any beef in mainstream Hindu and Jain society. It is important to be mindful when consuming any beef around Indians as this may be seen as an act of disrespect.

Language

Indians are really inquisitive people and their culture is one where people do anything but mind their own business, often due to a lack of privacy in India and the habit of placing people in the social hierarchy. One should not be surprised or offended if someone asks how much you earn for a living and a host of other intimate questions in the first meeting. It is encouraged to ask the same types of questions in return.

Etiquette

It is not polite to be pointing your finger or feet at people, or touching people or objects with your feet or shoes. If you do so accidentally, one should apologise straight away. It should also be noted that Indians will often touch their head or eyes as a show of apology, and it is a sign of respect to bend down and touch an elder person's feet in India.

It is also considered to be impolite to pass food or objects with your left hand. The left hand is considered to be unclean in India as it is used to perform matters associated with going to the bathroom. Therefore, it is advisable to only use the right hand to pass food or objects.

Learners Under 18

From time to time, Training 2U may be required to deliver training and assessment to individuals who are under 18 years old. We are committed in ensuring that when we are required to interact with and deliver training and assessment to individuals under 18, we comply with any legal, moral and ethical responsibilities in order to protect and respect the rights of the individuals.

In our commitment in ensuring the safety and wellbeing of individuals under 18 years old, no persons convicted of a sexual offence will be permitted to be employed or contracted by Training 2U. We will ensure that all staff members comply with the appropriate screening requirements relevant to the state or territory in which they will be undertaking their duties in.

General Learners Under 18 Principles

Training 2U will ensure we:

- Provide adequate training to all of our staff members to be able to work effectively and safely with individuals under 18;
- Appoint our Student & Administration Support Manager as the nominated staff member to assist our under 18 learners;
- Ensure our staff members' (and any other adults involved in providing services or support for our under 18 learners) Working With Children Checks (WWCC) are still current and schedule in a reminder in the CEO's calendar to ensure that our staff members are notified 6-months in advance of their WWCC expiring so that they can obtain a new one;
- Maintain student contact details, parent or legal guardian's contact details, or any adult responsible for the student's welfare's contact details in a secure manner on our Student Management System;
- Conduct regularly stakeholder consultation to ensure our practices, systems, policies and procedures are adequate in keeping the children we work with safe and secure;
- Have an effective complaint reporting, management, investigation, and disciplinary systems that is easily accessible to report any allegations of child abuse;
- Treat every child with dignity and respect;
- Immediately raise any concerns for the safety or wellbeing of a child;
- Listen, support and take concerns of children seriously and provide them with the opportunity to contribute in matters that affect them;
- Are not alone with any persons under 18 at any time;

- Do not discriminate, prejudice, oppress or use inappropriate language or behaviours when interacting with individuals under 18;
- Maintain a safe distance from the children and not initiate or reciprocate with any physical contact;
- Do not contact individuals under 18 directly outside of training and assessment hours – all contact should be initiated through their parents or guardian(s); and
- Will not show favouritism, provide gifts or shower inappropriate attention to any one child.

Lines of Assistance

The following services protect children and young people who are at risk of abuse or neglect, and whom Training 2U can contact for advice and to report any suspected abuse or neglect:

- **Australian Capital Territory – Community Services**
Report Child Abuse Line: 1300 556 729
- **New South Wales – Communities & Justice**
Child Protection Helpline: 13 21 11
- **Northern Territory – Territory Families**
Child Abuse Hotline: 1800 700 250
- **Queensland – Department of Child Safety, Youth and Women**
Brisbane: 1300 682 254
Central Queensland: 1300 703 762
Far North Queensland: 1300 684 062
Ipswich: 1800 316 855
North Coast: 1300 703 921
North Queensland: 1300 706 147
South East: 1300 679 849
South West (Darling Downs): 1300 683 390
- **South Australia – Department for Child Protection**
Child Abuse Report Line: 13 14 78
- **Tasmania – Child Safety Service**
Advice and Referral Line: 1800 000 123
- **Victoria – Health and Human Services**
North Division intake: 1300 664 977
South Division intake: 1300 655 795

East Division intake: 1300 360 391

West Division intake – metropolitan: 1300 664 977

West Division intake – rural and regional: 1800 075 599

Outside normal business hours: 13 12 78

- **Western Australia – Department of Communities Child Protection and Family Support**

Central Intake Team: 1800 273 889

Outside normal business hours: 1800 199 008

Recognising and Reporting Child Abuse Procedure

1. **Observe signs** – you might notice a sudden or unexplainable change in an individual's mood or behaviour, or you notice that they have exaggerated fears or lack of trust in familiar adults, or you observe frequent bruises or injuries. If an individual is comfortable enough, they may confide in you that they are being abused or hurt by someone.
2. **Record observations** – make detailed notes on the student's file regarding your observations and concerns.
3. **Raise the suspicions with the CEO** – organise a meeting with the CEO to seek guidance and whether contacting the student's parent or guardian is appropriate.
4. **Speak to the student's parent or guardian** – if the CEO agrees the best course of action is to contact the student's parent or guardian, you are to place an informal phone call to the parent or guardian to bring to their attention your observations and ask if there is anything that they are aware of. Observe the parent or guardian's response – is their tone of voice concerned or worried? Is their response defensive or angry? Note down in detail the parent or guardian's response to the conversation. Take detailed notes and record them on the student's file.
5. **Report back to the CEO** – update the CEO on the interaction with the student's parent or guardian in order to decide on the next steps and set a plan in place in addressing the observations and to confirm what is causing this change in mood, behaviour or observations of physical abuse.
6. **Monitor behaviour, actions and other physical signs** – continue to monitor the student's behaviour, actions and language in order to help support and counsel (where possible and appropriate) them. Be sure to clearly and thoroughly record this information on the student's file.
7. **Speak to the appropriate child protection authority** – should the student's aggressive or unusual behaviour continue, or if signs of physical abuse continue to persist, and the parent or guardian is unwilling to cooperate, it is important that the child protection authorities in

the relevant state be notified. Prior to contacting the child protection authority, it is important that you receive the approval of the CEO to do so.

A report should only be made if you have reasonable belief that the student has suffered or is likely to suffer significant harm as a result of abuse or neglect, and that their parent or guardian has not protected, or is unlikely to protect the child from harm of that type. A child in need or protection is a child who has suffered or is likely to suffer from significant harm as a result of abuse or neglect, and their parent has not protected or is unlikely to protect the child from harm of that type, such as:

- Physical abuse of, or non-accidental or unexplained injury to, a child
- A disclosure of sexual abuse by a child or witness, or a combination of factors suggesting the likelihood of sexual abuse
- Emotional abuse and ill treatment of a child impacting on the child's stability and healthy development
- Significant neglect, poor care or lack of appropriate supervision
- Significant family violence or parental substance misuse, psychiatric illness or intellectual disability
- Where a child's actions or behaviour may place them at risk of significant harm and the parents are unwilling, or unable to protect the child
- Where a child appears to have been abandoned, or where the child's parents are dead or incapacitated and no other person is caring properly for the child

Other factors to consider before making a formal report to a child protection authority is:

- What specifically has happened to the child that has caused concern and what is the impact on their safety, stability, health, wellbeing and development?
- How vulnerable is the child?
- Is there a history or pattern of significant concerns with the child or with other children in the family?
- Are the parents or guardian(s) aware of the concerns, capable and willing to take action to ensure the child's safety and stability, and promote the child's health, wellbeing and development?

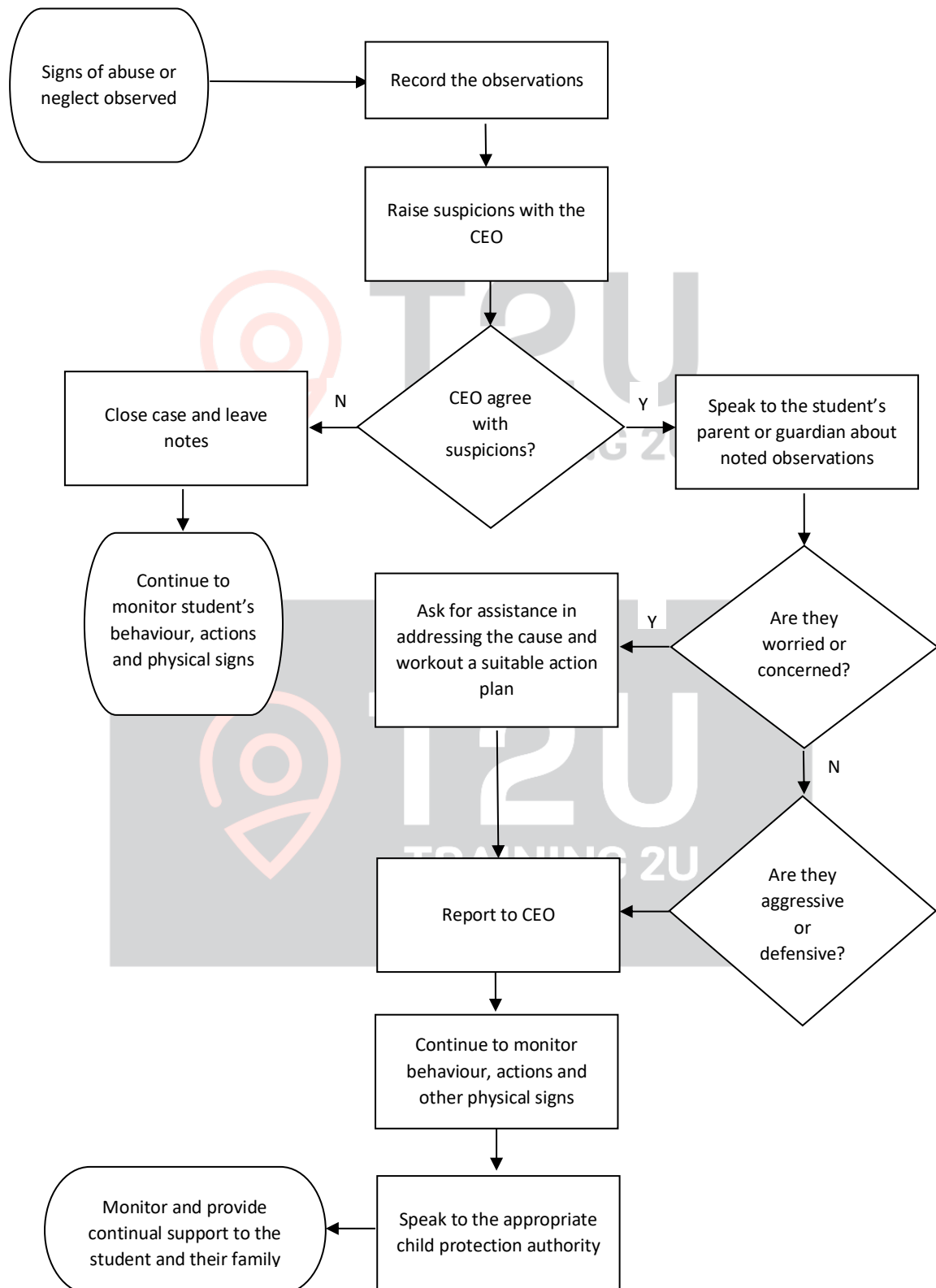
Be aware the child protection authority will most likely ask for the following information:

- Personal information about the student – such as their name, age, contact details, cultural or ethnic background, what your connection is to the student, and their current whereabouts (if known)

- Reason for the report – why do you believe that the injury or behaviour is the result of abuse or neglect, and what have been your observations (this is where your detailed notes taken in Steps 2, 4 and 6 will come in handy)
 - Status of safety – whether the student is in immediate danger
- 8. Monitor and provide continual support** – it is important for Training 2U to monitor the concerned student's behaviour and actions and continue to provide support where appropriate to the student.



Recognising and Reporting Child Abuse Process Flow-Chart



Training and Assessment Strategy

The training and assessment strategy outlines the approach of, and methods adopted by, Training 2U in the delivery of training and the collection of assessment evidence at a macro-level. The strategy provides a top-down perspective of the course and the training and assessment strategies to be applied. The training and assessment strategy is a working document and is to be reviewed and revised from time to time and Training 2U will develop and maintain a strategy for each training program we offer to take into account changes in industry technology and techniques, legislation and the training package itself, as well as the availability of resources to our RTO.

The training and assessment strategy is to be read in conjunction with the supporting training and assessment documentation and resources such as the learning text, industry regulations (where applicable), the assessment plan, the assessment mapping document, the assessment tool, and the marking guide.

General Training and Assessment Principles

In accordance with Clauses 1.1 to 1.4 of the Standards for RTOs 2015, our training and assessment strategies will include (but not limited to) the following:

- Training and assessment strategies and practices, including the amount of training we provide are consistent with the requirements of the respective training package or VET accredited course and taking into consideration:
 - The learner's existing skills, knowledge and experience;
 - The mode of delivery; and
 - Where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.
- Training and assessment strategies and practices which enables each learner to meet the requirements for each unit of competency or module in which they are enrolled in.
- Information about the target learner, such as:
 - Their educational and working background; and
 - Their existing skills and knowledge.

This information should align to the entry, pre-requisite and core skills requirements of the course.

- Information about the training program clearly detailed in the training and assessment strategy, including, but not limited to:
 - RTO number;
 - Qualification code and title;
 - Training package information;
 - Location of the training program;
 - Mode of delivery;
 - Duration of the training program (including the contact time and breaks, where applicable);
 - Units of competency or modules and its sequencing;
 - Volume of learning;
 - Pre-requisite and core skills requirements;
 - Licensing, legislative, regulatory or certification considerations (if any);
 - Names of the Trainers and Assessors delivering the training program (to ensure sufficiency and clarity), including their vocational qualifications and relevant work experience requirements – where a third-party is delivering any training or assessment for the training product, it should be clearly stipulated and explained. Where an Assessor does not hold the required training and assessment competence, but is a recognised industry expert, we will put appropriate supervision arrangements in place to support the gathering of valid evidence. Refer to our Third-Party Arrangements policy for further guidance on this;
 - Trainer to student ratio
 - Information and characteristics about the learner cohort(s);
 - Qualification and training program information;
 - Educational and support services to meet the needs of the learner cohort(s);
 - Learning and assessment resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of the location or mode of delivery;
 - Resources – whether physical and virtual facilities and equipment (ensuring they are sufficient and adequate to accommodate and support the number of learners undertaking the training program);
 - Outline of the learning sessions and assessment activities;
 - Assessment process and methods, including providing feedback and the recording of assessment outcomes;

- Re-assessment and appeals information;
- Assessment validation process;
- Student completion, progress and attendance information;
- Industry consultation information;
- Continuous improvement process; and
- Suitable adjustments in the delivery of training and assessment for learner's individual needs.

In accordance with Clause 2.2 of the Standards for RTOs 2015, Training 2U will also develop and implement monitoring strategies and processes to ensure ongoing compliance with Standard 1, and systematically evaluate and use the outcomes of evaluations to inform our future training and assessment practices. Refer to the monitoring and evaluating of training and assessment strategy below for more information.

Responsibilities

The CEO, together with the Trainers and Assessors are responsible in developing and approving each training and assessment strategy developed and co-ordinate all development and industry consultation activities. The CEO is also responsible in conducting the industry consultation to inform our training and assessment strategies and in developing a suitable training and assessment strategy for our learners.

Training Program Development

In developing the training program for compliance and fit-for-use purposes, the Trainer and Assessor is to ensure:

- The chosen training product has not been superseded and is suited to our needs and aims.
- To understand the requirements of the training product such as:
 - The entry requirements (if any);
 - The packaging rules;
 - Resources required; and
 - The qualification mapping information (if any).
- Logical and complete industry consultation is undertaken to enable us to develop an industry-relevant training program that captures:
 - The industry needs, concerns and skill shortages
 - What they are looking for in the graduates

- Currency of Trainer and Assessor's vocational qualifications and work experience
- Validation of training and assessment resources and strategies
- Technology used by the industry
- Current practices of the particular roles (job outcomes of the training product)
- Future of the industry
- The elective units within a qualification, skill set or accredited short course or module is chosen based on the outcomes of our industry consultation activities.
- The sequencing and organisation of the training and assessment is logical and meets any training package and industry requirements.
- The delivery method selected is suitable to the requirements of the training product – for example, it is not suitable to deliver training and assessment for a Certificate III in Commercial Cookery program as there are aspects of the training and assessment which requires the learner to be completing practical activities in a commercial kitchen setting. Feedback is to be obtained from industry contacts, as well as a review of the unit of competency – Elements, Performance Criteria, Performance Evidence, Knowledge Evidence, Assessment Conditions and any licensing or regulatory rules is to be undertaken to confirm the suitability of a delivery method.
- The duration is adequate in delivering high quality learning and assessment sessions, taking into account the number of units of competency in the program, how much learning is involved, how much time the assessment activities will take, as well as work-based training requirements (where applicable). A guide which can be used is the expected volume of learning published for each qualification in the Australian Qualifications Framework:
 - Certificate I program – 6 months to 1 year
 - Certificate II program – 6 months to 1 year
 - Certificate III program – 1 to 2 years
 - Certificate IV program – 6 months to 2 years
 - Diploma program – 1 to 2 years
 - Advanced Diploma program – 1.5 to 2 years

Feedback from Trainers and Assessors already delivering the training program we are developing is to be sought to confirm the suitability of the amount of training.

