Relationships Australia®
VICTORIA

Registered Training Organisation 21977
RTO Manual

CHC81115 Graduate Diploma of Family Dispute Resolution

CHC81015 Graduate Diploma of Relationship Counselling

CHCSS00110 Mediation Skill Set

Information, Policies and Procedures for Nationally Accredited Training Courses Provided by Relationships Australia Victoria

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Contents

RTO Manual

Relationships Australia Victoria – Training and Development

About Us

Relationships Australia Victoria (RAV) is a specialised provider of family and relationship services, with considerable expertise in delivering evidence-based programs and services for individuals, families and communities affected by social and wellbeing issues. We are the largest non-aligned provider of relationship and family support services in Victoria.

We provide a range of vocational education and professional development programs which support skills development within the relationship services sector and the wider workforce. Courses are designed around a range of issues, including family violence, child protection issues, high conflict family law disputes, property mediation, strengthening family relationships, parenting, conflict management and working with separated families.

Our Learning Philosophy

The following principles are intrinsic to RAV's approach to education and learning.

Building a People-Focused Environment

Valuing people and the quality of the relationships between them: this facilitates learning and provides the foundation for organisational effectiveness.

Recognising and Valuing Diversity

Building respectful relationships which recognise and encourage diversity and difference: teamwork and shared understanding are vital aspects of a learning culture and essential elements in working within the family and relationship services field.

Understanding Learning Practices

Learning occurs in many settings in addition to formal training sessions: our training incorporates learning practices that demonstrate understanding of and suit specific work roles and contexts.

Building on Strengths

Recognising existing strengths provides a positive framework for the identification of required new skills and knowledge. Without recognition of existing skills, the introduction of new skills can become a negative experience for the individual.

Guiding Adult Learners

Adult learning principles guide our learning strategies, ensuring that learning recognises and validates current experience, and that it is relevant, suitable, active and interactive.

Linking Workplace Learning to Formal Training

Individual learners can achieve nationally recognised competencies and work towards gaining formal qualifications through the application of formal learning into practical workplace contexts.

Our Values and Approaches

RAV recognises that students are unique and bring to the course a variety of relevant skills and knowledge that can be used as a foundation for further skill development. Throughout the course, RAV's trainers and assessors will help identify and further develop these abilities, working with individuals to enhance new skills.

Our aim is to provide learning situations and experiences that are relevant to specific learner requirements. The approach we take is a strengths-based didactic approach. This means our training is designed to assist students to build on their existing skills and knowledge and professional foundations, giving them opportunities to develop and demonstrate the requisite competencies, skills and knowledge. As our training is designed to facilitate emerging professional practice, we require students to behave in a professional and ethical manner, addressing any weaknesses identified by trainers and assessors. As such students retain responsibility for their emerging professional self.

We hope that learning will be a two-way process where you feel encouraged to appropriately share your needs and responses with trainers, assessors, and with other students.

Student Information

Acronyms

The following acronyms are used throughout this document:

AQF: Australian Qualifications Framework, which establishes and assures the quality of Australian qualifications from each education and training sector into a single comprehensive national qualifications Framework. For more information, refer to: http://www.aqf.edu.au

ASQA: Australian Skills Quality Authority: The government agency established in 2011 to support the National VET Regulator in their decision-making. ASQA is the national regulator for Australia's vocational education and training sector. ASQA's purpose is to ensure quality education and training so that students, employers, governments and the community can have confidence in the integrity of qualifications issued by training providers.

RAV: Relationships Australia Victoria

RAV LMS: Learning Management System Suite of learning materials, technologies and resources constructed on the Moodle Learning Management System.

RTO: Registered Training Organisation

VET: Vocational Education and Training, which is designed to deliver workplace-specific skills and knowledge, across a wide range of careers and industries.
For more information, refer to: https://education.vic.gov.au/training/Pages/default.aspx

VQF: VET Quality Framework: Set of standards and conditions used by the Australian Skills Quality Framework (ASQA), the national VET regulator, to assess whether registered training organisation (RTOs) under its jurisdiction meet the requirements for registration. They comprise of:

- The Standards for Registered Training Organisations
- The Australian Qualification Framework,
- The fit and Proper Person Requirements
- The financial Viability Risk Assessment Requirements
- The Data Provision Requirements

WISENET SMS: Student Management System: Commercial integrated student management system used by RAV to manage Student's enrolments, communication and reporting.

Nationally Recognised Training

Our nationally recognised training courses are built on a framework of competency-based workplace training and assessment and focus on the skills required to actually do the job.

Learning methods usually involve both on and off the job learning and allow flexibility for the recognition of prior learning (RPL). In this way we offer both new and experienced people the opportunity to gain professional recognition of their skills and knowledge.

Educational Pathways and Qualifications

Students may be enrolled in the following nationally recognised qualifications:

- CHC81115 Graduate Diploma of Family Dispute Resolution
- CHC81015 Graduate Diploma of Relationship Counselling
- CHCSS00110 Mediation Skill Set

These courses have been developed identifying the underlying foundation core skills (as outlined in the Australian Core Skills framework) and the Core Skills for Work Developmental Framework (the CSfW), and in line with the AQF Qualifications Policy.

In order to obtain a full qualification, participants must successfully complete all the assessments to meet the requirements for that qualification.

Students who complete the assessment requirements for one or more single units of competency, and who subsequently withdraw from a course, will be awarded a Certificate of Attainment for those competences.

Further information: Useful websites include:

- http://www.myskills.gov.au
- http://training.gov.au
- https://www.relationshipsvictoria.org.au/accredited-training/

Unique Student Identifier (USI)

From 1 January 2015, students undertaking nationally accredited training with RAV (i.e. enrolling into VET courses) will need to set up a Unique Student Identifier (USI), which is a straightforward process. Once you create your USI you will need to provide it to us - send to Administration on ravtraining@rav.org.au. RAV is required to record and verify a USI for each student.

Further information: More information is on the website http://www.usi.gov.au and the following can assist you to apply:

- http://www.usi.gov.au/Students/Pages/default.aspx
- https://www.usi.gov.au/documents/student-quick-guide
- http://usi.gov.au/Students/Pages/student-privacy.aspx
- http://usi.gov.au/Pages/privacy-policy.aspx

Fees

Fees are charged for all nationally recognised training and recognition processes. Fees are either paid by the individual students or by a workplace as part of an agency or organisation professional development.

If applicable, an initial enrolment deposit of $1000 will be deducted from the total course costs, which are payable via a set payment schedule throughout the semester. Each student is responsible for ensuring that further payments are made in accordance with the schedule.

There are a number of other circumstances where fees may become payable, including to support an application for Recognition of Prior Learning (RPL), to hold a deferred place in a subsequent course, as a penalty for late course payments, for replacement of learning resources which have not been returned or have been returned with damage, and/or where a student requests a duplicate copy of a Certificate or Statement of Attainment.

Further information: Please refer to PP-08 Student Fees, Charges and Refunds included in this manual.

Tuition Assurance Exemption Notice

As an education and Victorian Student Loans (VSL) provider RAV agrees to:

- provide quality training and assessment services
- provide access to suitable and appropriate learning resources
- as applicable, organise a work placement of the required number of hours for the applicable training package, or work with another organisation to arrange a placement which meets training package requirements

- issue a Certificate of Attainment at the satisfactory completion of course requirements as outlined in the RAV Student Certificate Issuing Policy.

In the event that the RAV Training and Development (including the RTO) ceases to exist, RAV agrees to, at no cost to the student:

- complete delivery of the training and work placement elements of the course including issuing of certificates and/or statements of attainment
- for RTO courses, place the student within another RTO.

Enrolment Process

In order to obtain formal certification or a statement of attainment, students must be formally enrolled. Following application to undertake a course, students will be required to complete and sign an enrolment form.

Refunds and Cancellations

Refunds are only payable in certain circumstances and subject to certain conditions

Students needing to defer or withdraw from a course must apply in writing on the relevant form, which can be downloaded from the RAV website.

Further information: Please refer to PP-08 Student Fees, Charges and Refunds included in this manual.

Structured Training Programs

RAV provides a range of structured training programs and workshops. These vary in duration from half a day to several days for courses that cover single competencies or small clusters, to whole qualifications offered over a year or more. All programs have an emphasis on the application of learning in the workplace and may include workplace assessment.

Learning Resources

RAV provides comprehensive learning resources for enrolled students for all Units of Competency, which are accessible through the Student Handbook located in the Learning Management System (LMS). Additional resources include access to the RAV Moodle, an online learning management system which is tailored to the learning requirements of each different course.

Recognition of Qualifications Issued by Other RTOs

RAV recognises Australian Qualification Framework (AQF) qualifications and Statements of Attainment issued by other Registered Training Organisations in Australia. National recognition obligations are reflected in our organisational policies and procedures, involving recognition of the qualifications and Statements of Attainment issued to any person in all states and territories of Australia.

Academic Credits

A credit is an exemption from enrolment in a particular part of a course as a result of previous study, experience or recognition of a competency currently held. This term includes academic credit and recognition of prior learning.

Students may request total credit for a whole unit or course/program based on study in an identical unit or course/program at another institution. Suitable documentation such as a Statement of Attainment must be provided when applying for credit transfer.

Evidence of competence from prior learning may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient, and be confident that the student is currently competent.

Further information: Please refer to PP-07 Recognition of Prior Learning and PP-13 Credit Transfer included in this manual.

Assessment

RAV uses a range of assessment methods to determine competency. Assessment is based on the collection of evidence of student's skills, knowledge and attributes, as they relate to the requirements of the qualification. RAV uses multiple techniques to draw out different types of evidence. These may include interviews, written questions, direct observation, structured activities, third party feedback, portfolios, and the review of documents or products created as part of the course work.

Each student has the responsibility to demonstrate the skills and knowledge in accordance with the assessment requirements for each unit of competency. Students are expected to submit their assessments in accordance with the submission schedule and be available to meet work placement obligations.

Further information: Please refer to PP-16 Student Placements and PP-18 Plagiarism included in this manual.

Student Records

RAV students are allocated a student number. RAV maintains student records which includes assessment results. It is important that students notify RAV of any changes to their enrolment details, such as name, address or other contact details, via the Change of Personal Details Form which can be obtained from Administration.

Students wishing to access their student record may do so at any stage. Students must contact their course coordinator to set up a mutually agreeable time for this to occur.

Victorian Student Numbers (VSN) (if applicable) must be provided to RAV by the student. The VSN is a nine-digit student identification number that is assigned by the Department of Education and Early Childhood Development to all students in government and non-government schools, and students up to the age of 25 in Vocational Education and Training Institutions. The VSN is unique to each student and is used as a key identifier on all student's records until they reach the age of 25.

Participation and Progress

RAV aims to provide high quality learning in which all students and staff can participate safely and effectively. Students and trainers are partners in this learning.

As an adult learner, each student holds responsibility for their own learning. The training is designed to facilitate emerging professional practice and requires students to work to develop competencies, actively participate in learning opportunities, listen to feedback and address any weaknesses identified by supervisors/trainers. In addition, students are expected to follow up any questions they have that arise during the program.

RAV will provide students with learning support in the form of handouts, readings, personal guidance and assessment tasks, as well as verbal and written feedback on students' progress.

Students whose training is sponsored or paid for by an organisation should note that RAV will provide information about their progress to the sponsoring organisation. This may include information about attendance, participation and assessment results.

Student Support

RAV offers support to all students to increase access to training and achieve successful completion of assessments. This includes flexible training and assessment practices, opportunities to discuss difficulties and needs with the relevant program leader/course coordinator and assistance with understanding course materials. RAV will provide and maintain, as far as possible, a safe learning environment for all students and this may mean that individual requirements are balanced against the wellbeing of the student group as a whole.

RAV offers programs and services which are relevant, accessible, fair and inclusive. We aim to redress past disadvantage and improve the position of particular groups in society which includes:

- Aboriginal and Torres Strait Islander people
- culturally and linguistically diverse communities
- people with physical or intellectual disabilities
- geographically isolated people
- LGBTIQA+

Students requiring assistance with their learning and participation in our programs are supported through:

- wheelchair access, amenities and designated parking at RAV
- Translation and Information Service
- language, literacy and numeracy support
- one on one tuition
- one on one intensive student support
- email and telephone contact.

Students requiring further information about these support services should contact the relevant program leader/course coordinator.

RAV provides adequate protection for the health, safety and welfare of students and, without limiting the ordinary meaning of such expression, this includes adequate and appropriate support services in terms of academic and personal counselling.

Facilities

Transport

RAV Central Office, the venue for RTO courses, is accessible by the number 75 Tram, and the Alamein Train (with a short walk from either the Burwood or Hartwell Railway stations). Car parking for students is NOT provided, however, free parking is available in the surrounding streets a short walk away from Central Office.

A Smoke-Free Environment

Smoking is not permitted inside the building. Please check with the program leader/course coordinator for information on location of designated smoking areas, away from the building.

Learning Environment Behaviour

RAV is committed to creating an environment that is free from harassment and discrimination due to gender, cultural background, sexuality or physical disability. In line with the Student Code of Conduct, all students are expected to behave in ways which do not impact on the welfare or learning environment of another student.

We ask students who experience either harassment or discrimination in the course of training to approach the trainer, assessor or the Senior Manager Training and Development, so that we can address any concerns. The formal Student Complaints procedure can be used if the student wishes.

Further information: Please refer to PP-09 Student Code of Conduct and PP-10 Student Complaints included in this manual.

Academic Decisions

RAV will ensure that students have access to a fair and equitable process for dealing with any complaints they may have in relation to a decision made by the RTO. RAV will provide students an opportunity to appeal against assessment decisions which they believe to be unfair and affect the student's progress. Every effort is made by RAV to resolve students' complaints. The reference person for such matters is the Senior Manager Training and Development.

Further information: Please refer to PP-11 Student Grievance and Appeals included in this manual.

Plagiarism and Cheating

Plagiarism, the presentation of the works of another person/other persons by a student as their own, including the failure to properly acknowledge that person/those persons either intentional or unintentional, is a practice which contradicts the values of RAV.

RAV regards academic honesty — the principle that a student's work must be original, authentic, and properly developed and completed — as a key ethical foundation for underpinning the professional lives of students. Any means used to obtain an unfair academic advantage or to assist another student to do so is considered to be academic misconduct and to amount to cheating. The detection of plagiarism can occur in a number of ways, including inconsistencies between the standard of work submitted by a student across various assessments, suspicion by the assessor, over-familiarity of content, allegation by a third party, or other method that is brought to an assessor's attention.

RAV expects that all participants produce their own independent work and comply with standard conventions for authorship. In addition, all forms of intellectual material are to be used appropriately and with full acknowledgment to authors. The consequences to plagiarism may vary according to the perceived intention and extent.

Further information: Please refer to PP-18 Plagiarism included in this manual.

Provision of Training and Assessment Services

RAV has policies and management practices which maintain high professional standards in the delivery of training and assessment services, and which safeguard the interests and welfare of students and staff.

We:

- maintain a learning environment that is conducive to student success
- have the capacity to deliver and assess the qualifications for which we are registered, and use methods, materials and facilities appropriate to the learning and assessment needs of students
- monitor and assess the performance and progress of our students
- ensure that teaching staff are suitably qualified and sensitive to the cultural and learning needs of students
- provide training for our staff as required
- ensure that assessments are conducted so as to meet the endorsed components of the relevant training package/s and or accredited courses
- are committed to access and equity principles and processes in the delivery of our services.

Trainers and Assessors

In order to ensure that our training is current and embedded in industry practice, RAV appoints trainers and assessors who:

- have the vocational competencies at least to the level being delivered and/or assessed
- have current industry skills directly relevant to the training and assessment being provided

- have current knowledge and skills in vocational training and learning that informs their training and assessment
- are able to demonstrate that they hold the skills and knowledge required by industry
- meet any additional competency requirements detailed in Training Packages or as determined by regulatory or licensing bodies.

Recruitment of trainers and assessors who meet these requirements supports our overall assurance of quality.

Issue of Qualifications

RAV issues Qualifications and Statements of Attainment and Record of Results to students who meet the required outcomes of a qualification or Unit of Competency, in accordance with the Australian Qualifications Framework (AQF) Implementation Handbook.

RAV will normally issue AQF certification documentation to a student who has been assessed as satisfactorily completing and meeting the relevant requirements of the training program in which they are enrolled within 30 calendar days of that assessment, provided that all agreed funds the student owes to the RTO have been reconciled and all borrowings have been returned or replaced.

Replacement documentation may be replaced upon payment of an administration fee.

Further information: Please refer to PP-08 Student Fees, Charges and Refunds and PP-23 Certificate Issuing included in this manual.

Marketing of Training and Assessment Services

The RAV RTO will develop marketing materials that accurately represent its services and ensure that training products included on the scope of registration are presented in line with VET Quality Framework and Australian Skills Quality Authority requirements.

RAV:

- markets and advertises its products and services in an ethical manner
- gains written permission from a student before using their information or in any marketing materials
- accurately represents recognised training products and services to prospective students
- ensures that it does not make false or misleading comparisons in relation to any other training organisation or qualification
- conducts recruitment of students at all times in an ethical and reasonable manner
- ensures that the educational background of prospective students is assessed by suitably qualified staff and/or agents and provides for the training of such staff and agents, as appropriate.

Further information: Please refer to PP-25 Marketing included in this manual.

Work Health and Safety

RAV aims to provide a safe environment for assessment and learning.

It is important that students maintain their own occupational health and safety while participating in learning, assessment and work placements, including avoiding common areas of potential injury:

- sitting incorrectly in chairs
- engaging in physical activities that are not within physical capabilities
- lifting furniture inappropriately.

Staff and students should work together to protect their health and safety and that of others, in observing safe work procedures and practices, and reporting potential hazards, incidents and issued to RTO staff. Students are

required to cooperate with RTO Management and Staff in the event of a hazardous situation, or with respect to actions taken to comply with OHS legislative requirements.

Further information: Please refer to PP-19 Occupational Health and Safety included in this manual.

Financial Standards

RAV has measures to ensure that students receive a refund of fees for services not provided, including services not provided as a result of the financial failure of the organisation.

RAV has a refund policy that is fair and equitable, and this policy is made available to all students prior to enrolment.

RAV ensures that the contractual and financial relationship between the student and organisation is fully and properly documented, and that copies of the documentation are made available to the student, including the Student Fees, Charges and Refunds Policy, Certificate Issuing Policy, the Student Agreement and Student Placement Agreement.

Provision of Information

RAV supplies accurate, relevant and up to date information to prospective students prior to enrolment and regularly reviews all such information to ensure its accuracy and relevance.

Record Keeping

RAV keeps complete and accurate records of the attendance and progress of students, as well as financial records that reflect all payments and charges and the balance due and provides copies of these records to students on request. All records are kept secured and regularly backed up, with only designated personnel having access.

Quality Control

RAV seeks feedback from our students about their satisfaction with the training and assessment services they have received and uses this to improve our services in accordance with student and industry expectations.

Further information: Please refer to PP-14 Feedback and PP-17 Continuous Improvement included in this manual.

Student Rights and Responsibilities

Students undertake Nationally Registered Training within a legislative and regulatory framework which confers rights and protections, and imposes responsibilities upon them when they are participating in coursework, assessment and intern activities. All students should be aware of the requirements of each of the following legislative instruments.

