

Quality Management System



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Document History:

Date	Changes/Additions
1 December 2009	Draft version
20 December 2009	Minor formatting & grammatical change
30 January 2010	Revised complaints procedure Addition employment of trainers & assessors without CIV TAA4 or equivalent Revised records management procedure including management of data from remote training venues Addition of Legislative Compliance Policy
26 February 2010	Addition of mission and business objectives statement Addition of organisational chart
24 March 2011	Addition to records management policy to reflect APL contract record keeping requirements
8 August 2011	References to VETAB changed to ASQA Legislative compliance updated
24 July 2012	Guidelines for issuing qualifications amended
16 April 2013	Changes to student rights & responsibilities Changes to OHS to reflect new WHS act 2011 Minor grammatical
18 October 2013	DIRECTOR revision of system including QMS Continuous improvement Participant information
30 November 2013	Additional student support organisations added Updates to reflect APL contract amendments
28 May 2014	Child protection policy updated
23 June 2014	Privacy policy updated to reflect new legislative requirements
19 September 2014	Assessment appeals updated
1 December	Structure
13 March 2015	Document currently under review to align to 2015 Standards
21 April 2015	Changes to make document compliant with Standards for Registered Training Organisation 2015 – Sections related to Legislation, Assessment Validation, AVETMISS information (USI) updated

Mission Statement

“ As a small family owned company our aim is to provide personalised training, assessment and advice. We guarantee reliability, value and the highest standards of customer service.”

Quality Management System

1. Aim

1.1 To confirm the commitment of 5 Star Training & Consulting Pty Ltd to meeting the quality standards expected by our clients in the delivery of quality education, training and assessment services.

2. Policy

2.1 5 Star Training & Consulting shall focus on the needs of the core business with particular reference to consistently meeting client requirements and statutory obligations. The Quality Management System provides a mechanism for detecting system shortfalls and for stimulating continuous improvements.

3. Procedure

3.1 Quality Management System

3.1.1 5 Star Training & Consulting's Quality Management System is based on the requirements of the National Vocational Education and Training Regulator Act 2011, Standards for Registered Training Organisation 2015 2012 and all other relevant Federal, or State legislation and regulatory requirements for the operation of a Registered Training Organisation.

3.2 Quality Objectives

3.2.1 5 Star Training & Consulting quality objectives are to:

- Provide quality education, training and assessment services
- Provide continuous support to clients, staff and other stakeholders
- Use the Quality Management System as a tool in achieving best practice outcomes across the organisation
- Ensure continuous improvement
- To comply with the relevant Federal and State legislative and regulatory requirements for the operation of a Registered Training Organisation

3.2.2 The Policies and Procedures describe the instruments by which improvements are achieved and how compliance to requirements is accomplished.

Management Responsibility

1.1 Aim

1.1 To ensure the continued compliance of the Australian Qualifications Framework, VET Quality Framework and The Standards for Registered Training Organisations (RTO's) 2015 and 5 Star Training & Consulting quality objectives through the clear depiction of management responsibilities.

2. Policy

2.1 5 Star Training & Consulting management has the responsibility of establishing and maintaining the Quality Management System.

2.2 The Quality Management System sets out the responsibilities and authority of managers and other key personnel.

3. Procedure

3.1 Management Responsibility & Authority

3.1.1 Director

The Director is the Executive Representative and is responsible for strategically managing the directions of the organisation. Specifically the Director reiterates the importance that managers satisfy the Quality Management System and to have a focus on servicing the member and client.

3.1.2 5 Star Training & Consulting Chief Executive Officer

The Director employs an Chief Executive Officer who has the delegated responsibility and authority on all matters relevant to the Quality Management System as described by the VET Quality Framework. The Chief Executive Officer reports to the Director on quality matters.

The Chief Executive Officer has responsibility and authority to structure, implement and maintain the Quality Management System in order to ensure compliance with regulatory requirements.

Specifically the Chief Executive Officer has the responsibility and authority in areas such as:

- Verifying that the Quality Management System is implemented and maintained.
- Monitoring operations by internal audits of 5 Star Training & Consulting to determine where improvements are needed and communicating where applicable.
- Verifying the effectiveness of action taken to prevent the recurrence of problems or prevent the occurrence of potential problems.
- Responsibility for overseeing all financial activities within the organisation.

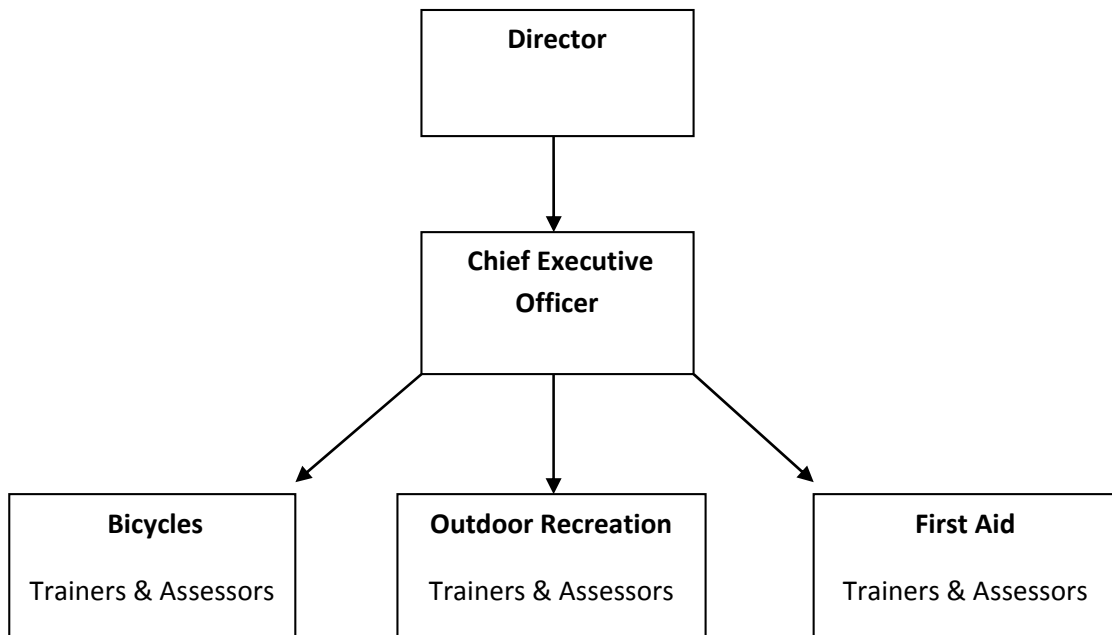
3.1.3 5 Star Training & Consulting Staff, Trainers and Assessors

Position Descriptions are provided to personnel to detail the main responsibilities of their role.

With regard to quality, all personnel have the responsibility and authority for:

- Initiating action to prevent the occurrence of incidents in relation to services provided, processes and the Quality Management System

Organisational Chart



Policies

1. Aim

1.1 To outline 5 Star Training & Consulting's responsibility and obligation to adhere to its policies.

2. Policy

2.1 5 Star Training & Consulting has a number of universal policies which apply to all entities associated 5 Star Training & Consulting, as an affiliated body, is bound to comply with such policies.

3. Procedure

3.1 All personnel associated with the training and assessment services provided by 5 Star Training & Consulting must be aware of their obligation to comply with the policies of 5 Star Training & Consulting. Knowledge, understanding and compliance with these policies must be maintained.

3.2 5 Star Training & Consulting policies are reviewed systematically and changes are implemented accordingly. Personnel must keep up to date with changes through consultation with 5 Star Training & Consulting representatives, memos, emails and in future the 5 Star Training & Consulting website.

3.3 The master copy of 5 Star Training & Consulting policies will be placed on the 5 Star Training & Consulting website www.5StarTraining.com.au

4. Reference

4.1 Some of the key 5 Star Training & Consulting policies that relate to the procedures are:

- Access, Equity & Diversity
- Advertising and Marketing
- Anti-Discrimination and Harassment
- Assessment
- Assessment Validation
- Audit
- Child protection
- Complaints and Appeals
- Continuous Improvement
- Course Administration and Enrolment
- Course Design
- Document Control
- Facilities
- Financial Management
- Human Resources
- Issuing Awards
- Legislative Compliance
- Occupational Health and Safety
- Participant Information
- Participant Behaviour
- Privacy
- Recognition of Prior Learning
- Record Management
- Refunds
- Risk Management
- Transitions to new training products

Code of Practice

1. Aim

1.1 5 Star Training & Consulting is committed to providing the highest standards in industry specific training services. This policy outlines the standards to which 5 Star Training & Consulting will adhere.

2. Policy

2.1 5 Star Training & Consulting is committed to providing a learning environment, which is conducive to the needs of participants. The organisation has the capacity to deliver the nominated courses and provides appropriate training facilities and uses quality methods and materials.

2.2 The vocational education and training products and services are marketed with honesty and integrity. 5 Star Training & Consulting will always accurately portray its role and ensure that the information provided to potential participants does not mislead or create false impressions.

3. Procedure

3.1 Educational Standards

3.1.1 5 Star Training & Consulting will provide quality training and assessment that recognises the diverse needs of learners, and promotes lifelong learning.

3.1.2 All training and assessment services will be conducted in accordance with the 5 Star Training & Consulting policies.

3.1.3 All training and assessment services are systematically evaluated and the outcomes used to continuously improve services offered.

3.1.4 All training and assessment services are learner centred and delivered in accordance with established principles of adult learning. This extends to the training environment, trainer, resources and delivery modes to ensure they are responsive to the needs of the participants.

3.2 Advertising and Marketing

3.2.1 Regardless of the method, all advertising and marketing reflects the actual course delivered. Advertising materials provide the potential participant with sufficient information to make a judgment about the suitability of the training. 5 Star Training & Consulting will ensure that all its advertising and marketing material will comply with the relevant standard

3.2.2 All advertising and marketing is conducted in accordance with the Advertising and Marketing policy.

3.3 Recruitment of Participants

3.3.1 Participants will be recruited in an ethical and responsible manner in accordance with the 5 Star Training & Consulting Course Administration and Enrolment policy.

3.3.2 Information given prior to enrolment will advise the participant of entry requirements and expected course outcomes.

3.3.2 Participant selection complies with Equal Opportunity legislation and promotes access and equity to all while maintaining compliance with any course prerequisites to meet Training Package requirements.

3.3.3 Qualified staff are available to assist participants select the most appropriate course for their learning needs, based on any prior qualifications and experience.

3.4 Participant Information

3.4.1 Participant confirmation is provided where appropriate, and contains the following information:

- date
- time

- location
- special requirements
- payment details

3.4.2 Participants in nationally accredited courses will also receive advice about access to their course or qualification outline.

3.4.3 The 5 Star Training & Consulting Participant Information policy is followed to ensure these requirements are met.

3.5 Support Services

3.5.1 5 Star Training & Consulting is committed to providing the support that is necessary to enable participants to succeed in the course or qualification that they are undertaking.

3.5.2 Our organisation provides adequate protection for the health, safety and welfare of participants and, without limiting the ordinary meaning of such expression, this includes adequate and appropriate support services in terms of academic and personal coaching.

3.5.3 Participants have the right to decide not to participate in any activities that may cause harm or distress.

3.5.4 5 Star Training & Consulting Access, Equity & Diversity policy is in place to ensure this commitment.

3.6 Access and Equity in Education and Training

3.6.1 5 Star Training & Consulting has policies in place to ensure participants will receive equal access and quality education and training.

3.6.2 The organisation is committed to the principles outlined in the Access, Equity & Diversity policy.

3.7 Recognition of Prior Learning (RPL)

3.7.1 RPL is available to all participants enrolled in accredited courses. At the first training or briefing session the trainer will explain the RPL process and make an information guide available. It is the participant's responsibility to submit the form and evidence to support any claims.

3.7.2 The 5 Star Training & Consulting Recognition of Prior Learning policy has been established to comply with these requirements.

3.8 Recognition of Qualifications Issued by Other Registered Training Organisations

3.8.1 5 Star Training & Consulting recognises the Australian Quality Framework qualifications and Statements of Attainment issued by other Registered Training Organisation's.

3.8.2 Mutual recognition obligations are reflected in the 5 Star Training & Consulting Recognition of Prior Learning policy and other information provided to participants.

3.9 Assessment

3.9.1 Qualified assessors will conduct all assessments in accordance with the National Guidelines for conducting assessment and the 5 Star Training & Consulting Assessment policy.

3.9.2 Assessment methods will vary depending upon the course or qualification. Methods used will be explained at the commencement of training.

3.9.3 A participant is deemed competent when all outcomes or competency elements have been successfully completed within a module or unit of competency. To demonstrate competency the participant must satisfactorily complete each assessment task.

The assessment grades in competency-based courses are

- Competent - the participant has demonstrated competency in all relevant tasks.
- Not Yet Competent - the participant has not yet demonstrated competency in all relevant tasks, and further training or assessment must be undertaken.

3.10 Certificates/Statement of Attainment

3.10.1 Upon the successful completion of an accredited course or national qualification, Certificate awards will be issued. If all the requirements are not completed, or only certain modules have been completed, a Statement of Attainment will be issued. A statement of participation will be provided for all non-accredited or professional development courses.

3.10.2 All awards are issued in accordance with the 5 Star Training & Consulting Issuing Awards policy.

3.11 Complaints Procedure

3.11.1 5 Star Training and Consulting has a fair and equitable process for dealing with participant Complaints and provides an avenue for participants to appeal against decisions, which affect their progress.