- Where the amount of training to be delivered is of a shorter duration than the expected volume of learning listed above, all research, industry consultation and reports prepared to explain why the volume of learning is shorter than the expected hours are to be clearly documented and saved.

- The assessment process and strategies are compliant to the Standards and meets all of the training package requirements. The assessment methods are to be validated by as suitable by the industry contacts. Refer to the assessment strategy below for more detailed information.
- Monitoring and evaluation systems are in place to enable effective review of the training and assessment strategy, ensuring that it continues to meet industry requirements. Refer to the monitoring and evaluating of training and assessment strategy below for more detailed information.
- The developed training and assessment strategy for the training program is approved by the CEO and the industry engagement records to support the developed training and assessment strategy is saved in the training program folder.

Assessment Strategy

The assessment strategy is an essential component of the development of the training program as it defines how evidence will be gathered from the learners and demonstrate how the assessment activities will meet the training package requirements, meet the rules of evidence, and be conducted in accordance with the principles of assessment.

In accordance with Clauses 1.8 to 1.12, Training 2U will apply a best practise approach as follows:

- Our assessment system complies with the assessment requirements of the relevant training package or VET accredited course.
- Assessment is conducted in accordance with the principles of assessment.
- Evidence gathered meets the rules of evidence.
- Evidence is gathered over a period of time in a logical manner involving a number of assessments, rather than collecting assessment evidence all at once.
- Use a range of assessment methods to rigorously assess a candidate's ability to meet the performance and knowledge evidence as outlined in the relevant unit of competency and contextualised to the target industry's requirements.
- Gather evidence based on a candidate's ability to perform in a real or simulated work environment, ensuring the activities realistically reflect the way tasks are completed in the workplace.
- Implement assessment validation practices to ensure the assessment strategies, resources and tools are continuously reviewed for improvement and remain industry-relevant. Validation methods include assessment moderation exercises between Assessors to promote consistent judgements and interpretation of evidence, and the internal audit of assessment

strategies. This is to take place before the issuing of the student outcomes to ensure the same decisions are applied to all assessment results within the same unit of competency.

- Clearly outline the arrangements we have in place to assess RPL applications.
- Identify appropriate assessment methods to gather the required evidence from the candidate. The choice of assessment methods will be informed by a range of factors including the evidence guide requirements in the relevant unit of competency, appropriate to the context, the assessment guidelines in the applicable training package, the scope and nature of the skills and knowledge being assessed, as well as reflecting the learner and industry needs. Assessment methods may include – knowledge questions, role plays or demonstration of workplace tasks, direct observation of workplace tasks being performed, project work, work placements, a review of the candidate's portfolio.
- Undertake accurate assessment mapping exercises to ensure each assessment activity maps to the requirements in the unit of competency. The assessment mapping document will confirm what evidence is to be collected in order for the candidate to meet all of the requirements in the unit of competency. The exercise will also demonstrate if there are any requirements not met or if there is an overlap in assessment which provides the opportunity to combine or cluster activities or questions to create efficiencies in the assessment process.
- Ensure all resources, whether physical or virtual are available and accessible for the candidate, such as:
 - Suitable environment to support candidate performance
 - Appropriate evidence gathering tools, activities and instructions
 - Workplace specific materials, resources and equipment
 - Simulated workplace documents
 - Workplace venue
- The process for assessment is clearly detailed in the strategy document and also advised to the learner in the Student Handbook:
 - Prepare for the assessment
 - Prepare the candidate and ensure they are ready prior to the assessment activity taking place
 - Plan and prepare the evidence-gathering process
 - Collect the assessment evidence and make an assessment judgement
 - Provide feedback on the submission
 - Record and report the result
 - Review the assessment process

- Participate in the re-assessment and appeals process (if applicable)
- Assessment instructions to the Trainer and Assessor, and the learner is clearly documented in the assessment instructions and the assessment tool.
- Assessment decisions are justified, based on the evidence of performance of the individual learner. Validity requires assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance.
- Use units of competency drawn from nationally endorsed training packages as the primary benchmark for assessment when making assessment decisions.

Context of Assessment

Assessment practice is not something that can be considered in isolation. The learners, the Trainers and Assessors, the industry, and the training package, amongst some of the factors which influences how assessment is designed, delivered, received and regarded. Training 2U recognises the importance of establishing the right context for candidates for their assessments. The assessment context may be considered the key to understanding assessment in action.

It is important to ensure that in establishing context of assessment, the transferability of the unit of competency is not affected. It is our responsibility to ensure that candidates are provided with the right context to undertake their assessment activities with the following strategies:

- Incorporation of workplace policies and procedures into the assessment scenario or activity
- Have the candidate perform real workplace tasks (where possible)
- The integration of relevant industry codes of practice into the assessment activity
- The incorporation of licensing, certification or legislative requirements (where applicable)
- Tailoring the program outcomes to meet the organisational training needs without compromising the training package requirements
- Develop assessment activities which will require the candidate to conduct specific research relating to industry situations and occurrences (where applicable)
- Provide a realistic simulated workplace

Principles of Assessment

In the delivery of assessment services, Training 2U applies the principles of assessment:

- **Fairness** – our assessment approach incorporates the candidate’s needs in assessment. We do this through making reasonable adjustments where appropriate and provide clear communication with the candidate to ensure they are fully informed about the assessment objectives, the assessment process, the re-assessment opportunity, and the appeals policy.
- **Flexibility** – we strive to provide assessment opportunities that reflect a candidate’s needs by reflecting on the candidate’s needs, assessing competencies held by the candidate no matter how or where they have been acquired, and drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements and the candidate themselves.
- **Validity** – we ensure that any assessment decision is justified, based on the evidence of performance of the candidate. We conduct assessment against the units of competency and the associated assessment requirements which covers the broad range of skills and knowledge that are essential to competent performance, knowledge and skills integrated with their practical application, based on evidence that demonstrates a candidate can demonstrate these skills and knowledge in other similar situations, and judgement of competence is based on evidence of candidate performance aligned to the units of competency and associated assessment requirements.
- **Reliability** – we seek to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the candidate and for the Assessors. We achieve this by using Assessors who have the required competencies in assessment and the relevant vocational competencies. Our assessment resources also provide for standardised outcomes supported by model answers to guide Assessors in their judgements. Reliability is also supported by the moderation of assessment judgements across our Assessors.

Rules of Evidence

In collecting evidence, Training 2U applies the rules of evidence to inform the assessment strategy:

- **Validity** – the Assessor is to ensure that the learner has the skills, knowledge and attributes as described in the module or unit of competency and the associated assessment requirements. we collect evidence that directly aligns with the components documented within each unit of competency. The collected assessment evidence must replicate the

outputs of the task as though it were being performed within an actual workplace. This may include the observation of the candidate performing the tasks relevant to the unit of competency or the collection of a completed workplace product. Assessment evidence that is purely academic in nature, such as written knowledge tests, should be given a lesser priority to the collection of evidence that relates directly to the candidate performing the tasks indicative to the unit of competency, such as role plays or simulated workplace activities.

- **Sufficiency** – the Assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner’s competency. We ensure the collection of valid assessment evidence in such quantity to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. The collection of sufficient assessment evidence will be supported by using a range of assessment methods which lead to the collection of evidence over time based on a range of performances.
- **Authenticity** – the Assessor is assured that the evidence presented for assessment is the learner’s own work. To support this, the learner is to sign a declaration confirming that:
 - The work is their own and they have not copied any part of it from any other source, except where due acknowledgement is made;
 - That they have not previously submitted the work for any other course or unit; and
 - No part of the assessment has been written or completed by another person.

Training 2U also checks the learner’s work through Quetext for originality and to detect any plagiarism.

- **Currency** – the Assessor is assured that the assessment evidence demonstrates current competency, which requires evidence to be from the present or the very recent past. Questions of evidence currency will mostly relate to recognition of prior learning applications where a candidate has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training. In all situations, Assessors must validate the currency of a candidate’s knowledge and skills.

Assessment Tools

At Training 2U, our assessment activities are to be supported by clear assessment instructions and information that will provide for a reliable assessment process across our operations. The assigned Trainers and Assessors are to prepare suitable assessment information and instructions and are to gain approval from the CEO for the use of the assessment resources and tools.

Assessment tools are used to gather evidence about a candidate's competence. We have developed assessment tools which support the assessment of applicable units of competency in accordance with the requirements of the training packages. It is important that in our development process we ensure the assessment tools reflect the needs of our clients, the industry and of any licensing, certification or legislative requirements that may apply.

Each assessment tool should contain clear and concise information to draw out a response from a candidate, such as:

- Instructions to set the framework for the activity.
- The expected outcomes of the assessment should also be included in the instructions and it is critical that they are aligned with the candidate's preparation during their training or through other competency development pathways.
- Scenario information includes information that sets the context for a simulated assessment activity. This may be a simple case study, or a deep scenario which requires analysis and interpretation. It is important to note that the higher the AQF qualification level, the greater the requirement to analyse and apply cognitive skills to produce workplace outcomes. Refer to the AQF guide for more information on the various AQF levels and their requirements.
- Industry information such as codes of practice, policies and procedures, legislation and regulations.

It is crucial for Training 2U to retain completed assessment tools in accordance with our Record Keeping and Access policy.

Re-assessment

Learners who are assessed as 'not yet competent' will be provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training.

It is a policy of Training 2U to provide learners with **two additional opportunities** for training and re-assessment at no additional cost to the learner or the employer. Learners who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment. Refer to the current Fees and Charges schedule on our website for more information.

Learners requiring additional learning support is to be brought to the attention of the management team so that the progress of the learner can be monitored closely and additional support services can be applied. Where learners repeatedly do not demonstrate competence following significant learning and assessment support, a learner's enrolment can be determined through mutual agreement.

Should learners wish to appeal an assessment decision made on an assessment, the learner must make the appeal in writing and specify the particulars of the decision. This can be done by completing our *Appeals Form*. The appeal must be lodged to Training 2U within **20 business days** of the learner being informed of the assessment decision. You may refer to our Complaints and Appeals policy for more information about our appeals process.

Monitoring and Evaluating of Training and Assessment Strategies

It is crucial for Training 2U to have a systematic process in place to monitor and evaluate each training and assessment strategy we have in place, once a quarter – this would give the Trainer and Assessor a term to evaluate what is working, what requires improvement on, what is lacking, and what needs to be adjusted.

Training 2U aims to:

- Collect feedback (formally and informally) from learners and employer clients about the training program at the end of each term, and also at the end of the training program;
- Conduct internal audits by a suitably qualified and externally sourced auditor to provide impartial advice about training strategies;
- Validate tools and resources by the industry;
- Moderate between Trainers and Assessors to seek out and agree on strategies to improve the services to learners and employer clients;
- Engage with employer clients and the industry to determine if our training programs are delivering the knowledge and skills required; and
- Consult with the industry to confirm that the qualifications, knowledge and skills of our Trainers and Assessors are still relevant and current.

Assessment Procedure

1. Prepare for assessment – the Assessor is to:

- establish the context and purpose of the evidence to be collected;

- identify and analyse the units of competency, training package and Training 2U assessment strategy to identify the evidence requirements;
- review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence;
- establish a plan and organise the resources and equipment for gathering sufficient quality evidence about the student's consistent performance in order to make the assessment decision; and
- coordinate and brief everyone involved in the evidence-gathering process.

2. Prepare the candidate – the Assessor meets with the student to:

- explain the context and purpose of the assessment and the assessment process;
- explain the evidence to be collected;
- outline the preparation the student should undertake, and answer any questions;
- assess the needs of the student and, where applicable, negotiate reasonable adjustment for assessing people individual needs;
- seek feedback regarding the student's understanding of the evidence requirements and assessment process; and
- determine if the student is ready for assessment.

3. Collect the evidence and make the assessment judgement – the Assessor must:

- establish and oversee the assessment process to ensure its validity, reliability, fairness and flexibility;
- collect appropriate evidence;
- make any allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
- evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency; and
- record details of evidence collected and make a judgement about the student's competence based on the evidence and the relevant unit(s) of competency.

4. Provide feedback – the Assessor must provide feedback to the student regarding their assessment submission within **10 business days**. This includes providing the student with:

- clear and constructive feedback on the assessment decision;
- information on ways of overcoming any identified gaps in competency revealed by the assessment;
- the opportunity to discuss the assessment process and outcome; and
- information on reassessment and the appeals processes (if applicable).

5. Record and report on the outcome – the Assessor must:

- record the assessment outcome according to the policies and procedures of Training 2U;
- maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of Training 2U; and
- maintain the confidentiality of the assessment outcome.

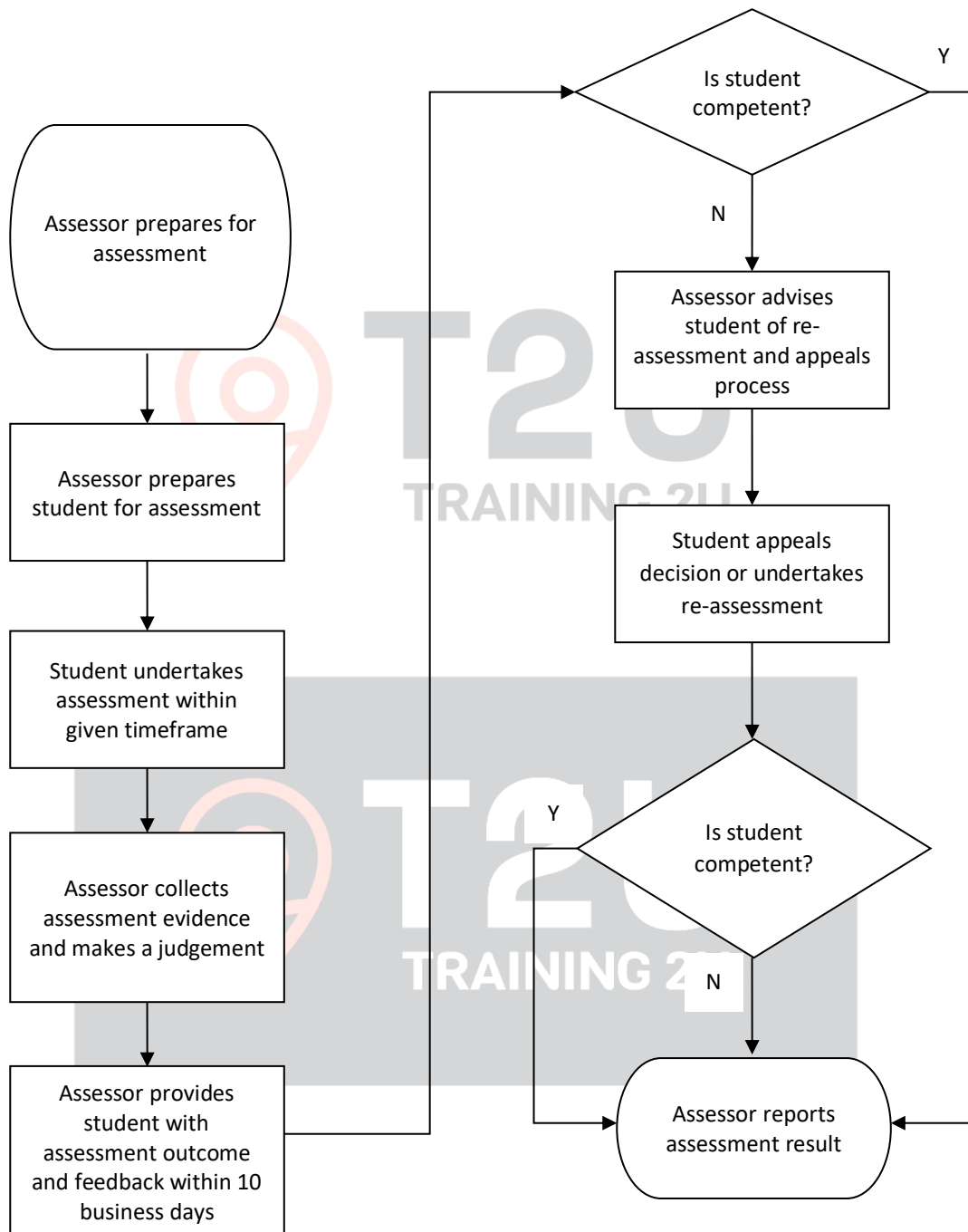
6. Review the assessment strategies and process – on completion of the assessment process, the Assessor must:

- review the assessment process;
- report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
- where necessary, suggest to Training 2U's management ways of improving the assessment procedures through Continuous Improvement or by providing input at the next scheduled management meeting or assessment validation session.

7. Participate in the re-assessment and appeals process – the Assessor must:

- review the assessment process;
- report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
- where necessary, suggest to Training 2U's management ways of improving the assessment procedures through Continuous Improvement or by providing input at the next scheduled management meeting or assessment validation session.