Legislation	Relevant Objectives	Implication	RTO Policy Reference	External reference
Occupational Health and Safety Act 2004 and Regulations 2007	to eliminate, at the source, risks to the health, safety or welfare of employees and other persons at work	Students must protect their own health and safety and that of their colleagues, including taking reasonable care for those who may be effected by their acts or omissions within the RTO, complete OH&S incident report forms in the event of an accident or injury, and cooperate with RTO and RAV Management with respect to any actions taken to comply with a requirement imposed under OHS legislation or regulation.	PP-19 Occupational Health and Safety	http://www.worksafe.vic.gov.au
Equal Opportunity Act 2010	to eliminate discrimination, sexual harassment and victimisation, to the greatest possible extent	RAV RTO will not tolerate any form of discrimination or harassment of our staff, supervisors, students, interns or contractors by any party.	PP-10 Student Complaints, PP-20 EEO, Harassment and Discrimination	https://www.humanrights.vic.gov.au/legal-and-policy/ Federal legislation including Australian Human Rights Commission Act 1986, Age Discrimination Act 2004, Disability Discrimination Act 1992, Racial Discrimination Act 1975, Sex Discrimination Act 1984
Racial and Religious Tolerance Act 2001	to promote racial and religious tolerance by prohibiting certain conduct involving the vilification of persons on the ground of race or religious belief or activity, and to provide a means of redress for the victims of racial or religious vilification	Students must exercise religious and racial tolerance at all times during all course activities. RAV RTO will not tolerate any form of discrimination or harassment of our staff, supervisors, students, interns or contractors by any party.	PP-10 Student Complaints, PP-20 EEO, Harassment and Discrimination	https://www.humanrights.vic.gov.au/legal-and-policy/

Legislation	Relevant Objectives	Implication	RTO Policy Reference	External reference
Working with Children Act 2005	to assist in protecting children from sexual or physical harm by ensuring that people who work with, or care for, them are subject to a screening process.	The student must undertake Working with Children Check prior to attending any premises as requested by RAV, and ensure it is current and valid for the duration of the course and placement.	PP-6 Student Enrolment, Deferral, Withdrawal and Termination, PP-9 Student Code of Conduct	https://www.legislation.vic.gov.au/in-force/acts/working-children-act-2005/063
National Police Check	to identify any 'disclosable court outcomes' which may impact on an individual's ability to work or participate in a work placement within the FDR environment	The student must undertake a National Police Check prior to course commencement and/or prior to attending any premises as requested by RAV, and ensure it remains current and valid for the duration of the course and placement.	PP-6 Student Enrolment, Deferral, Withdrawal and Termination, PP-9 Student Code of Conduct	https://www.police.vic.gov.au/national-police-records-checks
Victorian Information Privacy principles (*Privacy and Data Protection Act 2014*)	To protect the privacy of personal information held by organizations	Personal information about students collected by RAV is protected. Students must also handle client information in accordance with these requirements during their placement	PP-4 Privacy, PP-05 Student Confidentiality	https://www.cpdp.vic.gov.au/ Federal legislation including Privacy Act 1988, Australian Privacy Principles 2015
Student Identifiers Act 2014	to provide for student identifiers and access to transcripts relating to vocational education and training, and for related purposes	Students must apply for a USI and provide this to RAV on enrolment, in order to participate in the course and to receive Statements of Attainment and Qualifications	PP-6 Student Enrolment, Deferral, Withdrawal and Termination, PP-9 Student Code of Conduct	https://www.legislation.gov.au/Details/C2016C00412
Victorian Education and Training Reform Act 2006	To regulate the delivery of vocational education and training within the state of Victoria and to ensure that a high standard of education and training	All aspects of the RTO are delivered within this framework	PP-1 Governance	http://www.legislation.vic.gov.au/Domino/Web_Notes/LDMS/PubStatbook.nsf/f932b66241ecf1b7ca256e92000e23be/575C47EA02890DA4CA25717000217213/$FILE/06-024a.pdf

Legislation	Relevant Objectives	Implication	RTO Policy Reference	External reference
	is provided for all Victorians			
Copyright Act 1968 as amended	An act relating to the protection of copyright	Students and staff may only reproduce a fair amount of a published literary work for the purposes of study: - 10% of the number of pages in the edition; or - if the work or adaptation is divided into chapters—a single chapter	PP-9 Student Code of Conduct, PP-18 Plagiarism	https://www.legislation.gov.au/Details/C2014C00291
Public Records Act 1973	To regulate the preservation and management of public records of the state	Student records will be maintained and retained consistent with legislative and regulatory requirements. RAV will ensure that the ASQA has access to retained student assessments and qualifications records should the RTO cease operations.	PP-27 Retention of Student Work PP-28 Control of Records	http://www.legislation.vic.gov.au/
AQTF Essential Conditions and Standards	To ensure that the rights of students are protected and their obligations known	Students are to make themselves aware of the RTO policy framework as outlined in the RTO Program Manual.	PP-6 Student Enrolment, Deferral, Withdrawal and Termination PP-8 Student Fees, Charges and Refunds PP-09 Student Code of Conduct	http://www.ivet.com.au/a/184.html

RAV Training and Development Policies and Procedures

The following pages provide excerpts of RAV Training and Development policies and procedures to provide students with an overview of the RAV RTO operations and expectations.

For copies of complete policy documents, please contact our friendly Training and Development Team by emailing ravtraining@rav.org.au or calling (03) 8573 2222.

PP-1 Governance

1. Policy Statement

1.1 The purpose of this policy is to ensure the effective strategic and operational governance and management of Relationship Australia Victoria (RAV)'s Registered Training Organisation (RTO) and other training activities.

1.2 RAV will take a comprehensive and systemic approach to governance of all aspects of the RTO, to incorporate service design, development, implementation, monitoring/evaluation and continuous improvement of the RTO's management, operations and service delivery.

1.3 RAV will implement frameworks and requirements for regular reporting and performance monitoring of all RTO and training operations.

2. Scope

2.1 All RAV Training and Development management and staff activities.

3. Definitions

3.1 VET Quality Framework: National policy for regulated qualification in Australian education and training

    a) Standards for Registered Training Organisations 2015

    b) Fit and Proper Person Requirements 2011

    c) Financial Viability Risk Assessment Requirements 2021

    d) Data Provision Requirements 2020

3.2 High Managerial Agent: an employee or agent of the organisation with duties of such responsibility that his or her conduct may fairly be assumed to represent the organisation in relation to the business of providing courses.

3.3 SharePoint RAV's Internal online document management system

3.4 VET: Vocational Education and Training

3.5 ASQA: Australian Skills Quality Authority

4. Context

4.1 The RAV Board is responsible for the corporate governance program within the organisation that includes a systematic way of managing compliance with relevant legislation and regulations and integrates planning, monitoring and review. Inherent to service development is the need to ensure that service delivery is based on solid foundations of governance, financial strength and effective operations.

5. Implementation

5.1 The Chief Executive Officer of RAV (also the RTO's CEO) will ensure that all training and RTO activities comply with the relevant and applicable legislative and regulatory environment for the delivery of training, including the ASQA, the *VET Quality Framework*, the ISO 9001: 2015 Quality management Standards and the RAV accredited Quality Management System.

5.2 Interactions with the RTO Registering Body:

a) The CEO will ensure that RAV cooperates with the ASQA:

    (i) in the conduct of audits and operations monitoring

    (ii) by providing accurate and timely data in relation to performance measures, including completing and submitting an annual declaration of compliance by 1 April each year

    (iii) by providing information about significant changes to ownership and/or operations

    (iv) in the retention, archiving, retrieval and transfer or records consistent with the ASQA's requirements

    (v) and meeting the requirements of the VET Quality Framework

5.3 The RAV Quality Management System (QMS):

a) documents the organisation's operational and service delivery processes and supports the integrated and effective management of the organisation and its objectives.

b) reflects contractual obligations and service standards

c) recognises the valued expectations and needs of consumers

d) underpins RAV's commitment to quality service provision and continual improvement.

5.4 Risk Management:

a) The Board is responsible for the management system and implementing a program for managing risk including identifying, analysing, evaluating and mitigating risks. Board leadership on risk management is a key component of such a management system, including in particular:

    (i) risk management formally recognised as a Board policy; and

    (ii) reviewing risk on a regular basis.

5.5 Operations:

a) The RTO is included in the financial, operational and strategic reports to the Board at regular Board Meetings and included in the Board and Senior Management annual Strategic Planning Day. Relevant information and guidance from the Board is disseminated through the CEO to the Senior Manager Training and Development (RTO Manager). The day-to-day operations of the RTO are carried out by RTO staff under the supervision of the Senior Manager Training and Development who reports directly to the CEO.

b) RAV RTO Executive Officer (CEO), Chief Finance Officer (CFO), Senior Manager Training and Development (RTO Manager) and High Managerial Agents satisfy the 'fit and proper person' requirements to ensure suitability of the RTO to provide vocational education and training, and authorise their influence over decisions regarding operational and financial management.

c) The Senior Manager Training and Development (RTO Manager) submits a three-year business plan to the CEO which is reviewed annually.

d) In the event of a change in ownership of the RTO, RAV will notify all students in writing.

5.6 Service delivery:

a) RAV records are established and maintained to document and provide evidence of conformity to meet the requirements of the ASQA, the VET Quality Framework, the RAV Quality Management System and client service delivery requirements.

b) Regular internal audits will determine whether the RTO conforms to the obligations of registration and ensure service delivery is effectively implemented and maintained.

c) Staff commitment is demonstrated to the team, centre and organisational strategic objectives in staff KPIs and Performance and Development Reviews.

d) Students are aware of their right to provide feedback on the service they receive. Course evaluations are included in all training service delivery. Student feedback is valued and used to improve services.

6. Communication

6.1 The outcomes of regular Training and Development and RTO meetings held at management, staff and stakeholder level which impact on the needs, requirements and operations of Training and Development and the RTO are communicated efficiently between organisational levels as indicated below. In addition, feedback from students and stakeholders is actively canvassed by Training and Development staff and communicated to operational and senior management.
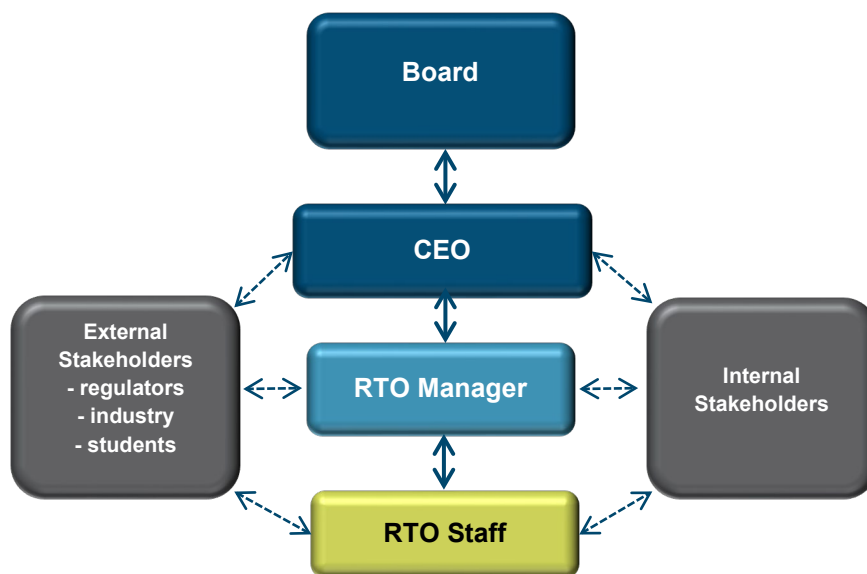
PP-2 Policy Development and Review

1. Policy Statement

1.1 To ensure that all RAV Training and Development's (including the RTO's) policies and related procedures are responsibly and consistently developed, documented, communicated, implemented and reviewed, RAV will take a thorough and comprehensive approach to the development, documentation, communication, implementation and review of all policies and procedures which govern the operation of Training and Development (including the RTO).

2. Scope

2.1 All Training and Development staff, students and contractors.

3. Definitions

3.1 AQF: Australian Qualifications Framework.

3.2 SRTOs: Standards for Registered Training Authority 2015

3.3 VET: Vocational Education and Training.

3.4 ASQA: Australian Skills Quality Authority

4. Context

4.1 RAV's Training and Development services, including the RTO, require a clear and effective policy and procedural framework, so that can deliver training services in line with relevant legislation, VET Quality Framework, ASQA and industry expectations and professional practice.

4.2 In order to ensure currency and applicability of policies guiding the RTO's operations, regular review and amendment is therefore required.

5. Implementation

5.1 To enact this policy, RAV Training and Development will:

a) consult with relevant internal and external stakeholders in the policy development process

b) communicate policies and procedures to current and prospective students through the RAV website

c) ensure that policies are endorsed within its Quality Management System

d) implement policies and procedures on a prospective, rather than retrospective basis, except in exceptional circumstances

e) identify all policy and procedural changes in line with the RTO Version Control Policy

f) ensure that all relevant regulatory, industry and quality requirements are incorporated into policies as relevant

g) within a continuous improvement framework, undertake regular review of policies and procedures and amend in order to ensure effectiveness and currency.

5.2 RAV reserves the right to make any policy amendments and/or updates so as to ensure the ongoing effectiveness and adaptability of its operations to changing conditions.

6. Communication

6.1 All staff employees, students, interns and contractors will be advised of any updates or revisions to RAV Training and Development policies or procedures.

PP-3 Version Control

1. Policy Statement

1.1 This policy specifies a numbering system to track the changes that occur in authoritative Training and Development (including RTO) documents throughout their development and subsequent revisions, to ensure that Training and RTO staff are using the correct version of documentation at all times.

2. Scope

2.1 All RAV) RTO staff, policies, procedures and guidance documents. Documents prepared and used by individual staff are not within the scope of this policy.

3. Definitions

3.1 VET Quality Framework

3.2 Minor amendment: consists of changes to punctuation, spelling or formatting.

3.3 Major amendment: consists of major content addition or deletion, including changes to heading.

3.4 ASQA: Australian Skills Quality Authority

4. Context

4.1 In order to ensure that records-maintained support the continuous improvement of Training and Development (including RTO) operations and provide evidence of compliance with the requirements Standards of RTOs 2015 as appropriate, all authoritative policy, procedural and guidance documents must be systematically managed to ensure ongoing applicability, currency and accuracy.

4.2 Version control enables:

a) One version of a document to be distinguished from any previous and subsequent versions

b) Identification of the most current version of the document.

4.3 Documents may go through various draft iterations before being approved for release and should be marked/numbered accordingly.

5. Implementation

5.1 In the first instance, documents will be given a draft version control number. Once a document has been approved for release, it is given a version control number.

5.2 Version control numbering will be used with all documents. Once a document goes to Version 1.0 the draft version history must be archived.

5.3 Draft documents will start at Version 0.1 to reflect their draft status. Once a document has been approved for release, the number converts to Version 1.0.

5.4 The version control numbering will be used as follows:

First draft	Version 0.1
Second draft	Version 0.2
Subsequent drafts	Version 0.3….etc

First release (approved)	Version 1.0
Minor amendment	Version 1.1
Second minor amendment	Version 1.2
Evaluation Review Release / Major amendment	Version 2.0
Minor Amendment	Version 2.1
Second minor amendment	Version 2.2

6. Communication

6.1 All Training and Development Staff (including RTO)

6.2 RAV Quality Management Unit

PP-4 Privacy

1. Policy Statement

1.1 To ensure RAV Training and Development fulfils its obligation to maintain the privacy of clients, students, employees and contractors.

1.2 RAV takes its privacy obligations very seriously, and expects all staff, students and contractors to respect the confidentiality of all personal information and to use that information in a sensitive manner and only for the purpose for which it was collected.

2. Scope

2.1 All RAV Training and Development staff, students and contractors.

3. Definitions

3.1 **Personal information** – Under the *Privacy Act (1988)* and in this policy, personal information means "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"

3.2 **The Australian Privacy Principles** *(Privacy Act (1988))* outline how not-for-profit organisations must handle, use and manage personal information.

3.3 **ASQA:** Australian Skills Quality Authority (*Standards for RTOs 2015*)

4. Context

4.1 The RAV RTO operates within the context of the ASQA regulations and must comply with the Australian Privacy Principles and relevant privacy legislation as a training and service provider within Australia.

5. Implementation

5.1 Collection of personal information

a) RAV will only collect personal information that is required for the purposes of Training and Development, or in meeting government reporting requirements.

b) RAV collects all personal information in writing on an enrolment form, directly from the person whom the information is about.

c) RAV is required to collect personal information from students in order to process enrolments and obtain the information required to provide suitable training and assessment services. Where applicable, information may also be required to comply with ASQA standards and other government regulators.

d) Information collected includes general personal details, and may include details of any disability or health issue that may affect the student's ability to undertake training and/or assessment activities.

5.2 Use and disclosure of personal information

a) Employees, students (including during their work placements), or contractors of RAV must not disclose an individual's personal information to anyone outside RAV, unless the individual has consented to that disclosure, or as required by law.

b) RAV uses personal information of its students for the purposes of meeting VET requirements for the awarding of national qualifications, and to comply with reporting requirements where relevant, as specified by government regulators.

c) Personal information collected through the enrolment form or through other means will be passed on to government regulators as per legal data collection requirements. This personal information may also be accessed for the purposes of an audit by the ASQA.

d) Personal information will not be used in any way other than those outlined in this policy, and any other ways that might reasonably be expected.

e) Personal information may be disclosed, as required by law, if "a permitted general situation" exists:

   (i) where it is unreasonable or impracticable to obtain the individual's consent to the collection, use or disclosure, and RAV reasonably believes that the collection, use or disclosure is necessary to lessen or prevent a serious threat to the life, health or safety of any individual, or to public health or safety.

   (ii) to report a crime of violence or prevent the likely commission of a crime of violence.

   (iii) if there is a need to prevent or lessen a serious and imminent threat to the property of a person or prevent or lessen likely damage to property.

   (iv) to locate a person reported as missing.

   (v) if a Court/Tribunal orders RAV to disclose.

5.3 Access to personal information

a) All requests by an individual for access to personal information must be referred to the Senior Manager Training and Development. Such requests may be made orally but must be confirmed in writing. The consent of that Manager is required before any personal information can be released.

b) RAV must, upon request by the individual, respond within 30 days after the request is made and either:

   (i) give access in the manner requested by the individual, if it is reasonable and practicable to do so. If RAV refuses to do this, it must take such steps (if any) as are reasonable in the circumstances to give access in a way that meets the needs of RAV and the individual.

   (ii) refuse both access and correction requests in particular situations, however if this occurs, a statement of reasons is to be provided to the student.

c) A student is not entitled to access any information/notes relating to joint or group work. RAV considers that giving access in such circumstances would have an unreasonable impact on the privacy of other individuals.

d) A student may access joint or group session information if s/he obtains the prior written consent of the other students who attended the joint or group sessions.

5.4 Storage and security of personal information

a) RAV holds personal information electronically via its secure data bases.

b) If personal information is no longer needed for any purpose for which it may be used or disclosed, and RAV is not required by law to retain the information, RAV will take reasonable steps to destroy or de-identify the information.

c)   Student information will be kept electronically for 30 years to be able to reissue a qualification or statement of attainment. If RAV ceases being an RTO, the information relating to RTO qualifications will be provided to ASQA in hard copy or digital form as requested. Other student records will be kept in accordance with the Control of Records Policy.

d)   From 1 January 2015, students undertaking nationally endorsed training with RAV (i.e. enrolling into VET courses) will need to set up a Unique Student Identifier (USI), which will only be used by RAV as directed/permitted by regulatory agencies.