3.11.2 For this purpose, the 5 Star Training & Consulting Complaints and Appeals has been established. In addition, the complaints mechanism as a whole is made known to participants at the time of enrolment.

3.11.3 Where a Complaint cannot be resolved internally, the organisation advises participants of the appropriate body where they can seek further assistance. This process is intended to help resolve issues to the mutual satisfaction of all parties. The cost of an independent mediator will be shared equally.

3.11.4 Appealing a Recognition of Prior Learning or assessment judgment requires participants to submit in writing their appeal to the 5 Star Training & Consulting Chief Executive Officer for action.

3.11.5 Guidelines for making and dealing with complaints have been created.

3.12 Feedback and Evaluation

3.12.1 5 Star Training & Consulting seeks and values feedback from course participants on their satisfaction with services they have received and seeks to improve its services in accordance with their expectations.

3.12.2 The feedback provided is used as part of the review process to continuously improve training services as described in the 5 Star Training & Consulting Continuous Improvement policy.

3.13 Human Resources

3.13.1 Personnel involved in training and assessment hold all relevant qualifications and vocational competence in order to meet national principles and industry standards and requirements. Training and assessment personnel are required to undergo regular professional development activities as part of the organisation's requirements.

3.13.2 The organisation is committed to maintaining quality training and assessment services through implementation of the 5 Star Training & Consulting Human Resources policy.

3.14 Occupational Health and Safety

3.14.1 5 Star Training & Consulting is committed to providing a safe workplace and training environment in accordance with work health and safety legislation. The 5 Star Training & Consulting Occupational Health and Safety policy confirms this commitment and ensure practices are in place to maintain the safety of personnel, participants and visitors.

3.15 Anti-Discrimination and Sexual Harassment

3.15.1 5 Star Training & Consulting strictly prohibits discrimination or harassment towards any group or individual in any form. The organisation is committed to ensuring a safe and supportive work and training environment free from discrimination and harassment through compliance with relevant state and federal legislation and through the implementation of the 5 Star Training & Consulting Anti-Discrimination and Sexual Harassment policy.

3.16 Refund Policy

3.16.1 5 Star Training & Consulting courses are conducted subject to sufficient numbers. If a course is cancelled a full refund will be paid to the participant or organisation in accordance with the 5 Star Training & Consulting Refund policy.

3.17 Fees

3.17.1 All course fees are advertised on the course marketing material. Unless stated, fees cover the training and all course materials.

3.18 Payment terms

3.18.1 Generally payment must be made on enrolment.

3.18 Record Keeping

3.19.1 5 Star Training & Consulting keeps complete and accurate records of the attendance and progress of participants, as well as financial records that reflect all payments and charges and the balance due, and provides copies of these records to participants on request. Records are managed in accordance with the 5 Star Training & Consulting Record Management policy.

3.20 Document Control

3.20.1 5 Star Training & Consulting will be responsible for ensuring all version updates made to training and assessment material will be recorded on the footer in the updated document. All changes made to this management system will be recorded in the front of the document. These responsibilities are outlined in the 5 Star Training & Consulting Document Control policy

3.21 Child protection

3.23.1 5 Star Training & Consulting is committed to the safety and wellbeing of all children and young people accessing our services and the welfare of the children in our care will always be our first priority. We aim to create a child safe and child friendly environment where young people feel safe and enjoy learning. Staff working with children will be required to have the working with children check completed before such employment.

3.22 Guarantee

3.22.1 5 Star Training & Consulting is committed to honouring all guarantees stated in its Policies.

3.22.2 5 Star Training & Consulting undertakes to comply with the principles and standards of the National Vocational Education and Training Regulator Act 2011, Standards for Registered Training Organisation 2015 2012 and all other relevant Federal, or State legislation and regulatory requirements for the operation of a Registered Training Organisation.

3.23 Disclaimer

3.23.1 5 Star Training & Consulting presenters endeavour to provide current and accurate information at all seminars, courses and events.

3.23 .2 All information presented is intended to be general and should not be relied upon as professional advice applying to specific circumstances.

Continuous Improvement

1. Aim

1.1 To ensure continuous improvement planning and procedures are in place to maintain the ongoing quality of education and training services and describe the cycles that have been implemented to continually improve upon the effectiveness of the Quality Management System.

2. Policy

2.1 5 Star Training & Consulting is committed to the provision of continuous improvement practices to monitor, measure and increase standards to consistently meet the changing needs of the organisation, clients, stakeholders and the industry.

3. Procedure

3.1 5 Star Training & Consulting performs a variety of activities across all operations to comply with continuous improvement requirements and to follow best business practices.

3.2 Improvement Requests

3.2.1 All 5 Star Training & Consulting personnel and course participants are encouraged and requested to provide formal and ad hoc feedback and improvement suggestions on all 5 Star Training & Consulting operations, including, but not limited to, the 5 Star Training & Consulting website, guidelines/handbooks, training documentation, procedures and services.

3.2.2 The Improvement Request form shall be used to record such improvement recommendations and requests. This form will be available upon request and should be submitted to the 5 Star Training & Consulting Chief Executive Officer, or relevant trainer/assessor. All Improvement Requests received shall be forwarded to the 5 Star Training & Consulting Chief Executive Officer.

3.2.3 Improvement Requests can be raised by any staff member or student.

3.2.4 If an identified problem has the potential to cause injury, or to affect the quality output of a service, the problem must be immediately brought to the attention of the supervising member of staff.

3.3 Continuous Improvement Register

3.3.1 The 5 Star Training & Consulting Chief Executive Officer, will collect and analyse all feedback for consideration as part of the ongoing quality improvement process.

3.3.2 The Chief Executive Officer will record the requests on the Continuous improvement register.

3.3.3 Where the action associated with an Improvement request results in revision to a manual or procedure, the Continuous Improvement Register shall reference the document to be revised.

3.3.4 In respect to any major changes the 5 Star Training & Consulting Chief Executive Officer shall ensure that these changes are documented and communicated to those parties affected.

3.4 Website Improvement

3.4.1 Requested changes to the 5 Star Training & Consulting website are recorded on the in the same manner as the Improvement Log.

3.5 Course Evaluation

3.5.1 5 Star Training & Consulting has implemented strategies for evaluating the courses offered. Strategies comprise of the following elements:

- Formal and ad hoc participant/stakeholder feedback
- Formal and ad hoc Trainer/Assessor/Facilitator feedback
- Assessment validation
- Evaluation and trialling of resources

- Enrolment trends
- Complaints and appeals records

3.6 Participant Feedback

3.6.1 Feedback from course participants is a vital part of determining the changing needs and expectation of clients and shaping the improvement measures to be implemented.

3.6.2 Participants are provided with a Participant Evaluation of Course form at the end of each course. The evaluation form provides opportunity for participants to comment on the training and assessment services they received, and the organisation as a whole. Information collected remains confidential and is accessed only by personnel required to do so to perform their role.

3.6.3 The Participant Evaluation of Course forms are gathered by the Trainer/Assessor and submitted to the Chief Executive Officer. The Chief Executive Officer will review the data collected and record an analysis summary of feedback. The Chief Executive Officer will identify areas of risk and improvement and any corrective or preventative action to be implemented. If necessary, an Improvement Request will be completed for action.

3.6.4 Following the completion of a course participants are asked to complete the quality indicators learner questionnaire. The Chief Executive Officer will review the data collected and record an analysis summary of feedback. The Chief Executive Officer will identify areas of risk and improvement and any corrective or preventative action to be implemented. If necessary, an Improvement Request will be completed for action.

3.6.5 The Chief Executive Officer will provide data and information derived from it to ASQA as it relates to the Data Provision Requirements.

3.7 Trainer/Assessor/Facilitator Evaluation

3.7.1 Trainers, Assessors and Facilitators are required to regularly evaluate their own training and assessment skills as well as the effectiveness of the course structure, training and assessment methods, course materials and venue and equipment suitability.

3.7.2 Facilitators or Trainers and Assessors combined are encouraged to complete a Trainer Assessor Course Evaluation Report upon completion of a course. The report is to be submitted to the Chief Executive Officer. The report identifies overall participant satisfaction, analysis of the venue, resources and course materials and any additional comments about the delivery of the course.

3.8 Complaints and Appeals

3.8.1 Analysis of Complaints and appeals received indicate areas for improvement and can be effective in identifying further risk areas or areas requiring additional improvement or development.

3.8.2 5 Star Training & Consulting has established documented procedures for effectively managing Complaints and appeals in a fair and equitable manner (Consult Complaints and Appeals policy).

3.9 Professional Development

3.9.1 As part of 5 Star Training & Consulting's commitment to continuous improvement and compliance with the Standard for RTO's 2015, Trainers and Assessors are required to participate in regular professional development activities and undergo regular performance reviews to ensure consistently high standards are met and currency of skills are maintained.

3.9.2 5 Star Training & Consulting will pay the costs for continual professional development for full time employees.

3.9.3 All 5 Star Training & Consulting personnel are encouraged to undertake professional development activities to maintain currency in the areas of industry skills and skills in VET and should discuss the matter with the Chief Executive Officer.

3.10 Policy and Procedures

3.10.1 The Policies and Procedures of 5 Star Training & Consulting shall undergo a systematic review to ensure currency and effectiveness of the Quality Management System and the associated supporting documents. Amendments to the Policies and supporting documents (i.e. training forms, handbooks, guidelines, position descriptions) are influenced by Improvement Requests received and changes to the organisation, industry and legislative requirements.

3.10.2 The Chief Executive Officer shall complete the reviews of the Policy and Procedures as required by .

3.11 Audits and Reviews

3.11.1 5 Star Training & Consulting will carry out internal audits and reviews against the VET Quality Framework and reviews as required by the VET regulator Act, ACTFA, Approved providers list contract and wherever else required.

3.11.2 5 Star Training & Consulting will use the results of these audits and internal reviews as a source of continuous improvement and makes changes based upon those areas identified in those reports.

Risk Management

1. Aim

1.1 To ensure an effective and consistent approach to risk management across all operations of 5 Star Training & Consulting.

2. Policy

2.1 5 Star Training & Consulting is committed to establishing and maintaining a culture within the organisation that increases the ability of 5 Star Training & Consulting to achieve strategic objectives through the effective management of risk.

2.2 5 Star Training & Consulting is dedicated to continually improving upon risk management techniques.

3. Procedure

3.1 General

3.1.1 Risk management is a systematic method of identifying, analysing, evaluating and treating risks associated with the operations of the organisation that could potentially prevent the achievement of 5 Star Training & Consulting's objectives.

3.1.2 The intention of risk management is to reduce the amount and severity of potential detrimental incidents to ensure the organisation's goals and objectives can be accomplished.

3.1.3 5 Star Training & Consulting shall use continuous improvement activities as outlined in the Continuous Improvement policy to assist in the management of risks.

3.1.4 It is the responsibility of Management to guide risk management activities throughout the organisation and conduct rigorous strategic planning. All 5 Star Training & Consulting personnel are required to be alert to risks and act upon identified risks.

3.1.5 5 Star Training & Consulting will develop and maintain Operations manuals and skill specific activity guides for its Outdoor Recreation courses.

3.2 Risk Management Planning

3.2.1 Define the Context

Consider and identify the internal and external stakeholders, industry requirements and the structure of 5 Star Training & Consulting to determine the contexts in which risk may occur.

3.2.2 Define Risk Categories

Consider the types of risks that may occur within 5 Star Training & Consulting operations by dividing them into the following categories:

- Commercial / Financial
E.g. loss of commercial income, loss of funding, theft of resources/equipment
- Human Resources
E.g. injury/illness to 5 Star Training & Consulting personnel, course participants
- Continuity
E.g. interruption to operational activities due to fire, labour strike, electrical fault etc
- Environment
E.g. contamination of air, water, land due to chemicals etc
- Reputation
E.g. allegations of fraud, mistreatment of personnel or participants
- Legal and Management
E.g. loss of key personnel, legal proceedings against 5 Star Training & Consulting, loss of Registered Training Organisation status

3.2.3 Define the Objectives

Determine the objectives of 5 Star Training & Consulting and the specific area in question.

3.2.4 Define the Risk Rating

- Determine the likelihood of the risk occurring:
 1. Almost Certain – Expected to occur within 12 months
 2. Probable – Potentially will occur within 1-5 years
 3. Possible – Potentially may occur within 5+ years
- Determine the severity level of consequences:
 1. Extreme
 2. High
 3. Moderate
 4. Low

3.2.5 Identifying Risks

The Improvement Log shall be used as a tool to assist in identifying further risks. The Continuous Improvement policy describes how the Improvement Log is utilised. Regular internal audits on all operations shall occur for the purposes of conformance with 5 Star Training & Consulting, State and Federal requirements, continuous improvement and to assist in identifying risk areas. Consult the Auditing policy for further details.