Assessment Process Flow-Chart



Industry Engagement

In accordance with Clauses 1.5 and 1.6 of the Standards for RTOs 2015, Training 2U will actively engage with the industry to help inform us of the accurate needs of the industry, from training and assessment strategies, practices and resources, to the current industry skills our Trainers and Assessors require. We will engage with the industry during the planning and development phases of our training and assessment strategies, as well as at least once a year from when a course has been added to our scope of registration.

It is important that Training 2U meet industry expectations to produce job ready graduates that will be in high demand, possessing the required skills and knowledge. Industry engagement allows us to achieve this as it enables us to ensure our training and assessment strategies and practices are aligned to current methods, technology, products and performance expectations for the workplace tasks as specified in the training package or VET accredited course. Industry engagement also enables us to establish appropriate contexts, methods, resources and Trainers and Assessors to deliver training and to conduct assessment.

General Industry Engagement Principles

At Training 2U, to ensure the effectiveness of our industry engagement activities, we aim to be guided by the following:

- Undertake industry engagement activities at least once every 12-months for each training program.
- Ultimately ensure that employers, industry and learners have confidence in the integrity, currency and value of the qualifications we issue.
- Engage with the industry to provide the best outcomes for our learners.
- Systematically undertake industry engagement activities with relevant partners – they are to be identified depending on the scope of our industry consultation and what types information we are seeking.
- Keep records of all industry engagement activities – ensuring as much detail as possible is noted in the Industry Engagement Record and populate the Industry Engagement Register, which enables easy reference to all industry engagement activities and outcomes and enables us to keep track of this information.

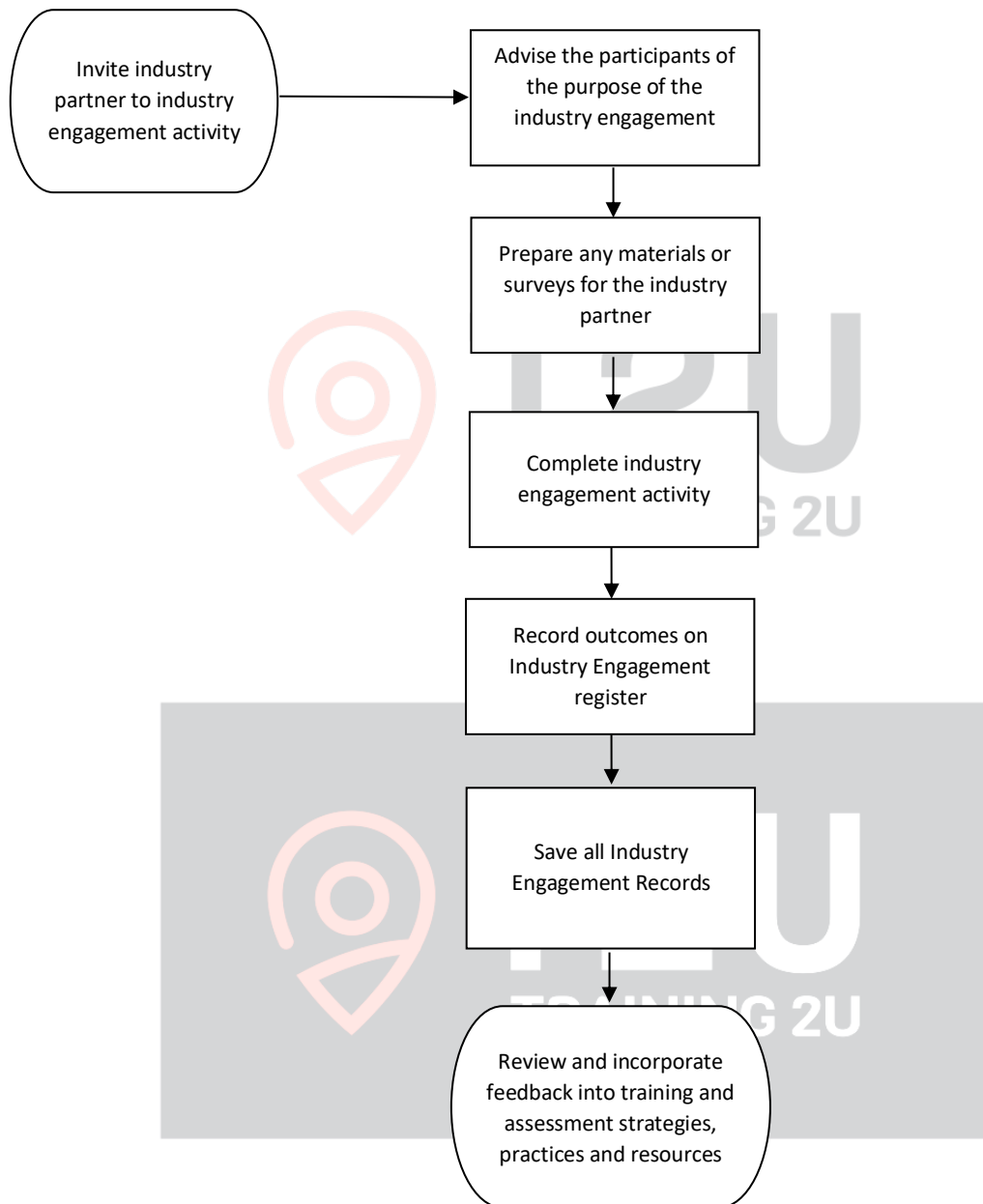
- Seek input from industry partners in the development phase of the training program and throughout the course of the delivery of the training program, particularly on:
 - Any regulations or laws governing the industry and/or standard operating procedures, equipment and machinery used at the enterprise level;
 - Aspects of the work environment that will affect training and assessment;
 - Employer preferences about the way in which a program is delivered;
 - Facilities, equipment and supervision that will be available for work placements; and
 - Advice on contextualising or adapting purchased assessment materials to suit workplace contexts.
- Stay abreast on the latest industry news and information by networking and maintaining good relationships with key industry figures, particularly on:
 - Current market environment and state of the industry;
 - Changes in the way work is completed and in standard operating procedures;
 - Changes in legislation and regulations; and
 - New technology, equipment, systems and processes.
- Confirm industry's ongoing expectations for current industry skills and knowledge of Trainers and Assessors.
- Consult with relevant industry figures regularly, at least once a year – where we directly engage with industry personnel which can contribute towards the exchanging of ideas; the improvement of our training and assessment resources, strategies and practices; and the validation of our training and assessment tools, practices and approaches.
- Task the respective Trainers and Assessors to spearhead and conduct the industry engagement activities.
- Monitor the implementation of our strategies and practices to ensure our training continues to meet industry needs, particularly in areas where technology and/or techniques change rapidly.

Industry Engagement Procedure

1. **Organise industry engagement activity** – select the type of activity, this can be a meeting, a survey or a questionnaire. The respective Trainer and Assessor is to reach out to the industry counterpart and invite them to participate in the industry engagement activity. Advise them of the purpose of the industry engagement activity and if it is a meeting, set a suitable time and date.
2. **Prepare and undertake industry engagement activity** – once the industry partner is agreeable, start preparing for the industry engagement activity. This could include preparing the survey or a list of questions we would like them to assist us with or preparing the training and assessment tools we would like them to review. Remember to be objective and ask relevant questions. Seek out as much detail as possible from the industry figure.

If the activity is for the industry personnel to complete a survey or questionnaire, walk them through the survey or questionnaire and answer any questions they may have. If the activity is a meeting, be sure to complete all of the questions prepared earlier and conduct yourself professionally at all times.
3. **Record industry engagement activity and outcomes** – it is important and good business practise for us to keep and maintain records of all industry engagement activities conducted. This enables us to be able to refer to these records easily when preparing or revising our training and assessment strategies, practices and resources. It is also imperative these records are easily accessible during a compliance audit (if requested for).
4. **Review and incorporate feedback** – the feedback received from and the outcomes of the industry consultation is to be reviewed by the Trainers and Assessors, as well as the management team (where relevant) and incorporated into the development of our training programs, our training and assessment strategies and practices, and our learning resources and assessment tools.

Industry Engagement Process Flow-Chart



Assessment Validation

Validation is a quality review process that confirms our assessment system can consistently produce valid assessment judgements. It is critical for ensuring that our assessment activities are appropriately rigorous and our graduates are fully capable of carrying out the tasks that their qualification claims they can complete.

Validation activities are generally conducted after assessment is complete in order for us to consider the validity of both our assessment practices and judgements. It involves checking that our assessment tools have produced valid, reliable, sufficient, current and authentic evidence. This enables us to make reasonable judgements as to whether training product requirements have been met.

General Assessment Validation Principles

- In accordance with Clause 1.9 of the Standards for RTOs 2015, we have developed a plan for the ongoing systematic validation of our assessment practices and judgements that includes each training product on our scope of registration.
- The assessment validation plan outlines when assessment validation is to occur, which training products will be focused in the validation activity, and who will lead and participate in validation activities.
- The Assessment Validation Checklist is to be used and completed completely during the validation activities.
- The outcomes of the assessment validation activities are to be documented and raised as opportunities for improvement and actions will be taken to address the outcomes accordingly.
- Training 2U will validate each training product at least once every 5-years, with at least 50 per cent of the training products on our scope validated within the first 3-years of each 5-year cycle. This is in accordance with Clause 1.10 of the Standards for RTOs 2015. As a minimum standard, we will validate at least four units from each qualification using a statistically valid sample.
- A statistically valid sample is one that is large enough that the validation outcomes of the sample can be applied to the entire set of judgements, and they are taken randomly from the set of assessment judgements being considered. We will use [ASQA's sample size calculator](#) to determine the sample size to be included in each validation exercise.
- Training 2U may from time to time validate a unit from a training product that has not been delivered as yet as part of our continuous improvement process. Where this is the case, we will only examine the assessment tools and assessor guides.

Responsibilities

Validators can be employees of Training 2U, or external validators can be engaged. Training 2U may also engage industry experts in our validation activities to ensure there is a combination of expertise available.

In accordance with Clause 1.11, the validation of our assessment practices and judgements is undertaken by a team of people who meet the requirements as outlined below.

Training 2U can work with other RTOs, and collaboratively validate each other's assessment practices and judgements

The validation team must collectively have:

- Vocational competencies and current industry skills relevant to the assessment being validated;
- Current knowledge and skills in vocational teaching and learning; and
- The training and assessment credential specified below:
 - TAE40116 Certificate IV in Training and Assessment; or
 - TAE40110 Certificate IV in Training and Assessment, and:
 - TAELN411 Address adult language, literacy and numeracy skills (or its successor), or
 - TAELN401A Address adult language, literacy and numeracy skills; and
 - TAEASS502 Design and develop assessment tools (or its successor), or
 - TAEASS502A Design and develop assessment tools, or
 - TAEASS502B Design and develop assessment tools; or
 - TAEASS00011 Assessor Skill Set (or its successor).

The Trainer and Assessor who delivered and assessed the training product being validated:

- Can participate in the validation process as part of a team;
- Cannot conduct the validation on his or her own;
- Cannot determine the validation outcome for any assessment judgements made; and
- Cannot be the lead validator in the validation team.

Validation vs Moderation

Where validation is the quality review of the assessment process and is generally conducted after the assessment is completed, moderation is a quality control process aimed at bringing assessment judgements into alignment. Moderation is generally conducted before the finalisation of student results as it ensures the same decisions are applied to all assessment results within the same unit of competency. It is important not to confuse the two processes as they serve different purposes.

Scheduling of Validation

Training 2U will validate each training product at least once every 5-years, with at least 50 per cent of the training products on our scope validated within the first 3-years of each 5-year cycle. As a minimum standard, we will validate at least four units from each qualification. The Assessment Validation Plan will outline which training products are to be validated and when, and the names of the participants of the validation activity.

Training 2U may choose to validate our training products more often, if risk indicators demonstrate that more frequent validation is required, such as:

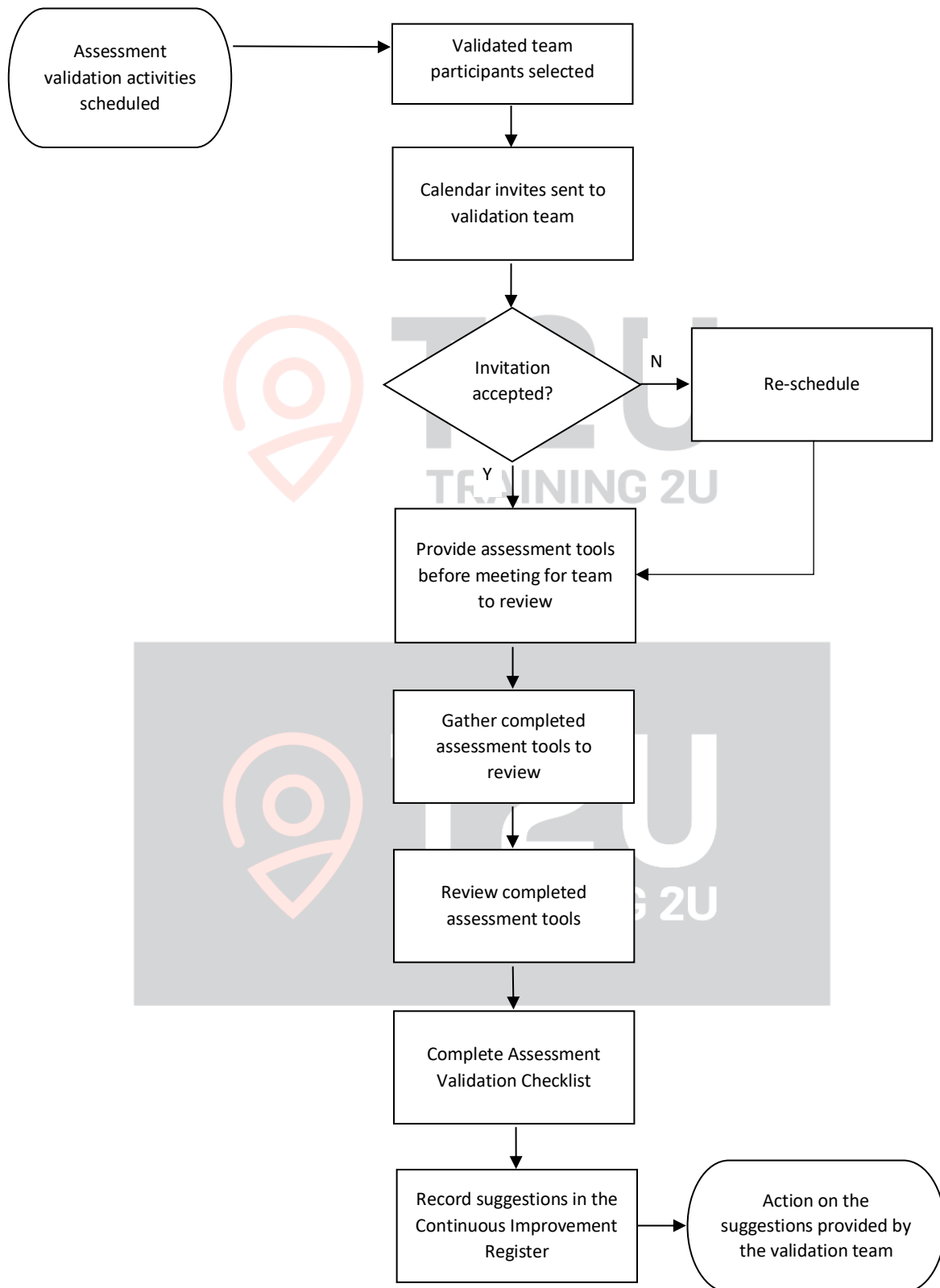
- The use of new assessment tools
- Delivery of training products where safety is a concern
- The level and experience of the Assessor
- Changes in technology, workplace processes, legislation and licensing requirements

We will endeavour to undertake validation activities at least once every 2-years if we deliver any training and assessment for the above areas of concern.

Assessment Validation Procedure

1. **Assessment validation activities scheduled** – when a new training product is added to our scope, we schedule in the validation activities in the Assessment Validation Plan and a calendar reminder scheduled in the CEO's calendar. The CEO is to determine which units of competency and which training products are to be included, and when they are to be validated.
2. **Validation team participants selected and sent calendar invites** – 2-months before the validation exercise is to take place, the CEO is to select the validation team participants and send them calendar invites for the session.
3. **Re-schedule if not everyone in the team is available** – if participants are not available on the date scheduled, organise another date within the 30-days the validation activity is scheduled for, no later.
4. **Provide validation team with access to the assessment tools before the meeting** – this provides the participants with the opportunity to review the assessment and undertake their own assessment mapping and comparison with the requirements of the unit of competency. This also enables the participants to start making notes on their observations and professional judgements on the assessment tools prior to the meeting taking place.
5. **Gather a random sample of completed assessments to be reviewed** – these files are to be safely stored before being provided to the validation team.
6. **Review a statistically valid sample of the assessments** – during the assessment validation meeting, the validation team is to collectively review the quantitative information and work through the assessment validation tool and engage in discussion in response to the questions in the Assessment Validation Checklist document.
7. **Complete the Assessment Validation Checklist** – the document is to be completed and detailed comments recorded.
8. **Continuous improvement opportunities** – the comments recorded in the Validation Action Plan section of the Assessment Validation Checklist document are to be uploaded into our Continuous Improvement Register. The action points are then to be discussed, reviewed and implemented accordingly.
9. **Save all records** – all physical documents are to be scanned and saved on our server for compliance and reference purposes.