5.5   RAV will make all reasonable efforts to protect confidential information received from client or partner organisations during the course of business operations. This information will not be disclosed without the prior consent of the client or partner organisation.

6.   Communication

6.1   All students, staff and partner organisations will be advised of this policy and any updates or revisions.

PP-5 Student Confidentiality

1. Policy Statement

1.1 The purpose of this policy is to enable all RAV students (including RTO students) to:

   a. recognise what information is confidential

   b. understand their obligations in relation to the confidentiality of RAV's clients' personal information

   c. understand the serious consequences of a failure to observe confidentiality obligations.

2. Scope

2.1 This policy applies to all RAV Training and Development (including RTO) students.

3. Definitions

3.1 **Client Confidentiality** – The contractual or statutory duty to the client not to disclose any information given to RAV without the client's express consent, subject to some exceptions.

3.2 **Privacy** – Relates to the collection, use and disclosure of an individual's personal information and access to, and correction of, that information.

3.3 **The *Privacy Act*** (1988) defines personal information, in summary, as…*information or an opinion, whether true or not, and whether recorded in a material form or not, about an identified individual, or an individual that is reasonably identifiable.*

3.4 **Disclosure –** in this policy, means the passing on of a client's personal information to a person or persons outside RAV

4. Context

4.1 Confidentiality is an important aspect of a client's privacy. The Australian Privacy Principles (1988) define RAV's obligations surrounding the collection, use and disclosure of personal information and the right to access personal information. For full details about RAV's privacy obligations and procedures, see the RAV Privacy Policy and the Client Confidentiality Policy, case notes and client file management procedures.

4.2 This policy seeks to clarify how the confidentiality of client information can be respected, whilst adhering to RAV's obligations under legislation. It includes all forms of client information, including but not limited to case notes, case files (which may contain intake assessments, reports, therapeutic letters, copies of orders, consent forms, emails and drawings), sound, video and DVD recordings. Information may be held in hard copy or electronic format.

5. Implementation

5.1 All RAV students are required to:

   a. respect the privacy of clients and the confidentiality of client information;

   b. sign a RAV Student Agreement (incorporating a Student Code of Conduct and a RAV Code of Conduct), which indicates their agreement and compliance with RAV policies and procedures before commencing placement, and which outlines the consequences for the student of breaching client confidentiality without reasonable excuse; and

   c. recognise the right of clients to expect that any information collected about them will be treated as private and confidential, subject to the exceptions to confidentiality as outlined below.

5.2 Exceptions

(i) Mandated duties of disclosure under legislation:

    i. *Family Law Act* 1975 – *s 67ZA* If a student has reasonable grounds for suspecting that a child has been abused or is at risk of abuse, he/she *must* immediately discuss the concerns with their supervisor with a view to reporting the concerns to the Department of Health and Human Services (Child Protection).

    ii. *Crimes Act 1958 (Vic) – s 327* If a student forms a reasonable belief that a sexual offence has been committed in Victoria against a child under the age of 16 years by another person of or over the age of 18 years, they must disclose that information to their supervisor immediately, and discuss taking necessary steps to fulfil any duty of disclosure to Victoria Police.

(ii) Discretionary disclosure under the *Family Law Act – ss 10D (family counselling), 10H (family dispute resolution) and 67ZA (report to DHHS (Child Protection))*

    i. If a student reasonably believes disclosure is necessary to protect a child from the risk of harm, to prevent or lessen a serious threat to life, health or property, or to report the commission or prevent the likely commission of an offence involving violence or threat of violence, or intentional damage to property or threat of damage to property, he/she must immediately report the concerns to their supervisor, and discuss whether disclosure should occur.

    ii. If there are reasonable grounds for a student suspecting that a child has been ill-treated, or is at risk of being ill-treated, or exposed or at risk of being exposed to psychologically harmful behaviour, he/she must immediately report the concerns to their supervisor, and discuss whether disclosure should occur to DHHS (CP).

(iii) Disclosure permitted under other legislation: Privacy Act 1988; Privacy and Data Protection Act 2014 (Vic) (PDPA)

    i. Where the student reasonably believes that disclosure is necessary to lessen or prevent a serious threat to the life, health or safety of any individual and it is unreasonable or impracticable to obtain the consent of the individual – s 16A Privacy Act. A similar provision exists for State-funded programs under the PDPA. Consultation with the supervisor is required before disclosure, unless this is not practicable.

(iv) Confidentiality within supervision/case presentations

    i. Within both individual and group supervision, students should not use clients' names unless it is necessary e.g. where required for safety reasons, and shall avoid disclosure of any identifying information that is unnecessary to a proper discussion of the case.

(v) Sharing information within RAV

    i. Relevant client information may be shared within RAV where there is a serious threat to the life, health or safety of any person, where there is a reported breach of a Family Violence Intervention Order (or equivalent Order), to review previous service delivery, for the purpose of supervision and briefing other clinicians, and otherwise with the consent of the client. If in any doubt, the student must consult with his/her supervisor.

6. Communication

6.1 All RAV students will be advised of this policy and any changes to it.

PP-6 Student Enrolment, Deferral, Withdrawal and Termination

1. Policy Statement

1.1 The purpose of this policy is to outline the conditions under which students enter or exit a course of study (apart from graduation) within the RTO's scope or other course offerings within RAV Training and Development, noting that:

    a. RAV will develop, and revise from time to time, clear procedures in relation to student enrolments, deferrals and withdrawals from accredited courses

    b. In certain circumstances, RAV may terminate a student's enrolment.

2. Scope

2.1 This policy applies to all RAV Training and Development (including RTO) students completing courses with RAV.

3. Definitions

3.1 Enrolment: the process which a prospective student goes through to apply to be included in a course of study.

3.2 Deferral: the formal postponement of participation in a course by a student once their application for enrolment has been accepted.

3.3 Withdrawal: the process by which a student is removed from a course of study prior to course completion.

3.4 Termination: the process by which a student's enrolment in a course of study is discontinued by the training organisation.

4. Context

4.1 Enrolment

    a. All prospective students who meet formal course pre-requisites as published from time to time and indicate their intention and commitment to complete the requirements of a course, may apply for a place in a RAV accredited course and be invited to attend a pre-enrolment interview with the course coordinator/Program Leader. As a result of the interview, the coordinator may make a formal course offer to the student or offer subject to fulfilment of certain conditions for consideration within 1 week of the date of the offer.

    b. Where an applicant requires support and/or reasonable adjustment to accommodate language, literacy and numeracy needs and/or a disability which will not preclude them from successfully demonstrating their competencies in the required areas, RAV Training and Development staff will assess support strategies and learning plans that may be required at the time of interview, and where possible, make the necessary adjustments.

    c. Final acceptance into the course by RAV will depend on the prospective student receiving a satisfactory Police Check, Working with Children Check and, and at the discretion of the Senior Manager Training and Development, referee reports. Where an offer is not made, the course coordinator/program leader will state the reasons in writing to the prospective student/s.

4.2 Deferral

    a. Following receipt of a course offer, a student may apply to defer their participation in the course up to a maximum of one year:

        i. at the time the offer is received and accepted

        ii. following course commencement and payment of the first payment instalment

       iii.   under exceptional circumstances and at the Senior Manager Training and Development's discretion.

    b.   The deferral of a confirmed place in the course may require the payment of a place holding fee, as determined in the Fees, Charges and Refunds Policy and the associated annual fees schedule.

    c.   Application is to be made by submitting a Student Deferral Form to the Program Leader.

    d.   Fees payable will be in accordance with the fee schedule at the beginning of the year in which the student completes the course.

4.3   Withdrawal

    a.   A student may completely withdraw from a course in which they have received and accepted an offer, in line with the first and second instalment payment dates and the RTO Fees, Charges and Refunds Policy. Including in relation to consideration of exceptional circumstances.

    b.   Application is to be made on the Student Withdrawal Form to the Program Leader.

4.4   Failure to complete course within specified timeframe

    a.   Students are expected to complete all course requirements within the duration of the course and in accordance with the submission timeline provided at course commencement. Extensions to the usual timeline will only be considered where a student applies in writing to the Senior Manager Training and Development and only in exceptional circumstances. Where the extension request exceeds the course timeline, students may be asked to formally defer their continuation in the course to a future semester, depending on individual circumstances. The manager's decision will take into account all relevant factors and is final. In the event that a student does not complete all course requirements within the specified timeline, their enrolment will be terminated, unless an alternative timeline is determined, or a formal deferral approved by the Senior Manager Training and Development and documented.

4.5   Termination

    a)   In the event that a student does not fulfil the terms of their Student Agreement, RAV may terminate the enrolment of a student by notifying them in writing. This action will only be considered by the Senior Manager Training and Development where the student has not responded to attempts by RAV staff to contact them regarding the issue under consideration which may lead to their removal from the course.

4.6   Appeals

    a)   Where a student is not satisfied with the outcome of a decision by the Senior Manager Training and Development to withhold a course offer, refuse a deferral application or other decision relating to student withdrawal or application, they may seek a review of the decision through the RTO Grievance and Appeals Policy.

4.7   Records Management

    a)   All decisions regarding enrolment, deferral, withdrawal, termination and appeals will be documented and stored in accordance with the RTO Student File Management Policy and the RTO Control of Records Policy.

5. Implementation

5.1 Enrolment:

    a) All students who apply for a Course are required to proceed to:

        i. Completion of Student Enrolment Form
        ii. Completion of Ancillary Forms (if required)
        iii. An intake interview (if required).

    b) Once the application has been deemed to be successful, a letter of offer for the Course will be sent to the prospective student with an Acceptance of Offer Form.

    c) The prospective student is to complete and sign the "Acceptance of Offer" and return it within 7 days to secure the offered place in the course.

    d) The deposit (if applicable) for the course will be processed upon acceptance into the course and/or the signing of the Acceptance of Offer.

    e) A payment scheduled for the remainder of the payments will be included in the letter of offer.

    f) If the Acceptance of Offer is declined the applicant must inform RAV immediately in order to activate a refund in accordance with the Fees, Charges and Refunds Policy.

5.2 Withdrawal**:**

    a) Where a student:

        i. has indicated verbally or by email that they wish to withdraw, OR
        ii. has not provided evidence of participation for 20 days and RAV has attempted to contact the student for a period of 2 weeks without a successful outcome (either completed form or participation)

    b) RAV will use this form the Student Withdrawal Form to withdraw the student from their qualification on their behalf.

6. Communication

6.1 Information regarding the content and application of this policy will be communicated by the Senior Manager Training and Development to:

    a. All current and prospective students

    b. Training and Development Staff

    c. Complaints Officer.

PP-7 Recognition of Prior Learning

1. Policy Statement

1.1 RAV affirms its commitment to recognise students' prior qualifications, skills and knowledge where they directly relate to units of competency within the scope of RAV's Registered Training Organisation (RTO).

1.2 This policy governs the processing and documenting of all applications for Recognition of Prior Learning (RPL) towards Vocational Education and Training (VET) qualification(s) within the scope of RAV's RTO.

2. Scope

2.1 All enrolments, current and prospective, where there is substantial evidence to support prior recognition on the elements of unit of competencies that they are enrolled in, within the RTO's scope.

3. Definitions

3.1 **AQF**: Australian Qualifications Framework, the national and coordinated policy which regulating the quality of Australian qualifications across all education and training sectors

3.2 **AQTF**: means the policy framework entitled "Australian Quality Training Framework" that defines the criteria and standards for the registration of training organisations and the accreditation of courses in the vocational education and training sector.

3.3 **Credit**: exemption from enrolment in a particular part of the course as a result of previous study, experience or recognition of a competency currently held. This term includes academic credit and recognition of prior learning.

3.4 **Credit transfer**: recognition for study which is equivalent in content and learning outcomes already completed through an RTO, which counts towards further study.

3.5 **RAV**: Relationships Australia Victoria

3.6 **Recognition of Prior Learning (RPL)**: an assessment process regarding an individual's relevant prior learning (including formal, informal and non-formal learning, work and life experiences) to determine the credit outcomes of an individual application for credit.

3.7 **RTO**: Registered Training Organisation, a training organization authorised to deliver VET programs and courses

3.8 **SharePoint**: RAV's Internal online document management system

3.9 **Unit of competency**: The specifications of the standards of performance required in the workplace as defined in a training package.

3.10 **VET**: Vocational Education and Training

3.11 **ASQA:** Australian Skills Quality Authority: The government agency established in 2011 to support the National VET Regulator in their decision-making. ASQA is the national regulator for Australia's vocational education and training sector. ASQA's purpose is to ensure quality education and training so that students, employers, governments and the community can have confidence in the integrity of qualifications issued by training providers.

3.12 VQF: VET Quality Framework: Set of standards and conditions used by the Australian Skills Quality Framework (ASQA), the national VET regulator, to assess whether registered training organisation (RTOs) under its jurisdiction meet the requirements for registration. They comprise of:

- The Standards for Registered Training Organisations

- o The Australian Qualification Framework,
- o The fit and Proper Person Requirements
- o The financial Viability Risk Assessment Requirements
- o The Data Provision Requirements

4. Context

4.1 The AQF facilitates the progression of students through qualifications by giving credit for learning outcomes they already have achieved. Credit outcomes may allow for entry into a qualification and/or provide credit towards the qualification. Credit given may reduce the time required for a student to achieve the qualification.

4.2 RPL is one of a number of processes for establishing credit or advanced standing. RPL broadens access into formal learning by enabling credit to be given for student achievement through other formal or informal learning, including that acquired through work or life experience where there is evidence as to where and how the relevant skills were obtained.

4.3 RPL involves Issuing Organisations undertaking an assessment of each individual who applies to determine the extent to which that individual's previous learning is equivalent to the learning outcomes of the components of the destination qualification.

5. Implementation

5.1 RAV's RTO will assess applications for RPL based on the following principles:

a) Validity: the learning experience should be relevant to the training program, as determined by alignment of in-scope course learning objectives.

b) Authenticity: the learning experience must have been undertaken by the applicant, and the information in the application must be true and accurate.

c) Currency: the learning experience should indicate up-to-date knowledge and skills in relation to the intended area of training and must have been completed not more than five years prior to entry to the relevant training program.

d) Reliability: the assessment tools used to provide evidence of competency should be reliable and comparable to that of the RTO program.

e) Comparability: ensures that the learning experience undertaken has similar value to that of the RTO training program, and is comparable in terms of content, breadth of experience, level of responsibility, rigour of training requirements, assessment process, supervision and credibility of training setting.

f) Continuity: experience must be focused and developed over a sustained period of time.

g) Timeliness: Applications for RPL must be submitted at least one month prior to the commencement of the course to enable RPL assessments to be made prior to course commencement.

h) Evidence-based: the applicant must provide sufficient evidence of the learning experience to demonstrate that the learning outcomes have been achieved, and to enable the assessor to judge the appropriateness of the experience.

5.2 To be eligible to apply for RPL for any training program, the applicant must:

a) meet the standard eligibility criteria for entry to the relevant program

b) be registered with the relevant training program

c) have completed learning experience/qualification prior to entry to the relevant training program.

5.3 As with all assessment, RPL:

a) will be undertaken by trainers/assessors with expertise in the subject, content or skills area, as well as knowledge of and expertise in RPL assessment

b) will be at the same standard as other assessment for the qualification

c) should recognise learning regardless of how and where it was acquired, provided the learning is relevant to the learning outcomes in the qualification

d) must ensure that evidence provided is valid, authentic, current and sufficient and that the process is fair, flexible reliable and valid.

5.4 RAV will charge a fee for RPL assessment as determined in the RTO Fees, Charges and Refunds Policy and outlined in the RTO Annual Fees Statement.

6. Procedure

6.1 A student may indicate their intention to apply for RPL upon the Student Enrolment Form, at which time RTO Administration will supply them with the RPL Application and Assessment Form.

6.2 RTO Administration also provides the applicant(s) with the:

a) RPL Policy and Procedure, process and timelines, including applicable fee.

b) RPL Application and Assessment Form

c) information (verbal and/or written) on collecting and submitting evidence of attainment of the relevant experience for which RPL is being applied, and complaints and appeals procedure.

6.3 Applicant discusses application with RTO Staff.

6.4 Applicant submits all documentary evidence of prior learning. Examples of evidence may include:

a) Current peer assessment and outline of skills

b) Documentation of training courses of seminars attended

c) Video demonstration of competency

d) Peer evaluations or statements

e) Examples of material produced relevant to the competencies

f) Examples of material produced as a part of life experience.

g) Verbal evidence may also be sought through an interview with applicant.

6.5 Upon receipt, RTO Staff check and verify the application to ensure that all required details have been submitted and are accurate, including course codes.

6.6 RTO will inform the applicant in a timely manner about:

a) any inconsistency or erroneous data/information supplied

b) any evidence material supplied which does not fulfil the evidence requirements.

6.7 An assessor will evaluate the portfolio of evidence supplied by the Applicant and hold an interview to further evaluate the applicant's level of competency through their demonstrated skills.

6.8 The assessor will determine one of the following outcomes:

a) competency has been achieved, the application is successful and that RPL has been granted

b) insufficient evidence/demonstration of skills has been provided

c) the applicant is not yet competent in the learning outcomes for which RPL has been sought.

6.9 The assessor will provide feedback to the application in a timely manner regarding the outcome of the assessment of their application for RPL, and inform RTO Administration of the outcome in writing.

6.10 RTO Administration:

a) advises the applicant in writing of the application outcome and, if unsuccessful, the RAV Grievance and Appeals procedure.

b) Maintains all records regarding Credits granted on the individual student file.

c) Enters data on the Student Management System once the RPL process is completed, identifying that the student is deemed to have completed the relevant units. Enters the student outcome code for RPL.

d) If the application is successful, recalculates the unit and/or course fee relating to the applicant's enrolment and issues a revised invoice issued for the remaining course fees. If fees have already been paid, the fee will be recalculated and refund made where necessary.

6.11 An applicant may submit a written appeal to the Senior Manager Training and Development within 7 days of notification of the results.

7. Communication

7.1 This policy will be communicated to RTO students and prospective students by RTO Administration.

7.2 Changes will be communicated by the Senior Manager Training and Development to other RTO stakeholders, including RTO staff, trainers and assessors, and senior management.

7.3 The outcomes of individual applications will be communicated between the parties as appropriate within the parameters of RAV Privacy and Confidentiality policies.

PP-8 Student Fees, Charges and Refunds

1. Policy Statement

1.1 The purpose of this policy is to outline RAV Training and Development's principles for the setting of fees and charges and issuing of refunds.

2. Scope

2.1 This policy applies to all RAV Training and Development (including RTO) students completing training with RAV.

3. Definitions

3.1 Fees: Amounts charged to students for educational services relating to in-scope courses, accredited training, short courses, workshops and other fee-for-service training activities.

3.2 Refund: Money paid to RAV which is to be repaid to a student where a student withdraws from or defers their participation in a course or training activity.