Review of occupational health and safety hazards shall occur regularly through the implementation of Occupational Health & Safety policy and the Continuous Improvement policy

3.2.6 Develop a Risk Action Plan

1. Investigate possible courses of action and consider the following questions:
Will the action:
 - (a) be accepted by stakeholders?
 - (b) be easy to implement and therefore conducted consistently?
 - (c) require approval from a higher authority?
 - (d) be compatible to other actions already implemented?
 - (e) result in continuous and sustainable effects or short term effects?
 - (f) impact on economic or social elements of 5 Star Training & Consulting?
 - (g) effect the environment?
 - (h) promote equity with risks and benefits being distributed fairly?
 - (i) deny any basic rights or discriminate?
 - (j) lead to additional benefits in other areas?
 - (k) benefit long term 5 Star Training & Consulting objectives?
 - (l) require endorsement by relevant government authority and will it likely be accepted?
 - (m) breach any regulatory requirements?
 - (n) introduce new risks?
 - (o) have timely effects?
2. **Identify the type of action(s):**
 - (a) Risk Avoiding (e.g. terminating an activity)
 - (b) Reduction in Risk Occurrence (e.g. reduce the chance of risks occurring by modifying operational processes to prevent occurrence of risks)
 - (c) Reducing of Severity of Consequences (e.g. improving early detection techniques)
 - (d) Risk Sharing (e.g. partnerships, insurance)
3. Document the action(s) to be taken for each identified risk.
4. Define who is responsible, establish a schedule, determine the expected outcomes, and the resources currently available (physical, human and financial).
5. Identify how the implementation of the plan will be assessed and measured against objectives and how frequently review will occur.
6. Monitor, review and improve upon risk management activities.

The Risk Management procedure outlined in the Risk Management Policy will be used to identify and manage the risks associated with compliance with the Standards for Registered Training Organisations (RTO's).

Annually the Educational Development Unit will analyse ABC Education's risk in adhering to the AQTF standards for RTO's. A number of sources will be utilised to do this. This includes but is not limited to:

- National Key Risk Areas
- State priorities identified by VETAB from the National Key Risk Areas
- State sources for identifying risks
- Results from Internal Audits
- Analysis of Customer Suggestions & Complaints
- Analysis of surveys conducted including staff and student surveys
- Analysis of staff suggestions

Once this Risk Assessment has been conducted and appropriate controls implemented, a copy of the business unit risk plan is to be provided to the Educational Developments Manager for endorsement. On an ongoing basis, the Educational Developments, Corporate Services and the Human Resources Manager will monitor the risks associated with AQTF and legislative compliance from a variety of inputs including but not limited to:

- Internal Audits
- Staff Suggestions
- Customer complaints
- Ministerials
- OH&S Committees
- Appropriate legislation and licensing.

The following provides a specific example of the implementation of risk management in the area of the AQTF. The generic procedure is as applicable here as it would be in terms of OH&S, financial systems and other compliance standards management.

Complaints & Appeals

1. Aim

1.1 To ensure 5 Star Training & Consulting has a fair and equitable process for dealing with participant, staff or other complaints.

2. Policy

2.1 5 Star Training & Consulting has process in place for participants enrolled in a course seeking to appeal against an academic decision or another grievance regarding procedural matters in relation to all aspects of operations of 5 Star Training & Consulting.

3. Procedure

3.1 The following principles will guide these procedures:

- any complaint should be made within a reasonable time of the event which is giving rise to the complaint and no later than twelve months after the event;
- student complaints will be handled with regard for procedural fairness, confidentiality and privacy, including the use and storage of any information and records related to the complaint;
- student complaints will be handled quickly and as close as possible to the source;
- where possible the complaint will be resolved by a process of discussion, cooperation and mediation;
- all parties involved will participate in the complaint resolution in good faith.
- Where a complaint cannot be

3.2 How can a complaint be made

A complaint can be made using three avenues:

- Informal complaint
- Formal complaint
- External complaint

With the exception of serious matters, many complaints can be handled through the informal process. This process should be used in the first instance.

Note that external bodies such as the NSW Ombudsman may require the complainant to lodge an internal complaint first before they will become involved. The complainant should contact the external body directly for advice on when they will take up a matter.

3.3 Informal Complaint

Through the informal process the complainant raises their concerns directly with the person or persons involved. This can be done in writing (letter or email) or verbally (phone or face to face). The parties involved will then attempt to reach a satisfactory resolution of the matter. Both the complainant and respondent are entitled to invite a support person or a neutral third party to attend any interviews or meetings conducted during the informal process. In this instance they must advise the other party of the attendance of a support person or a neutral third party at the meeting at least 24 hours prior to the meeting. The support person can be a student, staff member, friend or family member. The support person may not act as an advocate or be a lawyer.

Where a complainant is uncomfortable raising the concern directly, an informal complaint can be made through an appropriate member of staff.

The Staff Member will aim to facilitate resolution of the complaint at the local level by:

- Clarifying the complaint through discussion with all parties; and
- Negotiating a mutually agreed outcome that resolves the complaint.

3.4 Timings

Resolution at the local level will be undertaken expeditiously and wherever possible within 20 working days and no longer than 30 working days of the complaint being raised.

The Staff Member may instigate a process of formal mediation to be undertaken. Both parties must agree in writing to such a process and mediation will be facilitated by a mediator.

3.5 Complaint of a serious nature

Where the complaint is of serious nature the formal process will apply. A complaint is deemed serious where

- a serious criminal offence may have been committed (for example, sexual assault);
- there is reason to believe that due to the nature of the complaint there is a significant risk to the staff and/or students of 5 Star Training & Consulting;
- there are a number of complaints of a similar nature received against a respondent.

Where a serious criminal offence may have been committed, the Director must be notified and the Director may, with the knowledge of the complainant, notify the appropriate authority.

It is the responsibility of the person initially receiving a serious complaint to refer it to the Director. Advice on what may constitute a complaint of a serious nature can be sought by any party from the Director.

3.6 Formal Complaint

A complaint can be lodged under the formal process where:

- resolution through the informal process has not occurred;
- the complaint is deemed serious;
- the complainant chooses this process.

A formal complaint must be lodged in writing (letter or email) with the Chief Executive Officer. The written complaint must contain sufficient information necessary for the complaint to be investigated and to substantiate the complaint. All available information should be lodged at the outset. It should be lodged as soon as possible and no later than 12 months after the event leading to the complaint.

Frivolous or vexatious complaints or complaints without substance will not proceed beyond preliminary investigation.

In cases where no formal written complaint has been received or the complainant refuses to put their complaint in writing but 5 Star Training & Consulting has been made aware of a matter of a serious nature, the Chief Executive Officer or Director may decide to initiate the formal process.

3.7 Anonymous complaints

Complaints lodged anonymously under the formal process will not normally be investigated. However, in exceptional circumstances the Director may decide that an investigation is warranted.

3.8 Determination process

On receipt of the formal complaint the Chief Executive Officer will:

- record the complaint on a complaints database;
- send an acknowledgement of receipt of the complaint to the complainant within 5 working days and provide information about seeking independent advice and the right to bring a support person or advocate to any meetings or interviews that may be conducted;
- determine whether the complaint is to be investigated under a formal procedure. Where it is determined that the complaint will not be investigated, the Director will provide reasons in writing to the complainant within 20 working days of receipt of the complaint.

3.9 Role of Chief Executive Officer in the Complaint process

On receipt of the complaint the Chief Executive Officer will:

- initiate investigation within five working days of its receipt;

- provide both the complainant and respondent with the opportunity to present their cases in writing. This process will include ensuring all parties are in receipt of the Student Complaint Procedures and providing the respondent with written details of the complaint;
- examine relevant documentation, interview relevant parties where necessary, and seek clarification on information supplied from relevant parties where required; and
- conclude the investigation within 20 working days of the receipt of the complaint. Where this is not possible, the Director must be kept informed of the reason and an expected finalisation date. The Director will in turn keep the complainant informed in writing and will regularly provide updates to the complainant on the progress of the matter.

Both the complainant and respondent are entitled to invite a support person or a neutral third party to attend any interviews or meetings conducted during the formal process. The support person can be a fellow student, staff member, friend, or family member. The support person may not act as an advocate, cannot be a lawyer and may not contribute to any discussion unless invited to do so by the Chief Executive Officer

At any stage of the investigation the Chief Executive Officer can seek advice from appropriate areas such as the Anti-Discrimination Board.

At the conclusion of the investigation the Chief Executive Officer will provide the Director with one of the following recommendations:

- that the complaint has been substantiated and recommendations on any action required;
- that the complaint has not been substantiated. In most cases no further action will be required, however the Chief Executive Officer may recommend, for example, that parties involved be reminded of 5 Star Training and Consultings expectations of behaviour.

The Director will advise both the complainant and the respondent of the outcome of the investigation in writing, including reasons for the decision, and will inform both parties of the appeal process.

In the event of a complain being made against the Chief Executive Officer the Director will assume the role of the Chief executive office in the complaint process.

3.10 Progress reports during an investigation

Where investigation is required this will generally involve, as a minimum, advice from the Chief Executive Officer to the complainant when:

- The preliminary investigation has been completed; and
- The investigation report has been finalised for consideration by the relevant authority.

3.11 Withdrawal of Complaint

At any stage of the informal or formal process, the complainant may decide to withdraw the complaint. Where the formal process is underway any withdrawal must be in writing. In most instances 5 Star Training & Consulting will then deem the complaint resolved. However, in certain circumstances 5 Star Training & Consulting may deem the complaint serious enough for an internal investigation to continue or for referral to an external agency.

3.12 Recordkeeping

Notes must be kept at all stages of the resolution of a complaint including records of meetings, discussions and actions proposed or taken. All records or notes produced in dealing with the resolution of a complaint under the formal process must be stored on a confidential file. The file must be registered appropriately and stored securely under the responsibility of the Chief Executive Officer.

The Chief Executive Officer will be responsible for recording and tracking all formal complaints on a central complaints database.

3.13 Confidentiality

All parties involved in a complaint including the complainant, respondent and investigators are to maintain confidentiality.

3.14 External Complaint

The complainant may, at any stage, refer their complaint to an external agency or to a mutually agreed independent. Where this occurs 5 Star Training & Consulting may cease any internal process.

Where 5 Star Training & Consulting is aware that a complaint has been lodged externally, the complaint will be recorded by the Director on the complaints database.

External agencies may include:

- NSW Ombudsman
- Anti-Discrimination Board of NSW
- Human Rights and Equal Opportunity Commission
- ASQA

3.15 Appeals

An appeal may only be lodged on the grounds of lack of procedural fairness in the investigating process.

Appeals are to be in writing to the Director within 15 working days of the date of notification of outcome and must state the grounds for appeal.

An appeal may be lodged by the complainant or the respondent

In determining the outcome of the appeal the Director may:

- dismiss the appeal on the grounds that the information provided does not meet the grounds for appeal stated under the procedures; or
- allow the appeal and make a fresh determination based on the evidence presented.

3.16 Notification of result

The Director will notify all parties in writing of the outcome of the appeal including reasons.

At this stage, all avenues of appeal within 5 Star Training & Consulting will have been exhausted. A complainant dissatisfied with the outcome of a complaint will be advised of their right to request an external review of the matter by mutually agreed independent organisation or person.

3.16 Recordkeeping

All minutes and relevant papers of the Complaint must be stored on a confidential file. At the conclusion of an investigation, the file must be stored securely under the responsibility of the Director

Child Protection

1 Aim:

- 1.1 This policy was written to demonstrate the strong commitment of management, employees and volunteers to child safety and establishing and maintaining child safe and child friendly environments.

2. Commitment to safety of young people

- 2.1 All young people who access the services of 5 Star Training & Consulting have a right to feel and be safe.
- 2.2 5 Star Training & Consulting is committed to the safety and wellbeing of all children and young people accessing our services and the welfare of the children in our care will always be our first priority. We aim to create a child safe and child friendly environment where young people feel safe and enjoy learning.
- 2.3 Where personal contact is required as part of the training provided, the appropriate procedures will be explained to the young person prior to the training being undertaken.

3. Scope

- 3.1 This policy applies to all employees, volunteers, young people, visitors and individuals who access the services of 5 Star Training & Consulting.

4. Young people's rights to safety and participation

- 4.1 5 Star Training & Consulting management, employees and volunteers encourage young people to express their views, and make suggestions, especially on matters that directly affect young people. We actively encourage all young people who access our services to 'have a say' about those things that are important to them. We value diversity and do not tolerate any discriminatory practices.

5. Recruitment of employees

- 5.1 5 Star Training & Consulting applies the best practice standards in the recruitment and screening of employees.
- 5.2 Where staff are required to work with young people the working with children check will be completed prior to commencing employment.

6. Support for employees

- 6.1 5 Star Training & Consulting seeks to attract and retain the best employees. We provide support and supervision so people feel valued, respected and fairly treated. We have a code of conduct to provide guidance to our employees and volunteers, all of whom acknowledge the requirements of the code.

7. Reporting and responding to suspected abuse and neglect

- 7.1 5 Star Training & Consulting will not tolerate incidents of child abuse.
- 7.2 5 Star Training & Consulting is responsible for ensuring that employees are aware how to make appropriate reports of abuse or neglect.

You can make a report by phoning the **Child Protection Helpline on 132 111** (TTY 1800 212 936) for the cost of a local call, 24 hours a day, 7 days a week.

- 7.3 We will also provide opportunities for employees and volunteers to undertake child safe environment training.
- 7.4 5 Star Training & Consulting will support any employee and volunteer that makes a report to the Child Protection Helpline.

Document Control

1. Aim

1.1 To ensure that the information (documents and data) that affect the quality within 5 Star Training & Consulting is adequately controlled and that processes are in place to effectively manage amendments to the Quality Management System.

2. Policy

2.1 5 Star Training & Consulting is committed to maintaining effective document control in regards to all 5 Star Training & Consulting documents.