Assessment Validation Process Flow-Chart



Assessment Validation Checklist

General		
Questions	Y / N	Comments
Are the assessment instructions clear and easily understood by the students?		
Are the assessor instructions clear and easily understood by the assessors?		
Is the level of difficulty of the assessment appropriate to the competency being assessed?		
Are the assessment tools and checklists logically structured to support the assessment?		
Are the confidentiality and privacy processes documented?		
Is there a clearly documented record keeping process?		
Is there a clearly documented complaints and appeals policy and procedure?		
Is there a clearly documented RPL process?		
Are the instructions to the participants on the validation and moderation process understood by all?		
Validity		
Questions	Y / N	Comments
Does the assessment tool clearly assess and address: <ul style="list-style-type: none"> - Elements and Performance Criteria - Performance Evidence - Knowledge Evidence - Foundation Skills (attach mapping undertaking in the validation session, not the assessment plan)		

Are the unit of competency's assessment conditions met?		
Does the assessment tasks and methods appropriate for the AQF level?		
Are the assessment tasks based on realistic workplace activities?		
Does the assessment assess the student's ability to meet the level of performance required in the workplace?		
Are the methods being used appropriate for the content of the unit?		
Does the assessment meet any licensing or regulatory requirements associated with the unit?		
Sufficiency		
Questions	Y / N	Comments
Is the assessment evidence gathered using a range of assessment methods collected over a number of different assessment activities?		
Is there sufficient evidence of the student's knowledge and skills being considered in the assessment?		
Authenticity / Currency		
Questions	Y / N	Comments
Are there systems in place to ensure assessment evidence that will be submitted by the learner is their own work?		
Does the assessment gather evidence from the candidate that is current industry standards?		

Reliability		
Questions	Y / N	Comments
Are appropriate assessment checklists available to record evidence based on the unit of competence?		
Are clear guidelines available to ensure that assessors make consistent decisions over time and with different candidates?		
Are there suitable instructions that support the same judgement being applied by different assessors?		
Are the instructions written in 'plain English'?		
Are the instructions appropriate for both the AQF and the core skills difficulty?		
Flexibility		
Questions	Y / N	Comments
Can the assessment be reasonably adjusted to meet the needs of candidates?		
Is the opportunity available for the candidate will to have their previous experience recognised?		
Do the assessments allow for different environments or under different conditions (where required)?		
Do the assessment methods support flexible arrangements with candidates that have low core skills?		
Fairness		

Questions	Y / N	Comments
Does the assessment process result in the candidate being given clear and accurate information on the assessment process?		
Are students provided with objective assessment feedback?		
Are appropriate opportunities for feedback provided to candidates?		
Are there clearly documented mechanisms for appeal against assessment decisions?		
Are the assessments non-discriminatory and inclusive?		
Validation Action Plan		
Are there any suggestion(s) for improvement identified as a result of this assessment validation activity?		

Training Package Transition

At times, the Jobs and Skills Councils (JSCs) will make changes to training package products to ensure they align with current industry trends and requirements. These updates ensure that students receive the necessary skills for the current work environment and the JSCs determine whether these changes are 'equivalent' or 'not equivalent' to the previous training package product.

General Training Package Transition Principles

Our obligation as a Registered Training Organisation (RTO) is detailed in Clauses 1.26 and 1.27 of the Standards for RTOs 2015, is to manage the transition from superseded training products timely. This legislative requirement means that we are responsible for transitioning to any revised equivalent training packages added to our scope of registration. This transition must occur within 12 months of a revised package's publication on the National Register of VET and we must transition students enrolled in the training program concerned within this 12-month time frame. Training 2U may continue to deliver the superseded product until we are ready to deliver the new equivalent product, so long as this occurs within the 12-month time frame. During this transition period, both the superseded and new equivalent training product will remain on our scope of registration. If ASQA conducts an audit during this time, the auditor will check which training product we are delivering and perform an audit against that product.

Training 2U will monitor the status of training packages by subscribing to the National Register of VET's notification service to ensure we are delivering the most current outcomes to our learners.

Important: Where a training package requires the delivery of a superseded unit of competency, the requirements to transfer learners into its replacement unit of competency is not applicable.

Responsibilities

The CEO is responsible in managing Training 2U's transition to the new training package and in ensuring the transition is managed in a systematic way, integrating changes in all areas of operation.

The Student & Administration Support personnel will be responsible in all matters relating to the administration of the training package transition processes, such as preparing and sending out letters to affected learners informing them of the changes and how it affects them.

The Trainers & Assessors are tasked with reviewing the differences between the superseded training product and the new training product in order to develop new training resources and assessment tools that are compliant. It is imperative that a high level of detail is applied.

Equivalent Changes

When a new or revised training package is released, ASQA identifies all qualifications and units of competency classified as 'equivalent' to a current training package product. If any of the revised products are on our scope of registration, ASQA will update our scope with the new, equivalent training product and inform us by e-mail that our scope has been updated, including the details of the new, equivalent product. ASQA will also apply any sanctions or conditions that apply to the superseded product on our scope to the new, equivalent training product. In addition, ASQA will apply the same 'scope extent' listed on the National Register of VET to the new, equivalent product.

If Training 2U decides not to deliver a new equivalent training product added to our scope of registration, we can choose to remove the item(s) from our scope by submitting an application on ASQAnet. This request can be made at any time after the update, so long as there are no current enrolments in the training product. Training 2U is to ensure that we do not train any remaining students in the superseded qualification, nor are we to issue any AQF certification documentation, except as a replacement for a previously issued qualification 12-months from the date the replacement training product was published.

Refer to the **Training Package Transitioning – Equivalent Changes Procedure** below for more information on the process we will have to complete to ensure we teach out the superseded training product within the 12-months and prepare for the new equivalent training product as soon as possible.

Not Equivalent Changes

When an JSC's revision of a training product changes its outcome, the new version becomes 'not equivalent' to the superseded training product. ASQA considers not equivalent training products as new products, which means that ASQA will undertake a risk assessment before approving to have them added to your scope of registration.

To add a not equivalent training product to our scope of registration, we would be required to apply to add the new item on ASQAnet. We will need to await ASQA's approval before advertising, offering and providing the course.

Refer to the **Training Package Transitioning – Not Equivalent Procedure** below for more information on the process we will have to complete to ensure we teach out the superseded training product within the **12-months** and prepare for the new not equivalent training product as soon as possible.

Removed or Deleted Qualifications

In some instances, training package developers may determine that there is no longer sufficient demand for a qualification to justify it being maintained. The qualification is removed or deleted without being superseded by another. When this occurs, Training 2U must ensure that all training, assessment and the issuance of the AQF certification documentation is completed within 2-years of the date the qualification was removed. Training 2U must also ensure we do not enrol or allow any new students to commence training or assessment from the date the qualification is removed or deleted from the National Register of VET.

ASQA will remove the qualification concerned from our scope of registration 2-years after a qualification is removed or deleted from the National Register of VET. From that date, we are not to train any remaining students in that qualification, nor are we to issue any AQF certification documentation, except as a replacement for a previously issued qualification.

Refer to the **Training Package Transitioning – Removed or Deleted Qualifications Procedure** below for more information on the process we will have to complete to ensure we teach out the deleted qualification within **2-years**.

Removed or Deleted Skill Sets, Units, Courses and Modules

Where a skill set, unit, course or module that is not attached to a qualification is removed or deleted, Training 2U must ensure that all training, assessment and issuance of any AQF certification documentation is completed within 12-months of the date the skill set, unit or module was removed or deleted. Training 2U must not allow a student to commence training or assessment from the date a skill set, unit, course or module is removed or deleted from the National Register of VET.

Under exceptional circumstances, ASQA may justify the delivery of the deleted skill set, unit, course or module beyond the allowable timeframes to a certain cohort of students. For example, where apprenticeship arrangements necessitate – this information will be published on [ASQA's website](#). In such cases, the exemption will apply, but only for delivery to a student whose enrolment matches the identified criteria. Training 2U will comply with ASQA's directives in these circumstances and strategise accordingly.

Refer to the **Training Package Transitioning – Removed or Deleted Skill Sets, Units, Courses and Modules Procedure** below for more information on the process we will have to complete to ensure we teach out the deleted skill set, units, course or module within **12-months**.

Training Package Transitioning – Equivalent Changes Procedure

1. **Determine an action plan** – once it is known that a training product on our scope has been superseded, the CEO is to prepare an action plan with the relevant staff members and a time frame detailed – the action plan must include steps for the two options available to learners – for them to either complete their studies and receive their certification before the 12-month deadline or be transferred into replacement products before the 12-month deadline.. This is to be done within **5 business days** of the announcement that a training product on our scope has been superseded.
2. **Notify learners enrolled in the affected training package product** – learners enrolled in the training product which has been superseded are to be notified within **7-days**. The Student & Administration Support personnel is to prepare a letter informing them of what the change is, how this change will affect them, that it will not cost them anything to transition to the new training package, and our legal obligations as an RTO. Inform them that they will have to complete their training within 12-months from the date the replacement training product was published and that should they not be able to complete their training program by then, they will automatically be transitioned over to the new training product. Advise them that they also have the option to transition to the new training product as soon as we are ready to deliver the new training product.
3. **Ensure no new students are enrolled** – the Student & Administration Support personnel is to enter an 'End date' for the course. The 'End date' should be recorded as 12-months of the revised training package's publication date. This means that if the revised training package's publication date is the 01 July 2024, the 'End date' should be recorded as the 30 June 2025. Our website (including our online enrolment system) and marketing channels should also be updated to advise that we are no longer taking enrolments into the affected training program, explaining the transition that will be occurring. These tasks are to be completed within **10 business days**.
4. **Trainers and Assessors are to develop a new TAS and revise the resources** – a new TAS and our training and assessment resources and tools will need to be updated to match the new training product and its requirements. To do this, Trainers and Assessors delivering the affected training program are to review the differences between the superseded training

product and the new training product. They are then to document the differences clearly and prepare a new TAS, as well as revise the training resources and assessment tools where required. In this process, the Trainers & Assessors are also to conduct stakeholder and industry consultation at various stages to inform our training and assessment practices for the new training product, including which elective units might be suitable, their thoughts on the changes, and any specific industry requirements that will need to be incorporated. Once the new TAS and the new training and assessment tools are ready, they are to be submitted to the CEO for review and approval. This is all to be completed no more than **3 months** from when the new training package was published. If extra time is required, the CEO is to be advised and updated on a regular basis.

5. **Approval granted for the new training product** – once the CEO has approved of the new TAS and updated training and assessment materials, all of the files are to be officially published and made available on our server. The Student & Administration Support personnel is responsible for these tasks. This must be completed no more than **10 business days** from when the CEO has approved of the new TAS and resources.
6. **Update the Student Management System, the website and our marketing channels** – our Student Management System will need to be updated with information about the new training program. The Student & Administration Support personnel is to create a new course, and add in the relevant units and information as outlined in the TAS. The information on the website will also need to be updated to reflect the new training program and to remove the superseded training program from the website. Our marketing materials must also be updated and distributed to our marketing channels. This must be completed within **15 business days** from when the CEO approves of the new training product.
7. **Inform students and transition learners**– the Student & Administration Support personnel is to prepare and send out a letter to the learners informing them that the new training product is ready and those who would like to transition now can do so. Otherwise, they will have until the end of the 12-month period to complete their training program. After which, they will be automatically transitioned to the new training product.
8. **Issue Statement of Attainment** – in transitioning over to the new training product, learners are to be issued with a Statement of Attainment of the units they have completed, and any eligible units of competency to be transferred to the new qualification. They are also to be issued with a new Confirmation of Enrolment document outlining their new training plan. The affected students' files are also to be updated, ensuring that there is an 'Enrolment End Date'

entered for the superseded training program, and a new enrolment with the 'Enrolment Start Date' and 'Enrolment End Date' entered for the new training program.

9. **Archive superseded materials** – training and assessment materials such as the TAS, the learning resources and the assessment tools are to be archived once all of the students have been transitioned over to the new training product. Under no circumstances are these files to be deleted.

Training Package Transitioning – Not Equivalent Changes Procedure

1. **Determine an action plan** – once it is known that a training product on our scope has been superseded, the CEO is to prepare an action plan with the relevant staff members and a time frame detailed – the action plan must include steps for the two options available to learners – for them to either complete their studies and receive their certification before the 12-month deadline or be transferred into replacement products before the 12-month deadline. This is to be done within **5 business days** of the announcement that a training product on our scope has been superseded.
2. **Notify learners enrolled in the affected training package product** – learners enrolled in the training product which has been superseded are to be notified within **7-days**. The Student & Administration Support personnel is to prepare a letter informing them of what the change is, how this change will affect them, that it will not cost them anything to transition to the new training package, and our legal obligations as an RTO. Inform them that they will have to complete their training within 12-months from the date the replacement training product was published and that should they not be able to complete their training program by then, they will automatically be transitioned over to the new training product, however, they should be informed that where the changes are not equivalent, they may have to undertake additional training to satisfy the requirements of the new training product. Advise them that they also have the option to transition to the new training product as soon as we are ready to deliver the new training product.
3. **Ensure no new students are enrolled** – the Student & Administration Support personnel is to enter an 'End date' for the course on the Student Management System. The 'End date' should be recorded as 12-months of the revised training package's publication date. This means that if the revised training package's publication date is the 01 July 2024, the 'End date' should be recorded as the 30 June 2025. Our website (including our online enrolment system) and marketing channels should also be updated to advise that we are no longer taking enrolments

into the affected training program, explaining the changes made to the training product. These tasks are to be completed within **10 business days**.

4. **Trainers and Assessors are to develop a new TAS and revise the resources** – a new TAS and our training and assessment resources and tools will need to be updated to match the new training product and its requirements. To do this, Trainers and Assessors delivering the affected training program are to review the differences between the superseded training product and the new training product. They are then to document the differences clearly and prepare a new TAS, as well as revise the training resources and assessment tools where required. In this process, the Trainers & Assessors are also to conduct stakeholder and industry consultation at various stages to inform our training and assessment practices for the new training product, including which elective units might be suitable, their thoughts on the changes, and any specific industry requirements that will need to be incorporated. Once the new TAS and the new training and assessment tools are ready, they are to be submitted to the CEO for review and approval. This is all to be completed no more than **3 months** from when the new training package was published. If extra time is required, the CEO is to be advised and updated on a regular basis.
5. **Apply to ASQA to deliver the new training product** – once the CEO has approved of the new TAS and updated training and assessment materials, we are to apply to ASQA to deliver the new training product. This must be completed no more than **10 business days** from when the CEO has approved of the new TAS and resources.
6. **Update the Student Management System, the website and our marketing channels** – once ASQA has approved for us to deliver the new training product, our Student Management System will need to be updated with information about the new training program. The Student & Administration Support personnel is to create a new course on our Student Management System, and add in the relevant units and information as outlined in the TAS. The information on the website will also need to be updated to reflect the new training program and to remove the superseded training program from the website. Our marketing materials must also be updated and distributed to our marketing channels. This must be completed within **15 business days** from when the CEO approves of the new training product.
7. **Inform students and transition learners** – the Student & Administration Support personnel is to prepare and send out a letter to the learners informing them that the new training product is officially on our scope of registration and those who would like to transition now can do so. Otherwise, they will have until the end of the 12-month period to complete their training program. After which, they will be automatically transitioned to the new training product.

8. **Issue Statement of Attainment** – in transitioning over to the new training product, learners are to be issued with a Statement of Attainment of the units they have completed, and any eligible units of competency to be transferred to the new qualification. They are also to be issued with a new Confirmation of Enrolment document outlining their new training plan. The affected students' files are also to be updated, ensuring that there is an 'Enrolment End Date' entered for the superseded training program, and a new enrolment with the 'Enrolment Start Date' and 'Enrolment End Date' entered for the new training program.
9. **Archive superseded materials** – training and assessment materials such as the TAS, the learning resources and the assessment tools are to be archived once all of the students have been transitioned over to the new training product. Under no circumstances are these files to be deleted.