3.3 SRTO: Standards for RTOs 2015.

4. Context

4.1 The not for profit context of the delivery of RAV's Training and Development programs, necessitates a financially sustainable fees, charges and refunds model, to ensure value for money for students, and ongoing viability and compliance of Training activities.

4.2 AQTF requires all RTOs to have an accessible refund policy for current and prospective students. Consumer Affairs legislation requires the provider of services to ensure that the service provided is as described in the advertising.

4.3 RAV is committed to providing quality and sustainable training services, and provides the opportunity for students to participate in the learning experience. Fees are charged to enable RAV to deliver training services, and are applicable for any services received including those received up to the point a student withdraws, or requests additional certification following their completion of the course or training activity.

5. Implementation

5.1 RAV will establish clear procedures and forms regarding the application of course fees, to ensure compliance with AQTF standards.

5.2 It is RAV's intention to levy fees and charges and/or issue refunds in the following situations:

a. in accordance with Clause 7.3 of Standards for RTOs 2015

    i. at the acceptance of enrolment, in the form of a deposit paid for training fees (if applicable)

    ii. at course commencement and at regular intervals thereafter as identified in a Fee Payment Schedule

b. to support an application for Recognition of Prior Learning (RPL)

c. to hold a deferred place in a subsequent course which commences in a different calendar year

d. as a penalty for late course payments

e.   for replacement of learning resources which have not been returned or have been returned with damage

f.   for replacement or non-return of a swipe card (access to training facilities)

g.   where a refund of student fees becomes payable, including as the result of a successful application for Credit Transfer and/or RPL

h.   where a student requests a duplicate copy of a Certificate or Statement of Attainment.

5.3   Fee Payment

a.   The specific fees applicable to the course will be detailed in the Annual Fee Statement, which will comply with SRTO guidelines regarding maximum fees payable, including in relation to deposits (if applicable) and instalment payment amounts.

b.   Fees collected are to be paid into a bank account of RAV.

c.   A receipt will be issued by RAV to the student at the time, or immediately after fees are received and cleared by the bank

d.   Fees paid will be recorded in the RAV accounting system so that each student's financial status is known at all times.

e.   Where an individual student or organisation sponsoring a student to attend a course chooses to pay all course fees in advance to suit their own financial circumstances, noting that this is not at RTO requirement, RAV will credit the student's enrolment and retain sufficient liquidity to refund relevant fees should the student withdraw from the course, in line with RAV/RTO Policy or should the RTO cease to exist.

5.4   Refunds

a.   Refund application requests must be made in writing and submitted using the Student Refund Request form provided by RAV.

b.   Refunds will be made within 28 days of written notification being received by RAV (provided refund is approved).

c.   Refunds will be paid in accordance with this policy and procedure.

d.   RAV's Chief Financial Officer or their delegate must approve student refunds. The Senior Manager Training and Development is the CFOs delegate in this circumstance.

e.   Refunds given will be recorded in the RAV accounting system so that each student's financial status is known.

5.5   Refund conditions - The application of refunds will be considered on the following basis:

a.   Prior to commencement of course.

  i.   Any requests four working weeks before the commencement of the course will support a full refund of the deposit (if appliable) and any fees paid, provided the student has completed the Student Withdrawal form.

  ii.   If the withdrawal is requested within 4 weeks prior to course commencement, RAV will retain the deposit (if appliable) and any other fees will be refunded.

b.   Upon commencement of course:
  i.   If the student does not provide written notice of withdrawal and does not start the course on the agreed starting date, there will be no refund of the deposit paid (if appliable).

  ii.   If the withdrawal is requested within four weeks following course commencement, RAV will retain the deposit (if appliable) and the first instalment paid at the commencement of the course.

iii. No refunds will be payable after four weeks following the course commencement date, unless there are exceptional circumstances which may be considered by the Senior Manager Training and Development, and an alternate arrangement negotiated.

iv. No refund of tuition fees will be made where a student's enrolment is cancelled for any of the following reasons:

failure to maintain satisfactory attendance

failure to complete course requirements within a reasonable timeframe

failure to pay course fees

any behaviour which breaches the RAV Code of Conduct, Student Code of Conduct, Student Confidentiality Policy or RAV's Intern Placement Policy which may result in enrolment cancellation.

c. Upon a successful application for Credit Transfer or Recognition of Prior Learning

i. Following the recalculation of unit and/or course fees relating to the student's remaining enrolment, RAV will issue a revised invoice for remaining fees: where fees have already been paid, the fee will be recalculated and refund made where necessary.

6. Procedure

6.1 RAV will publish an annual Fees Statement which outlines course fees, payment schedules and applicable refunds statements, and make this available to current and prospective students via its website.

6.2 RAV collects fees from students according to the published payment schedule, and issues reminders and follow up action as required where fees are not paid on time.

6.3 A student applying for Recognition of Prior Learning submits an application and applicable fee. Decisions regarding RPL outcomes are made in accordance with the Recognition of Prior Learning Policy.

6.4 Student submits application for deferral or withdrawal from a course in writing on the relevant Student Withdrawal or Student Deferral Form with complete application for refund details, to the Senior Manager Training and Development.

6.5 The application of refunds will be considered according to 5.4 and 5.5 of this policy.

6.6 RAV refunds, within 4 weeks of commencement, all course monies paid where the:

a. student's application for enrolment has not been accepted by RAV, or

b. course does not proceed.

6.7 Where exceptional circumstances apply, the Senior Manager Training and Development may agree to an alternate payment arrangement.

6.8 In the unlikely event that RAV is unable to deliver the course in full, a full refund of all course money paid where services have not been delivered will be refunded.

6.9 This policy and the Student Grievance and Appeals Policy do not remove the right of the student to take action under Australia's consumer protection laws.

7. Communication

7.1 Information regarding the content and application of this policy will be communicated by the Senior Manager Training and Development to:

a. Prospective and current students in RAV marketing materials

b. RAV Training and Development staff

c. RAV Chief Financial Officer

7.2 All Training and Development staff will be advised of any changes to legislation or business practice that may impact the implementation of this policy.

PP-9 Student Code of Conduct

1. Policy Statement

1.1 The purpose of this policy is to ensure that all RAV students understand and abide by the standard of conduct expected of them.

2. Scope

2.1 This policy applies to all RAV Training and Development (including RTO) students completing training with RAV.

3. Definitions

3.1 RAV: Relationships Australia Victoria

3.2 RTO: Registered Training Organisation

4. Context

4.1 RAV Training and Development seeks to foster a workplace and learning environment that is harmonious, positive, civil, respectful and inclusive, and which is free from bullying and harassment.

4.2 Accordingly, RAV students are expected to act in accordance with RAV's values. These are:

a. treating everyone with respect, equally and with inclusivity

b. behaving with integrity in all our dealings

c. being open and honest in all our communications

d. using our resources responsibly

e. providing high quality services and maintaining the highest professional standards,

f. being adaptable and responsible to change.

5. Implementation – Student Requirements

5.1 Upon enrolment in a RAV course, the prospective student **must**:

a. undertake a National Police Check and Working with Children Check prior to attending any premises as requested by RAV, and ensure they are current and valid for the duration of the course and placement.

b. for RTO courses, apply for a Unique Student Identifier (USI) and provide to ravtraining@rav.org.au prior to the commencement of a course

c. authorise RAV to seek information from any party noted in the student enrolment application form and/or provide any supporting documents for evaluation of an enrolment application.

d. provide information to RAV that is correct to the best of their knowledge.

5.2 Students enrolled in a course with RAV are **required to** (regardless of the course component being undertaken at any given time (including, but not limited to; theoretical / class presentations, assessment components, skills components, placements in operational settings, placement seminars):

a. observe and abide by the RAV Code of Conduct and RAV Policies and Procedures, including this Code of Conduct

b.   treat other students, trainers and assessors, industry coaches, RAV staff and clients with respect and fairness at all times

c.   cooperate with RAV staff and respond to directions by staff to maintain a safe learning and/or working environment

d.   respond to direction and instruction by supervisors/trainers

e.   demonstrate capacity to listen and act on feedback

f.   address gaps in behaviour and competencies identified by supervisor/trainers

g.   demonstrate coping mechanisms and ability to contain reactions in a professional manner

h.   accept own agency in attainment of competencies

i.   disclose to the course coordinator (either immediately or as soon as possible), any relationships (either with staff, client or employer) that may influence their judgment or imply or relate to any potential, actual or perceived conflict of interests. This includes:

   i.   preventing or refusing, or knowingly allowing colleagues, to accept any inducement, commission, gift or any other benefit from persons associated with the course, including but not limited to clients, employees or any interested party

j.   attend 95% of the theoretical/class presentations and placement seminars

k.   be punctual for classes and placement, supervisory appointments and client appointments

l.   be available for, and meet student placement obligations.

m.   attend supervision and course requirements as required

n.   complete all course work and course obligations (including student placements) in a timely way with honesty, integrity and professionalism, including:

   i.   adhering to the requirement that all materials submitted for assessment will be the students own work i.e. that the student does not engage in plagiarism

   ii.   complying with standard conventions for authorship

o.   pay all fees levied by RAV for attendance in courses in which the student is enrolled within the published timelines

p.   use equipment and property of RAV in an ethical and careful manner

q.   return borrowed resources on time

r.   ensure that they do not act in any way that would prejudice the reputation of RAV or the accreditation approval process, and co-operate fully with an enquiry in the event of any alleged breach of this Code.

6.   Procedure - Breaches of the Student Code of Conduct

6.1   Breaches of this Student Code of Conduct are taken seriously and will be investigated. Such investigations may result in termination of student enrolment and cessation of any agreement or contract the student may have with RAV.

6.2   Should a disagreement arise in relation to a breach of this Code of Conduct that cannot be resolved through discussion with the course coordinator and/or Senior Manager Training and Development, it may be referred to the CEO of RAV. Such disagreements, when referred, may be dealt with by way of the Student Grievance and Appeals Policy and Procedure.

7.   Communication

7.1   All students and Training and Development staff will be advised of this Policy and any updates or revisions.

PP-10 Student Complaints

1. Policy Statement

1.1 To ensure that all RAV students may reasonably expect to undertake their studies in a safe and civil environment, free from behaviours which may constitute discrimination, harassment, sexual harassment, threatening or violent conduct.

2. Scope

2.1 This policy applies to all RAV Training and Development (including RTO) management, staff and students.

3. Definitions

3.1 **Complaint**: an expression of dissatisfaction or grievance about a situation or condition within a RAV learning environment which a student believes to be unfair, and/or relating to harassment or vilification, and is a hindrance to their effective learning.

3.2 **Complainant**: the person making the complaint

3.3 **Discrimination**: any distinction, exclusion or preference made on the grounds of age, medical record, criminal record, impairment, marital or relationship status, mental, intellectual or psychiatric disability, nationality, physical disability, sexual orientation, trade union activity, amongst other things, or on the basis of the imputation to a person of any of the grounds specified above.

3.4 **Grievance**: a complaint made by a student regarding the impact of an RAV Training and Development decision which impacts on their enrolment and/or progress through a course. *Note*: Grievances are managed through the RAV Training and Development Grievance and Appeals Policy and Procedure.

3.5 **Harassment**: behaviour that targets an individual or group that offends, humiliates, intimidates or creates a hostile environment.

3.6 **Respondent**: the person about who a grievance or complaint is lodged.

3.7 **Sexual harassment**: Sexual harassment is an unwelcome sexual advance, unwelcome request for sexual favours or other unwelcome conduct of a sexual nature which makes a person feel offended, humiliated and/or intimidated, where a reasonable person would anticipate that reaction in the circumstances.

4. Context

4.1 In line with the regulatory environment governing the delivery of vocational education and training, RTOs must adhere to the principles of access and equity and maximise the outcomes achieved for students. This includes creating an environment where students' views are valued, regardless of whether they wish to provide positive feedback, make suggestions for improvement or make a complaint against another party.

4.2 RTOs must also provide an avenue for a student to lodge a complaint or concern about matters arising from their coursework, any aspect of their studies, or review of an RTO decision about a matter related to their enrolment in and progress through a course. In these situations, the RAV Training and Development Grievance and Appeals Policy will be utilised.

4.3 RAV Training and Development is committed to these standards for RTO scoped training and all other training.

5. Implementation

5.1 RAV is committed to the provision of quality training services for students and will implement a fair, accessible, responsive and accountable complaints handling system as part of this commitment and within its continuous improvement approach to management. This system will respond to and manage allegations involving the conduct of:

a) All Training and Development (including RTO) staff, trainers, assessors or other staff
b) Any third-party providing services on behalf of the RAV Training and Development, its trainers, assessors or other staff
c) A student of RAV Training and Development (including RTO students)

5.2 RAV Training and Development will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaints process. The Policy and Procedure will be publicly available, clearly spelt out and include written acknowledgements to complainants and respondents.

6. Procedural Fairness

6.1 The investigation of a complaint will be carried out in accordance with the following principles of procedural fairness:
   a. All parties to a complaint have the right to be heard and have their concerns investigated.
   b. All parties have access to the relevant policies and procedures, and receive advice that if the complaint is of such a serious nature that disciplinary action may result, then the facts revealed during an investigation into the complaint may be used in any subsequent disciplinary proceedings.
   c. Confidentiality of process will be assured by an independent decision maker who does not have a conflict of interest in managing a process, with information given only to those who need to know.
   d. Where a complaint is in relation to a RAV Training and Development trainer/assessor, a respondent to a complaint must be informed of all allegations in relation to the matter and the complainant's identity.
   e. The exact behaviour, including perceived behaviour or an omission that constitutes the cause of the complaint which is under consideration, must be described in detail.
   f. The respondent has a right to know that a formal complaint has been made as soon as practicable (usually within 5 working days), will be informed in writing, has a right to respond to the allegation, and have their submission given due and proper consideration.
   g. Investigations into the complaint must be undertaken thoroughly, justly, without bias and expeditiously, within a 30-day time frame, where practicable. All parties will be kept informed about the process.
   h. All decisions will be fact and evidence-based where possible.
   i. Each party has a right to a third-party support person throughout the process.
   j. Each party has a right to an explanation of the actions taken and decisions made in the process of investigating, mediating or determining the outcome of a complaint.

6.2 Exclusions
   a. Complaints made by a student regarding the impact of a Training and Development decision which impacts on their enrolment and/or progress through a course are managed through the RAV Training and Development Grievance and Appeals Policy and Procedure.

6.3 Complaint resolution procedure
   a. A complaint submitted by a student of the RAV Training and Development will be dealt with according to the following procedures in order to reach a resolution.
   b. RAV recognises that students of Training and Development have the right to express a complaint and to seek a solution for any disagreement. In the interest of all parties involved, complaints will be processed in accordance with:

     i.   common sense and principles of procedural fairness

     ii.   'fair dealing' without bias or intimidation to either side

     iii.   a total respect for confidentiality of proceedings at all times regarding both documentation and discussion of issues in order to minimise any undue adverse effects on all parties involved

c.   These procedures provide a process intended to address and respond to a complaint, conflict or concern that has occurred while a student of Training and Development and to overcome such conflict or complaint without delay, in a conciliatory, informal and effective manner.

d.   Note: Senior Manager Training and Development can and may take action, even without a formal complaint being lodged. The manager can highlight to the individual that their behaviour is inappropriate.

7. Procedural Steps

7.1 Step 1 - Direct approach

a. Where the complainant feels able to speak directly to the other person(s) involved, they tell them that they find their behaviour offensive or uncomfortable and want it to stop. This is a useful strategy as the other person(s) may be unaware of the impact of their behaviour on others and raising it with them may prevent a recurrence of the behaviour. This may occur between students, or between students and RAV staff. Should the complainant choose to follow this option, they should keep a written record of the conversation

     i.   at any stage of the complaint process, the complainant may seek advice or a support of their choice including a colleague/peer.

     ii.   at any stage of the complaint process, the complainant may seek or be provided with support from RAV to speak directly to the other party

     iii.   should the inappropriate behaviour persist, or if the complainant chooses, a formal complaint can be lodged at any stage in the complaint process.

  b. *Outcomes of Step 1:*

     i.   No further action – Once the matter has been discussed (as prescribed in Step 1) the complainant may decide not to take the matter any further. This doesn't preclude the complainant from reopening the issue at a future date if necessary.

     ii.   If the complainant identifies their concern as a complaint or makes a dedicated effort to bring their concerns to RAV, then the complaint will be recorded in the Student Register of Complaints.

i.   Should the complainant be unwilling/uncomfortable to talk with the person or have tried this option but the behaviour persists, see Step 2.

7.2 Step 2 - Seeking help and/or advice

a)   Outside assistance may be required if another party aside from RAV Staff (including RTO trainer/assessors) is the subject of the complaint.

     i.   The complainant discusses the situation with their trainer or trusted colleague. Following the discussion, the complainant may agree for the trainer or colleague to speak with the subject of the complaint about their behaviour and/or the incident to resolve the complaint.

     ii.   During this stage either party to the complaint may seek advice from the RAV Complaints Officer. Every endeavour should be made to resolve the matter at the informal stage, including facilitation of a discussion with the other party before moving to formal mediation.

b)   *Outcomes of Step 2:*

    i.   That the trainer or colleague speaks to the person, confidentially, and the individual is made aware of the issue.

    ii.   No further action – Once the matter has been discussed (as prescribed above) the complainant may decide not to take the matter any further. This choice doesn't preclude the complainant from reopening the issue at a future date if necessary.

    iii.   If no further action is needed, and the complainant identifies their concern as a complaint or makes a dedicated effort to bring their concerns to RAV, then the complaint will be recorded in the Student Register of Complaints.

    iv.   Mediation – if the matter remains unresolved the complainant may decide to proceed to Step 3 – Mediation.

    v.   *Notwithstanding this, the staff member may proceed to Step 3.*

7.3 Step 3 – Mediation

a.   This step involves the Senior Manager Training and Development organising a mediation session with all the parties and either an internal or external mediator to resolve the complaint. Where the mediator is internal, the internal RAV mediation procedure is followed to ensure confidentiality and professionalism at all times.

b.   Once the mediation has been completed and a resolution agreed, the Senior Manager Training and Development will make follow-up contact two weeks later to ensure the complaint remains resolved.

c.   Some action may still be taken by the Manager to address the issue with the parties such as training, monitoring, observing or general discussion following one or more mediation sessions.

d.   At the conclusion of the resolution process, the Senior Manager Training and Development / Internal / External Mediator will write to both the complainant and respondent (person about whom the complaint is made), indicating the outcome of the process and specifying any action that has been agreed by the parties or may be required by RAV as part of the outcome.

7.4 Step 4 - Formal Complaint

a.   Notification of a formal complaint must be lodged by the person making the complaint, in writing to the Senior Manager Training and Development, and copied to the RAV CEO.

b.   Where the Senior Manager Training and Development is the subject of the complaint, then the formal complaint would be lodged to the CEO. The CEO would then act in the place of the Senior Manager Training and Development in the outlined process.

c.   The Senior Manager Training and Development (or nominee) will interview all the parties involved in the complaint and review the material gathered in the investigation of the complaint to determine whether the complaint, on the facts provided:

    i.   constitutes inappropriate behaviour

    ii.   is not frivolous, vexatious or malicious

    iii.   should be referred to the appropriate state or federal authority for investigation.

a.   The Senior Manager Training and Development, on finding that the complainant has a complaint that on the facts provided constitutes inappropriate behaviour, shall discuss the proceedings with the CEO.

b.   The Senior Manager Training and Development will conduct an investigative process as follows, in accordance with the principles of procedural fairness:

    i.   Interview the complainant, the respondent and such other persons or seek any further information it considers desirable.

    ii.   Determine whether the complaint is justified.

    iii.   Recommend actions to remedy the complaint to the CEO.

    iv.   Such action may include counselling either or both parties, arranging for conciliation of the complaint, disciplinary action as prescribed in the RAV Staff Enterprise Agreement including

termination of employment, referral to the relevant state or federal authorities for investigation and determination, or that no further action is taken.

    v.   Where the respondent to a complaint is another student, and where the issue cannot be resolved, cancellation of or deferral of enrolment may result, in line with the student agreement.