2.2 5 Star Training & Consulting shall use version control and utilise a document amendment process to ensure the most current documents are used, that amendments are conducted by Chief Executive Officer.

3. Procedure

3.1 Control of Documents

3.1.1 The following documents within 5 Star Training & Consulting require control:

- Policy & Procedures
- Forms
- Guidelines, Handbooks, Manuals
- Templates
- Training and Assessment Resources
- Standards, Codes and regulations

3.1.2 The 5 Star Training & Consulting policy and Procedures, forms, resources and their revisions are reviewed and approved by the Chief Executive Officer in consultation with the Director.

3.2 Documents Distribution and Revision

3.2.1 There is one controlled copy of this manual and it is retained at the 5 Star Training & Consulting office. A master soft copy of this manual is kept electronically.

3.2.2 For each revision, communication is sent to relevant personnel indicating changes that have been made.

3.3 Control of Regulations & Standards

3.3.1 The Chief Executive Officer shall arrange a review of any regulatory required changes or standard changes to determine the nature and extent of these changes. Where necessary, the 5 Star Training & Consulting Chief Executive Officer will arrange the implementation of changes to the necessary documents within the Quality Management System.

3.4 Document Amendment

3.4.1 Staff may suggest changes to the 5 Star Training & Consulting Quality Management System by using an Improvement Request Form and forwarding it to the Chief Executive Officer.

3.4.2 Any amendments to the Quality Management System must be approved by the 5 Star Training & Consulting Chief Executive Officer.

3.5 Control of Forms

3.5.1 5 Star Training & Consulting shall control forms through version control practices.

3.5.2 5 Star Training & Consulting shall use the Forms Register to list all of the current forms in the Quality Management System and the month and year the current form was revised.

3.5.3 Revision status of forms is indicated by date last revised

3.5.4 The 5 Star Training & Consulting Chief Executive Officer issues the new form and advises all holders to withdraw superseded versions of forms from use.

3.5.5 5 Star Training & Consulting shall review all forms annually. However, any identified changes shall be actioned on a needs basis and may be amended and released at any date.

3.6 Document Amendment Checklist

3.6.1 When amending any document within the 5 Star Training & Consulting Quality Management System the following aspects must be considered:

- Ensure the document is compliant with relevant legislations, VET Quality Framework and ASQA requirements
- Ensure the version number/date is updated (where relevant)
- Ensure the established numbering and formatting systems are followed
- Ensure compliance with 5 Star Training & Consulting Brand Guidelines
- Ensure the changes are communicated to the relevant affected personnel

3.7 Implementation Guidelines

3.7.1 When a need arises for a document to be amended or created, the Chief Executive Officer shall record the document name, document number and the amendment details/document description on the Document Amendment Form.

3.7.2 The 5 Star Training & Consulting Chief Executive Officer shall sign the Document Amendment Form to indicate that the amendments or newly created document has been approved.

3.7.3 The 5 Star Training & Consulting Chief Executive Officer shall ensure:

- The original soft copy is archived on the server (*if applicable*)
- The document is saved in the appropriate folder on the server
- The 5 Star Training & Consulting controlled hard copy of the policy and procedures is updated
- The document is uploaded onto the 5 Star Training & Consulting website (*if applicable*)
- Personnel are informed of the changes

Audit

1. Aim

1.1 To outline the system for internal auditing and self-assessment of 5 Star Training & Consulting operations.

2. Policy

2.1 5 Star Training & Consulting is committed to the principles of continuous improvement and ongoing review through establishing effective auditing practices.

3. Procedure

3.1 Audit Planning

3.1.1 5 Star Training & Consulting shall be internally audited using the self assessment template. The auditor must ensure all functions are audited to ensure compliance with the VET Quality Framework.

3.1.2 Trainers and Assessors shall, in addition to audits conducted by 5 Star Training & Consulting, conduct their own self-assessment using the 5 Star Training & Consulting Audit Checklist.

3.1.3 The Australian Skills Quality Authority (ASQA) audits ensure compliance with the Standards for Registered Training Organisation 2015

3.2 Performance of Audit

3.2.1 The Auditor conducts the audit using the Standards for Registered Training Organisation 2015 requirements self assessment tool to examine the objective evidence, ascertaining whether the system is operating in accordance with those requirements.

3.2.2 The audit team will use the process outlined below to ensure that policies and procedures are compliant and have been implemented throughout 5 Star Training & Consulting's operations.

3.2.3 The audit may

- Examine all documents and systems that consist of policies and procedures, student handbook, relevant components of the business plan, trainers/assessor qualifications and the staff handbook will be scheduled as per the compliance calendar.
- Examine the records of actual training conducted
- Peruse a sample of student files
- Analyse resources for delivery and assessment required by the relevant National Training Package or course, including training materials and assessment tools
- Hold interviews as required with administration staff, trainers and students
- Observe processes such as assessment and learning activities
- Examine of existing facilities required by the relevant National Training Package or course
- Review processes with senior management
- Professional development

3.2.4 At the completion of the internal self assessment/audit a report will be generated on 5 Star Training & Consulting's compliance.

3.3 Audit Reporting and Follow Up

3.3.1 The report will make a series of recommendations on any non compliance and the required rectification to bring those areas to compliance.

3.3.2 The 5 Star Training & Consulting Chief Executive Officer will work to ensure areas of non-compliance are addressed.

3.4 Internal review

3.4.1 Where possible the audit will be conducted as part of the Internal review as required by the ACTFA and APL contract.

Course Design

1. Aim

- 1.1 To ensure that course design and development activities are carried out and verified for adequacy and that design changes are identified and controlled effectively, maintaining quality standards.

2. Policy

- 2.1 All courses must be designed and delivered in accordance with the relevant training package and support materials issued / authorised by 5 Star Training & Consulting only.

3. Procedure

- 3.1 Course design and development is conducted by 5 Star Training & Consulting under the guidance of the Director.
- 3.2 When new courses are developed or current courses amended, all associated resources and delivery plans are trialled by 5 Star Training & Consulting trainers, assessors and facilitators to establish suitability and any areas for improvement during the early implementation stages.
- 3.3 Any feedback regarding course design and/or associated materials should be directed to the 5 Star Training & Consulting Chief Executive Officer who will review the information for further development.

Assessment

1. Aim

1.1 To ensure the principles of competency based assessment are applied within assessment systems used by 5 Star Training & Consulting.

2. Policy

2.1 The application of the 5 Star Training & Consulting assessment principles will result in the valid, reliable, flexible and fair assessment of participants enrolled in training programs and will ensure that all assessments are carried out in a manner that is fair to both 5 Star Training & Consulting and participants while satisfying all Vocational Education and Training (VET) requirements.

2.2 This policy applies to assessment activities (including RPL) carried out with respect to all training programs delivered, whether directly by, or on behalf of 5 Star Training & Consulting.

3. Procedure

3.1 All courses offered by 5 Star Training & Consulting incorporate competency based assessments. The purpose of assessing competency is to confirm that students can perform tasks to the required standards expected in the workplace. Assessment methods can include but are not limited to: practical demonstration, projects, case studies, oral questions, assignments, portfolios, written work, role plays or observation of activities.

The outcome of each assessment task will be either Satisfactory (S) or Not Satisfactory (NS).

Once students have satisfactorily completed all the assessment tasks for a unit of competency they will be awarded Competent (C) or Not yet Competent (NYC). At the completion of all units for a qualification students will be issued a Certificate or a Statement of Attainment units completed.

3.1.1 Assessment Procedures

Step 1:

Students are issued with a timetable at induction and at the beginning of their course. The assessment process is also explained in detail. Adequate time must be given for discussion and questions to clarify assessment requirements.

Step 2:

At the commencement of each unit of competency or cluster of units the Trainer informs the students of outcomes expected from the unit, the date of the assessment and the type of assessment methods that will be used. The student is informed that if he/she is absent for the assessment they will be given one opportunity for re sit of that assessment within the month of the original assessment date on the nominated day by 5 Star Training & Consulting. If the student does not attend the re-sit they will be deemed not yet competent in that unit of competency.

Step 3:

Once the assessment has been completed the student will be given the result of either S (Satisfactory) or NS (Not Satisfactory) within 14 days. Once the student has satisfactorily completed the required assessments for a unit of competency he/she will receive an outcome of C (Competent) or NYC (Not Yet Competent).

Step 4:

If a student is deemed NYC (not yet competent) the trainer/assessor will explain why and inform the student of what needs to be completed in order to demonstrate competence. The trainer/assessor will give this information to the student in written format and may need to include an example to assist the student. The student will be advised of the date of re assessment.

Generally students will be given two opportunities to be assessed for competency. Subsequent reassessments may incur an additional fee.

Step 5:

It is an important part of the assessment process to gain feedback from the student. The feedback process also is a requirement for continuous improvement.

Step 6

Assessors should record results using appropriate forms provided and forward these to the Chief Executive Officer for processing.

Step 7:

If a student is dissatisfied with the outcome of the assessment marking process, he/she has the right to appeal the assessment results.

3.2 Conducting Assessment

3.2.1 All assessment shall be conducted in line with the relevant standard as advised by 5 Star Training & Consulting.

3.2.2 Assessors shall be provided with the Trainer Assessor Facilitator Guide, competency standards, and any other assessment tools or material required by 5 Star Training & Consulting for use during the assessment.

3.3 Results of Assessment

3.3.1 Results of competencies achieved and/or completed assessment activities shall be entered into the appropriate database.

3.3.2 All Statements of Attainment / Qualifications shall be issued by 5 Star Training & Consulting in accordance with the Issuing Awards policy.

3.4 Assessment Appeal process

3.4.1 If a student does not agree with an assessment outcome they should first discuss the matter with the trainer/assessor concerned and if the complaint cannot be resolved at this point then the student can lodge an Assessment Appeal in writing

3.4.2 The appeal will follow the same process as a complaint and will be investigated by the Chief Executive Officer. Where the Chief Executive Officer is the trainer/assessor the appeal will be investigated by the Director

3.4.3 Grounds for Appeal

An application for appeal will be considered where:

- A student claims a disadvantage because the trainer did not provide a subject outline
- A student claims disadvantage because the trainer varied without consultation or in an unreasonable way the assessment requirements as specified in the subject outline
- A student claims disadvantage because assessment requirements specified by the trainer were unreasonably or prejudicially applied to him or her
- A student is of the view that a clerical error has occurred in the documenting of the assessment outcome
- A student claims that there is a discrepancy between the practical observation and the formal assessment.

3.4.4 If the appeal for re-assessment is proven, 5 Star Training will appoint an alternative assessor who will make all necessary arrangements to conduct the re-assessment of the student at a time that is mutually convenient for all parties concerned.

3.4.5 How to make a complaint or appeal

- Initial complaint or appeal should be discussed informally with the applicable staff involved.
- If the complaint or appeal is not resolved informally, the student may choose to lodge a formal complaint or appeal.
- The complaint or appeal is recorded and the Director will make contact within 10 working days to arrange a meeting
- A meeting will take place to negotiate between all parties in an attempt to find a resolution agreeable to all parties. All appealed assessments will be re assessed by an alternative trainer/assessor.
- Written documentation on the outcome and resolution is provided to all parties and actions are immediately implemented.
- If a student is not satisfied with the outcome they will be referred to an external body where the matter can be dealt with independently.

Assessment Validation

1. Aim

1.1 5 Star Training & Consulting has a commitment to implementing the Standards for Registered Training Organisations (RTO's) 2015. Assessment validation is the systematic, planned and implemented review of training and assessment strategies.

2. Policy

2.1 5 Star Training & Consulting is committed to establishing and maintaining a best practice assessment validation within the organisation that increases the ability of 5 Star Training & Consulting to effective assessment and compliance with Standards for Registered Training Organisation 2015.

2.2 Assessment conducted by or on the behalf of 5 Star Training & Consulting will take place within a competency based assessment system and will observe the directives as required by the VET Quality Framework, Australian Qualifications Framework (AQF) and relevant training package:

- **Valid** – Assessment methods will be valid in that they will assess what they claim to assess
- **Reliable** – Assessment procedures will be reliable in that they will result in consistent interpretation of evidence from the learner and from context to context
- **Fair** – Assessments are accessible to all eligible students
- **Flexible** – Allows for the adaption of a range of strategies in a variety of learning environments to cater for differences in learning styles

3. Procedure

3.1 This procedure provides guidance for 5 Star Training & Consulting staff for designing and implementing assessment validation activities

3.2 The Assessment Validation principles apply to all delivery of Training Package qualifications for which 5 Star Training & Consulting has in its scope

3.3 All training products will be review once every 4 years with at least 50% of products validated within the first 2 years of each 4 year cycle

3.4 At 5 Star Training & Consulting an annual review of the delivery using the risk assessment principles is recommended for each qualification and improvements made if there has been a major change to the Training Package or there is feedback which recommends improvements.

3.5 There are several levels where Trainers/Assessors are encouraged to participate in discussions about assessment strategies and resources. Trainers/Assessors should regularly meet to discuss the assessment strategies and outcomes in their sections and a summary of these activities can be recorded as part of planning and evaluation meetings.

3.6 Trainers/Assessors are also encouraged to participate in industry forums and in assessor and teacher networks such as those facilitated through Industry Skills Councils. Benchmarking with other RTOs through assessor networks and similar activities is a good practice for ensuring consistency of the assessment outcomes with other providers in an industry area.