Training Package Transitioning – Removed or Deleted Qualifications Procedure

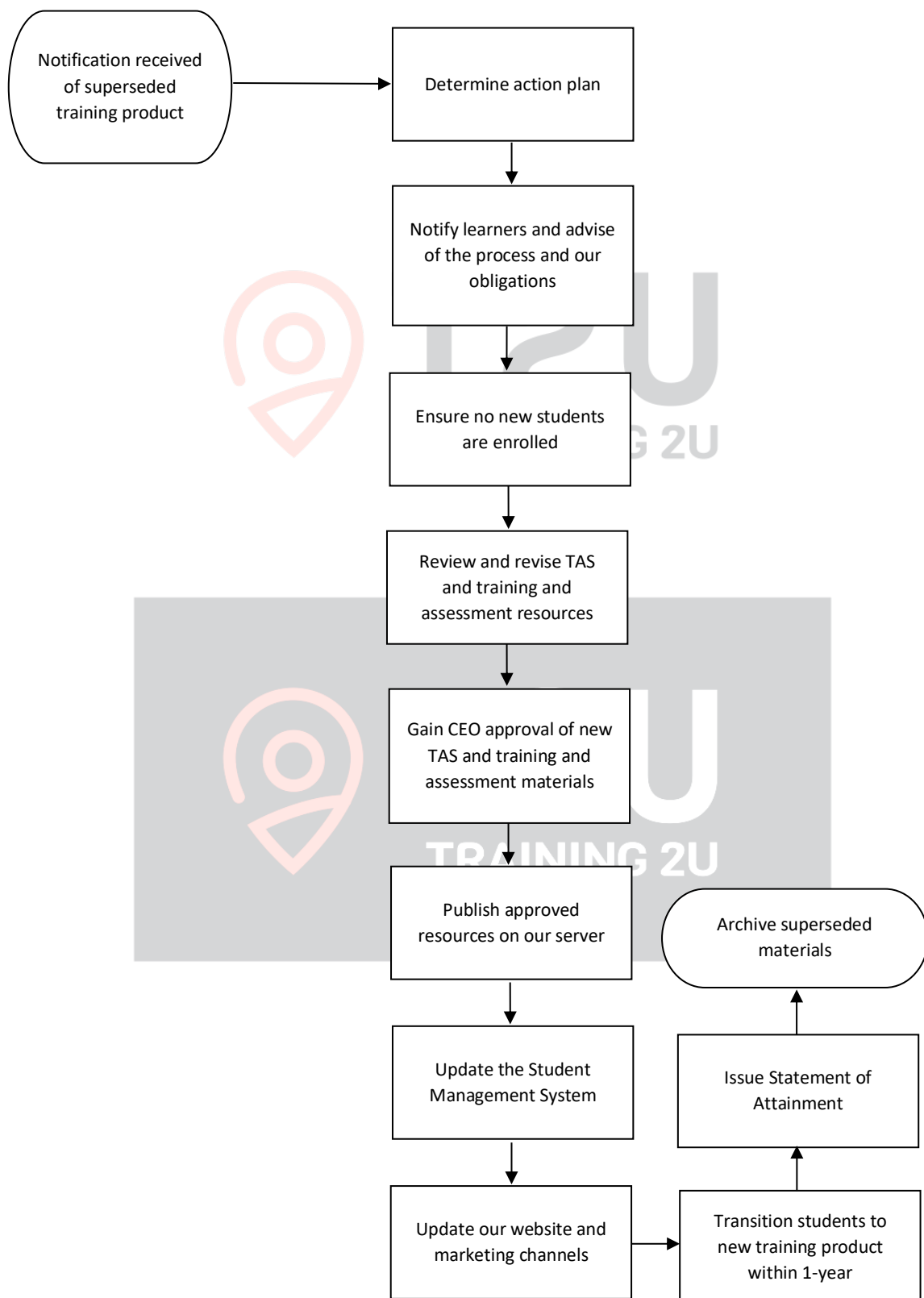
1. **Determine an action plan** – once it is known that the qualification has been removed or deleted, the CEO is to prepare an action plan with the relevant staff members and a time frame detailed – the action plan must include steps for the learners to complete their studies and receive their certification before the deadline. This is to be done within **5 business days** of the announcement that a training product on our scope has been removed or deleted.
2. **Ensure no new students are enrolled** – the Student & Administration Support personnel is to enter an 'End date' for the course on our Student Management System. The 'End date' should be recorded as 2-years after a qualification is removed or deleted from the National Register of VET. This means that if the revised training package's publication date is the 01 July 2024, the 'End date' should be recorded as the 30 June 2026. Our website (including our online enrolment system) and marketing channels should also be updated to advise that we are no longer taking enrolments into the affected training program, explaining that the qualification have been removed or deleted from the National Register of VET. These tasks are to be completed as soon as possible, no more than **5 business days** from when the qualification is removed or deleted from the National Register of VET.
3. **Notify learners enrolled in the affected training package product** – learners enrolled in the training product which has been superseded are to be notified within **7-days**. The Student & Administration Support personnel is to prepare a letter informing them of what the change is, how this change will affect them, and our legal obligations as an RTO. Inform them that they will have to complete their training within 2-years from the date the qualification was removed or deleted from the National Register of VET.

4. **Archive superseded materials** – training and assessment materials such as the TAS, the learning resources and the assessment tools are to be archived once all of the students have completed their training program. Under no circumstances are these files to be deleted.

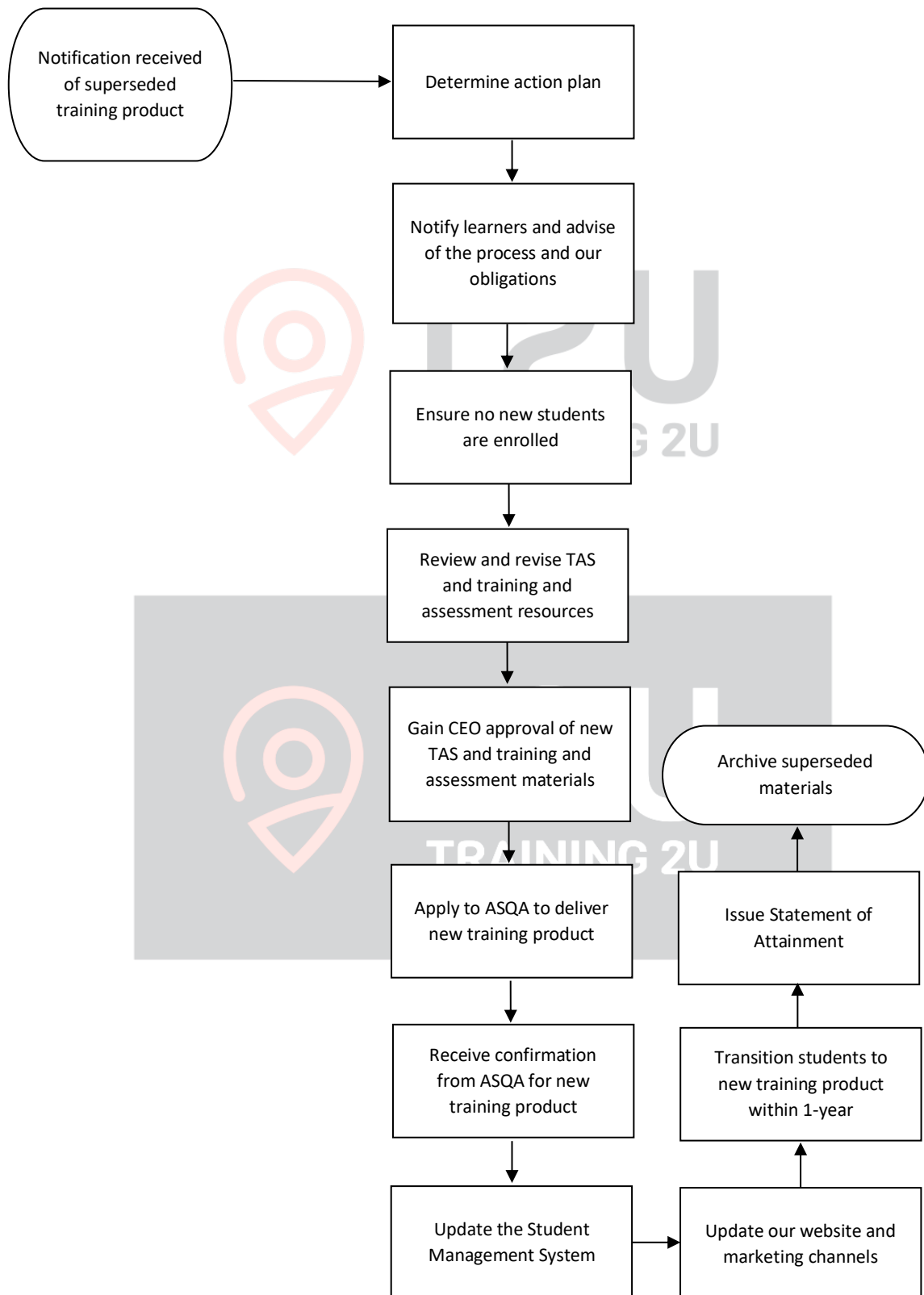
Training Package Transitioning – Removed or Deleted Skill Sets, Units, Courses and Modules Procedure

1. **Determine an action plan** – once it is known that the training product has been removed or deleted, the CEO is to prepare an action plan with the relevant staff members and a time frame detailed – the action plan must include steps the learners to complete their studies and receive their certification before the deadline. This is to be done within **5 business days** of the announcement that a training product on our scope has been removed or deleted.
2. **Ensure no new students are enrolled** – the Student & Administration Support personnel is to enter an 'End date' for the training product on the Student Management System. The 'End date' should be recorded as 1-year after a qualification is removed or deleted from the National Register of VET. This means that if the revised training package's publication date is the 01 July 2024, the 'End date' should be recorded as the 30 June 2025. Our website (including our online enrolment system) and marketing channels should also be updated to advise that we are no longer taking enrolments into the affected training program, explaining that the skill set, unit, course or module has been removed or deleted from the National Register of VET. These tasks are to be completed as soon as possible, no more than **5 business days** from when the qualification is removed or deleted from the National Register of VET.
3. **Notify learners enrolled in the affected training package product** – learners enrolled in the training product which has been superseded are to be notified within **7-days**. The Student & Administration Support personnel is to prepare a letter informing them of what the change is, how this change will affect them, and our legal obligations as an RTO. Inform them that they will have to complete their training within 1-year from the date the training product was removed or deleted from the National Register of VET.
4. **Archive superseded materials** – training and assessment materials such as the TAS, the learning resources and the assessment tools are to be archived once all of the students have completed their training program. Under no circumstances are these files to be deleted.

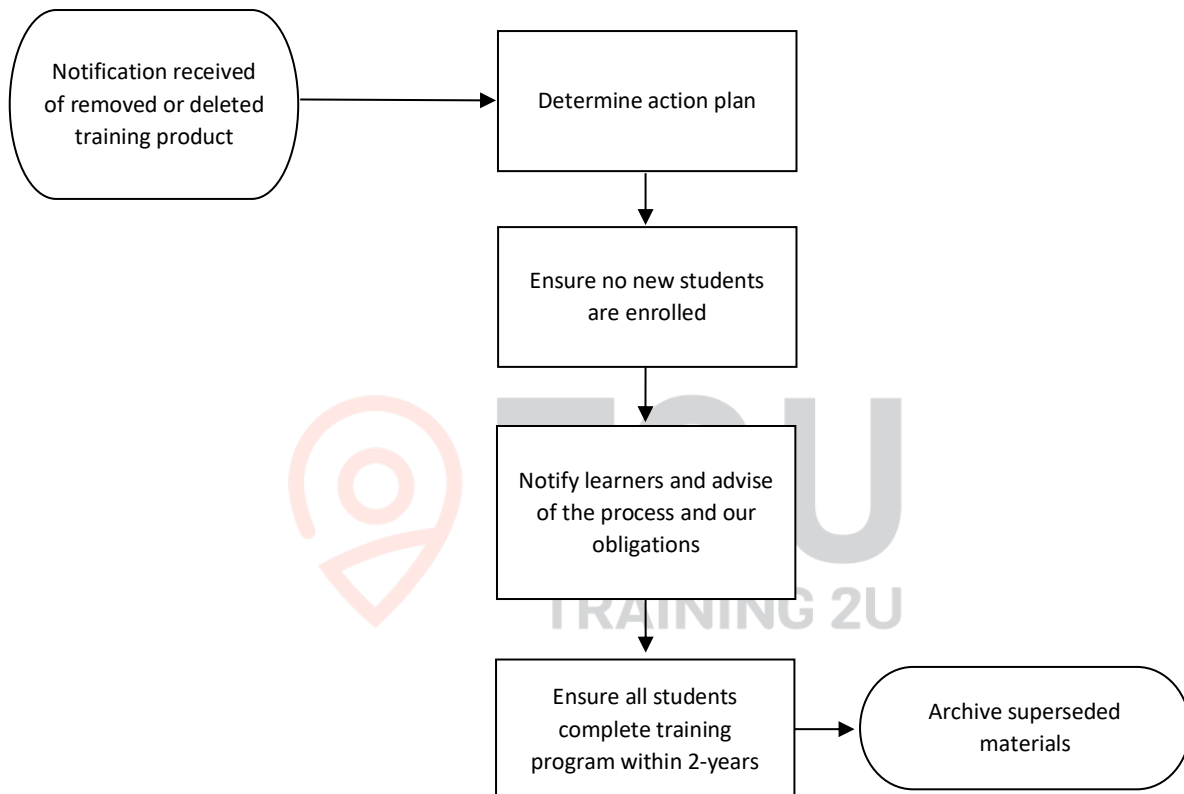
Training Package Transitioning – Equivalent Changes Process Flow-Chart



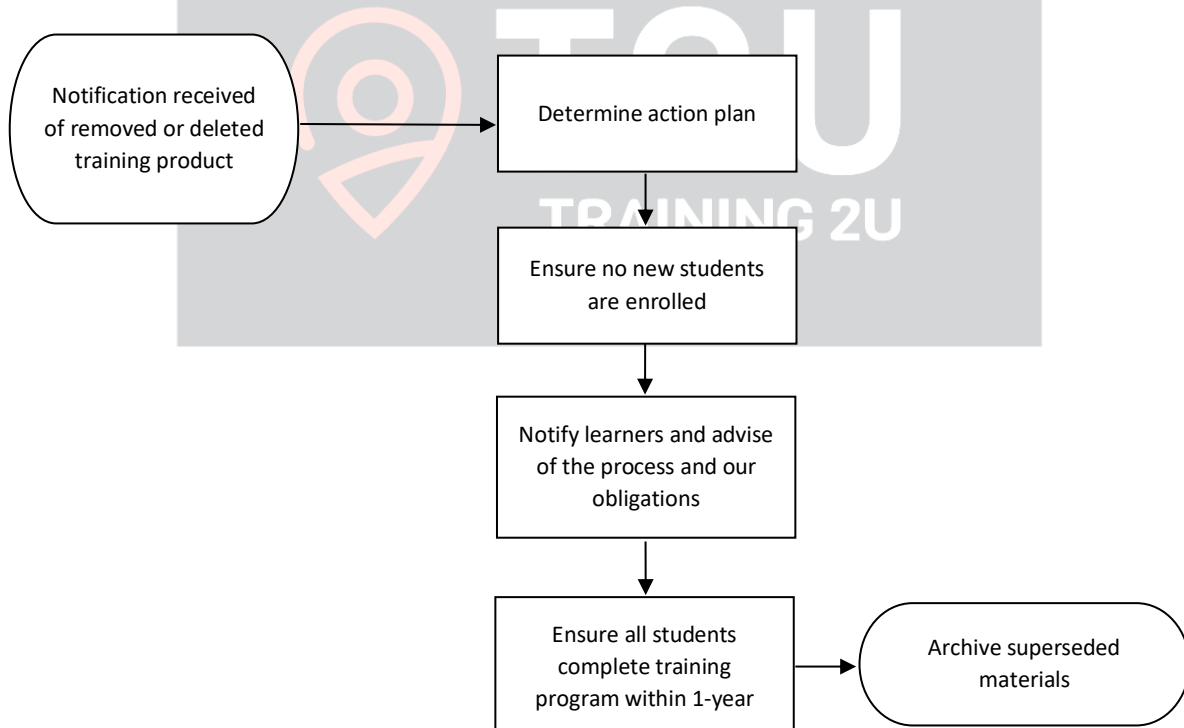
Training Package Transitioning – Not Equivalent Changes Process Flow-Chart



Training Package Transitioning – Removed or Deleted Qualifications Process Flow-Chart



Training Package Transitioning – Removed or Deleted Skill Sets, Units, Courses and Modules Process Flow-Chart



Credit Transfer

In accordance with Clause 3.5 of the Standards for RTOs 2015, it is a requirement of Training 2U to accept and provide credit to learners for units of competency and/or modules, unless licensing or regulatory requirements prevent this.

A key pillar of the national VET system is that nationally endorsed qualifications, skill sets and units of competency are recognised and portable across the country – regardless of where they are issued. If a student provides suitable evidence, that they have successfully completed a nationally recognised unit or module, it is a requirement that we provide credit for the successfully completed unit or module. Suitable evidences include AQF certification documentation issued by any other RTO or AQF authorised issuing organisation, or an authenticated VET transcript issued by the Registrar.

It is important to note that credit transfer is not recognition of prior learning. Recognition of prior learning is a form of assessment and is addressed in our Recognition of Prior Learning policy.

General Credit Transfer Principles

In providing credit to learners, Training 2U will be guided by the following:

- All learners are entitled to apply for a credit transfer in a nationally recognised training program in which they are enrolled into;
- Learners will be encouraged to apply for a credit transfer prior to the commencement of their training program – Training 2U engages with the learner during the enrolment process, asking if they would like to apply for credit;
- There are no fees applicable for a learner to apply for a credit transfer, and we do not receive any funding when a credit transfer is approved;
- Learners may not apply for a credit transfer for all of the units of competency in a training program – they must participate in the training and assessment in at least one unit of competency;
- Only award credit for the equivalent unit or module, as published on the National Register;
- Learners may only apply for a credit transfer for units which are included on our scope of registration;
- If the credit sought for has a different title or code to the unit or module held by the learner, it is necessary to establish their equivalency – this information can be found in the mapping guide published on the National Register of VET;

- Where there is no mapping available for the unit or module which has been deemed as not equivalent, the credit cannot be granted to the learner – in these circumstances, the learner may want to apply for a recognition of prior learning instead;
- Where a unit of competency has been superseded and not equivalent, a credit transfer will not be granted – in these circumstances, the learner may want to apply for an RPL instead; and
- Any AQF certification documentation provided as evidence of attainment of a unit or module will need to be verified.