7.5 **Step 5 - Outcome**

    a) The Senior Manager Training and Development will:

      i.   write a summary report outlining the recommendations upon the completion of the complaint process, including outcomes of consultations with the CEO or delegate on determinations and recommended actions.

      ii.   notify both the complainant and respondent in writing regarding the outcomes of the investigation and resulting actions.

8. Right of Appeal Following a Formal Complaint

8.1 If one of the parties concerned is unsatisfied with the outcome following a Formal Complaint they can lodge a final written appeal with the CEO within 10 working days from the last formal meeting regarding the complaint process.

8.2 The CEO will convene an all-party hearing (including Complaints Officer if applicable) where the CEO will:

    a)   listen to the complainant and ask questions as appropriate
    b)   listen to the respondent and ask questions as appropriate
    c)   take counsel from the Senior Manager Training and Development
    d)   Make a Final adjudication

8.3 The CEO hearing is the final internal adjudication of the complaint. If the matter cannot be resolved it may be referred by either party to The Victorian Registration and Qualifications Authority for resolution.

8.4 If the matter cannot be resolved within RAV, it may be referred to a mutually agreed independent mediator (from an agreed list of mediators) who may exercise powers of conciliation or arbitration and whose decision will be binding subject to prior agreement by the parties.

While RAV encourages the use of its internal procedures to resolve any complaints of discrimination, harassment or bullying, at any time it is an individual's right to refer the matter to the Victorian Equal Opportunity and Human Rights Commission.

9. Record-Keeping and Monitoring

9.1 Notes will be taken of each issue and at the resolution of each complaint process by the Senior Manager Training and Development and held securely.

9.2 All documentation will be kept securely by the Senior Manager Training and Development in a sealed container or as a password-protected file. It will be identifiable by the name of the complainant, date the complaint was made and name of the RAV staff member who handled the issue.

9.3 The notes will remain confidential and not accessible to either party. The notes will be kept by RAV for 7 years.

9.4 Under no circumstances should records be placed on a complainant's personal file. In the event of substantiated complaints, a summary may be placed on the respondent's file in accordance with the disciplinary outcome of the investigation.

10. Withdrawal of a Complaint

10.1 A complainant may withdraw a complaint at any stage during the complaint process by notifying the Senior Manager Training and Development in writing of the withdrawal.

10.2 The Manager must send a response to the complainant acknowledging that the complaint has been withdrawn by the complainant and advise the respondent that the complaint has been withdrawn.

11. Communication

11.1 All RAV Training and Development staff will be advised of this policy and any changes to it.

11.2 Upon review, feedback on this policy will be invited from Training and Development Staff and Management.

11.3 Training and Development Students will be advised as to the contents of this policy.

PP-11 Student Grievances and Appeals

1. Policy Statement

1.1 The purpose of this policy is to provide a mechanism for the review of decisions or actions taken by RAV Training and Development, where a student has a grievance regarding the impact of a decision which impacts on their enrolment or progress through a course.

2. Scope

2.1 Prospective and current RAV Training and Development students (including RTO students), including a student who has ceased enrolment for a period of three months after the enrolled has ceased.

3. Definitions

3.1 **Academic grievance**: a matter involving student progress, assessment, curriculum, supervision of practical experience, issues related to authorship/intellectual property, awards in a course of study and related matters.

3.2 **Appeal**: refers to a challenge to a decision made by RAV Training and Development staff.

3.3 **Complaint**: for the purposes of this policy refers to an expression of dissatisfaction or grievance with a decision, action or process within the College in this case regarding academic matters.

Note: Complaints made in relation to situation or condition within a RAV learning environment which a student believes to be unfair, and/or relating to harassment or vilification, and a hindrance to their effective learning are managed through the RAV Training and Development Student Complaints Policy and Procedure.

3.4 **Complainant**: the person lodging the grievance or appeal.

3.5 **Non-academic grievance**: those matters which don't relate to academic-related matters and include complaints in relation to personal information that RAV Training and Development holds in relation to a student.

3.6 **Respondent**: the person about who a grievance or complaint is lodged.

3.7 **Suggestion**: verbal or written comment made by an RAV Training and Development Student which is given in good faith in relation to improving any aspect of the RAV Training and Development's operations or service delivery.

4. Context

4.1 RAV Training and Development (including the RTO) operates on the basis that decisions relating to assessment, course progression, teaching quality etc are entrusted to Training and Development trainers and assessors in accordance with established Training and Development procedures. It is recognised that from time to time disagreements regarding academic or other matters may arise, and RAV is committed to resolving disputes between the Training and Development and students as quickly and sensitively as possible.

5. Implementation

5.1 RAV will attempt to resolve any issues arising due to disagreement about decisions made by the Training and Development in good faith, and provide a mechanism where a student who feels aggrieved by a

decision or action of RAV Training and Development or wishes to seek a review or redress of such a decision or action.

5.2   It is RAV's intention that any dispute will be resolved promptly, objectively and as close to the source as possible, with reference to the next level/s up where necessary.

5.3   Where there a delay in process, the party causing the delay will inform the other party/ies of the reason for and length of the delay.

5.4   Student grievances and appeals will be treated confidentially at all stages of the process, with access to information strictly limited to a 'need to know' basis. Grievances and appeals will be handled in accordance with the principles of procedural fairness.

5.5   A student's progress will be maintained throughout their participation in the Grievance and Appeals process until the matter has been decided.

5.6   Grievances or appeals should be made in writing and lodged within 10 working dates from the date of occurrence, and clearly and objectively identify the issues, provide evidence in support of it and organise the evidence in a clear and logical manner.

5.7   This policy will be made available through several mechanisms, including through, but not limited to, the RAV website, in student information guides, and in orientation procedures for RAV Training and Development Staff.

6.   Exclusions

6.1   For a grievance, complaint or appeal with the respect to a refund of a payment made to the RTO, refer to the *Student Fees, Charges and Refunds* Policy and Procedure.

6.2   Complaints made a to situation or condition within a RAV learning environment which a student believes to be unfair, and/or relating to harassment or vilification, and a hindrance to their effective learning are managed through the *Student Complaints* Policy and Procedure.

7.   Procedural Fairness

7.1   The investigation of a grievance or appeal will be carried out in accordance with the following principles of procedural fairness:

a.   All parties to a complaint have the right to be heard and have their concerns investigated.

b.   All parties have access to the relevant policies and procedures, and receive advice that if the complaint is of such a serious nature that disciplinary action may result, then the facts revealed during an investigation into the complaint may be used in any subsequent disciplinary proceedings.

c.   Confidentiality of process will be assured by an independent decision maker who does not have a conflict of interest in managing a process, with information given only to those who need to know.

d.   Where a complaint is in relation to a RAV staff member's behaviour, a respondent to a complaint must be informed in writing of all allegations in relation to the matter and the complainant's identity.

e.   The exact behaviour, including perceived behaviour or an omission that constitutes the cause of the complaint which is under consideration, must be described in detail.

f.   The respondent has a right to know that a formal complaint has been made as soon as practicable (usually within 5 working days), will be informed in writing, has a right to respond to the allegation and have their submission given due and proper consideration.

g.   Investigations into the complaint must be undertaken thoroughly, justly, without bias and expeditiously, within a 30-day time frame, where practicable. Both parties will be kept informed about the process.

h.   All decisions are fact and evidence-based, ensuring that all relevant submissions and any mitigating factors are given due and proper consideration before any conclusions are reached or any action is taken.

i.   Both parties have a right to a third-party support person throughout the process.

j.   Each party has a right to an explanation of decisions and actions.

7.2   These procedures require that the person raising a grievance or complaint must be willing to be identified.

8.   Procedural Stages

8.1   There are four stages of process in the resolution of a grievance, complaint or appeal, with each stage representing an increase in the level of formality in the management of the grievance or appeal.

a.   **Stage 1:** Informal Discussion/Negotiation normally between student and staff member involved, and/or the supervisor of the staff member involved.

   i.   At this stage, every effort should be made to resolve the grievance before it is formalised, using verbal and informal methods. Discussions are to be held in good faith between the student and the other party in an effort to genuinely resolve the grievance at the workplace level. The student is responsible for ensuring they make clear the nature and grounds of the academic grievance or complaint and, where applicable, provide evidence to support any claims.

   ii.   Following discussion, the Training and Development staff member will investigate the grievance or complaint, and may consult with relevant Training and Development staff or students including engaging in further informal discussion with the student.

   iii.   A party against whom the grievance or complaint has been raised will be given the details of the complaint against them, and they will be given the opportunity and a reasonable time to respond before the process continues.

   iv.   The staff member shall normally respond to the student, normally in writing via email, within 10 working days of the student's initial raising of their grievance or complaint. This response will briefly outline the nature and grounds of the student's grievance or complaint and the staff member's decision on the matter.

   v.   If the student is satisfied with the response at this stage, no further action is required. If the student has used the word 'complaint', or made significant effort to report their concerns, then the complaint will be recorded on the Students Complaint Register.

   vi.   If the student is dissatisfied with the response, or the decision outcome or the time taken to resolve the matter, he or she should proceed to Stage 2.

b.   **Stage 2**. Formal Internal Grievance/Complaint/Appeal to the Senior Manager Training and Development. Formal recording of academic grievances, complaints and appeals commences from Stage 2.

   i.   The student outlines their grievance in writing, with as much detail as possible and gives this to the Senior Manager Training and Development.

   ii.   Following clarification with the complainant, the Training and Development staff member will investigate the grievance or complaint, and may consult with relevant Training and Development staff or students should they agree to participate, and engage in further formal discussion with the complainant.

   iii.   A party against whom the grievance or complaint has been raised will be given the details of the complaint against them in writing, and they will be given the opportunity and a reasonable time to respond before the process continues.

   iv.   The Senior Manager Training and Development shall normally respond to the student, normally in writing via email, within 10 working days of the student's lodgement of their grievance or complaint. This response will briefly outline the nature and grounds of the student's grievance or complaint and the manager's decision on the matter.

     v.   If the student is satisfied with the response at this stage, no further action is required. If the student is dissatisfied with the response, or the decision outcome or the time taken to resolve the matter, he or she should proceed to Stage 3.

    c. **Stage 3**. Formal Internal Appeal to the CEO or delegate.

     i.   Where the grievance or complaint has not been resolved at the source or at management level, the matter is to be referred directly to the CEO or delegate for discussions in good faith, and resolution in the manner in which the CEO/delegate deems to be appropriate in the circumstances.

    d. **Stage 4**. External Appeal to a person/body nominated by Training and Development or the Victorian Registration and Qualifications Authority

8.2   For each stage of the process, both the complainant and respondent, if relevant, have the right to a full explanation in writing for decision and actions taken as part of the procedures.

9. Record Keeping and Monitoring

9.1   Records will be taken of each issue, and at the resolution of each complaint process by the Senior Manager Training and Development, and held securely. Where a complaint has been resolved at Stage 1, it is expected that records will be shorter, and made in less detail.

9.2   Complaints shall be recorded by the Senior Manager Training and Development in the Students Complaints Register, with de-identified Student Complaint Forms attached and analysed regularly by the Senior Manager Training and Development to ensure that high quality services are maintained. The Senior Manager Training and Development will forward copies of the de-identified Complaints Register to the RAV Complaints Officer quarterly.

9.3   Records made and kept in association with this policy will be kept in accordance with RAV's records management policies and procedures. Confidential files related to the implementation of this policy must be maintained according to relevant privacy processes.

9.4   The notes will remain confidential and not accessible to either party. The notes will be kept for 7 years. Under no circumstances should records be placed on a Complainant's personal file. Complaint documentation will be filed by the Senior Manager Training and Development in a Student Complaints Register. In the event of substantiated complaints, a summary may be placed on the respondent's file in accordance with any disciplinary outcome of the investigation.

10. Withdrawal of a Complaint

10.1 A complainant may withdraw a complaint at any stage during the complaint process by notifying the Senior Manager Training and Development in writing of the withdrawal. The Manager must send a response to the complainant acknowledging that the complaint has been withdrawn by the complainant and advise the respondent that the complaint has been withdrawn.

11. Communication

11.1 All RAV Training and Development staff will be advised of this policy and any changes to it.

11.2 Upon review, feedback on this policy will be invited from Training and Development Staff and Management.

11.3 Training and Development Students will be advised as to the contents of this policy.

PP-12 Industry Consultation

1. Policy Statement

1.1 The purpose of this policy is to ensure that RAV is delivering training programs that build industry capacity.

2. Scope

2.1 All RAV staff and industry partners.

3. Definitions

3.1 Industry: the bodies that have a stake in the services provided by a training organisation, including but not limited to industry clients (employers and practitioners), group training organisations, industry organisations, industry regulators, industry skills councils or similar bodies.

3.2 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 industry. Current industry skills may be informed by consultations with industry and may include, but are not limited to: having knowledge of and/or experience using the latest techniques and processes; possessing a high level of product and/or practice knowledge; understanding and knowledge of legislation relevant to the industry and to employment and workplaces; being customer/client-oriented; possessing formal industry and training qualifications; and training content that reflects current industry practice.

3.3 Industry Coach: professional currently practicing in the relevant field who attends RTO face to face training to act as coaches for students undergoing practical learning tasks

4. Context

4.1 The Vocational Education and Training sector seeks to ensure that accredited courses are relevant to work and further training and designed so that students achieve the skill requirements of nationally recognised qualifications developed by industry.

4.2 Training and assessment strategies need to be clearly linked to industry requirements, so that validation processes and judgements about competency and work readiness are informed by industry consultation and in line with the outcomes of industry engagement.

4.3 In addition, the continual enhancement of a training organisation's performance is informed by the changing needs of industry, and the requirement for those needs to be accommodated.

5. Implementation

5.1 RAV will directly consult and/or engage with industry representatives as a key element in ensuring that our training and assessment strategies, learning practices and resources accurately reflect the needs of industry and the expectations of employers and other stakeholders.

5.2 RAV will use these engagement strategies to ensure the ongoing relevance of industry skills held by our trainers and assessors.

5.3 Engagement mechanisms will include general communications, written feedback, surveys and face-to-face engagement with industry members to contribute to assessment validation as appropriate.

5.4   RAV's RTO training and assessment strategies are informed by and consistent with the outcomes of industry engagement, and to ensure that RAV's RTO maintains strong relationships with industry groups and currency of qualifications on scope.

6.   Communication

6.1   All Training and Development Staff, including RTO staff.

6.2   Industry consultation participants.

PP-13 Credit Transfer

1. Policy Statement

1.1 This policy and procedure governs the processing of all applications for Credit Transfer for nationally recognised Vocational Education and Training (VET) qualification) within the scope of RAV's Registered Training Organisation (RTO).

2. Scope

2.1 All credit transfer applications

3. Definitions

3.1 **AQF**: Australian Qualifications Framework, the national and coordinated policy which regulates the quality of Australian qualifications across all education and training sectors.

3.2 **Applicant**: a student who applies for Credit Transfer under the Credit Transfer Policy and Procedure

3.3 **Course Commencement**: The officially notified date where the course formally commences

3.4 **Credit**: exemption from enrolment in a particular part of a course as a result of previous study, experience or recognition of a competency currently held. This term includes academic credit and recognition of prior learning.

3.5 **Credit transfer**: a process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications. In practice, credit transfer grants recognition for study which has already been completed through another RTO.

3.6 **RAV**: Relationships Australia Victoria

3.7 **RTO**: Registered Training Organisation

3.8 **SharePoint**: RAV's Internal online document management system

3.9 **VET**: Vocational Education and Training

3.10 **VQF: VET Quality Framework: Set of standards and conditions used by the Australian Skills Quality** Framework (ASQA), the national VET regulator, to assess whether registered training organisation (RTOs) under its jurisdiction meet the requirements for registration. They comprise of:

- The Standards for Registered Training Organisations
- The Australian Qualification Framework,
- The fit and Proper Person Requirements
- The financial Viability Risk Assessment Requirements
- The Data Provision Requirements

4. Context

4.1 RAV's RTO operates under the National Vocational Education and Training Regulator Regulations 2011, and within guidelines and standards issued by the ASQA. RAV delivers vocational education programs leading to AQF recognised qualifications which comply with the AQF Qualifications Pathways Policy. This AQF Qualifications Pathways Policy is underpinned by the following principles, that pathways:

   a) are clear and transparent to students

b)   are systemic and systematic

c)   enable flexible qualification pathways

d)   may be horizontal across AQF qualifications at the same level as well as vertical between qualifications at different levels

e)   can facilitate credit for entry into, as well as credit towards, AQF qualifications

f)   eliminate unfair or unnecessary barriers for student access to AQF qualifications.

5.   Implementation

5.1   As an RTO and in line with the Standards RTOS 2015, RAV recognises the credentials (qualifications and Statements of Attainment) issued by other RTOs.

5.2   As a qualification issuing organisation, RAV will:

a)   have clear, accessible and transparent policies and processes in relation to credit arrangements for students.

b)   publicise credit transfer arrangements to existing and prospective students

c)   regularly review and update policies in line with updates to qualification and student and industry needs.

5.3   All decisions regarding the giving of credit towards an AQF qualification will:

a)   be evidence-based, equitable and transparent

b)   be applied consistently and fairly with decisions subject to appeal and review

c)   be based on relevance and currency of the learning for which credit is sought and its relationship to the learning outcomes of the qualification

d)   be decided in a timely way, in advance of the commencement of the learning program

e)   allow for credit outcomes to be used for the partial fulfilment of the requirements of a qualification, where the application for credit transfer is approved

f)   be formally documented for the student including any reasons for not giving credit.

5.4   Under the principles of National Recognition, a student is granted an automatic credit for any unit that they successfully completed at any other RTO, whose registration was current at the time of the issue of any certification under any of the following circumstances:

a)   when the unit has **exactly** the same code and title, even if it is not from the same Training Package.

b)   When the unit has been **reviewed** and this has resulted in minor changes to the unit code or title e.g. A code to B code. This indicates that the outcomes of the unit have remained substantially the same and there is at least 80% commonality with the original unit.

c)   When the unit has been **transferred** from another Training Package/curriculum and recoded, however the learning outcomes remain the same.

5.5   RAV will not charge fees for Credit Transfer.

6.   Procedure

6.1   A student may apply for Credit Transfer by indicating their application on the Student Enrolment Form. or after enrolling in a RAV RTO course. Application after enrolment is required within two weeks of the course commencement date, and should be made in writing on the Credit Transfer Application form.

6.2 RTO Administration provides candidates with the

    a. Credit Transfer Policy and Procedure

    b. Information (verbal and/or written) on collecting and submitting evidence of attainment of the unit(s)/course, which were obtained at another RTO (i.e. transcripts/certificates).