3.7 The Chief Executive Officer has responsibility for providing advice and support to educational staff to assist in the planning and implementation of assessment validation activities which includes:

- developing the validation process in each qualification and ensure that it complies with the requirements of this policy as it relates to their area
- communicating the policy requirements and the relevant process to their respective staff
- monitoring the progress of assessment validation in their area
- ensuring their staff have the knowledge and skills to undertake assessment validation
- ensuring that all Trainers/Assessors involved in the delivery of the chosen courses or qualifications are involved in assessment validation communications.

Trainers/Assessors have responsibility for :

- the planning, conduct and reporting of assessment validation processes

- ensuring that assessments are formally reviewed
- recording of assessment validation activities

4. Guidelines

4.1 Assessment validation for new and revised Training Package qualifications.

4.1.2 Special attention is required when qualifications are to be delivered for the first time in 5 Star Training & Consulting or when new or revised Training Package qualifications are to be delivered. When improvements are made to Training Packages this process also applies.

4.1.3 These guidelines also apply where Trainers/Assessors are using existing validated learning and assessment materials such as those available from Pearson Education, The Resource Generator or Skills Online, where the initial validation has already occurred and is usually mapped.

4.2. Planning and implementing Assessment Validation activities.

4.2.1 Planning for assessment validation involves doing an annual risk assessment of the areas that require improvement. This involves consultation with learners, industry and employers to gather feedback on learning and assessment strategies.

4.2.2 The key areas for consultation and subsequent improvement may include:

- Industry requirements – specific requirements in relation to licensing and other governing laws which is validated through consultation with the relevant regulatory authorities and organisations, and employers.
- Learners preferences about how the qualification is delivered including the assessment strategies such as flexible and work based assessment.
- Customisation for the work environment by consulting with enterprise and employers about the assessment requirements for workplaces.

4.3 5 Star Training & Consulting Assessment Validation Activity Cycle

The cycle is recommended as one of the main strategies for continuous improvement of assessment in 5 Star Training & Consulting.

Phase 1. Plan and Review Learning and Assessment Delivery

- Assessment validation involves conducting a risk assessment and planning assessment validated activities.
- The assessment strategies for each qualification should be validated at least once during the life of the Training Package, or under the new arrangements for continuous improvement of Training Packages at least every 3 years.
- Note that the reviewing of Learning and Assessment Strategy for each qualification should be reviewed as part of this process to ensure that the strategy is appropriate for the target group and the learning context including workplace, distance, online etc.
- Assessment validation activities can be planned and implemented in industry lines.
- Planning Validation activities includes gathering data and information from industry, employers, students and Trainers/Assessors.

Industry/Employer Feedback includes:

Specific Industry Requirements
 Employer feedback on Training Plans
 Advice on Learning & Assessment Strategies
 Visits to workplaces
 Employability Skills

Student Feedback includes:

Evaluations
 Analysis of unit completion and RPL rates

Course Completion rate
Feedback on Assessments

Teacher Feedback (including new/part time Trainers/Assessors) includes:

Minutes of Training Package meetings
Assessment Evaluations
Risk Assessment

Those identified by the VET regulator

f) Trainers/Assessors meet to revise assessment practices on the basis of information and data collected from students, employers, industry representatives, audit reports, and staff performance. This activity includes making improvements to assessment strategies, tools and resources etc.

g) Records of assessment validation planning and validation activity can be kept in hard copy, or electronic copy

Phase 2. Improve and Record – Planning and Improving Learning and Assessment Strategies

The outcome of review process should include planning the improvements such as:

- Updating resources and strategies with regard to the validity, reliability, flexibility and fairness of the assessment process.
- Developing new forms of delivery including online learning and work based assessments
- Customisation of the Learning and Assessment Strategies for particular groups of learners
- Resource development
- Planning professional development activities for Trainers/Assessors and,
- Identifying new business opportunities

Phase 3. Implement – Implement new Learning and Assessment Strategies

- Revised Learning and Assessment strategies are implemented.
- Teachers participate in relevant professional development activities
- New forms of delivery are trialled.
- Rates for Unit completion and course completion are monitored
- Discontinuing students are contacted
- Trainers/Assessors regularly meet to compare outcomes of assessment through moderation and other activities

Employers and industry representatives are contacted for feedback.

Recognition of Prior Learning

1. Aim

- 1.1 To ensure all participants potential or actual, of 5 Star Training & Consulting accredited courses are provided with adequate and timely information regarding Recognition of Prior Learning (RPL) and Credit Transfer, and ensure all applications are acted upon in a prompt and equitable manner.

2. Policy

- 2.1 5 Star Training & Consulting is committed to ensuring fair and equitable RPL and Credit Transfer practices are followed in accordance with 5 Star Training & Consulting Assessment policy, the Australian Qualifications Framework (AQF) and the Standards for Registered Training Organisation 2015.
- 2.2 5 Star Training & Consulting is obligated under the Standards for Registered Training Organisation 2015 to recognise the AQF qualifications and Statement of Attainment issued by other Registered Training Organisations (RTOs) under the principles of mutual recognition.
- 2.3 5 Star Training & Consulting acknowledges non traditional forms of learning as valid pathways for recognition of competency achievement during the assessment process.

3. Procedure

3.1 Definitions

- 3.1.1 Credit Transfer refers to learning that has occurred through formal education (generally mutual recognition) and training, whilst Recognition of Prior Learning (RPL) refers to learning that has occurred outside of formal education and training, such as work or general life experience. For the purposes of this policy both Credit Transfer and RPL shall be referred to as recognition.
- 3.1.2 Recognition applies only to nationally recognised courses.

3.2 Objectives

- 3.2.1 The key objectives of 5 Star Training & Consulting's recognition assessment process is to:
- minimise duplication of learning, training or skill acquisition
 - allow the completion of studies in the shortest possible time
 - provide clear recognition outcomes and access to further learning/training and career development
 - provide quality advice and support to potential and current applicants
 - conduct the recognition process only in respect to courses for which 5 Star Training & Consulting is registered to assess
 - ensure that only fully qualified personnel are involved in the recognition process
 - document the recognition process
 - recognise competencies and modules gained through a recognition process conducted at another Registered Training Organisation
 - ensure recognition processes are monitored, evaluated and updated where appropriate
 - advise recognition applicants of their right of appeal through the formal process
 - ensure fees and charges are fair and competitive with the industry standard

3.3 Recognition Process

- 3.3.1 All course participants in accredited training programs shall be provided with the competencies of the training they will be undertaking prior to enrolment as stated in the Participant Information policy, in order to determine if recognition is suitable.
- 3.3.2 All participants undertaking an accredited course shall be provided with information prior to enrolment in relation to the process of applying for recognition.
- 3.3.3 Participants interested in applying for recognition shall be provided with RPL Application Form and Guidelines. The Guidelines provide details of the recognition process and examples of appropriate evidence.

- 3.3.4 Trainers and Facilitators shall check all enrolment details for indications that participants may qualify for recognition, however participants who consider that they have the potential to qualify for recognition are expected to discuss the matter with their Trainer/Facilitator.
- 3.3.5 5 Star Training & Consulting recognises the special needs of applicants and shall make the necessary reasonable adjustments during the recognition assessment process where appropriate in accordance with the Access, Equity and Diversity policy.
- 3.3.6 All participants who apply for recognition shall be supported through the process by trained personnel only, who advise and guide them through the necessary steps. There is the opportunity for the applicant to negotiate the form of assessment.

3.4 Recognition Assessment

- 3.4.1 A variety of recognition assessment options will be available for potential applicants to identify whether they have achieved the necessary competencies to the required standard in the relevant training course or program.
- 3.4.2 All assessment mechanisms used are valid, reliable, flexible and fair and conducted in an ethical manner in accordance with the 5 Star Training & Consulting Assessment policy
- 3.4.3 Methods used shall be time and cost effective and appropriate to the level of risk and the amount of assessment rigour necessary for the applicable AQF level.
- 3.4.4 All recognition decisions shall be based solely on the participant's performance in relation to the Competencies and Performance Criteria as laid down in the course module descriptors or training package.
- 3.4.5 Decisions shall be based on sufficient authentic and appropriate evidence, for example:
- direct or first-hand evidence (e.g. a practical test, or something the applicant has made or written)
 - indirect or second-hand evidence (e.g. references, associations joined or positions held, articles about work the applicant has done)
 - formal documentation of skills or knowledge (qualifications, certificates, or transcripts from courses of study)
- 3.4.6 The RPL Application Form shall be completed to record in greater detail, relevant information to assist in making a decision.

3.5 Assessors

- 3.5.1 5 Star Training & Consulting Assessors are trained in recognition principles and processes appropriate to 5 Star Training & Consulting.
- 3.5.2 Assessors must be endorsed by 5 Star Training & Consulting and be considered a content specialist in the subject matter for which the applicant is applying for recognition.
- 3.5.3 The Guidelines for Recognition of Prior Learning for Assessors is available for Assessors to use to assist in the assessment process.

3.6 Outcomes

- 3.6.1 Participants shall be notified in writing of the outcomes of their application.
- 3.6.2 The results shall be entered on the Record of Assessment Outcome – RPL. This form and the RPL Application form will be included in the Confidential Participant's Personal file.
- 3.6.3 Hard copies of participant records of recognition need only be maintained for the duration of their course. The participant database and student file is to be updated immediately for the competency which has been granted.

3.7 Appeal

- 3.7.1 Where recognition is not granted, the participant shall be informed that they may appeal the decision and access the Complaints and Appeals policy.

- 3.7.2 The Assessor shall arrange an alternate Assessor and another interview time (if applicable). The Assessor will negotiate with the participant further assessment methods and documentation required.
- 3.7.3 Any review shall be undertaken by a different Assessor who was not involved in the initial assessment.
- 3.7.4 Where the Assessor deems it appropriate, they may negotiate with the client regarding the nature of the appeal to see if the issue can be resolved without a further assessment.

ACCESS, EQUITY & DIVERSITY

1. Aim

- 1.1 To ensure access and equity principles for all people are implemented through the fair allocation of resources and the right to equality of opportunity without discrimination.

2. Policy

- 2.1 5 Star Training & Consulting is committed to providing equal opportunity and promoting inclusive practices for all participants within the limit of the organisation's resources.
- 2.2 5 Star Training & Consulting will increase opportunities for people to participate in the Vocational Education and Training (VET) system and in associated decisions that affect their lives. Appropriate participant support services will be provided to maximise the chances of underrepresented participants achieving positive learning outcomes and placement/employment in their chosen career.

3. Procedure

- 3.1 In order to maintain the organisation's access, equity and diversity principles, 5 Star Training & Consulting will:
- Ensure the establishment of non-discriminatory participant selection procedures which encourage fair access for members of under-represented groups (Refer to Course Administration and Enrolment Policy).
 - Ensure access and equity issues are considered during curriculum development.
 - Ensure the requirements of individual learners are accounted for in the strategic and operational planning processes.
 - Provide learners with the opportunity to be involved in the planning and decision making processes on matters that affect them.
 - Provide training programs and services that are accessible to all people in an environment that is free from harassment.
 - Seek to provide access to a broad range of high quality support services that account for the diversity of clients and the needs of people under-represented in VET.
 - Seek to provide opportunities for all people to achieve outcomes that meet their personal goals.
 - Provide access to development to assist Facilitators who deliver courses to under represented groups.
- 3.2 5 Star Training & Consulting is committed to State and National equity legislation and policy requirements including Equity and Diversity.

3.2.1 Equity

5 Star Training & Consulting shall ensure participants are provided with the opportunity to access, participate and successfully achieve outcomes. Underpinning the principles of equity is the recognition by 5 Star Training & Consulting:

- that it is common for people to identify with more than one equity group
- of the differences within and between equity groups
- that each equity group does not experience the same type of disadvantage
- there remains many common systemic barriers for equity groups

3.2.2 Diversity

5 Star Training & Consulting recognises that many factors influence the ability of people to participate and succeed in vocational education, training and employment. 5 Star Training & Consulting endeavours to address the requirements of all potential and actual learners seeking to participate in training with 5 Star Training & Consulting, including specific equity groups such as:

- women
- mature age
- Indigenous Australian peoples
- people with a disability

- people from non-English speaking backgrounds
- people with language, literacy and numeracy needs
- residents of rural and remote communities

Beyond these groups, and in recognition of diversity, 5 Star Training & Consulting aims to respond to the needs of the local community.

5 Star Training & Consulting will monitor and review its equity performance in order to:

- comply with national and state legislation and policies
- meet national and state reporting requirements
- modify and improve performance to better achieve access, equity and diversity objectives

3.3 Participants with Special Needs

3.3.1 Participants with Language, Literacy and Numeracy (LLN) difficulties, a disability or from a non-English speaking background are encouraged to pursue their vocational education and training goals through participation in the range of programs offered by 5 Star Training & Consulting.

3.3.2 5 Star Training & Consulting will access appropriate participant support services wherever possible and ensure the necessary support services are provided to participants as required.

3.3.3 Participants are advised to discuss any LLN, special needs or counselling requirements with 5 Star Training & Consulting at the time of enrolment or as early as possible, so that the organisation has time to prepare the learning support services that are available and make reasonable adjustment arrangements.

3.4 Identifying Special Needs

3.4.1 5 Star Training & Consulting shall consider the following questions when developing training and assessment programs, activities and materials.