Responsibilities

The CEO is responsible in developing and ensuring the compliance of this policy in the organisation.

The Student & Administration Support personnel is responsible for:

- Processing the credit transfer applications;
- Liaising with the CEO, Trainer & Assessor, learner as well as any other staff members where necessary to facilitate the processing of the application; and
- Managing all of the data entries and notes in the student's file relating to the learner's credit transfer.

The Trainer & Assessor is responsible for undertaking any mapping of inequivalent units or modules in credit transfers sought for by a learner and complete the Assessment Mapping document (where required).

Acceptable Evidences for a Credit Transfer Application

Learners will need to provide us with evidences which have been certified as true copies of the original by a person who is authorised as a witness for statutory declarations under [Statutory Declarations Regulations 2018 – Schedule 2](#).

The evidences acceptable are:

- AQF certification documentation issued by an RTO or an AQF authorised issuing organisation, such as:
 - Qualification testamur and the Record of Results; or
 - Statement of Attainment.
- Authenticated VET transcripts issued by the Registrar.

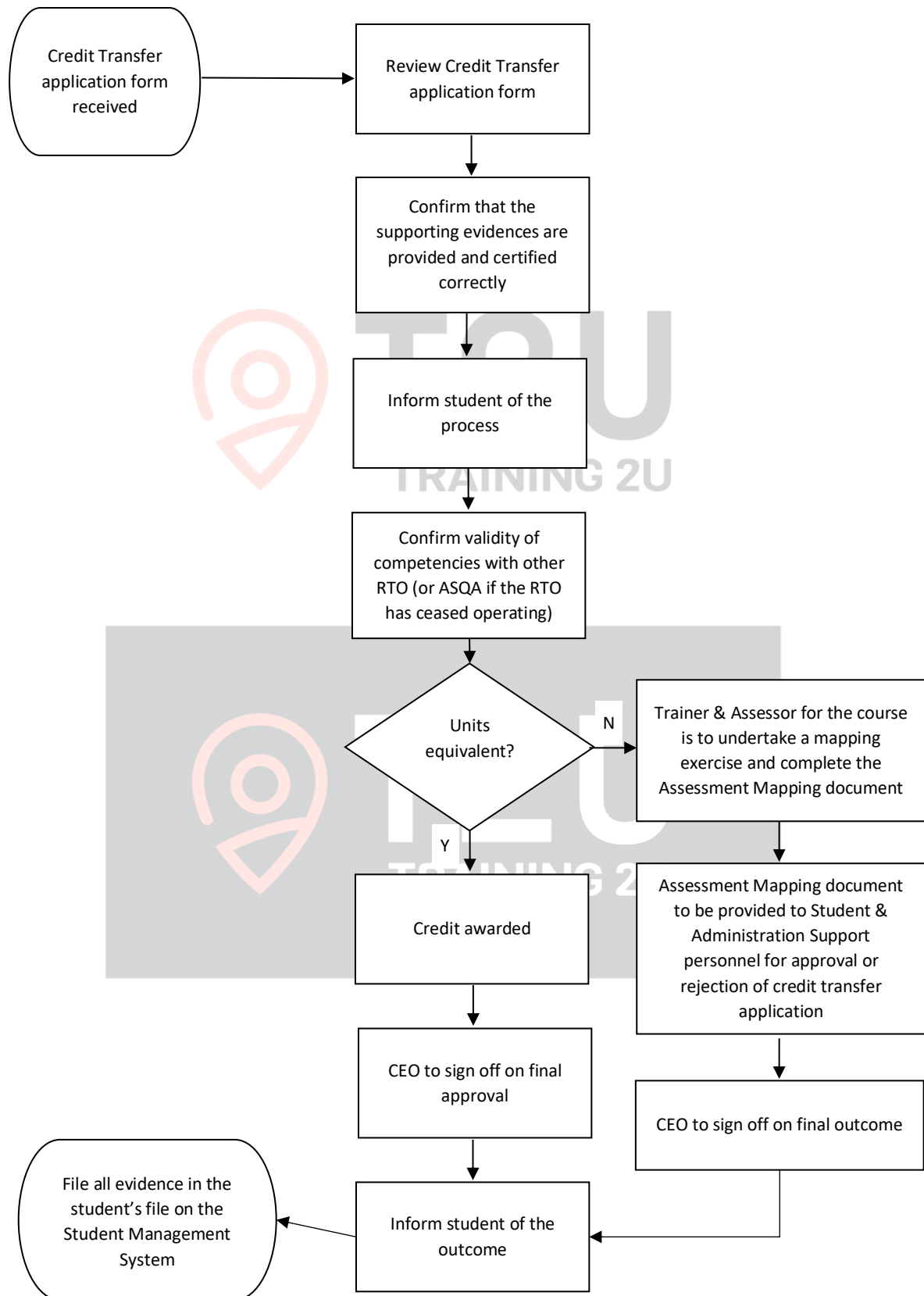
Credit Transfer Procedure

1. **Review Credit Transfer application form** – when the application is submitted by a student, check that the form submitted is completed in its entirety and signed, and the supporting evidences – AQF certification documentation or their authenticated VET transcript have been certified correctly. Advise them of the process and inform them that we will contact the other RTO to confirm the validity of their attained competencies.
2. **Verify supporting evidences provided** – contact the other RTO to confirm the learner has attained the competencies as listed in the Credit Transfer application form, and as reflected in their Transcript, Statement of Attainment or their authenticated VET transcript issued by the Registrar. The verified copies of the documentation are to be scanned into the student's file on RTO Advantage and notes recorded containing the information on when the other RTO was contacted (i.e. time and date), with whom we spoke to at the other RTO, and the information provided (if applicable). Where the other RTO is no longer in operation, we are to contact ASQA as they should hold these records if the RTO had transferred them to ASQA upon closure.
3. **If units or modules are equivalent** – where the unit code and title applied for matches the exact unit(s) in the training program, the Student & Administration Support personnel can approve the credit transfer application and submit it to the CEO for final approval. Once the CEO has given the final approval, the student's file is to be updated and the student sent a letter informing them that the credit has been approved. Ensure that the form and the supporting evidences have been saved to the student's file.
4. **If units or modules are not equivalent** – reach out to the assigned Trainer & Assessor for the relevant training program and have them undertake a mapping process of the inequivalent units to ascertain the eligibility of the learner for a credit transfer, and complete the Assessment Mapping document. Once the Trainer & Assessor has completed the mapping process and the Assessment Mapping document is sent to the Student & Administration

Support personnel. Based on the outcome of the mapping process, the Student & Administration Support personnel is to either approve or decline the credit transfer application. The Student & Administration Support personnel is to approve of the credit transfer if all requirements of the unit are met or decline the application if there are gaps identified. Where there are gaps identified, the student can instead undertake a recognition of prior learning process instead. The form together with the Assessment Mapping document is to be provided to the CEO for review and final approval or rejection. Once the CEO has given the final approval or rejection, the student's file is to be updated and the student sent a letter informing them that the credit has been approved. Ensure that the application form, the supporting evidences and the Assessment Mapping document have been saved to the student's file.



Credit Transfer Process Flow-Chart



Recognition of Prior Learning

In accordance with Clause 1.12 of the Standards for RTOs 2015, Training 2U will provide students with the opportunity to seek recognition of prior learning (RPL) through a systematic process. RPL is a process that assesses a learner's competency which has previously been acquired outside of the formal training and education system, to determine if a learner meets the requirements for a unit of competency. The RPL process removes any duplication of training and assessment and enables students to gain formal qualifications based on the informal training and education they possess.

General Recognition of Prior Learning Assessment Principles

When a student applies to undertake an RPL process, Training 2U will be guided by the following:

- All learners are entitled to apply for RPL in a nationally recognised training program in which they are enrolled into;
- Learners will be encouraged to apply for RPL prior to the commencement of their training program – Training 2U engages with the learner during the enrolment process, asking if they would like to apply for RPL, but they may apply for recognition at any time throughout their enrolment period;
- There are no fees applicable for a learner to apply for RPL;
- Learners may only apply for RPL for units which are included on our scope of registration;
- The principles of assessment – fairness, flexibility, validity and reliability; as well as the rules of evidence – validity, sufficiency, authenticity and currency will be applied to all RPL assessments; and
- We may only award RPL for entire units of competency, not parts of a unit of competency.

Suitable RPL Evidences

As RPL is a type of assessment, evidences are to be collected to prove that the student have the knowledge and skills previously acquired through informal training, work, volunteering, life and other relevant experiences. The evidences collected must prove that the knowledge and skills held by the student is sufficient, valid, authentic and current.

Examples of acceptable evidences include:

- Assessments of current knowledge
- Certificates of informal learning or training undertaken by the candidate in the past 5-years
- Evidence of relevant unpaid or volunteer experience
- Examples of work products
- Job descriptions and/or letter of offer detailing the candidate's job scope
- License documents
- Observation by an assessor in the workplace
- Performance appraisals or reviews
- Photographs or videos of the candidate carrying out their work
- Practical assessments of current skills
- Professional or trade memberships
- Records of workplace training
- Reports from current and previous supervisors or managers
- Resume
- Testimonials from clients
- Verified references from current and previous supervisors or managers
- Work records
- Work samples

Training 2U does not consider only one form of the above list of evidences sufficient, and multiple forms of evidences will be required to support the judgement that the student is indeed competent and meets the requirements of the unit(s) of competency.

Appealing the Outcome of an RPL Assessment

Should a student be dissatisfied with the outcomes of the RPL assessment, they have the right to an appeal. The appeal must be lodged within **20 business days** from the date they were notified of the assessment outcome. The student is to complete an Appeals Form which can be accessed on our website. Training 2U will endeavour to process and finalise the appeal within **20 business days** of receiving the appeal and provide a written response to the appellant within **5 business days** of the finalisation of the appeal. Should it take us longer to review the appeal, Training 2U will provide regular updates to inform the appellant of the progress. This should be done at least once every fortnight. Refer to our Appeals policy for more information on the Appeals process.

RPL Assessment Procedure

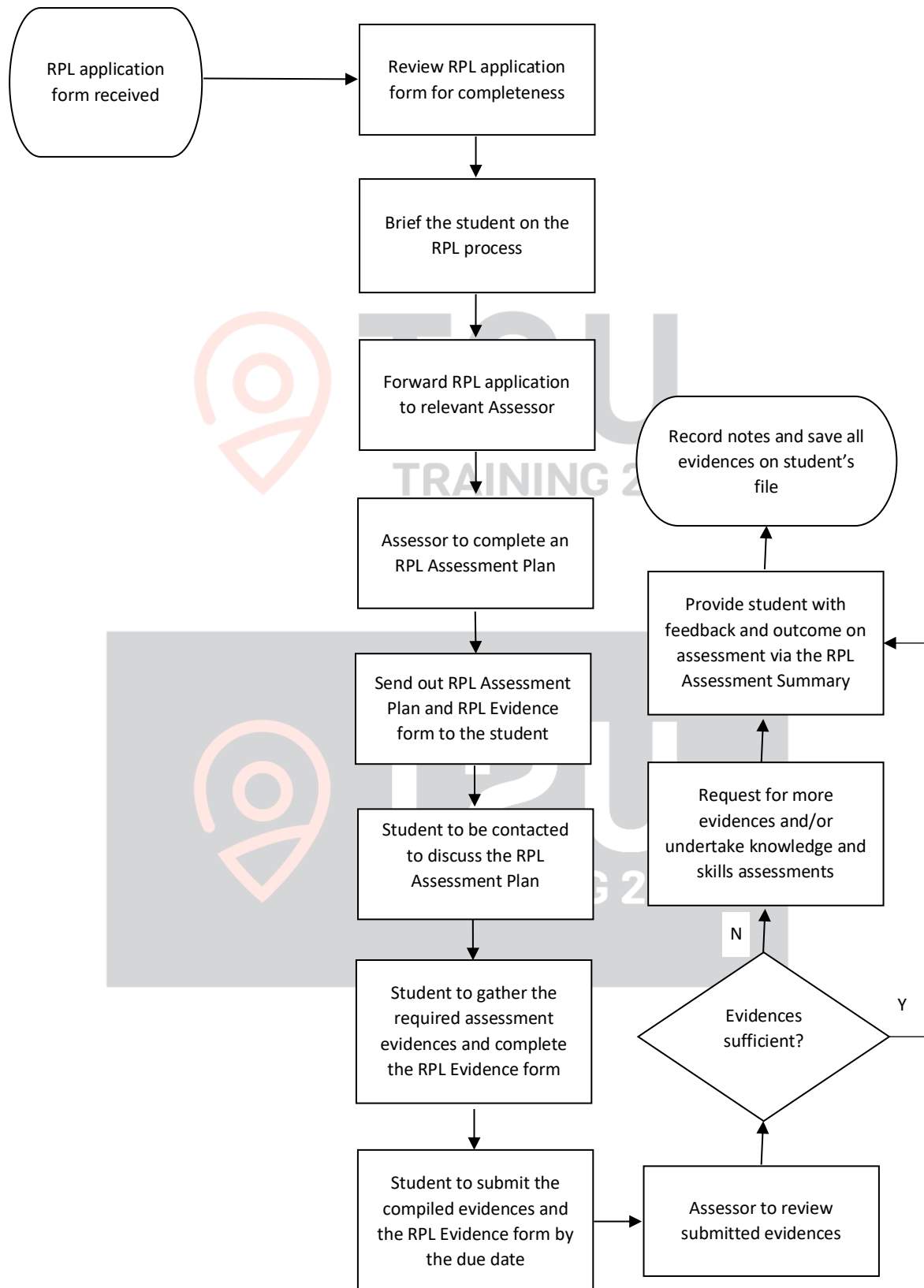
1. **Application for RPL received** – when the application is received by the student, check that the *Recognition of Prior Learning Application Form* submitted is completed in its entirety.
2. **Brief the student on the RPL process** – advise the student of the RPL process and inform them that the Assessor will review their application and contact them within **15 business days** to discuss an assessment plan. The Student & Administration Support personnel is to then forward the student's RPL application form to the relevant Assessor.
3. **Complete an RPL Assessment Plan** – once the Assessor has reviewed the student's RPL application, they are to prepare an assessment plan for the student. The Assessor may be required to contact the student for further information to assist them in preparing the assessment plan. Once the Assessor has completed the student's RPL Assessment Plan, they are to send out the RPL Assessment Plan together with the RPL Evidence form to the student. The student is then to be contacted so that the Assessor can go through the plan with them, explaining the assessment process, the units of competency included in the RPL assessment, and the types of evidences that would be acceptable. This must be done within **15 business days** of receipt of the student's application for RPL.
4. **Student to compile the evidences and complete the RPL Evidence Form** – the student is to compile the evidences as outlined in the RPL Assessment Plan and populate the relevant fields in the RPL Evidence form. The RPL Evidence form enables students to provide a clear record of the evidences they are able to provide against each unit of competency. Students are then to submit the form together with the evidences to the Assessor by the due date. The due date should be a reasonable period, depending on the amount of evidences the student is so gather. The due date should be set in cooperation with the student.
5. **Review assessment evidences submitted** – the Assessor is then to review the evidences and decide on the need for additional evidence where there are gaps. The Assessor may require the student to answer knowledge questions verbally, or in writing, or undertake practical assessment tasks.
6. **Provide feedback** – Feedback is to be provided at various stages of the evidence collection and RPL assessment process on the evidences provided and the knowledge and skills assessments undertaken. Once all of the evidences have been collected, including any knowledge and skills assessments, the Assessor is to provide the student with written feedback regarding the assessment outcome by completing the RPL Assessment Summary. The Assessor should also advise the student of Training 2U's Appeals policy should the student

wish to appeal their assessment outcome. The Assessor should direct the student to the Student Handbook for more information should it be required.

7. **Record information on student's file** – when all assessment and appeal processes have concluded, the assessment outcome is to be recorded on the student's file. Ensure that all evidences and assessment tools, as well as communication on all matters related to the RPL are saved to the student's file. Where required, the student is to be issued with their AQF certification documents.



RPL Assessment Process Flow-Chart



Safe Training Environment

Training 2U is committed to providing a safe learning and working environment for our students, staff members and visitors alike. We endeavour to do so by following a systematic approach to the planning and the management of work health and safety matters within our premises and our online learning platform which enables our students and staff members to interact with one other.