6.3 Applicant discusses application with RTO staff.

6.4 Applicant submits all documentary evidence of training, including Statement of Results and Statement of Attainment, that relate to the course competencies. Documents provided must be original, official or certified documents and must be signed and sealed by the issuing Australian RTO.

6.5 Upon receipt, RTO staff check and verify the application to ensure that all required details have been submitted and are accurate, including course codes.

6.6 RTO will inform the applicant in a timely manner about:

    a. any inconsistent or erroneous data/information supplied

    b. any evidentiary material supplied which does not fulfil the evidence requirements.

6.7 The Senior Manager Training and Development (RTO) and/or RTO trainer and assessor:

    a. confirms the status of the requested credits through reference to the Training Package mapping document, curricular or other guidance material.

    b. approves, suspends pending further information or rejects the application within fifteen (15) working days of receipt of the application, noting 5.4 above.

6.8 Possible outcomes of application:

    a. application successful and credit granted, current competencies recognised

    b. application suspended pending candidate providing further information/evidence

    c. application rejected.

6.9 An applicant may submit a written appeal to the Senior Manager Training and Development (RTO) within 7 days of notification of the outcome.

7. Communication

7.1 This policy will be communicated to RTO students and prospective students by RTO Administration. Changes will be communicated by the Senior Manager Training and Development (RTO) to other RTO stakeholders, including RTO staff, trainers and assessors, and senior management. The outcomes of individual applications will be communicated between the parties as appropriate within the parameters of RAV Privacy and Confidentiality policies.

PP-14 Feedback

1. Policy Statement

1.1 All Training and Development programs and services will actively promote open and honest communication between the organisation and its stakeholders, including students, supervisors, contractors, industry members, employers and RTO staff, through various methods, including seeking feedback, in order to take a continuous improvement approach to the design and delivery of courses and training programs. RAV will invite, seek out and welcome feedback from students and key stakeholders through evaluation processes prior to, during and following service delivery.

1.2 All input from stakeholders, including training participants, will be de-identified for course evaluation purposes and all stakeholders will be able to retain a copy of their evaluation if desired. Stakeholders retain the right to not provide written feedback, however, are taken to have provided consent for the use of their feedback in broader evaluation activity upon submission of a partially or fully completed feedback tool. RAV will also record verbal feedback as relevant to support its continuous improvement approach to service delivery.

2. Scope

2.1 All Training and Development activities, staff and students, including the RTO.

3. Definitions

3.1 Feedback: verbal or written information from stakeholders, including students, which comments on some aspect of the user's experience of service provision.

3.2 Feedback tool: a method used for gathering feedback on service provision from stakeholders.

3.3 Suggestion: verbal or written comment made by a stakeholder in relation to improving any aspect of Training and Development's operations or service delivery.

3.4 Complaint: an expression of dissatisfaction or grievance about a situation or condition with a RAV learning environment which a stakeholder, including students, believes to be unfair, and/or relating to harassment or vilification, and is a hindrance to their effective learning (see Student Grievances and Complaints Policy).

4. Context

4.1 RAV strives at all times to identify current and future client needs, and to meet, and where possible, exceed expectations. The organisation's commitment to continuous improvement through its quality management system is evidenced through a systematic and rigorous approach to the collection of stakeholder feedback, and in relation to the RTO, student feedback.

5. Procedure

5.1 Students are to be issued with a feedback tool during or at the conclusion of all training activities and courses.

5.2 Training and Development Administration collates deidentified completed student feedback and forwards to the Senior Manager Training and Development.

5.3 Feedback from industry stakeholders is to be sought at industry consultation meetings in line with the Industry Consultation Policy.

5.4   Feedback from students and supervisors is to be sought formally at the conclusion of student placements.

5.5   Continuous improvement actions to be implemented are to be recorded in the continuous improvement register and communicated to all Training and Development staff at the following Training and Development Team meeting and RTO meeting.

5.6   In the event that student feedback is lodged in the form of a written complaint, the feedback will be handled in accordance with the Student Complaints Policy or the Student Grievance and Appeals Policy.

6.   Communication

6.1   Training and Development staff

6.2   Training participants and students

6.3   Student placement supervisors

6.4   Industry stakeholders

PP-15 Student Assessment Validation and Moderation

1. Policy Statement

1.1 The purpose of this policy and procedure is to ensure that assessment tasks and marking processes are valid and reliable, and subject to continuous improvement actions as required.

2. Scope

2.1 All courses offered through the RAV RTO.

3. Definitions

3.1 AQF: Australian Qualifications Framework

3.2 Assessment principles: the principles for assessment as outlined in the Standards for RTOs (2015) and which include fairness, flexibility, validity and reliability.

3.3 Moderation: a quality control process post completion to bring assessor judgements into alignment prior to the finalisation of assessment results, ensuring comparability of assessment decisions regarding student evidence of learning in a unit of competency. It may involve confirmation and/or adjustment of final grades, but does not involve marking or initiating results, or checking for errors in the assessor's work.

3.4 Validation: a quality review process to confirm the design of assessment tasks or tools in terms measuring student learning in a unit of competency, and to ensure that assessment processes and materials assess everything they claim to and nothing else. Validation is concerned with ongoing, continuous improvement of assessment practices.

3.5 VET: Vocational Education and Training

4. Context

4.1 Within the context of awarding qualifications under the AQF and within VET sector guidelines, validation and moderation activities are critical to ensuring the relevance and consistency of assessments and assessment judgements are critical in ensuring that assessments meet the training package requirements.

4.2 The RTO must validate its assessment strategies and tasks by:

- undertaking regular reviews to compare and evaluate assessment processes, tools and evidence which contribute to judgements made by a range of assessors against the competency standards

- documenting any decisions and actions taken to improve the quality and consistency of assessment.

4.3 Validation provides a regular quality review of the assessment process, and involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited courses are met. It involves making recommendations for future improvements to the assessment tool(s), process and/or outcomes and acting upon such recommendations.

4.4 Moderation is a quality control process which verifies the marking of assessments by different assessors and ensures that all students are subject to equivalent marking standards. The process aims to ensure that:

a) all assessment is conducted fairly, competently, effectively and in accordance with RAV RTO policies

b) assessors mark assessment tasks fairly and consistently

c) all students receive appropriate feedback

d) students achieve readiness to undertake a work placement in relation to their course of study.

e) students demonstrate all essential knowledge and skills in order to gain their qualification.

4.5 Moderation aims to ensure that assessors have a common understanding of unit requirements, and its outcome may include making adjustments to assessor judgements. The RTO may use samples of student work which epitomise satisfactory or unsatisfactory work as benchmarks in the moderation process.

5. Implementation

5.1 RAV RTO will systematically conduct validation and moderation processes for each course intake and record and act upon any identified improvement actions.

5.2 These processes will be scheduled in an annual Assessment Validation and Moderation plan and will usually involve two assessors, either internal or external to the RTO, with:

a) subject matter expertise in the area being validated

b) appropriate vocational competencies

c) current industry skills and knowledge

d) an appropriate training and assessment qualification or assessor skill set

e) current knowledge and skills in vocational teaching and learning

5.3 Assessment and Validation processes will only consider de-identified evidence and use a consensus approach.

6. Procedure

Moderation

6.1 Continuous moderation: On an ongoing basis, RTO assessors will discuss any assessments where they have a reasonable cause for concern that a student is struggling with their progress through the course and/or are not yet competent to undertake a work placement, and to subsequently gain the qualification.

a) This process will be conducted informally throughout the duration of the course in order to inform assessor judgements about readiness and/or suitability to undertake a work placement and then to gain the qualification, noting that the final judgement of competence incorporates course-based assessment work as well as the work placement. assessors will undertake this process with a collaborative approach. Discussions held between assessors and within RTO meetings will be documented and retained on file.

6.2 On a course-by-course basis, and as part of the RTO's Assessment Validation and Moderation (AVM) Action Plan, a schedule of assessment moderations will be followed to ensure quality control and comparability between the assessments made by different assessors. This will include the identification of 'outstanding', 'good' and 'borderline' assessments which have been submitted as a measure of comparison and to check control and comparability. The Senior Manager Training and Development will convene the AVM panel and document all findings in a summary report which will be logged in the Continuous Improvement Register.

Validation: Internal

6.3 Internal validation occurs according to the AVM Action Plan. Internal validation requires trainers and assessors to review a full sample of tools from at least 1 unit of competency, either specific to a unit of study or a set of clustered units. Validators will review the Training and Assessment Strategy, course content, delivery and assessment tools, qualification structure and delivery methods as relevant to industry standards and the Units of Competency. The outcomes of these sessions are to be documented.

Validation: External

6.4 External validation will be organised annually with selected industry advisors and may involve review of the Training and Assessment Strategy, course content, delivery and assessment tools, qualification structure and delivery methods as relevant to industry standards and the Units of Competency. Outcomes of external validation may result in alterations to tools only following approval from Senior Manager Training and Development.

6.5 External validators need to have a combination of:

    f)   Vocational competencies and current industry skills relevant to the assessment being validated

    g)   Current knowledge and skills in vocational teaching and learning.

7. Communication

7.1 This policy will be communicated to all RTO trainers and assessors by the Senior Manager Training and Development.

PP-16 Student Placements

1. Policy Statement

1.1 RAV is committed to providing training opportunities for students to obtain real-world experience as part of their course of study with RAV to enable and support workforce development in the community services sector.

2. Scope

2.1 This policy applies to all RAV staff and students acting as parties to a student placement.

3. Definitions

3.1 **Student**: A non-accredited, partially trained practitioner who is undertaking a work placement which is subject to a written agreement.

3.2 **Student Placement**: A formal work placement designed to fulfil course requirements to enable a student to receive experience, be fully trained and deemed competent in their field of study. A student placement includes elements of direct service provision, indirect service provision and activities designed to develop and enhance professional practice.

3.3 **Student Placement Agreement**: A document specifying the structure, responsibilities and processes involved in a student completing placement, in order to develop professional skills and competencies, which is signed by relevant parties prior to the commencement of the Student Placement.

3.4 **Supervision**: The formalised system of maintaining and improving service delivery in the organisation by providing quality professional support, development and accountability for clinical practitioners in order for them to provide the best possible service to clients.

3.5 **Supervisor**: A senior practitioner who coordinates and oversees the student work and provides feedback to enhance the learning experience whilst on placement.

4. Context

4.1 The overall aim of student placements is to assist the student to develop specific work-based skills and competencies (including the analytical capacity to reflect on the practice of those skills), to enable professional competency. Support of student placements is part of RAV's support of training activities and workforce development.

4.2 The specific objectives of student placements are to:

a) Provide, under professional supervision, direct experience in work settings

b) Enable students to receive feedback from qualified and experienced professionals about their work

c) Acquaint students with the ways in which professional programs operate

d) Allow students to combine practice and theory and informed critical analysis of their own work.

5. Implementation

5.1 RAV will make all reasonable efforts to accommodate student placements within RAV Centres wherever possible and applicable RAV policies and procedures will apply.

5.2   Where RAV students are placed in organisations other than RAV, the applicable policies and procedures of that organisation will apply in addition to applicable RAV Policies and Procedures and RAV Training Policies and Procedures.

5.3   All student placements will be conducted in accordance with a Student Placement Agreement, entered into by the student, the host organisation (a RAV Centre or other organisation) and RAV Training. The Student Placement Agreement outlines the responsibilities of all parties to the agreement.

5.4   At the conclusion of the student placement, the supervisor will provide feedback as required by RAV Training detailing the student's learning progress. RAV Training will convene a meeting between the student, supervisor and RAV Training Program Leader/trainer and assessor to discuss this feedback. The outcomes of this meeting may contribute to the overall assessment of student competence.

6.   Procedure

6.1   The arrangements for student placements will be coordinated by the RAV Training Program Leader in consultation with host organisations (RAV Centres and other organisations). Specifically, the Program Leader will ensure that:

a)   All students in RAV courses have adequate placement arrangements.

b)   A Student Placement Agreement is signed by all parties prior to the commencement of a student placement

c)   All parties to the agreement understand and uphold their responsibilities to the Agreement during the student placement

d)   Certificates of Attainment, representing the successful completion of the course are issued by RAV Training.

6.2   The RAV Training Program Leader ensures that any difficulties between the supervisor and the student are managed by:

e)   Encouraging helpful communication between the student and the supervisor, wherever possible

f)   Raising specific concerns with the student and/or supervisor as appropriate

g)   Negotiating action(s) to be taken to diminish difficulties

h)   Reviewing changes with the student and supervisor after an agreed period of time

i)   Arranging a change of supervisor and/or student placement arrangement if issues are not resolved (this can be requested by the student and/or supervisor)

6.3   If a student does not agree with the supervisor's assessment of their level of competence, they may take action in line with the RAV Student Grievances and Appeals Policy and Procedure.

6.4   If a student's standard of work raises concerns and is deemed to not be at the level of competence required, the following process will occur:

j)   The supervisor documents and addresses concerns with the student as soon as practicable and advises the RAV Training Program Leader and Centre Manager in writing.

k)   The supervisor will document any learning outcomes and gaps in competency and detail how the student is required to address these in order to be deemed competent.

l)   The RAV Training Program Leader will liaise with the supervisor and Centre Manager to discuss how to assist the student to reach competency.

m)   The supervisor will provide progress updates to the student, the Centre Manager and the RAV Training Program Leader.

n)   If the student's work continues to reflect that they are 'not yet competent' and concerns about performance continue, the qualification may not be issued, unless further training and assessment to develop the required competencies is undertaken.

o)   All documentation regarding a student's attainment of competency is to be retained on the student's file by RAV Training staff.

7.   Communication

7.1   RAV Training staff

7.2   RAV Training students

7.3   Centre Managers

7.4   External Organisation Managers

7.5   General Manager, Operations

7.6   General Manager, Clinical Services

PP-17 Continuous Improvement

1. Policy Statement

1.1 To outline RAV and its Registered Training Organisation (RTO)'s commitment to a continuous improvement approach across all aspects of Training and Development and RTO management, operations and service delivery, including service design, development, implementation, the management of feedback, monitoring and evaluation processes.

2. Scope

2.1 All Training and Development activities, staff and students, including the RTO.

3. Definitions

3.1 Standards for RTOs 2015

3.2 VET = Vocational Education and Training

3.3 ASQA = Australian Skills Quality Authority

3.4 Feedback: verbal or written information from stakeholders, including students, which comments on some aspect of the user's experience of service provision.

4. Context

4.1 RAV has developed and implemented a Quality Management System (QMS) in order to document the organisation's operational and service delivery processes, reflect funding and contractual requirements, recognise the valued expectations and needs of consumers, and to support the integrated and effective management of the organisation and its objectives.

4.2 The QMS also underpins RAV's commitment to quality service provision and continual improvement, meets the requirements of the international standard ISO 9001:2015, and is accredited externally. The QMS addresses every aspect of the design, development, implementation, evaluation and continued improvement of the organisation's operations and program delivery, including training programs.

4.3 RAV will embed the following principles of continuous improvement into operations:

a. The 'Plan-Do-Check-Act' continuous improvement cycle as a key organisational behaviour. This cycle recognises opportunities for change, plans and tests changes, reviews and analyses results, and incorporates effective changes into systems.

b. Integrated file and communication management systems to ensure compliance with legislation, regulation, conditions, standards and guidelines.

c. Transparency of information appropriate to role to enable each staff member to have the necessary information to accomplish good practice and compliance with the AQTF.

d. Maintenance of evidence of decisions and outcomes through a Continuous Improvement Register to inform future action, decision-making and compliance.

e. Feedback from internal and external stakeholders (senior management, staff, students, contractors and industry) is sought, documented and addressed.

5. Implementation

5.1 RAV Training and Development will take a systematic continuous improvement approach to managing all aspects of its operations in line with the RAV Quality Management System, and will keep the student experience and the achievement of desired student outcomes at the core of this approach.

5.2 Feedback will be sought from all stakeholders in a systematic fashion, in line with the Feedback Policy and will be recorded in a Continuous Improvement Register for discussion at Training and Development and RTO meetings in accordance with the Plan-Do-Check-Act continuous improvement cycle.

6. Communication

6.1 In keeping with good governance, all Training and Development staff, including the RTO, will maintain records of decisions and actions relating to continuous improvement of its management and operational activities.

6.2 The Senior Manager Training and Development will:

a. communicate any intended or required changes to this policy, and ensure that all Training and Development staff, including the RTO, and members of RAV's Quality Management Committee (QMC) are advised, and where appropriate, engaged in policy review and revision.

b. advise the QMC of any relevant changes to contractual or legislative obligations regarding this policy, and engage them in any resultant review.

c. advise Training and Development staff, including the RTO, of any changes within the regulatory environment that may impact on the implementation of this policy.

PP-18 Plagiarism

1. Policy Statement

1.1 The purpose of this policy is to promote honesty in learning and assessment, respect for the work of others, and to outline a systemic approach to the management of plagiarism in academic work and assessment at RAV.

1.2 Plagiarism, whether intentional or unintentional, is a practice which contradicts RAV's values of respect, integrity, transparency, accountability, effectiveness, and RAV's commitment to high quality.

1.3 RAV's expectation is that:

    a) all students produce their own independent work and comply with standard conventions for authorship.

    b) The authorship of all forms of intellectual material used in student assessment is appropriately and fully acknowledged.

1.4 The consequences of plagiarism vary according to the perceived intent and extent.

2. Scope

2.1 All Training and Development staff and students.

3. Definitions

3.1 Cheating: Seeking to obtain an unfair advantage in an examination or in other written or practical work required to be submitted or completed for assessment.

3.2 Collusion: The act of a student presenting work, which is the outcome of directly collaborating with others to prepare assessments, as his or her own. This may include a student allowing another student to write or substantially edit assignments.

3.3 Cooperative learning: The informal process of students interacting to enhance their learning outcomes (this is encouraged).

3.4 Discipline Board: A panel comprised of the CEO and Senior Manager Training and Development.

3.5 Enabling plagiarism: A student permitting another student to copy their work thereby contributing to plagiarism.

3.6 Group work: The authorised act of a group of students producing either a common assessable work or an individually assessed piece of work as part of a larger project.

3.7 Intentional plagiarism: A deliberate act of plagiarism where the student attempts to pass off the work of others as their own.

3.8 Plagiarism: The presentation of the works of another person/other persons by a student as their own, including the failure to properly acknowledge that person/those persons.

3.9 Unintentional plagiarism: Plagiarism associated with a lack of understanding or knowledge of the plagiarism, or a lack of skill in referencing/acknowledging others' work (still a breach of this policy). This may include accidently or inadvertently using other's work without acknowledgement.

4. Context

4.1 RAV regards academic honesty — the principle that a student's work must be original, authentic, properly developed and completed — as a key ethical foundation underpinning the professional lives of students. Any means used to obtain an unfair academic advantage or to assist another student to do so is considered to be academic misconduct and to amount to cheating.

4.2 The detection of plagiarism can occur in a number of ways, including inconsistencies between the standard of work submitted by a student across various assessments, suspicion by the assessor, over-familiarity of content, allegation by a third party, or other method that is brought to an assessor's attention.

4.3 When a student submits their work in the Learning Management System (LMS), they are provided with a check box to tick as verification that the assessment task submitted is their own work. This check box is taken to indicate that the student has formally signed and declaration that the assignment submitted is their own work.