- Does the participant live in a remote area?
- Does the participant speak a language other than English?
- Does the assessment involve anything that may conflict with the participant's cultural background or religion?
- Does the assessment involve assessing the participant in front of others?
- Does the participant have a disability?
- Is the participant returning to the workforce after an extended absence?
- What communication skills are embedded in the competency standards?
- How do these skills relate to workplace activities?

Language, Literacy and Numeracy (LLN)

- What does the participant have to listen to and understand?
- What do they have to say?
- What do they have to read?
- What do they have to write?
- Do they need to understand any diagrams, pictures or symbols?
- What mathematical calculations do they need to do?

3.5 Reasonable Adjustment

3.5.1 5 Star Training & Consulting is dedicated to making amendments to training and assessment in order to meet the needs of participants with disabilities or other special needs and providing them with the same educational opportunities as others.

3.5.2 The adjustment shall be appropriate to the individual participant, achievable for the organisation within reasonable means and be compliant with the training package rules.

3.5.3 Examples of reasonable adjustment may include:

- modifying the premise
- providing interpreters
- using oral questioning rather than written
- modifying or providing additional equipment
- modifying assessment by breaking it into smaller segments

3.6 External Support Services

- 3.6.1 In order to meet the special needs of participants, it may be required that external support services are contacted. See student pre enrolment document for further information.

Participant Behaviour

1. Aim

- 1.1 To ensure participants are provided with clear and sufficient information regarding their responsibilities whilst undertaking a 5 Star Training & Consulting training program.

2. Policy

- 2.1 5 Star Training & Consulting shall provide information prior to course enrolment regarding the manner of conduct that is expected of participants. This information will be communicated via the 5 Star Training & Consulting website (www.5startraining.com.au).
- 2.2 Participants who wish to enrol into a 5 Star Training & Consulting course are required to complete an Enrolment Form. Signing this form indicates that the participant has read, understands and agrees to comply with the Policy and Procedures as outlined in the Participant Code of Conduct.

3 Procedure

3.1 Participant Behaviour

- 3.1.1 5 Star Training & Consulting expects participants to conduct themselves in a professional manner befitting of the workplace.
- 3.1.2 5 Star Training & Consulting is committed to providing a supportive training environment conducive of learning and expects participants to respect this principle by refraining from disrupting training and assessment sessions in anyway.
- 3.1.3 It is expected that participants attend all training sessions punctually and sign the attendance sheets provided.
- 3.1.4 Participants shall not take part in any activity, illegal or otherwise, that brings the organisation into disrepute whilst on 5 Star Training & Consulting premises or designated training and assessment areas.
- 3.1.5 5 Star Training & Consulting expects participants to behave in a professional and respectful manner at all times. This includes respecting the learning styles and varying abilities of other participants.
- 3.1.6 5 Star Training & Consulting does not tolerate any form of discrimination or harassment and has implemented the Anti-Discrimination and Sexual Harassment policy. Participants must comply with this policy and ensure they refrain from any behaviour that may discriminate or harass other participants or 5 Star Training & Consulting personnel.

3.2 Workplace Health and Safety

- 3.2.1 Participants have an obligation to comply with Workplace Health and Safety regulations and must ensure they act in a manner that does not endanger the health and safety of themselves or others as outlined in the Occupational Health and Safety policy.
- 3.2.2 Participants must comply with the safety directives provided by 5 Star Training & Consulting personnel and must not interfere with any item or process provided in the interest of health and safety at 5 Star Training & Consulting.
- 3.2.3 Participants must respect the training and assessment environment and comply with good housekeeping principles.

3.3 Property

- 3.3.1 Participants are expected to respect the property of 5 Star Training & Consulting and other course participants and treat all property with due care.
- 3.3.2 Removal of any 5 Star Training & Consulting property from designated areas without prior permission is forbidden and may be viewed as theft, resulting in possible disciplinary action.

3.4 Change of Personal Details

3.4.1 Participants are required to advise 5 Star Training & Consulting if any of their personal details change after enrolment.

3.5 Copyright

3.5.1 All textual material printed and issued by 5 Star Training & Consulting is covered by copyright. Written permission from 5 Star Training & Consulting is required prior to photocopying materials for reasons other than individual educational purposes.

3.6 Plagiarism

3.6.1 Plagiarism is defined as using the words or ideas of others and presenting them as your own. This is an activity that 5 Star Training & Consulting strictly forbids.

3.6.2 Plagiarism can take many forms from deliberate cheating to accidentally copying from a source without acknowledgement. Material can be integrated from another source into a participant's assessment by summarising and paraphrasing. This offers an alternative to using a direct quote.

3.6.3 When undertaking assessment, participants must acknowledge the source of all ideas and words that are not their own.

3.6.4 If a participant is in any doubt about whether something constitutes plagiarism, their Trainer, Assessor or Facilitator should be consulted.

3.7 Drugs, Alcohol and Other Prohibited Items

3.7.1 The organisation prohibits the possession or consumption of alcohol and illegal drugs and the possession of forbidden or dangerous articles whilst on 5 Star Training & Consulting premises or whilst undergoing training or assessment.

3.7.2 For the purposes of health, safety and the environment, 5 Star Training & Consulting restricts smoking to designated areas only.

3.8 Misconduct

3.8.1 Misconduct of a member or client in a training context is any behaviour which:

- disrupts the learning of others
- brings the organisation into disrepute
- prevents trainers and assessors from performing their duties
- endangers the health and safety of the participant, 5 Star Training & Consulting personnel or clients
- interferes with the conduct of 5 Star Training & Consulting Training and Assessment Operations
- breaches the requirements defined in this policy

3.8.2 Examples of misconduct may include:

- defacing training equipment or venues
- stealing whilst on a course
- refusing to meet a safety instruction from a course trainer
- cheating on an assessment
- plagiarising another person's work
- verbally or physically abusing 5 Star Training & Consulting personnel or client
- carrying a weapon
- drinking alcohol or taking illegal drugs during course break times

3.9 Disciplinary Action

3.9.1 Any participant suspected of, or proven to be in breach of any of the requirements of this policy shall face disciplinary action.

3.9.2 The type of disciplinary action appropriate for the breach shall be determined by 5 Star Training & Consulting management depending on the severity of the activity engaged in. This may include immediate suspension or termination of studies without refund or credit of course fees.

- 3.9.3 Serious misconduct or illegal activities carried out by any participant will be referred to the Police.
- 3.9.4 Misconduct of staff members will be managed in line with 5 Star Training & Consulting Disciplinary Procedures.

3.10 Complaints and Appeals

- 3.10.1 Should a participant believe that the severity of a disciplinary action taken by 5 Star Training & Consulting is unjustified or inappropriate they may choose to access the Complaints and Appeals policy

Facilities

1. Aim

- 1.1 To ensure all 5 Star Training & Consulting training and assessment facilities, equipment and venues are reviewed for suitability and effectiveness.

2. Policy

- 2.1 5 Star Training & Consulting shall ensure venues, training and assessment environments and resource areas are adequate in terms of safety, comfort and suitability to maximise learning opportunities.

3. Procedure

3.1 Responsibilities

- 3.1.1 Trainers, Assessors and Facilitators are responsible for inspecting all premises and equipment prior to training and assessment activities to ensure compliance with 5 Star Training & Consulting requirements.
- 3.1.2 Should a client supply a venue for the purposes of a training program, 5 Star Training & Consulting shall conduct an inspection of facilities and equipment prior to accepting the use of the venue.

3.2 Inspections

- 3.2.1 An inspection of the physical environment and physical resources must occur prior to course delivery. The following shall occur:

(a) Inspection of the premises to ensure the physical environment:

- is conducive to learning and the well-being of participants and personnel
- reflects workplace practices
- satisfies WH&S regulations and requirements
- satisfies compliance standards and Advisory standards, Local Council requirements
- addresses access and equity issues/requirements

(b) Inspection of the physical resources to ensure:

- compliance with the requirements of the 5 Star Training & Consulting course standards
- compliance with industry standards
- consistency with the requirements of the relevant training package (if an accredited course)
- an adequate supply is available for the number of participants
- suitability to meet the needs of a range of skill levels
- compliance with issues of quality and quantity to allow for repetitive use
- comparability to resources encountered in industry
- they are adequately maintained and up-to-date

3.3 Recording Inspections

- 3.3.1 Trainers, Assessors, Facilitators or Licensed Trainers shall complete the Venue Checklist in order to record the findings of an inspection of the physical environment and resources available at a client supplied or 5 Star Training & Consulting venue.
- 3.3.2 The Venue Checklist is to be submitted with the other training course records to the Chief Executive Officer. Should a hazard be identified the Hazard Record form shall be recorded as per the Occupational Health and Safety policy.

Human Resources

1. Aim

- 1.1 To ensure 5 Star Training & Consulting staff, Trainers and assessors are competent in the performance of their duties.

2. Policy

- 2.1 5 Star Training & Consulting is committed to the provision of quality training and education services using highly qualified personnel who have been individually selected to deliver 5 Star Training & Consulting courses to the highest possible standards.

3. Procedure

3.1 Personnel

- 3.1.1 5 Star Training & Consulting is committed to the principles of Equal Employment opportunities and shall appoint personnel based on their individual merits without discrimination in accordance with the Anti-Discrimination and Harassment policy.
- 3.1.2 All trainers shall be experienced professionals with content related knowledge in their relevant industry, and understand current and emerging industry trends, needs, and expected outcomes, appropriate to the level of the training package, course, or competency standard being trained/facilitated/assessed. They shall hold national trainer and assessor qualifications and continue to display the associated training and assessment competencies.
- 3.1.3 Staff will be provided with Continual Professional Development opportunities which may be done in consultation with the Chief Executive Officer.
- 3.1.4 Training and assessment personnel shall meet all requirements as specified in the relevant training package, course, or competency standard or as specified by 5 Star Training & Consulting.

3.2 Employment of Trainers and Assessors without Certificate IV TAE10 or equivalent

- 3.2.1 In circumstances where trainers without the Certificate IV TAE10 are employed they are subject to direct supervision
- 3.2.2 Direct supervision means that
- Trainers lesson and assessment plans are reviewed
 - Trainers work as a member of a team with a teacher who has the Certificate IV or equivalent.

3.3 Training Records

- 3.3.1 5 Star Training & Consulting shall retain the training records
- 3.3.2 The 5 Star Training & Consulting Chief Executive Officer shall keep the training records for all Trainers and staff.
- 3.3.3 Where required by regulations, specific qualifications, licenses or pre-requisites required by personnel, are verified prior to endorsement/employment.

3.4 Induction

- 3.4.1 New Trainers, Assessors, Facilitators and employees at a minimum shall undertake induction training in the 5 Star Training & Consulting policy and procedures and training package support material prior to starting their role.(see Induction Checklist form)
- 3.4.2 All new personnel shall be provided with, or have access to a controlled copy of the 5 Star Training & Consulting policy and procedures.

Anti Discrimination and Harassment

1. Aim

- 1.1 To ensure compliance with all relevant anti-discrimination and anti-harassment legislation and to maintain a safe and healthy environment for all course participants and 5 Star Training & Consulting personnel.

2. Policy

- 2.1 5 Star Training & Consulting is committed to ensuring the provision of a work and training environment free from discrimination and harassment.
- 2.2 5 Star Training & Consulting does not tolerate discrimination or harassment of any kind, under any circumstance. All persons on site, including visitors, have the right to an environment free from discrimination and harassment.
- 2.3 This policy is achieved through ensuring that State and Federal Anti-Discrimination and Anti-Harassment legislation is communicated and adhered to by all 5 Star Training & Consulting personnel and course participants.
- 2.4 State and Federal legislation includes, but is not limited to:
- Anti-Discrimination
 - Human Rights and Equal Employment Opportunity (EEO)
 - Racial Discrimination
 - Sex Discrimination Acts

3. Procedure

3.1 Discrimination

- 3.1.1 Under State and Federal legislation unlawful discrimination occurs when an individual, or a group of people, are treated unfavourably or made to feel intimidated because of their race, colour, national or ethnic origin, gender, pregnancy, marital status, age, disability, religion, sexual preference, gender identity, political conviction, membership of a trade union activity or some other characteristic specified under anti-discrimination or human rights legislation.

- 3.1.2 Discrimination occurs when someone is treated poorly because of personal characteristics. Discrimination may involve:

- Offensive jokes or comments
- Display of pictures or posters which are offensive or derogatory
- Expressive negative stereotypes of particular groups
- Using stereotypes or assumptions to guide decision making about a person's career or abilities
- Judging someone on their political or religious beliefs rather than their performance
- Undermining a person's authority or work performance due to dislikes of one or more of their personal characteristics

3.2 Harassment

- 3.2.1 Harassment is any offensive, threatening or abusive behaviour that is directed to intimidate an individual or group. This may include verbal harassment, such as teasing or insults or physical harassment, such as pushing an individual or interfering with their belongings or equipment.

3.3 Sexual Harassment

- 3.3.1 Sexual harassment is a particular form of harassment that can take any form of sexual attention that is unwelcome. It may be unwelcome touching or other physical contact, remarks with sexual connotations, crude jokes, requests for sexual favours, leering or the display of offensive material.

- 3.3.2 Under the NSW Anti-Discrimination Act and the Federal Sex Discrimination Act, sexual harassment is against the law.

3.4 Equal Employment Opportunities (EEO)

3.4.1 5 Star Training & Consulting is an equal opportunity employer. All appointments are made on individual merits, without regard to race, age, sex, marital status or any other factor not applicable to the position. Employees are valued according to how well they perform their duties, their ability and their enthusiasm to maintain company standards of service.