General Safe Training Environment Principles

Training 2U will endeavour to:

- Implement best practices in our approach to work health and safety matters to keep our students, staff members and visitors safe at all times and out of harm's way;
- Encourage students, staff members and visitors to report any hazards they have witnessed or observed;
- Identify, assess, control or eliminate hazards and risks in a systematic manner;
- Monitor, review and evaluate measures implemented to control hazards and risks regularly; and
- Provide adequate training and/or instructions to our students, staff members and visitors in work health and safety matters in order for them to:
 - Familiarise themselves with our emergency response and evacuation plans
 - Be aware of the location of the First Aid facilities
 - Understand that they are responsible for their own actions
 - Be aware to not undertake activities which may cause injury to themselves or others
 - Not smoke or be inebriated when on any training and/or assessment premises
 - Promptly report any potential hazards, risks, accidents and near misses
 - Know when and where to seek assistance, such as cordoning off a spill on tiles

Responsibilities

The CEO, in cooperation with the Student & Administration Support personnel is responsible in ensuring:

- That Training 2U comply with all relevant work health and safety legislation, standards and regulations;
- The practices, policies and procedures, and physical premises contribute to keeping our students, staff members and visitors safe during their time with us;
- Adequate resources are available and provided in keeping our students, staff members and visitors safe;
- Adequate avenues and opportunities for students, staff members and visitors are provided to contribute towards improving our work health and safety practices, policies and procedures, such as forming a Work Health and Safety (WHS) committee; and
- Practices are implemented to enable the monitoring and reporting of Training 2U's work health and safety records and performance.

The WHS committee is responsible for:

- The development, implementation and monitoring of work health and safety practices, policies and procedures;
- Encouraging others to stay safe, keep others safe, and set an example in all work health and safety matters;
- Ensuring that activities are undertaken regularly to identify risks and hazards, as well as assess and propose measures to control or eliminate them;
- Reviewing feedback on work health and safety practices, policies and procedures; and
- Ensuring that all new students, staff members and visitors are provided with suitable training and information to carry out their duties safely.

Staff members and students are expected to:

- Comply with all relevant work health and safety practices, policies and procedures;
- Follow and implement the knowledge gained from the work health and safety training provided at the commencement of their work or studies with Training 2U;
- Obey any reasonable instructions and use any specialty equipment or tools to keep them safe;
- Report any incidents or identified hazards; provide feedback on Training 2U's work health and safety practices, policies and procedures for continuous improvement purposes; and

- Assist in the identification and assessment of hazards and risks, as well as the implementation of any control or elimination measures. Staff members and students are also expected to do their best to keep others safe, both physically and mentally and avoid any behaviours or actions that can risk the health and safety others, such as not being affected by alcohol or illicit drugs whilst at work or study.

Cyber safety

- Online learning platform and infrastructure should be safe and secure and systems in place to weed out any cyberbullying occurring between learners.
- Online forums should be monitored on a weekly basis to ensure learners are not displaying any bullying, discriminatory or harassing behaviours.
- Encourage learners to report any bullying, discriminatory or harassing behaviours occurring on other platforms or sites such as social media platforms.

Fire safety

- Fire wardens are provided with training and refresher training at least once a year on their roles and responsibilities, fire safety procedures, evacuation plans and emergency protocols, as well as knowledge and skills on the use of fire safety devices.
- No lighters, matches or flame starters are permitted on premises without the CEO's approval.
- Live flames are strictly prohibited at all times on premises, as well as at any location used for training and assessment.
- Emergency evacuation maps, plans and procedures are to be clearly displayed and strategically positioned in every room and every walkway on our premises. Where training is undertaken offsite at another location, such as a client's location, the Trainer & Assessor will be responsible in communicating the emergency evacuation plans and procedures to the learners and others present in the training session.
- Fire drills will be conducted at least once a year to familiarise students and staff members with the evacuation plans, routes and assembly points.

Electrical safety

- Electrical equipment that is not working, or that has experienced a short circuit should be reported to the Student & Administration Support personnel as soon as practicable.
- No liquids in open containers or canisters are to be present around electrical equipment, sockets, points, plugs, wires or cabling.
- No electrical cables or extension cables are to cross any walkways, pathways or open spaces. Should extension cables be required, kindly consult with the Student & Administration Support personnel on how to safely secure them to reduce any risks present.
- Electrical work should only be performed by licensed electricians. No students or staff member who are not a licensed electrician is to undertake any task related to fixing electrical equipment, sockets, points, plugs, wires or cabling.

Work and learning station safety

- Students and staff members alike are to observe ergonomic practices to help reduce the strain on their eyes, necks, backs and wrists when working at their workstations, particularly for long periods of time.
- Students and staff members should endeavour to get up from their workstations and stretch every hour.
- Feet should be comfortably placed on the floor, or footrest and arms are to be positioned at a 90-degree angle.
- Work and learning stations are to be kept neat and tidy at all times.
- Rubbish should be disposed of in the respective bins.
- Desks, tables, machinery and equipment are not to be sat on.
- Desks, tables, chairs, machinery and equipment should not be used to climb or stand on.

Personal safety

- Students, staff members and visitors are expected to take reasonable precautionary measures to ensure their own safety, as well as the safety of others.
- Always be aware of the surroundings.
- Stay home and rest if feeling unwell. Particularly if experiencing symptoms of a communicable or contagious disease.
- If something or a situation is triggering to you, bring it to the attention of your Trainer or our Student & Administration Support personnel so that we are aware of it and help you with it.
- Students, staff members and visitors are not encouraged to lift any heavy equipment, unless they do so voluntarily and take all responsibility for any injury sustained.

- Any person(s) with physical injuries, such as back or wrist injuries are strictly advised not to lift or move any equipment or furniture. Assistance should be requested for from the Student & Administration Support personnel.
- It is strongly encouraged not to discuss or engage in conversations that are sensitive, or can be viewed as sensitive by others, such as racial, religious, gender orientation, and political matters.
- It is strongly advised not to share any personal information such as your bank or credit card numbers, your address, and your personal identification information such as your driver's licence number or your employee ID details.
- Report any violent, attacking, bullying or unacceptable behaviours to the Student & Administration Support personnel immediately.
- Any and all accidents and hazards are to be reported to the Student & Administration Support personnel immediately. This includes:
 - Physical accidents and hazards
 - Flammable accidents and hazards
 - Chemical accidents and hazards
 - Biological accidents and hazards
 - Equipment accidents and hazards
 - Electrical accidents and hazards
 - Psychological accidents and hazards

Hazard Identification, Assessment, Control and Monitoring Procedure

The following procedure is to be followed in identifying, assessing, controlling and monitoring of workplace safety hazards:

1. **Hazard identification** – the Student & Administration Support personnel is to conduct a weekly check of the premises for any hazards and completes the Hazard Identification Checklist. Students and staff members are also encouraged to notify the Student & Administration Support personnel of any hazards identified.
2. **Risk analysis and classification** – a risk analysis is to be undertaken in order for us to gain a better understanding of the risk. Risk analysis provides an input to risk evaluation and to decisions on the likelihood of an event occurring, whether risks need to be treated, and on the most appropriate risk treatment strategies and methods. Risk analysis can also provide an input into making decisions where choices must be made, and the options involve different types and levels of risk.

After a risk analysis has been completed, they are then classified as minimal, low, medium, high, or severe. This form of risk rating is used to determine which risk takes priority over another in terms of deciding what to do and when. It is the simplest and most straight forward form of risk rating which is why it is our preferred methodology.

3. **Risk evaluation** – once the risk has been analysed, a risk evaluation needs to be undertaken to assist in making decisions. Risk evaluation involves comparing the level of risk found during the analysis process with the risk criteria established in the first step of the risk management process. Once the comparison is completed, the need for treatment can be considered. Decisions should take into account the wider context of the risk and include consideration of the tolerance of the risks born by all stakeholders, not just Training 2U. In some circumstances, the risk evaluation can lead to a decision to undertake further analysis. The risk evaluation can also lead to a decision not to treat the risk in any way other than maintaining the existing controls. This decision will be influenced by the organisation's risk attitude and the risk criteria that have been established.
4. **Risk treatment** – involves selecting one or more options for controlling, reducing, or eliminating the risks, and then implementing the chosen treatment. This step also enables the Training 2U to identify not just the risk treatment, but also opportunities for improvement.

Risk treatment involves a cyclical process of:

- Assessing a risk treatment;
- Deciding whether residual risk levels are tolerable;

- If not tolerable, generating a new risk treatment;
- Assessing the effectiveness of that treatment and whether there are opportunities for improvement; and
- Implementing the treatment.

Risk treatment options are not necessarily mutually exclusive or appropriate in all circumstances. The options can include:

- Avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk;
- Taking or increasing the risk in order to pursue an opportunity;
- Removing the risk source;
- Changing the likelihood;
- Changing the consequences;
- Sharing the risk with another party or parties (including contracts and risk financing); and
- Retaining the risk by informed decision.

Selecting the most appropriate risk treatment option involves balancing the costs and efforts of implementation against the benefits derived, with regard to legal, regulatory, and other requirements such as social responsibility and the protection of the natural environment. Decisions should also take into account risks which can warrant risk treatment that is not justifiable on economic grounds, for example, severe but rare risks.

Values and perceptions of stakeholders should also be considered when selecting risk treatment options. Where risk treatment options can impact on risk elsewhere in the organisation or with stakeholders, these should be involved in the decision. Though equally effective, some risk treatments can be more acceptable to some stakeholders than to others.

The risk treatment plan should clearly identify the priority order in which individual risk treatments should be implemented, and it should include:

- The reasons for selection of treatment options, including expected benefits;
- Those who are accountable and responsible for approving the plan;
- Proposed actions and resource requirements including contingencies; and
- Any constraints or limitations that may be present.

Treatment plans should be integrated with the management processes of the organisation and discussed with appropriate stakeholders. Decision makers and other stakeholders should

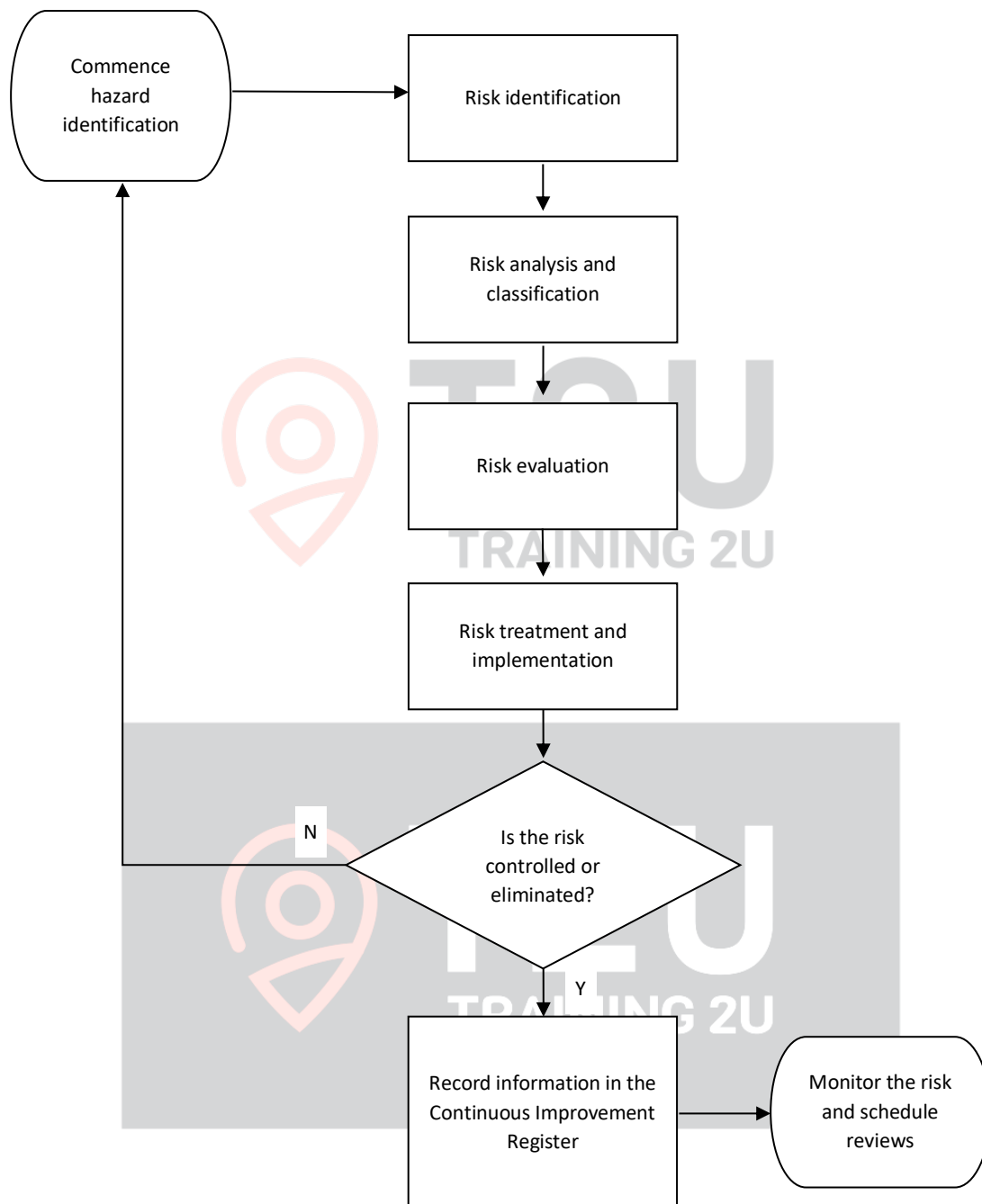
be aware of the nature and extent of the residual risk after risk treatment. The residual risk should be documented and subjected to monitoring, review and further treatment.

The CEO will be required to sign off on all of the risk treatments prior to its implementation.

5. **Record information in the Continuous Improvement Register** – it is important to enter and update (where appropriate) information into the Continuous Improvement Register to ensure we maintain compliant and current records relating to any and all hazards.
6. **Monitor and review** – it is necessary to monitor and review the outcomes achieved from the implementation of risk treatments and should be a planned part of the risk management process and involve regular checking or surveillance. Results of monitoring and review should be recorded and internally and externally reported as appropriate.



Hazard Identification, Assessment, Control and Monitoring Process Flow-Chart



Hazard Identification Checklist

Date of Walk-Through	
Conducted by	
Signature	

1. Manual Tasks

Item	Staff Initial
Are all hazardous manual tasks risks managed as far as reasonably practicable	
Mechanical aids and other assistance are used where necessary	
Tools and equipment are maintained on a regular basis as recommended by the manufacturer and records are kept	
Wheeled equipment is fitted with large wheels or a device such as a tug	
Rest breaks are provided	

2. Storage

Item	Staff Initial
Adequate storage for resources and materials is provided close to where used	
Storage units such as racks, shelves and cabinets are suitably designed to take the weight of stored items, are stable, and are kept in good condition	
Commonly used and heavy items are stored between mid-thigh and shoulder height	
Storage above shoulder height or below knee height is only used for light or infrequently used items	

3. Lighting and general electrical

Item	Staff Initial
Lighting levels appropriate for work tasks, location of work, times when work is performed and for access	
Glare is minimised	
Light fittings are clean and in good condition	
Emergency lighting is operable	
Portable equipment and leads tested and tagged or connected to Safety Switch (as required)	
No broken plugs, sockets or switches	
No frayed or damaged leads	
Portable electronic goods are in good condition	
No leads or general cabling loose on the floor where work may damage them	

4. Workstations

Item	Staff Initial
Workstation furniture and equipment is able to be adjusted to suit the worker	
Lighting is appropriate and glare is minimised	
Area around photocopiers are well ventilated	
Noise is not intrusive to others	
Footrests are provided (where required)	

5. First aid

Item	Staff Initial
First Aid kit fully stocked	
Items in kit are not expired	
Kit is located in the correct location and is easily accessible	
Emergency phone numbers displayed	
Workers have access to trained first aid personnel at all times	

6. Emotional and mental health

Item	Staff Initial
Chat with students and staff members to check in and see how they are doing	
Processes for preventing workplace harassment and/or bullying are in place	
Risk assessment for occupational violence completed (where necessary)	

Counselling and support services available or affected workers	
Worker not working alone or in isolation (where possible)	
Information is published or readily available to inform students of avenues for help	

7. Access / Walkways / Floors

Item	Staff Initial
Designated access ways are clearly marked, adequately lit and are free from obstructions and contaminants (e.g. no electrical leads crossing walkways, items not stored in access ways or in stairwells, oil/grease removed from floors)	
Unobstructed vision at intersections	
Stairs are in good repair, non-slip, fitted with handrails, have adequate foot space and even step dimensions	
Floor surfaces are well maintained, smooth, non-slip and uncluttered	
Carpets are not frayed	

8. Housekeeping

Item	Staff Initial
Work areas are cleaned and tidied following use	
Bins located at suitable points and are emptied regularly	
Suitable cleaning equipment available and provided	
No spills are detected	

Spill management procedures in place and suitable cleaning equipment / materials are provided	
Regular cleaning systems in place including high pressure for build-up areas	
Furniture and equipment are in good working order	

9. Amenities

Item	Staff Initial
Toilets are clean and no spills on the floor	
Drinking water available and accessible	
Adequate lunch facilities are provided and it is clean and neat	

10. Emergency plans and signs

Item	Staff Initial
Emergency evacuation plans are clearly displayed	
Fire wardens and floor wardens appointed for all parts of the workplace and their names displayed in their respective areas	
Fire extinguishers are suitable for all flammable substances and are regularly serviced and tagged	
Fire exits clearly marked and exit doors are easily opened and clear of obstructions	
Fire alarm system functioning correctly and tested regularly	

11. Security

Item	Staff Initial
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Security and safety measures are in place to keep all safe	
There is adequate lighting within and around the building	



Work Placement

Work placement is any structured, assessable workplace learning that prepares learners for the workforce. Work placements are a great way for learners to further develop their skills, strengthen their knowledge base, help learners better understand the theory they have learnt by putting it into practice, give learners hands-on experience in the workplace, and build on their work experience. In some training programs, work placement is a mandatory component of the course.