5. Implementation

5.1 To manage Plagiarism, the following steps will be undertaken:

   a) Student submits work.

   b) If necessary, assessor raises concerns about authorship of work and possible plagiarism during the assessment process.

   c) Assessor 1 forwards assessment to assessor 2 for review and discussion.

   d) If plagiarism concerns confirmed by assessor 2, assessor 1 contacts student(s) to raise concerns.

   e) Student has opportunity to respond or resubmit (depending upon outcome) within one week.

   f) If concerns are allayed, no further action.

   g) If concerns are not allayed, Assessors and Senior Manager Training and Development meet within one week to discuss consequences, and where appropriate, refer the case to the RTO Discipline Board.

   h) Student advised of consequences in writing within two weeks of concerns being raised, and referred to Grievances and Appeals procedure.

6. Significance

6.1 Significance of plagiarism will be judged by the Senior Manager Training and Development, or their delegate, based on a combination of the following factors:

   a) consideration of the type of assessment in which the plagiarism was committed

   b) advice given to students on the course about avoiding plagiarism

   c) marking conventions of the discipline

   d) opportunities for re-submission

   e) the context of the plagiarism within the course

   f) whether the student has been able to demonstrate competence in the area

   g) the extent of the plagiarism.

7. Procedure

7.1 The following procedural options will be used to investigate plagiarism, depending upon the level of seriousness and extent of plagiarism.

7.2 Informal procedure

    a) Cases regarded as poor scholarship or inexperience rather than culpable plagiarism may be handled by the Assessor and need not invoke the formal procedure, where the primary need is to educate the student in appropriate practices and where the extent of the plagiarism in the submitted work would be considered insignificant in terms of its contribution to the overall mark for the submitted work.

    b) Consequences may include:

        (i) Resubmission of work or new assessment task.

        (ii) Assessor providing the student with advice on avoiding plagiarism.

        (iii) An assessment outcome which reflects the poor academic quality of the work including any poor practice in referencing, amongst other things.

7.3 Formal procedure: Suspected plagiarism unable to be substantiated

    a) Consequences may include:

        (i) The work being marked as normal without application of a penalty.

        (ii) Assessor providing the student with advice on avoiding plagiarism.

        (iii) Senior Manager Training and Development writing to the student explaining the outcome of the case, with any correspondence kept on the student's file.

7.4 Formal procedure: Minor cases

    a) Minor cases, where the plagiarism is a first occurrence, may include:

        (i) Over-reliance on sources without sufficient evidence of the student's own work.

        (ii) An element in a piece of work which makes a small contribution to the mark for the course.

        (iii) More significant cases where there are mitigating special circumstances.

    b) Consequences may include:

        (i) Resubmission of work or new assessment task.

        (ii) Senior Manager Training and Development sending the student a written warning including advice on avoiding plagiarism, with a copy retained on the student's file, for the purpose of detecting second occurrences.

        (iii) An assessment which reflects the poor academic quality rather than as a penalty for plagiarism, recognising, for example, that the referencing may be poor, or that not all the work is the student's own.

        (iv) Withholding of an assessment of satisfactory completion of work.

7.5 Formal procedure: Significant cases

    a) More significant cases where extensive or repeated plagiarism by the student is evident, may include situations where:

        (i) a student submits another's work as their own.

        (ii) large sections have been copied from online sources without acknowledgment.

        (iii) plagiarism has been detected in more than one piece of work submitted by a student.

(iv)   the plagiarised element would contribute significantly to the assessment for the course.

(v)   the student has previously submitted work where sources are not properly acknowledged.

b)   Consequences may include:

(i)   The Assessor providing the student with advice on avoiding plagiarism.

(ii)   Manager Training determining how the plagiarism has impacted upon the student's demonstration of competence and whether the student has been able to demonstrate competence in the Unit and what needs to occur for this to be attained.

(iii) Manager Training sending the student a letter outlining the outcome of the investigation, with a copy of the letter retained on the student's file.

(iv)   Updating the student record, noting cases of plagiarism/academic dishonesty.

(v)   An assessment of not yet competent be allocated as a penalty to first offence cases of significant and extensive plagiarism.

(vi)   Resubmission of work or new assessment task.

8.   Penalties

8.1 The following penalties (listed from minimum to maximum) may be applied depending on the relevant circumstances.

a)   Re-marking of the original work with the plagiarised section removed.

b)   A written warning regarding a breach of the Student Code of Conduct and this Policy.

c)   Requirement to resubmit work to attain competency.

d)   Requirement to submit an alternative assignment as decided by assessor.

e)   Requirement to repeat elements of the course or the unit.

f)   Serious cases may be referred to the Discipline Board, for example, where the extent of plagiarism precludes an assessment, or where there has been a deliberate attempt to deceive the assessors.

(i)   The Senior Manager Training and Development and/or assessor will make a report in preparation for a disciplinary hearing, including recommended assessment or action depending on the seriousness of the matter.

g)   Outcomes from Disciplinary Board can include:

(i)   a penalty from the list above.

(ii)   First offences, where there appears to be a deliberate attempt to deceive the assessors will receive an assessment as not satisfactory for the task where the assessment item has been plagiarised.

(iii) All repeat offences will be awarded a minimum penalty of not yet competent for the unit/subject unless there are exceptional circumstances.

(iv)   a decision to exclude a student from the course.

9. Communication

9.1 RAV students will be advised of this policy through the course Program Manual.

9.2 Students are to be advised of any changes or updates to this policy.

9.3 Training and Development staff will document any process or actions relating to this policy on student files.

9.4 Training and Development will be advised by the Senior Manager Training and Development of any changes to legislation that may impact the implementation of this policy.

PP-19 Occupational Health and Safety

1. Policy Statement

1.1 The purpose of this policy is to outline RAV's commitment to securing the health and wellbeing of all parties connected with the operation of Training and Development activities, including the RTO.

1.2 RAV is committed to securing the physical and psychological health and safety of all staff and students, by providing and maintaining as far as is practicable and reasonable (and including to the extent possible in work placement situations), an environment that is safe and without risks to the health of staff and students.

2. Scope

2.1 All Training and Development staff, students and contractors.

3. Definitions

3.1 SharePoint: RAV's internal online document management and communication system.

3.2 Student: A person who is enrolled and/or participating in a workshop or course.

4. Context

4.1 RAV Training and Development is committed to creating a learning environment that is safe for students, staff and visitors. Any student or staff member who believes that there is a risk to safety may raise the matter with their trainer/assessor, course coordinator/program leader or the Senior Manager Training and Development for further action to be take, as appropriate.

4.2 This policy sits within a clear legislative and regulatory frameworks, including State and Federal occupational safety legislation, WorkSafe Victoria and Fair Work Australia.

5. Implementation

5.1 RAV Training and Development management, staff, contractors and students will work together in achieving the objectives of this policy by:

    a. Accepting responsibility for protecting their own health and safety and that of colleagues and others.

    b. Observing safe work procedures and practices.

    c. Reporting potential and actual OH&S hazards, incidents and issues to trainers, course coordinators/program leaders and the Senior Manager Training and Development.

6. Communication

6.1 This policy will be communicated to Training and Development staff by the Senior Manager Training and Development.

6.2 Training and Development staff, including the RTO, will ensure students are advised of the policy and of any changes to legislation that may impact the implementation of this policy.

PP-20 EEO, Harassment and Discrimination

1. Policy Statement

1.1 The purpose of this policy is to outline RAV Training and Development's commitment to providing a work environment which complies with all EEO legislation.

1.2 RAV is an equal opportunity employer. No person is unlawfully excluded from consideration for employment because of age, breast feeding, employment activity, gender identity, impairment, industrial activity, lawful sexual activity, marital status, parental status or status as a carer, physical features, political belief or activity, pregnancy, race, religious belief or activity, sex, sexual orientation, and/or personal association with a person who is identified by reference to any of the above attributes.

2. Scope

2.1 All Training and Development students, employees and contractors.

3. Definitions

3.1 **Bullying** at work, as defined by the Fair Work Act 2009, occurs when:

a) a person or a group of people behaves unreasonably and repeatedly towards a worker or a group of workers while at work and;

b) the behaviour creates a risk to health and safety.

3.2 **RAV** includes staff, students or other Training and Development stakeholders, including the RTO, in this definition but excludes reasonable management action carried out in a reasonable manner.

3.3 **Discrimination**: any distinction, exclusion or preference made on the grounds of age, medical record, criminal record, impairment, marital or relationship status, mental, intellectual or psychiatric disability, nationality, physical disability, sexual orientation, trade union activity, amongst other things, or on the basis of the imputation to a person of any of the grounds specified above.

3.4 **Harassment**: behaviour that targets an individual or group that offends, humiliates, intimidates or creates a hostile environment. This could be because they belong to a specific race, religion, gender or gender-orientation group or have a disability, for example.

3.5 **Sexual harassment**: any unwanted or unwelcome sexual behaviour, which makes a person feel offended, humiliated or intimidated. Sexual harassment is not related to mutual attraction or friendship, is serious and can be against the law.

4. Context

4.1 RAV Training and Development is committed to creating a learning environment that is free from harassment and discrimination on any grounds. Any student or staff member who believes that they are a target of discrimination may discuss the matter with their trainer/assessor, course coordinator/program leader or the Senior Manager Training and Development for formal investigation of the claim. RAV staff may also speak with RAV HR if required.

4.2 This policy sits within a clear legislative Equal Employment Opportunity framework, including State and Federal anti-discrimination legislation and the Fair Work Act 2009.

4.3 RAV management, including the RTO, is committed to ensuring that all workplace and student-related decisions are made in an environment that promotes equal opportunity and prevents unlawful

discrimination, and that workplace, employee and student behaviour is acceptable within this framework at all times.

5. Implementation

5.1 RAV Training and Development, including the RTO, will not tolerate any form of discrimination or harassment of our staff, supervisors, students, interns or contractors by any party. This commitment extends to our policies on recruiting, advertising, hiring, placement, promotion, training, transfer, wages, benefits, termination and all other privileges, terms and conditions of employment or student placement.

5.2 Any Training and Development employee or student who breaches this policy will be dealt with in accordance with the Student Code of Conduct. Investigations into breaches of the Student Code of Conduct may result in disciplinary action, including termination of employment and/or review of employment, termination of student enrolment or internship arrangement.

6. Communication

6.1 All students, employees and contractors will be advised of this Policy and any updates or revisions by the Senior Manager Training and Development, and/or their delegate.

PP-21 EEO, Recruitment, Induction and Professional Development

1. Policy Statement

1.1 This policy refers to recruitment, induction, ongoing development and monitoring of all Training and Development staff, including RTO staff. This will ensure that RAV Training and Development recruits and retains suitably qualified and experienced employees to provide quality training services and, where necessary, ensure employees meet nationally recognised competency requirements and continue to develop their competence.

1.2 All Training and Development staff employed by RAV, including RTO staff, will be subject to RAV recruitment and selection policies. In addition, RTO-specific recruitment, induction and professional development requirements will apply.

2. Scope

2.1 All Training and Development staff.

3. Definitions

3.1 AQF: Australian Qualifications Framework.

3.2 SRTOs: Standards for Registered Training Authority 2015

3.3 VET: Vocational Education and Training.

3.4 ASQA: Australian Skills Quality Authority

4. Context

4.1 Training and Development staff have the responsibility of representing RAV through the provision of training services and events to a broad range of audiences. Training and Development staff must be equipped and supported to deliver quality training services and positively represent the organisation.

4.2 The Standards for Registered Training Organisations 2015 provide clear guidance in relation to the industry skills, vocational competencies (including broad industry knowledge and experience combined with a relevant qualification) and training and assessment competencies that RTO trainers and assessor must be able to demonstrate, as quality assurance for the delivery of training and assessment services. These must be continually developed and reviewed to ensure that the RTO provides quality training and assessment across all its services.

5. Implementation

5.1 Training and Development will recruit and induct staff, and provide professional development for its staff so as to comply with the requirements of, as relevant, RAV human resources policies and procedures, Standards of RTOS 2015, and ensure that:

a. New staff are qualified and experienced to perform their duties.

b. Existing staff are provided with development opportunities appropriate to their role.

c. Staff performance is monitored and communicated to each employee.

d. Relevant information about the RTO and its obligations under the VET Quality Framework, are communicated and understood by new and existing RTO staff.

5.2   RAV will only recruit RTO trainers and assessors who:

    a.   Have the vocational competencies at least to the level being delivered and/or assessed (or for demonstrated equivalent competencies, where there is a clear and verified relationship between the trainers' and assessors' formal and/or informal training and experience and each of the units/modules they are delivering/ assessing.

    b.   Have current industry skills directly relevant to the training and assessment being provided.

    c.   Have current knowledge and skills in vocational training and learning that informs their training and assessment.

    d.   Are able to demonstrate that they hold the skills and knowledge required by industry.

    e.   Meet any additional competency requirements detailed in Training Packages or as determined by regulatory or licensing bodies.

5.3   Training and Development staff induction will occur before each staff member completes the first week of their employment with an induction checklist which incorporates policy and procedural requirements.

5.4   During induction, RTO staff will receive information regarding the RTO Program Manual, duty statement, Student Handbook, Training and Assessment Strategy(ies), learning and assessment resources and relevant legislative and regulatory requirements.

5.5   On an annual basis, the qualifications and experience of RTO trainers and assessors will be reviewed against the requirements of the Standards of RTOs 2015, TAS, curriculum documents and training packages.

5.6   All Training and Development staff will undertake and record annual professional development activities to ensure they:

    a.   Maintain vocational competencies, current industry skills directly relevant to the training being provided, and knowledge and skills in vocational training, learning and assessments.

    b.   Access, understand and implement policies and procedures in a consistent manner.

    c.   Are aware of, and understand legislation that significantly affects their duties.

    d.   For RTO staff, are aware of and implement the requirements for mutual recognition of AQF qualifications and Statements of Attainment awarded by other RTOs.

5.7   All Training and Development professional development activities will be reviewed annually by the Senior Manager Training and Development. Any requirements for additional qualifications, experience or special skills will be identified during the annual review for implementation in the following year.

6.   Communication

6.1   All Training and Development staff, including RTO trainers and assessors.

6.2   The Senior Manager Training and Development will be made aware of any relevant changes to the contractual or legislative obligations regarding this policy, and participate in any review required.

6.3   All Training and Development staff will be advised of any changes to legislation that may impact the implementation of this policy.

PP-22 Use of Third-Party Providers

1. Policy Statement

1.1 The purpose of this policy is to ensure that any third-party services, including training and/or assessment services provided on behalf of RAV RTO by a third party, meet the same standards as those provided directly by RAV, and comply with all legislative and regulatory requirements.

1.2 The RAV RTO is responsible for all services delivered under its registration, including meeting its obligations under VET Quality Framework complying with all relevant standards including advertising and marketing, informing prospective learners, dealing with complaints, grievances and appeals, collecting feeds, record keeping and delivery of other RTO services.

2. Scope

2.1 All Training and Development services, including those provided through the RTO.

3. Definitions

3.1 AQF: Australian Qualifications Framework.

3.2 SRTOs: Standards for Registered Training Authority 2015

3.3 VET: Vocational Education and Training.

3.4 ASQA: Australian Skills Quality Authority

4. Context

4.1 RAV Training and Development need to ensure quality of service delivery for all prospective and current students, training participants and customers.

4.2 It is essential that current and prospective RTO students are confident that VET providers have transparent and appropriated arrangements in place with third parties.

5. Exclusions

5.1 The AQF facilitates the progression of students through qualifications by giving credit for learning outcomes they already have achieved. Credit outcomes may allow for entry into a qualification and/or provide credit towards the qualification. Credit given may reduce the time required for a student to achieve the qualification.

5.2 This policy does not include the following:

   a) Hiring trainers and/or assessors via a contract of employment

   b) Arrangements for advertising and marketing services

   c) Activities such as student counselling or mediation

   d) Information and communications technology support

   e) Where a person provides evidence of competency on behalf of a student, for example a work placement supervisor.

6. Implementation

6.1 It is not RAV's intent or preference to engage third parties to deliver services on its behalf. However, should such an arrangement be necessary to ensure effective service delivery to current and prospective learners, any third-party arrangement will:

   a) Be included in the Training and Development business plan.

   b) Be governed by a written agreement to cooperate with any legislative and/or regulatory requirements with ASQA, to respond to information requests, and cover audit requirements.

   c) Be communicated to ASQA by RAV within 30 days of it being entered into, and, of the agreement coming to an end

   d) Be monitored to ensure that any information disseminated by the RTO or third party is accurate, factual and explanatory in terms of the role and details of any third party.

6.2 In terms of the conduct or decision of a third-party providing services on behalf of RAV, including the RTO, its trainers, assessors or other staff, the third party will be subject to the:

   (i) RTO Student Complaints Policy

   (ii) RTO Grievance and Appeals Policy.

7. Communication

7.1 The Senior Manager Training and Development will communicate with the CEO, Training and Development staff, and other RAV personnel as necessary about the use of third parties or any changes to this policy.

PP-23 Certificate Issuing

1. Policy Statement

1.1 The purpose of this policy is to outline the requirements for issuing Nationally Recognised Training certificates and completion certificates for non-registered training activities.

2. Scope

2.1 All in-scope RTO courses and students as well as general training workshops, training participants and Training and Development staff.

3. Definitions

3.1 AQF: Australian Qualifications Framework (AQF) requirements

3.2 AQF qualification: the result of an accredited complete program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF.

3.3 Award of a qualification occurs when a student has met the requirements of the qualification and the qualification is certified through the provision of a certificate. The term 'conferral' may also be used to describe this process.

3.4 Certificate: see 'Testamur' below

3.5 Completion certificate: A document provided to a training participant on the completion of a generalist training workshop that sits outside the scope of the RAV RTO.

3.6 NRT: Nationally Recognised Training

3.7 Statement of attainment: A statement which recognises that one or more units of competency has been achieved.

3.8 Testamur: an official certification document that confirms that a qualification has been awarded to an individual. In Australia this may be called a 'certificate'.

3.9 Unit (or unit of competency): a single component of a qualification, or a stand-alone unit, that has been accredited by the same process as for a whole AQF qualification.

4. Context

4.1 The issue of certificates/testamurs by the RTO, indicating the award of a nationally recognised qualification, occurs within the framework of RTO compliance with assessment requirements of the relevant training package or VET accredited course.

4.2 AQF qualification certificates/testamurs must include:

    a) RAV's name, RTO code and logo

    b) the code and title of the awarded qualification

    c) the NRT logo in accordance with applicable conditions

    d) the AQF logo in accordance with current requirements (not short courses)

    e) date of issue

    f) authorised person

    g) authenticity measure

4.3 Records of results which accompany a qualification must include:

 a) RAV's name, RTO code and logo

 b) the code and title of the qualification

 c) name of units enrolled and results achieved

 d) semester and year the units were undertaken

 e) date of issue

 f) authorised person

 g) authenticity measure

4.4 Statements of attainment must include:

 a) RAV's name, RTO code and logo

 b) A list of units of competency showing their full title and national code

 c) The authorised signatory

 d) the NRT logo in accordance with applicable conditions

 e) RAV's seal, corporate identifier or unique watermark

 f) The words: 'These competencies form part of [Code and Titles of qualification]

 g) The words 'These competencies form part of [code and title of qualification/course]' or other applicable words as identified in the Standards for RTOs 2015.