3.5 Taking Action

3.5.1 5 Star Training & Consulting will not tolerate discrimination or harassment and will seriously and confidentially investigate any complaint received. Any person who is proven to have discriminated or harassed another 5 Star Training & Consulting participant or personnel may face disciplinary measures. Likewise, disciplinary action may be taken against any person who victimises a person involved in making a complaint.

3.5.2 Trainers, Assessors, Facilitators, and 5 Star Training & Consulting staff must ensure that all persons on site (including visitors) are treated equitably and are not subject to discrimination or harassment. They must also ensure that people, who make complaints, or witnesses, are not victimised in any way.

3.5.3 Any person who believes they are being discriminated against or harassed should choose a course of action that they feel most comfortable with:

Course Participants

- Tell the person involved that they are making you uncomfortable and ask them to stop
- Make a complaint/discuss the issue with a Trainer, Assessor or Facilitator or another 5 Star Training & Consulting personnel member
- Consult the Complaints and Appeals policy

5 Star Training & Consulting Personnel

- Tell the person involved that they are making you uncomfortable and ask them to stop
- Make a complaint/discuss the issue with a supervisor or manager
- Consult the 5 Star Training & Consulting Complaints and Appeals policy

Complaints can also be made

- under Anti-Discrimination Legislation to the Human Rights and Equal Opportunity Commission. Contact details are: Level 8, Piccadilly Tower, 133 Castlereagh Street, Sydney NSW 2000 Telephone: (02) 9284 9600 or 1300 656 419.
- Office of Fair Trading 13 32 20
- National Training Complaints Hotline 1800000674

Work Health & Safety

1. Aim

- 1.1 To provide a safe and healthy workplace and training environment for all 5 Star Training & Consulting personnel, course participants and visitors.

2. Policy

- 2.1 All personnel are expected to perform their work tasks in a safe manner and to observe the rules, procedures and established work practices made known to them. This includes rules and procedures of our clients and suppliers when working at their premises or in areas defined as being under their jurisdiction.
- 2.2 5 Star Training & Consulting shall ensure compliance with the 5 Star Training & Consulting Work Health and Safety Policies and all State and Federal Occupational Health and Safety legislation.

3. Procedure

3.1 General Obligations

- 3.1.1 In NSW, all personnel and visitors at a worksite have an obligation to:
- Comply with the instructions given by their employer for health and safety at the workplace
 - Use formal protective equipment if the equipment is provided by the employer and the employee is properly instructed in its use
 - Not wilfully or recklessly interfere with or misuse anything provided for workplace health and safety at the workplace
 - Not wilfully place at risk the workplace health and safety of any person at the workplace
 - Not wilfully injure themselves
- 3.1.2 Health and safety at the workplace is everybody's responsibility.
- 3.1.3 Any activity which places undue risk to the health and safety of any person at the workplace must be terminated immediately and appropriate corrective action taken.
- 3.1.4 Trainers, Assessors and Facilitators must ensure they organise the training and assessment environment to ensure Work Health and Safety (WH&S) legislative requirements are fulfilled, including:
- implementing and monitoring WH&S policies and procedures in the classroom / workshops/ in the workplace
 - identifying hazards and assessing the WH&S risks in the classroom/workshops/in the workplace
 - eliminating hazards and controlling WH&S risks in the classroom / workshops
 - ensuring they possess the skills and knowledge sufficient to train/assess the WH&S component of the training package concerned

WH&S Risk Management

- 3.4.1 All personnel are required to continuously inspect their workplace to identify any hazard.
- 3.4.2 When a hazard is identified the person identifying the hazard must immediately assess the risk.
- 3.4.3 If possible, eliminate the risk. If this is not possible, then identify the nature of the risks associated with the hazard, the severity of the risk, the duration and frequency of exposure to the risk and the probability of an incident occurring.
- 3.4.4 If the risk cannot be eliminated control measures must be put in place.
- 3.4.5 The risk must be recorded on a Hazard Record Form and reported to the immediate supervising body as soon as possible.
- 3.4.6 Steps must be taken to ensure no person can be injured, by identifying the hazard and preventing, or stopping anyone from being able to injure themselves before the hazard has been rectified. This involves placing a barrier, or interrupting the transmission path between the person and the hazard. If the hazard is linked to a

piece of equipment you can tag and remove the equipment to ensure no one uses the equipment and then report to the appropriate supervisor.

- 3.4.7 Consult the Risk Management policy for further details on preventing and controlling risks.

Records Management

1. Aim

- 1.1 To ensure that systems are in place for recording details of course participants and training and assessment programs including participant details, enrolments, attendance, evidence of assessment, competencies achieved, exemptions and records of assessment.

2. Policy

- 2.1 5 Star Training & Consulting is committed to the principles of accurate and confidential record keeping practices.

3. Procedure

3.1 Record Maintenance

- 3.1.1 5 Star Training & Consulting shall be committed to keeping accurate and confidential records in relation to course participants, staff, commercial clients and the activities conducted on their behalf. All records are maintained through a combination of manual and computer based systems designed to ensure 5 Star Training & Consulting provides detailed and timely information.
- 3.1.2 5 Star Training & Consulting is obligated under the Privacy and Personal Information Protection Act of 1988 and subsequent amendments to protect the collection, storage, use and disclosure of participant personal information.
- 3.1.3 5 Star Training & Consulting shall maintain participant confidentiality and will not disclose personal information to a third party unless written permission has been obtained from the participant or required to do so by law.
- 3.1.4 Only authorised 5 Star Training & Consulting personnel, and auditors shall have access to participant records held both in hard and soft copy. All authorised 5 Star Training & Consulting personnel are required to ensure information is kept confidential and is only accessed in the execution of their duties.
- 3.1.5 5 Star Training & Consulting will maintain records for all funded training and for all training participants including apprentices and trainees as required to comply with 6.3 Record Keeping of the 2011-2012 (As varied 1 January 2013) NSW DET APL Contract.
- 3.1.6 5 Star Training & Consulting will advise the Department of any changes as described in 6.4 Reporting Requirements of the 2011-2012 (As varied 1 January 2013) NSW DET APL Contract.

3.2 Participant Records

- 3.2.1 Transcripts and course results will be issued on course completion. Progress reports will be issued each semester. Participants may access their own training and assessment records by submitting a written request to the Chief Executive Officer. Within fourteen (14) days of the receipt of the request, and after verification that the records are for the individual submitting the written request, records will be made available to the participant.

3.3 Change of Personal Details

- 3.3.1 Participants are required to inform 5 Star Training & Consulting of any change of personal details by submitting a written request to 5 Star Training & Consulting
- 3.3.2 5 Star Training & Consulting is responsible for updating the details on the training record management system (where relevant).

3.4 Assessment Records

- 3.4.1 Records of Assessment for individual competencies are to be updated after the completion of assessment to ensure information is available to participants and authorised clients on request.

3.4.2 Assessment results of qualifications / competencies will be retained for 30 years as required by VET Quality Framework or APL contract requirement

3.4.3 Hard copy individual assessment records are retained by 5 Star Training & Consulting for a period of six months from the dates on which the judgement of competence for the student was made.

3.5 Attendance Records

3.5.1 Attendance Record forms shall be used to record attendance.

3.5.2 Attendance Records of courses conducted by 5 Star Training & Consulting are to be maintained by 5 Star Training & Consulting.

3.6 Document Archive

3.6.1 All 5 Star Training & Consulting hardcopy documentation that is to be archived, such as assessment papers or attendance records, shall be stored in a secure location, accessible only to authorised staff.

3.7 Management of Data at Remote Training Venues

3.7.1 To ensure the efficient transfer of Training Records between the administration office of 5 Star Training & Consulting and training venues an online data storage, editing and retrieval system has been establish on Google docs.

3.7.2 Staff will receive training on how to create, upload and edit, student assessment and attendance records.

3.7.3 Changes to any online documents will be tracked and controlled by the Chief Executive Officer and strictly controlled access given to relevant staff member/s.

3.8 AVETMISS compliance

3.8.1 5 Star Training & Consulting will use software programs to ensure AVETMISS compliance, including participation in the Student Identifier Scheme (USI).

3.8.2 To ensure up to date and compliant data the CEO will subscribe to updates from <http://www.ncver.edu.au>

Advertising & Marketing

1. Aim

- 1.1 To ensure a consistent approach to the advertising and marketing of 5 Star Training & Consulting education and training services, ensuring compliance with all relevant advertising and marketing legislation and guidelines.

2. Policy

- 2.1 5 Star Training & Consulting is committed to the promotion of the organisation's courses, educational programs and training and assessment services in a professional and ethical manner, maintaining the integrity and reputation of the organisation.
- 2.2 5 Star Training & Consulting will accurately represent recognised training products to prospective participants and will ensure that full details of conditions of any contractual arrangements with 5 Star Training & Consulting are provided.

3. Procedure

- 3.1 5 Star Training & Consulting must ensure all advertising and marketing activities comply with 'VET Quality Framework's Advertising Guidelines.'
- 3.2 All advertising and marketing materials shall:
- Be clear, accurate and not misleading
 - Clearly identify nationally recognised qualifications separate to other courses, including non-accredited courses, 5 Star Training & Consulting courses, or current community education programs.
 - Accurately indicate the National qualification title and code and/or the units of competency title(s) and code(s) for each course
 - Ensure the Nationally Recognised Training logo is used only with nationally recognised qualifications/courses which 5 Star Training & Consulting is registered to deliver
 - Ensure that all advertised course fees are accurate and correct at the time of print
 - Clearly state all pre-requisites of the course
 - Provide clear, accurate and up to date information, ensuring all superseded materials are archived
- 3.3 Marketing and advertising materials must not give false, ambiguous or misleading information or advice, especially in relation to:
- claims of association between providers
 - the employment outcomes associated with a course
 - automatic acceptance into another course
 - methods of training and assessment
 - support services available
- 3.4 All advertising of nationally recognised training must be approved by the 5 Star Training & Consulting Chief Executive Officer or appointed delegate prior to publishing. Any changes to the 5 Star Training & Consulting website must be approved by 5 Star Training & Consulting Chief Executive Officer.
- ## **3.5 Pricing**
- 3.5.1 All advertising and marketing materials which quote prices for training services or equipment must be approved by the 5 Star Training & Consulting Chief Executive Officer prior to distribution.

Participant Information

1. Aim

- 1.1 To ensure all course information is accurate and accessible to potential course participants and is provided in an equitable and timely manner.

2. Policy

- 2.1 5 Star Training & Consulting is committed to providing adequate, timely information to participants prior to enrolment, upon course commencement and during the course duration to ensure participants understand course requirements, expectations and outcomes, and to equip them with the information and tools to achieve their academic goals.

3. Procedure

3.1 Prior to Enrolment

- 3.1.1 Prior to enrolment course participants must be informed of the organisation's policies and how they can be accessed. This is essential in order to ensure participants understand what is expected of them as a course participant and what they should expect from 5 Star Training & Consulting before committing to undertake a course.

- 3.1.2 Participants provided with a pre enrolment information package which contains information and policies relevant to participants.

- 3.1.3 As a minimum, the following information must be provided to potential course participants of accredited and non-accredited courses prior to enrolment:

General Information

- Vocational outcomes, including the qualification & units of competency (*if an accredited course*)
- Course duration
- Pre-requisites
- All fees/costs involved
- Description of modes of training & assessment involved
- Course location
- Resources required

Pre-enrolment Information

- About 5 Star Training & Consulting
- Conditions of enrolment
- Participants rights and responsibilities
- Disciplinary actions
- Complaints and appeals
- Induction/Orientation
- Assessment
- Fee structure
- Refund policy
- Support and assistance
- RPL
- Participant feedback
- Access and Equity
- Anti-discrimination
- Privacy
- USI requirement

- 3.1.4 Prior to course commencement accredited course participants are required to complete the Enrolment Form This will record that the participant has read, understood and agrees to comply with all the conditions in the applicant declaration.

3.2 Student Counselling and Support

3.2.1 Student support services are available to participants and information is provided upon application.

3.2.2 Participants requiring counselling or support should discuss the matter with their Trainer, Assessor or Facilitator who will assist where possible. In the event that further action is required, the participant should be referred to the appropriate personnel or alternatively, the participant may wish to independently contact the relevant organisation from the following list:

Adult English Language, TAFE NSW

Literacy and Numeracy Contact your nearest TAFE Institute

www.tafensw.edu.au

The Reading Writing Hotline

1300 655 506

Headspace

<http://www.headspace.org.au/>

03 90290100

Learning Disability SPELD

Phone: (02) 9451 9477

www.speldnsw.org.au

Deaf and Hearing Impaired Deaf Society of NSW

Phone (02) 9893 8555 or

Sign On Phone: (02) 9893 8858

Vision Impairment Association of Blind Citizens of N.S.W

Phone: (02) 9744 1516

Vision Care N.S.W

Phone: 1300 84 74 66

Physical Impairment The Independent Living Centre

Phone: 1300 885 886

Headway

Australian Quadriplegic Association (AQA)

Australia Spastic Welfare League

Equipment Technology Services

Phone: (02) 4226 4179

Psychiatric Difficulty Mental Health Association NSW

Phone: 1300 794 991

Counselling Services Kids Helpline (For youths)

Phone: 1800 551 800

Lifeline

www.lifeline.org.au

Phone: 13 11 14

Lifeline Database

(National database of low cost or free health/community services)

www.justlook.org.au

Australian Centre for Grief and Bereavement

Phone: 1300 664 786

National Helpline for the Violence Against Women

Phone: 1800 200 526

Drug and Alcohol Reachout Support Services www.reachout.com.au

NSW Alcohol and Drug Information Service (ADIS)

Phone: (02) 9361 8000 or
1800 422 599

Directline

Phone: 1800 888 236

Family Drug and Alcohol Help

Phone: 1300 660 068

This list of organisations is a selection only. Also note that contact details are subject to change over time.