It is important to note that work placement is different from work experience. In a work placement, a learner is given the opportunity to undertake practical tasks to demonstrate skills related to their program under the supervision of a workplace supervisor.

General Work Placement Principles

In accordance with the Standards for RTOs 2015, Training 2U will be guided by the following:

- Inform the learners clearly about any work placement requirements prior to their enrolment;
- Secure the most appropriate host employers for our learners;
- Vet the host employers prior to entering into any written agreements for work placement purposes; and
- Ensure that the venue is safe for the learners prior to the commencement of each work placement.

Responsibilities

The CEO is responsible for:

- Approving and vetting any host employers; and
- Overseeing any arrangements put in place for the learners.

The Trainer and Assessor is responsible for:

- Facilitating the work placement arrangements for the learners;
- Reviewing the workplace to ensure it is suitable for the learner and negotiate mutually agreeable placement arrangements; and
- Monitoring the host employers and their compliance to our agreement.

Work Placement Procedure

1. **Source for host employers** – the Trainer and Assessor for the relevant course is to prepare a requirements checklist and source for appropriate host employers. The list then to be prepared and narrowed down based on their suitability, reputation, supervision capabilities, availability of appropriate resources and equipment, and OHS requirements. The list is then to be provided to the CEO.
2. **CEO approval** – the CEO is to vet the list of host employers, which includes a site visit to ensure the workplace is appropriate for the learner's placement requirements. The CEO should complete the *Work Placement Site Inspection Checklist* during the site visit. If all is satisfactory, the terms of the work placement are then to be negotiated with the host employers.
3. **Prepare written agreement** – a written agreement is then to be prepared and entered into with the host employer prior to the advertisement and marketing of the training program. It is important to refer to the 'Third-party Arrangements' policy in preparing the written agreement with the host employer.
4. **Incorporation of work placement in the Training and Assessment Strategy** – the Trainer and Assessor is to incorporate all of the work placement information into the Training and Assessment Strategy document to clearly detail when the work placement is to occur, what is involved – including the process, the responsibilities of the various parties, as well as other requirements of the work placement as per the unit(s) of competency.
5. **Informing learners of the work placement requirement** – prior to a learner's enrolment, it is important that information regarding the work placement requirement of the course is informed to the learner in the Course Brochure, as well as on our website. The information must include:
 - The unit(s) applicable
 - Duration – each shift and/or total work placement hours
 - Requirements of the work placement

Once the learner commences the training program, the learner is to be informed once again of the work placement requirements during their course induction.

6. **Plan and assign work placement** – once the training program has commenced, the Trainer and Assessor is to commence the planning and assigning of work placements for the learners. The learner should be matched to the most suitable host employer for them. We should factor in the proximity of the learner's home to the host employer's place of business, any cultural matters to be taken into consideration, and any other relevant factors that can assist in matching the learner with a suitable host employer.
7. **Work Placement Supervisor appointed** – the host employer should also be contacted 60-days prior to the commencement of the work placement to confirm their availability for our learners to undertake their work placement with them. The Work Placement Supervisor should also be appointed.
8. **Place learners** – the learners are to be placed with a suitable host employer and an agreement entered into – between the learner, the host employer and with Training 2U. The learner is also to be provided with all the work placement documents (such as the information pack and a signed copy of the agreement). The notes regarding the work placement is to be entered into the student's file, and a copy of the agreement scanned and saved to their file.
9. **Facilitate work placement** – on the first day of the work placement, the host employer is to conduct induction for the learners to enable the learners to become familiar with the workplace and meet others in the workplace. The *Work Placement Induction Checklist* is to be completed by the host employer and submitted to the Trainer and Assessor. The Trainer and Assessor is to then record notes and save the copy of the checklist to the student's file. The learners' attendance will be recorded for each shift by the host employer and the learner in the logbook. This will record all times and dates the learner completes their work placement with the host employer and will be signed off by both the learner and the host employer. This logbook will be scanned and saved in the student's file as evidence.
10. **Support and guidance** – the learner will be provided with support and guidance from the host employer in the completion of the required workplace tasks. These tasks will ensure the learner further develops their skills and knowledge for the units as specified in the *Work Placement Training Agreement*. Training 2U will also support the learner throughout the duration of their work placement activity where need be.
11. **Assess learner's work placement** – the Trainer and Assessor is to attend the workplace at an agreed time(s) to observe the learner's work – evidence of the learner's competency against all relevant unit elements, performance criteria, range statements, performance and knowledge evidence, and knowledge under assessment conditions in accordance with the

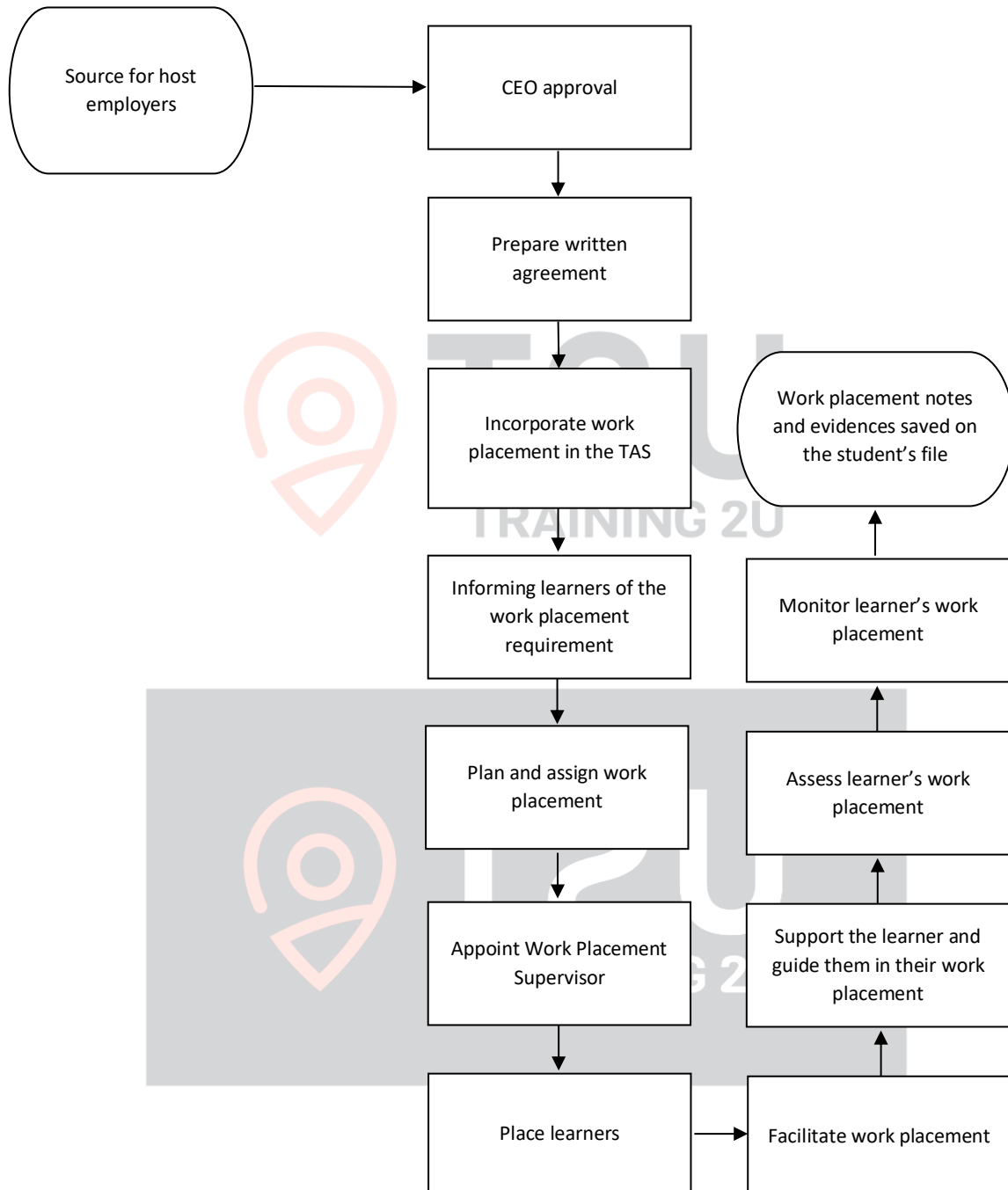
requirements of the unit(s) of competency. The Trainer and Assessor is to record this observation and make a competency judgement in accordance with the rules of evidence.

12. Monitor work placement – we will monitor the learner’s work placement progress through regular contact with the learner in normal class time where feedback on their work placements will be sought, and site visits to conduct assessments in the workplace where the relevant Trainer and Assessor will ensure the workplace is providing adequate support and guidance to the learner, as well as ensuring that the host employer’s venue remains OHS compliant.

13. Information saved to student’s file – all information, documents and assessment evidences relating to the learner’s work placement are to be saved on the student’s file.



Work Placement Process Flow-Chart



Academic Integrity

Academic integrity is the commitment to and demonstration of honest and moral behaviour in an academic setting. This is most relevant at a vocational level as it relates to providing credit to other people when using their ideas. It requires the acknowledgement of other individual's contributions. Failure to provide such acknowledgement is considered plagiarism.

Training 2U is committed in minimising instances of student plagiarism, cheating and collusion and aims to provide a learning environment that fosters the qualities of independent learning and academic integrity.

General Academic Integrity Principles

One of the essential functions of Training 2U is to develop our learner's ability to apply critical reasoning and knowledge to assessment activities through independent thought and to make decisions that reflect the learner's considerations of the task or workplace requirement.

This policy seeks to encourage ethical conduct and set high standards of academic behaviour. Learners have a responsibility to maintain the highest standards of academic integrity in their work, and not cheat or plagiarise in assessment.

Training 2U will treat any and all forms of plagiarism, cheating and collusion seriously and consequences may apply where learners have been caught or found to be plagiarising, cheating or colluding.

Training 2U will inform learners of the importance of academic integrity and the impact plagiarism, cheating and colluding has on not just the learners, but their classmates, the RTO and the wider vocational education reputation.

We will educate learners that their assessment submissions must consist of original effort. It is insufficient to simply copy work from other sources and submit it, even if those sources are appropriately acknowledged.

Responsibilities

The CEO is responsible in overseeing and ensuring the policy is implemented appropriately.

The Trainers and Assessors are responsible for:

- Informing all learners of expectations relating to assessment;
- Informing learners of the correct referencing techniques and provide clear examples of what is acceptable;
- Explain to learners what constitutes plagiarism;
- Set realistic assessment activities and vary assignments and questions;
- Assist learners in understanding and applying correct referencing techniques;
- Set appropriate conditions for group activities;
- Make clear the distinction between group work and individual work; and
- Cultivate a mutual respect for original work.

Plagiarism

It is important to know what plagiarism is, what form it takes and how plagiarism happens. Many students who plagiarise do so unintentionally, often because they do not have the academic skills to avoid over-reliance on the work of others or because they do not know what constitutes plagiarism.

Plagiarism is the act of using someone else's work or ideas and passing them off as one's own work. It is a type of intellectual theft and can take on many forms:

- Collusion – when learners submit the work of someone else and call it one's own, with full knowledge and consent of the other person who has supplied the work, in order to give a false representation of one's effort or performance on the assessment item. The person supplying the work can also be deemed to have participated in collusion. Unintentional collusion can arise from study groups and from group-based assessment where students are unsure about the boundaries between what is considered acceptable group work and collusion.
- Ghost writing –when an assessment is purposely written by another person and represented by the student as his or her own work.
- Incorrect referencing – when material is copied word for word and acknowledged as paraphrased but should have been in quotation marks, or material paraphrased without appropriate acknowledgement of its source.
- Purloining – when material is copied from another learner's.
- Re-submission of material – when the material has been submitted by another student.

Plagiarism Detected

Where plagiarism has been detected, Training 2U will consider the extent of the plagiarism, noting that the more extensive the plagiarism, the more likely it was intentional, and continuing learners are more likely to understand plagiarism and its consequences than a learner who is new to formal vocational education.

Where it has been determined that the plagiarism or colluding has arisen from a lack of understanding, the learner will be issued with a formal warning and requested to revise and re-submit the work for assessment. The Trainer and Assessor is also to sit down with the learner to help them understand our Academic Integrity policy by explaining it to them clearly and clarifying any doubts they may have. Where a learner continues to commit plagiarism or collusion, they will be removed from the training program.

Where it has been determined that plagiarism, cheating or colluding was intentional, their work is not to be accepted, and the learner will be issued with an alternative assessment to complete. The learner will be issued with a formal warning in writing detailing the seriousness of the incident and the consequences if the learner is found to plagiarise, cheat or collude again – they will be removed from the training program.

We will also review the Student Handbook and the assessment tools to determine if adequate information and instructions had been provided and this will form part of our continuous improvement process.

Referencing

Referencing enables learners to acknowledge the contribution of and provide credit to others in their work. This shows that the learners respect the intellectual property rights of others. Failure to reference appropriately is considered unethical academic behaviour and will result in a learner's work not being accepted. Careless or inadequate referencing is considered as poor practice. Where careless referencing is identified, the learner will be required to correct the error and re-submit their assessment.

Printed books are not the only sources that require acknowledgement. Reference will need to be made when using words or ideas from:

- Books and journal articles
- Organisation reports

- Pamphlets or brochures
- Films, documentaries, television programs or advertisements
- Websites, letters, e-mails, online discussion forums

Where the knowledge and material has become part of the public domain, and which can be drawn on without specific acknowledgement such as common facts of history, common sense information, accepted folklore and aphorisms do not require any referencing. For example, Singapore became an independent nation in 1965.

At Training 2U, we encourage our learners to apply the Harvard Referencing System in-text citation and reference list. This approach requires three pieces of information about a source:

- The name of the author(s)
- The year of publication
- The page number

Example:

In-text Citation	Reference List
<p>According to Salzmann, Stanlaw and Adachi (2012), unwritten languages are primitive.</p> <p>OR</p> <p>Salzmann, Stanlaw and Adachi (2012, p.4) further explore the established misconception that unwritten languages are primitive.</p> <p>OR</p> <p>A common misconception is that unwritten languages are primitive (Salzmann, Stanlaw & Adachi 2012, p. 4).</p>	<p>Salzmann, Z, Stanlaw, J & Adachi, N 2012, <i>Language, Culture and Society: An Introduction to Linguistic Anthropology</i>, Westview Press, Boulder, CO.</p>

Here are some quick guides created by other institutions for reference:

- [Monash University's Harvard Referencing Guide](#)
- [The University of Sydney's Your guide to Harvard style referencing](#)
- [Deakin University's Harvard – Guide to referencing](#)

Academic Integrity Procedure

1. **Educate learners on their responsibilities** – to submit only work that is their own or that properly acknowledges the ideas or works of others, avoid lending original work to others for any reason, understand assessment conditions and seek out clarification if in doubt, understand how to correctly reference and the consequences of inappropriate referencing.
2. **Where a learner is suspected of plagiarising, cheating or colluding** – in the case of suspected plagiarism, the Trainer and Assessor will report the incident to the CEO. The CEO, in consultation with the Trainer and Assessor will determine if the plagiarism resulted from poor understanding of our Academic Integrity policy, or it was intentional. The CEO will speak to the learner and consider the extent of the plagiarism (noting that the more extensive the plagiarism, the more likely it was intentional), review the Student Handbook and assessment tools provided to learners to determine if adequate information and instructions had been provided, identify if the learner has previously been warned of plagiarism, and determine whether the learner has completed any vocational or higher education learning in the past.
3. **Where it has been determined that plagiarism or colluding has arisen from lack of understanding** – the learner will be requested to revise the work and re-submit for the assessment and the learner will be issued with a formal warning in writing detailing the seriousness of the incident and the consequences if the learner is found to plagiarise again – they will be removed from the training program. The Trainer and Assessor is also to sit down with the learner and help them understand our Academic Integrity policy by explaining it to them clearly and clarifying any doubts they may have.
4. **Where it has been determined that plagiarism, cheating or colluding was intentional** – if after consideration and investigation, the learner is found to have plagiarised, cheated or colluded intentionally, their work is not to be accepted and the learner will be issued with an alternative assessment to complete. The learner will be issued with a formal warning in writing detailing the seriousness of the incident and the consequences if the learner is found to plagiarise again – they will be removed from the training program.
5. **Serial plagiarism, cheating or colluding offenders** – learners who commit plagiarism after being formally warned are to be removed from the training program.
6. **Record notes in student's file**– all notes are to be recorded promptly in the student's file in detail with all evidences such as the completed assessment tool and meeting agenda from interviewing the learner, are to be scanned and saved.

Academic Integrity Process Flow-Chart