4.5 As a provider of professional development workshops and other training short-courses that sit outside the scope of the RAV RTO, RAV Training and Development also issues completion and/or attendance certificates to training participants that do not include the requirements listed in 4.2, 4.2 and 4.4 above.

5. Implementation

5.1 The RAV RTO will issue certification documentation to a student who it has assessed as meeting the requirements of a qualification which is specified within the relevant training package.

5.2 The RAV RTO will issue a certificate or statement of attainment (as appropriate) to a student who has been assessed as competent in accordance with the requirements of the Training Package or accredited course, which will:

 a) meet the Australian Qualifications Framework (AQF) requirements

 b) identify the RTO by its provider number (21977)

 c) include the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service

5.3 The RAV RTO will issue AQF certification documentation to a student who has been assessed as satisfactorily completing and meeting the relevant requirements of the training program in which they are enrolled within 30 calendar days of that assessment, provided that all agreed funds the student owes to the RTO have been reconciled and all borrowings have been returned or replaced.

5.4 The RAV RTO will:

 a) issue a student who meets the above conditions with a full qualification (or 'certificate') and a Record of Results (or 'transcript') and/or statement of attainment within 30 days of course completion or withdrawal.

b)   retain records of attainment of units of competency and qualifications for a period of 30 years, and provide these to the ASQA as determined by that body

c)   retain evidence of completed assessment material per Standards of RTOs 2015 (or funding body) and student administrative records for up to 30 years

5.5   RAV Training and Development will issue completion certificates to training participants who have completed non-registered training activities, including short courses and professional development workshops, but these will not be issued through the RAV RTO.

6.   Procedure

6.1   For registered courses in the RAV RTO scope:

a)   Student submits course assessments.

b)   Assessor completes marking.

(i)   If any areas that are deemed 'not yet satisfactory (NYS), and the student is informed of a requirement to re-submit the work for competency to be achieved the work is passed to a second assessor. The work may be passed to a second assessor if clarification is needed, and any discussions are recorded in the moderation spreadsheet.

(ii)   If second assessor agrees, the work is confirmed as NYC, and the student is informed of a requirement to re-submit the work for competency to be achieved.

(iii)   Where the two assessors are not in agreement, the Senior Manager Training and Development will be consulted and a determination regarding the assessment negotiated.

c)   Where the assessor completes marking a student's submitted work and deems it as satisfactory, the assessor:

(i)   completes the Assessment Spreadsheet and individual student Record of Assessment.

d)   Where the assessor marks as satisfactory the final assessment task required for a Unit, thus deeming the student competent for that Unit, the assessor:

(i)   completes and files the Unit Completion section in the Record of Assessment.

(ii)   advises RTO Administration that the student has completed the Unit

(iii)   RTO Administration then processes the completion of that Unit.

e)   Where the assessor completes the final Completion of Unit section in the Record of Assessment Document, thus deeming the student competent in all Units for the Qualification, the assessor:

(i)   completes and submits the Completion of Qualification Form to RTO Administration for processing and issuing of certificate.

(ii)   RTO Administration accesses student data base to check that all fees are paid and borrowings returned.

f)   RTO Administration:

(i)   Generates a Certificate against the student enrolment form and units of competency on Completion of Qualification Form, and in line with requirements of the AQF and the use of the Nationally Recognised Training logo.

(ii)   Issues the Certificate and Record of Results to the student.

(iii)   Adjusts Student records to Completed in student management system if the student is deemed competent is all units leading to the qualification.

6.2   For general training activities and professional development workshops outside the scope of the RTO:

a)   Participant completes training/course.

b)   Upon request, Training and Development administration generates a completion certificate for the participant and sends to the participant using contact details provided by the participant.

7.   Communication

7.1 All Training and Development staff, including RTO staff, will be informed of changes to this policy and procedure by the Senior Manager Training and Development.

PP-24 Transition and Training Packages

1. Policy Statement

1.1 The purpose of this policy is to outline RAV's approach to transitioning between endorsed training packages.

2. Scope

2.1 All courses in-scope of the RAV RTO.

3. Definitions

3.1 National Register: the register maintained by the Commonwealth Department responsible for VET and as referred to in section 216 of the National Vocational Education and training Regulator Act 2011, found at http://training.gov.au

3.2 Training Package: a set of nationally endorsed standards and qualifications for recognising and assessing people's skills in a specific industry, industry sector or enterprise, developed by Service Skills Organisations within each industry. A training package identifies the specific skills and knowledge required within an industry to perform effectively in the workplace. It is comprised of groups of units of competency which are aligned with the AQF and assessment guidelines for measuring the attainment of competency.

3.3 ASQA: Australian Skills Quality Authority

4. Context

4.1 Training products delivered by RTOs must meet the requirements of training packages and align with the AQF, thereby promoting pathways to employment and further study. It is incumbent on RTOs to manage the transition from superseded Training Packages within one year of their publication on the National Register, and ensure that they only deliver currently endorsed Training Packages or currently accredited courses.

5. Implementation

5.1 RAV RTO will ensure that:

a) Within one year from the date that a replacement training product is released on the national register where an in-scope training course is superseded, that all students' training and assessment is completed and the relevant AQF certification documentation is issued, or, students are transferred into its replacement (except where a training package requires the delivery of a superseded unit of competency).

b) Where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed, and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register.

c) Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register

d) A new learner does not commence training and assessment in a training product that has been superseded (removed or deleted) from the National Register after the end of a notified transition period.

5.2 In most cases, RAV RTO will 'teach out' a superseded course within the specified transition period, and enrol prospective students in the replacement course once accreditation for the replacement course has been achieved.

5.3 RAV will:

a) Adhere to transition advice issued by ASQA regarding mapping between the new training package and the one that is to be replaced.

b) Apply to add any relevant training products listed in the transition advice to its registration scope.

c) Complete training of enrolled students in as timely a manner as possible or transfer them to the new training package as appropriate.

d) Amend the scope of registration by requesting the removal of the superseded training package product.

e) Update qualifications, statements of attainment templates and marketing materials to reflect the transition to new qualifications.

f) Update training and assessment strategies to the new qualifications prior to delivery.

g) Transition students to the new qualifications as soon as possible, and within one (1) year after publication of the revised training package.

h) Develop project planning strategies for ensuring that transitions are completed within the designated timeframes.

i) Modify RTO processes and systems to reflect the changes to the new qualifications, including enrolment and student records management and relevant policies, procedures and guidance documents to accommodate the necessary changes.

6. Procedure

6.1 The Senior Manager Training and Development:

a) Registers for notifications regarding all courses on the RAV RTO Scope of Registration.
b) Notifies staff of forthcoming changes and timeframes.
c) Keeps up to date with relevant industry bodies and networks.

6.2 The course coordinators/program leaders:

a) Monitor the training.gov.au website for information on training packages and accredited courses as least quarterly.
b) Keep up to date with relevant industry bodies and networks.
c) Update the RTO Continuous Improvement Register to ensure dates for new versions of Qualifications or Units of Competency are monitored.

6.3 Upon release of new versions of Training Packages and accredited courses, the Senior Manager Training and Development and RTO staff:

a) Commence a review of training and assessment strategies.
b) Consult with industry experts on course content and assessment methods.

    c)   Determine which units can/will be offered as part of a replacement course and make the required modifications to all training documents, student guides and marketing materials to ensure compliance with transition timeframes.

    d)   Ensure trainer qualifications and experience are mapped to the new qualification/course/unit of competency.

    e)   Plan the transitional arrangements including, but not limited to, new enrolment dates and transfer of currently enrolled students.

6.4   Senior Manager Training and Development applies for:

    a)   New qualifications to be added to the Scope of Registration when changes are ready for implementation and within the required timeframes.

    b)   Superseded qualification to be removed from the Scope of Registration.

6.5   Existing and prospective students are informed on the changes to the Training Package and accredited course qualification and, where relevant, given the opportunity to transfer to the most recent qualification if that is the best option for employment and further training opportunities.

6.6   The RAV RTO continues to provide services to support the completion of commenced qualifications.

6.7   The Senior Manager Training and Development ensures that no new enrolments in the superseded qualifications are accepted after the transitional period of 12 months.

7. Communication

7.1   All RAV RTO staff and students.

PP-25 Marketing

1. Policy Statement

1.1 The purpose of this policy is to ensure that all Training and Development programs are marketed appropriately to achieve strategic objectives and in consultation with RAV Marketing and Communication.

1.2 This policy also aims to ensure that the marketing and advertising of Australian Quality Training Framework (AQTF) qualifications to prospective students is ethical, accurate and consistent with the RAV Registered Training Organisation (RTO) scope of registration, and gives students the information they need to make informed decisions regarding the courses they enrol in.

2. Scope

2.1 All Training and Development marketing materials, including RTO programs.

3. Definitions

3.1 RAV: Relationships Australia Victoria

3.2 RTO: Registered Training Organisation

3.3 AQF: Australian Qualifications Framework.

3.4 SRTOs: Standards for Registered Training Authority 2015

3.5 VET: Vocational Education and Training.

3.6 ASQA: Australian Skills Quality Authority

4. Context

4.1 Traditional promotional channels adopted for RAV training opportunities have included advertising in professional journals, brochure and flyer dissemination, the RAV website, promotion on social media, dissemination within professional networks, and networking opportunities at conferences and other events. In addition, courses within the scope of RTO accreditation have been promoted through word of mouth.

4.2 The marketing of materials related to in-scope courses must accurately reflect the course offerings to enable the target audience to make informed decisions regarding course participation. It is important for RAV to promote marketing materials to target audiences via identified and appropriate channels, and to monitor the effectiveness of these channels and modify marketing strategies accordingly.

5. Implementation

5.1 RAV Training and Development will develop and distribute marketing materials to promote RAV Training and Development services in order to achieve strategic objectives and program sustainability. The development and distribution of marketing materials will be conducted in consultation with RAV Marketing and Communications.

5.2 The RAV RTO will develop marketing materials that accurately represent the services it provides and ensure that training products included on the RTO scope of registration are presented in line with Standards for RTOs 2015

5.3 RAV will only:

a) advertise or market an RTO training product whilst it remains on the RTO scope of registration.

b) refer to another person or organisation (including via photographic images) if prior consent has been obtained as per RAV's Privacy Policy and accompanying Privacy Policy (media).

c) use the nationally recognised training (NRT) logo, AQF logo in accordance with their conditions of use, and ensure that they are not associated with unaccredited courses.

5.4 Where relevant, prospective students will be provided with information about applicable legislation and their related rights and responsibilities, as well as Training and Development (including RTO) policy and procedures, learning resources, student or workplace agreements, and support services that may be available.

6. Communication

6.1 Training and Development staff

6.2 RTO trainers and assessors

6.3 Senior Manager Communications and Marketing

PP-26 Student File Management

1. Policy Statement

1.1 The purpose of this policy is to outline RTO guidelines regarding the creation, management, archival and destruction of RAV student files.

2. Scope

2.1 All RTO staff and RTO student files

3. Definitions

3.1 AQTF: Australian Quality Training Framework

3.2 AVETMISS: Australian Vocational Education and Training Management Information Statistical Standard

3.3 Student records: any documentation relating directly to a student of RAV's RTO including, but not limited to: enrolment forms and documents; hand written or computer-typed notes generated by RTO Staff; assessments, records of decisions made by the RTO in relation to progress through the course or in relation to enrolment status, summaries of phone conversations, meeting and relevant consultations, copies of any complaints or grievances and any resultant outcomes.

3.4 Student file: a digitally stored folder containing all individual student records related to their enrolment and progress in an in-scope course. This is the primary record created by RTO staff and remains the property of RAV, with students able to access personal records upon request.

3.5 ASQA Australian Skills Quality Authority

4. Context

4.1 RTOs are required by the National Regulator to maintain registers of all statements of attainments issued; retain records of statements of attainment issued for a period of 30 years.

5. Implementation

5.1 RAV's RTO will develop and maintain student records in line with privacy and confidentiality principles, and ensure that it retains student records in line with the requirements of SRTOs 2015

5.2 The RTO will maintain a student records management system that includes the capacity to provide ASQA with AVETMISS compliant data, and to ensure that copies of student records:

a) may be provided to the RTO

b) are able to be provided in electronic and print versions, at no cost to ASQA in the event that the RAV RTO ceases operations.

5.3 Student qualifications and statements of attainment, as well as evidence to support assessments as to the completion of a unit of competency and/or qualification and issuing of associated certification will be retained for a period of 30 years.

5.4 Student assessments will be retained for a period of three years following awarding of a qualification.

5.5 Student personal financial details will be shredded once course payments are completed.

5.6 Student administrative files including the records of complaints and appeals will be retained for a period of 7 years.

5.7 All student records are the property of RAV and will be retained on restricted servers in electronic format, or in locked storage containers in hard copy.

5.8 Access to student records will be maintained according to statutory requirements as outlined in the RTO Confidentiality Policy, RAV Client Confidentiality Policy, Privacy Policy and the Client Privacy Procedure.

6. Communication

6.1 RTO staff will be informed of any legislative or regulatory changes which impact on the implementation of this policy. Students will be informed of this policy and changes to it in writing.

PP-27 Retention of Student Work

1. Policy Statement

1.1 The purpose of this policy is to outline the approach to retention of submitted student assessments for accredited courses.

2. Scope

2.1 Training and Development staff and students.

3. Definitions

3.1 AQTF: Australian Quality Training Framework

3.2 AVETMISS: The Australian Vocational Education Training Management Information Statistical Standard (AVETMISS) for VET Providers is a national data standard that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.

3.3 RAV: Relationships Australia Victoria

3.4 RTO: Registered Training Organisation

3.5 ASQA: Australian Skills Quality Authority

3.6 Standards for Registered Training Organisations 2015

4. Context

4.1 RTOs are required to maintain a student records management system that includes the capacity to provide the relevant government agency with AVETMISS compliant data and to ensure that copies of student records are not able to be withheld from the RTO; and are able to be provided in electronic and print versions, at no cost to the ASQA in the event that the VET provider ceases operations. When an RTO ceases to operate, the ASQA must be provided with records of all students in the required format.

5. Implementation

5.1 Notwithstanding, ASQA's requirement to keep student records of attainment of units of competency and qualifications for a period of 30 years, RAV's RTO will retain electronic copies of students' assessments for a minimum period of six (6) months and a maximum period of three (3) years after the awarding of a qualification, in order to:

a) ensure the effective management and control of student records

b) meet any legislative requirements and guidelines and/or audit or registration requirements.

5.2 The RTO will provide at no cost to ASQA access to all retained student assessments in the event the RTO should cease operations.

6. Communication

6.1 Training and Development staff and students

6.2 RAV Quality Management Representative

PP-28 Control of Records

1. Policy Statement

1.1 The purpose of this policy is to outline the control of training records, including RTO records, to comply with Standards of Registered Training Organisation 2015, legislative, regulatory and quality management system (QMS) requirements.

1.2 RAV Training and Development will ensure the effective creation, maintenance, retention and disposal of organisation records consistent with legislation and regulatory requirements, and the RAV QMS, including the records generated by the RTO and any records generated by the QMS, contracted or delegated authorities, and any other external or third parties engaged in the delivery of Training and Development services and operations.

1.3 All Training and Development records must be controlled in accordance with this policy and any other applicable organisational Policy, Procedure or program/service guidelines so as to ensure that information is readily accessible, legible and suitably maintained.

2. Scope

2.1 All RTO documentation.

3. Definitions

3.1 Document: Organisational information and the medium (physical/electronic) that is used to bring it into existence.

3.2 Record: Document stating results achieved or evidence of activities performed - provides formal evidence of compliance with established requirements and effectiveness of the QMS.

3.3 Corrective Action: Steps taken to remove the causes of an existing non-conformity or to make quality improvements. Corrective actions address actual problems (c.f. Preventive Actions).

3.4 Non-Conformity: When a service, process, procedure, system, or structure deviates from applicable contractual, legal or organisation/sector standards (including ISO9001:2008 Quality Management Systems) and requirements, a formal 'non- conformity' exists.

3.5 Preventive Action: Steps taken to remove the causes of potential non-conformity or to make quality improvements. Preventive actions address potential problems.

3.6 QMS: Quality Management System.

3.7 QMC: Quality Management Committee.

3.8 SMS: WISENET Student Management System

3.9 Statement of attainment: A statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

3.10 Training Product: A qualification, skill set, unit of competency, accredited short course, module or workshop.

3.11

4. Context

4.1 Records are critical to continued quality service provision, organisational operation and continued improvement. Records also serve as a key organisational asset – as the primary resource for:

a) providing evidence-based service verification and traceability

b) demonstrating compliance with client, contractual and legislative requirements

c) supporting non-conformance identification and remedial action to ensure the continued improvement of the Quality Management System.

4.2 This policy defines the approach to the control of organisation records, responsibilities for identifying and managing records, and the retention, archival and disposal of records, including RTO records. This policy is supported by the effectiveness of the Quality Management System (including all operations and service delivery), and ensures compliance requirements and obligations are met.

5. Implementation

5.1 RAV Training and Development records which are controlled include, but not limited to the following:

a) All Training and Development Policies and Procedures

b) The Quality Management Process for Training and Development

c) Training and Development Financial Records

d) Contractual/ funding body documentation, including Third Party written agreements and reporting deliverables

e) Program and Service Manuals, Guidelines and Specifications

f) Student Information and communication including letters, agreements, rights and responsibilities, privacy and confidentiality statements etc.

g) Training products

h) Student records including statements of attainment and records of results

i) Staff Personnel Files and associated documentation

j) Relevant internal documentation including meeting Agendas, Minutes, Reports, email and hard-copy communication, project plans etc.

k) Relevant external information and communication resources used to inform and underpin Training and Development service delivery and continued operations – in particular those that impact upon contractual, legislative and organisational obligations and deliverables.

6. Procedure

6.1 Retention and disposal schedules for all RAV records are determined by contractual and legal obligations, sector best practice standards and organisational requirements, as specified in applicable RAV Policies and Procedures.

6.2 Student qualifications or statements of attainment will be kept electronically for 30 years to be able to reissue if requested by a student. If RAV ceases being an RTO, all RTO student records will be provided to ASQA

6.3 All archived records must contain sufficient (meta) data to ensure easy identification and traceability, and the effective completion of retention periods. At a minimum, all archived records must include staff/student/client file name, creation and archival date, and record type, and be held for the following periods of time (timeframes provided as a guide – additional guidelines may apply):

Document Type	Retention Period
Management Reports	2 Years
Financial Records	7 Years
Student Complaints or Grievances	7 Years
Audit Reports	5 Years
Service/Program Contracts	5 Years
QMS Non-Conformance Reports	5 Years
Staff Records	7 Years
Student Assessments	3 years
Student Records (excluding assessments)	7 years
Student Qualifications/Statements of Attainment, Assessment Tasks Completion form and Completion of Qualification form	30 years

6.4 Upon expiration of the relevant retention period, records will be disposed of in an appropriate manner, in accordance with the applicable RAV process or policy, and with the authorization of the Senior Manager Training and Development, or the CEO.

7. Communication

7.1 RTO staff will be advised of any changes that may impact on the implementation of this policy.

7.2 QMC representative.