Privacy Policy

1. Aim

1.1 To maintain participant confidentiality and privacy.

2. Policy

2.1 5 Star Training & Consulting will use the information provided by participants for the purpose of general participant administration, planning and communication. Information may also be submitted to the Department of Education, Employment & Workplace Relations for research, statistical & internal management purposes only. In supplying the requested information, participants have consented to the use of the information for those purposes. Information provided will be held securely. Participants may access, correct or amend participant personal details by contacting 5 Star Training & Consulting.

3. Procedure

3.1 Collection of personal information

5 Star Training & Consulting will collect personal information from staff in order to obtain the information required to meet employment, legal and taxation obligations.

Information collected includes general personal details, and may include details of any disability or health issue that may affect the staff member's ability to meet the requirements of their position. Students

5 Star Training & Consulting 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 AVETMISS standards as specified by government regulators.

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 Star Training & Consulting will only collect personal information that is required for the purposes of employment or education, or in meeting government reporting requirements.

5 Star Training & Consulting collects all personal information in writing, either from an employment application and personal details form, or an enrolment form, directly from the person whom the information is about. (Where applicable information may be collected from the parent or guardian of a student under the age of 18.)

3.2 Use and disclosure of personal information

Staff

5 Star Training & Consulting uses personal information of its staff for the purposes of meeting employment requirements including payroll, superannuation and taxation.

Students

5 Star Training & Consulting 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.

Personal information as 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.

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.

3.3 Access to personal information

It is a policy of 5 Star Training & Consulting to allow access to personal files at any time to the person to whom those files relate, upon written request. Staff and students may access their files by submitting their written application to the Chief Executive Officer.

3.4 Storage and security of personal information

5 Star Training & Consulting will take all reasonable steps to maintain the privacy and security of personal information. Information stored electronically is kept on a secure server and access is restricted to authorised employees. This server is regularly backed up and kept in a secure location.

Paper-based documents containing personal information are in a filing cabinet and held within a secure area within 5 Star Training & Consulting premises. Where documents are required to be transferred to another location, personal information is transported securely

Reasonable steps will be taken to destroy or permanently de-identify personal information when it is no longer required for any purpose.

Student information will be kept electronically for 30 years.

3.5 Confidential Information

5 Star Training & Consulting will make all reasonable efforts to protect confidential information received from clients 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.

3.6 Privacy Statement

A privacy statement is available for all persons in contact with the 5 Star Training & Consulting to identify the way in which personal information is handled by 5 Star Training & Consulting.

Course administration and enrolment

1. Aim

1.1 To maintain a system that provides effective and equitable enrolment services.

2. Policy

2.1 5 Star Training & Consulting is committed to ensuring that enrolment practices occur in a fair and professional manner, ensuring non-discriminatory participant selection practices are implemented. 5 Star Training & Consulting shall ensure adequate information is provided to potential course participants to enable them to understand the course requirements, expectations and outcomes.

2.2 There should be a reasonable expectation that any participant admitted into a course will be able to fulfil the learning objectives of the program and achieve the standard required to receive the award.

2.3 The processes followed shall ensure equality of opportunity for all applicants and shall not be discriminatory as outlined in the Access, Equity and Diversity Policy

3. Procedure

3.1 Prerequisites

3.1.1 All applicants for enrolment must satisfy the prerequisite requirements for the accredited or non-accredited course. Those requirements relate to language, literacy and numeracy abilities and qualifications and/or experience as outlined in the relevant Learning and Assessment Strategy. Applicants must be informed of these requirements upon course enquiry.

3.2 Enquiries

3.2.2 The Chief Executive Officer is responsible for ensuring all course enquiries are followed up and sufficient and accurate information is provided to the enquirer.

3.2.3 All potential course participants must be provided with adequate information regarding the course, including the competencies, learning outcomes and training and assessment methods involved. This is essential to ensure the participant understands the performance requirements and the course outcomes prior to beginning training.

3.2.4 In conjunction with other materials and information supplied, all enquiries can be directed to the 5 Star Training & Consulting office in order to gain further information regarding the organisation, the course and 5 Star Training & Consulting policies.

3.2.5 Information that participants must receive prior to enrolment is contained in the Participant Information policy.

3.2.6 Prior to the commencement of a course, Trainers/Facilitators are responsible for ensuring assistance is available for participants with special needs. This will enable the participant equal opportunity to commence and complete the training course.

3.3 Enrolment into Accredited Courses

3.3.1 Once a participant has decided to enrol into an 5 Star Training & Consulting accredited course they are required to complete the Enrolment Form. Before confirming enrolment into a course they must indicate that they have read, understood and agree to the conditions of enrolment.

3.3.2 The participant shall be sent a confirmation letter/email informing the participant their booking has been accepted..

3.3.3 During the enrolment process, participant personal details will be recorded in the relevant database. All personal details will be kept confidential as outlined in the Records Management policy.

3.3.4 Personal details provided to 5 Star Training & Consulting will not be released to any other organisation without the written permission of the individual concerned, unless required to do so by law.

3.4 Participant Records

3.4.1 Only authorised personnel at 5 Star Training & Consulting, participants themselves or Auditors can access participant records.

Issuing Awards

1. Aim

- 1.1 To ensure the certification of all accredited and non-accredited awards are issued in a timely, professional manner and in accordance with Australian Qualifications Framework requirements (where applicable).

2. Policy

- 2.1 On successful completion of a nationally recognised accredited course, participants will be issued with the approved Certificate or Statement of Attainment by 5 Star Training & Consulting.

3. Procedure

3.1 General

- 3.1.1 5 Star Training & Consulting will issue certification to students within 30 days of the final assessment results being approved on Student Database
- 3.1.2 A copy of student results and the Qualification or Statement of Attainment issued will be retained on Student Database. Participant results for accredited courses/qualifications will be retained by the organisation for 30 years, as per Standards for Registered Training Organisations (RTOs) 2015 and APL or ACTFA contract requirements.
- 3.1.3 Qualifications or Statements of Attainment will only be issued for courses or partial completion of courses that are on the organisation's scope of registration.
- 3.1.4 Qualifications or Statements of Attainments will be issued to students within 30 days of course completion.
- 3.1.5 Qualifications and or statements of attainments will only be issued to students who have provided a verified USI as per the Student Identifiers Act

3.2 Non-Accredited Awards

- 3.2.1 Non-accredited awards are internal awards that are not nationally recognised qualifications; however they may be aligned to units of competency.
- 3.2.2 Certification for non-accredited awards will contain the following:
- The name and logo of 5 Star Training & Consulting
 - Full name of person receiving the award
 - Date of issue
 - Authorised signatory
 - The words, or similar, (*Student Name*) has been assessed as having fulfilled the requirements of (*Course Name & Number*)
 - 5 Star Training & Consulting contact details (as a minimum, the postal address and telephone number)

3.3 Qualifications

- 3.3.1 A Qualification is an accredited, nationally recognised course in which the organisation has been approved to deliver by the NSW Australian Skills Quality Authority (ASQA).
- 3.3.2 A Qualification will be issued when all the competencies have been achieved as outlined in the relevant training package.
- 3.3.3 All Qualifications will comply with Schedule 5 of the Standards for Registered Training Organisations(RTOs) 2015

3.4 Statements of Attainment

- 3.4.1 A Statement of Attainment is issued to participants who have partially completed a Qualification or individual unit(s) of competency or recognised short course.
- 3.4.2 All Statements of Attainment will comply with Schedule 5 of the Standards for Registered Training Organisations (RTOs) 2015

3.5 Reissue of Certificates and Statements

- 3.5.1 Should a course participant require additional copies of Certificates, Statements or Transcripts, a new certificate may be issued by 5 Star Training & Consulting directly to the participant.
- 3.5.2 The participant should advise 5 Star Training & Consulting directly of their request for a reprinted award and provide their full name, date of birth, the course/competency achieved and the approximate date of their completion.
- 3.5.3 The reissuing of a lost award shall incur an administration fee of \$20.00.

Refunds

1. Aim

- 1.1 To ensure the provision of fair and equitable policies and procedures in relation to the refund and credit of course fees.

2. Policy

- 2.1 5 Star Training & Consulting is dedicated to ensuring fair and equitable refund and credit practices are followed.
- 2.2 This policy is applicable to paying participants only and does not apply to participants who have received complementary training or funded training.

3. Procedure

3.1 General

- 3.1.1 In all cases, approvals for refund and credit requests are at the discretion of 5 Star Training & Consulting and shall be negotiated and assessed on a case by case basis but the information contained in the pre-enrolment information package should be used as a guide. Refunds for extenuating or exceptional circumstances may be granted on consideration by 5 Star Training & Consulting.
- 3.1.2 Upon enrolment participants are required to complete the Enrolment Form which details this policy. By signing the Enrolment Form or by ticking the participants indicate that they understand and accept these conditions.
- 3.1.3 Should a participant wish to dispute a decision by 5 Star Training & Consulting to refuse to grant a refund or credit the participant may choose to access the Complaints and Appeals policy.

3.2 Refunds

- 3.2.1 A full refund of enrolment fees will be made if a course is cancelled by 5 Star Training & Consulting for any reason.
- 3.2.2 An application for refund of course fees under any other circumstance must be made in writing to 5 Star Training & Consulting at least seven (7) days of the course start date. In this case a 20% processing fee will be charged.
- 3.2.3 Where cancellation is made less than seven (7) days prior to the commencement of a course, no refund will be issued.
- 3.2.4 Refunds will be considered on a pro-rata basis for participants who fall ill or are injured to the extent they can no longer undertake the course, providing a supporting Medical Certificate is supplied to 5 Star Training & Consulting.
- 3.2.5 All requests for refunds will be acted upon within thirty (30) days.

Legislative Compliance

1. Aim

1.1 To ensure 5 Star Training & Consulting identifies and complies with all Commonwealth and State legislation and regulatory requirements relevant to its scope of registration.

2. Policy

2.1 5 Star Training & Consulting will ensure compliance with Commonwealth and State legislation and regulations on:

- Workplace Health & Safety
- Duty of Care
- Workplace harassment
- Anti discrimination, including equal opportunity, racial vilification and disability discrimination
- Taxation
- Privacy
- Vocational education and training

3. Procedure.

3.1 All 5 Star Training & Consulting staff are provided with information about legislation that affects their duties through some of the following methods

- Staff induction material
- Codes of practice
- Staff Meetings
- Internal Memos
- Emails
- Website updates

3.2 All 5 Star Training & Consulting students are provided with information about legislation that significantly affects their participation in vocational education and training through

- Pre enrolment information package
- Student induction session
- WH&S awareness

3.3 5 Star Training & Consulting ensures that it provides and maintains insurance cover necessary to carry out all aspects of its operations including

- Public liability
- Professional indemnity
- Workers compensation
- Building and contents

4. Relevant Legislation & Regulation

Below is a list of some of the relevant legislation to 5 Star Training & Consulting

- Standards for Registered Training Organisations (RTO's) 2015
- Australian Qualifications Framework (AQF)
- Apprenticeship and Traineeship Act 2001
- Work Health & Safety Act 2011
- Work Health & Safety Regulations 2011
- Child Protection (Working with Children) Act 2012
- Equal Opportunity Act 2010
- Commonwealth Copyright Act 1968
- Fair work act 2009
- Privacy and Personal Information Act 1998

- Anti Discrimination Act 1997
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- National Vocational Education and Training Regulator Act 2011
- Student Identifiers Act 2014

Further general information on state and territory legislation is available at:

<http://www.austlii.edu.au/au/legis/nsw/consolact/>

Further information on Commonwealth legislation is available at:

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

A good source of legal information and help with legal issues go to:

<http://www.lawaccess.nsw.gov.au/>

Transition to new training packages

1. Aim

1.1 To ensure 5 Star Training & Consulting identifies and complies with the transition and teach out requirements relevant to its scope of registration.

2. Policy

2.1 5 Star Training & Consulting will transition to new training packages and observe the general direction on teach requirements.

3. Procedure.

3.1 Training Packages/curriculum are regularly reviewed and revised to ensure they meet current industry needs. The Standards for Registered Training Organisation 2015, require registered training organisations (RTO) or applicant RTOs to manage the transition from superseded Training Packages within 12 months of their publication on the national register and from superseded accredited courses so that they only deliver currently endorsed Training Packages and/or currently accredited courses.

3.2 Transition arrangements apply when existing training package qualifications or accredited courses are replaced by qualifications from a new or revised training package or course. The following steps of procedure have been provided as a guide.

1. Identify if course needs to be added to scope of registration
2. Commence planning and mapping of new qualification against current training package
3. Consult with relevant stakeholders (industry, staff, skills councils)
4. Ensure course marketing materials are current and accurately reflect new/revised qualification details, selection requirements and update web page.
5. Notify affected students of new course.

END OF DOCUMENT