

# POLICY MANUAL

# 2020

Evolution Training & Safety Pty Ltd RTO 31733  
t/a Evolution Training Solutions

Quality Management System (QMS)



*This is a live document.*

*Evolution Training Solutions is not responsible for the accuracy of this document once printed.*

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# QMS Implementation

## POL001

### Purpose

The Policy has been designed to reflect the management strategy and customer focus of Evolution Training Solutions.

The RTO Operations Manager of Evolution Training Solutions will ensure that all staff and trainers are inducted into and trained in the requirements of the documented quality system.

Evolution Training Solutions is committed to:

### Implementing continuous improvement initiatives:

- Collecting data on the quality of training and assessment and satisfaction of client services to enable continuous improvement of products and services offered by Evolution Training Solutions.
- Internal audit of management and training and assessment systems will be completed as scheduled
- Trainer Reviews shall be completed as directed
- To conduct participant surveys at the end of each course
- To conduct trainer surveys at the end of each course

### Meeting the needs of its clients by:

- Identifying learner needs prior to commencement to maximise capacity and opportunity for learners to complete qualifications and courses
- Providing support services to learners experiencing difficulties
- Providing access to training programs designed to suit their needs and industry expectations
- Adjusting learning and assessment to support learner needs and abilities

### Providing a range of flexible delivery options including:

- On-site training and assessment services at client locations
- After hours training delivery
- Pre-course reading or distance delivery options (where enabled)
- Flexible start and finish times to suit client needs and operational requirements of the client organisation

### Supporting clients to ensure their capacity to learn is maximised by:

- Providing one on one coaching as required
- Negotiating and implementing workplace mentoring arrangements and skills instruction where necessary

- Identifying learning needs in advance to enable trainers and assessors to customise learning solutions for individuals
- Implementing a range of options to support learning

### **Responsibility and Authority**

- The responsibilities and authorities of relevant staff in relation quality are documented in position descriptions
- The RTO Operations Manager of Evolution Training Solutions supports multi-skilling of staff and staff may be required to and support the completion of other tasks as indicated in the documented policies and procedures or as directed by the RTO Operations Manager
- The organisational structure of Evolution Training Solutions is documented in the Quality Manual and demonstrates lines of communication and authority within the organisation
- In the event of absence of personnel and to ensure continuity of service delivery, the RTO Operations Manager may assign their responsibilities to other staff
- Independent staff shall be assigned (where possible) for the completion of internal auditing and design control

### **Resources**

- Evolution Training Solutions will provide all of the required physical and human resources to optimise the quality of the training services that they provide. Where resources are not available internally, Evolution Training Solutions will source resources through external third parties through agreements or co-provider arrangements
- Resources utilised by trainers and assessors of Evolution Training Solutions will be regularly reviewed, updated and validated for consistency and compliance with training packages and industry standards
- Trainers and assessors will participate in the moderation of assessment to ensure consistency in assessor decisions of competency

### **Management Representative**

Evolution Training Solutions RTO Operations Manager will:

- Ensure that the management system is established, implemented and maintained in accordance with Evolution Training Solutions, Standards for NVR Registered Training Organisations and Training Package requirements
- Ensure reviews of the management system and training and assessment systems processes and tools are undertaken and act on recommendations
- Utilise internal audits, feedback from industry, participants and trainers and assessors as a basis for improvement of Evolution Training Solutions management system and the provision of training services
- Liaise with regulatory bodies and enable access to Evolution Training Solutions management systems, processes and tools for the purposes of external audit
- Promote awareness of customer requirements throughout the organisation

## **Management Review**

### *Trainer Review Meetings*

Trainer review meetings shall be held upon the RTO Operations Managers discretion and shall address as a minimum the following items:

- Internal Audit Results
- Non-conformance Reports
- Customer Complaints including review of customer requirements
- Quality Documentation Review
- Recommendations for Improvement
- Review of Quality Policy and objectives

The following staff will be required to attend to these review meetings chaired by the RTO Operations Manager:

- RTO Operations Manager
- Senior Training Officer
- Trainers (as required)

### *Management meetings*

The RTO Operations Manager of Evolution Training Solutions values the input of all staff, particularly that of trainers and assessors and is committed to ensuring continued quality of delivery to all clients.

Management meetings will be held to discuss the general operation of Evolution Training Solutions and focus on the quality of product and service delivery. The meeting will address quality issues and achievement of the objectives of this quality policy.

Management meetings will take full consideration of trainer and assessor feedback on:

- Outcomes of training and assessment
- Quality of product and service delivery
- Quality of infrastructure and resources
- Training and assessment modes and methodologies

## **Leadership**

To ensure that Evolution Training Solutions is aware of and support the needs of the trainers and other employees the following forums shall be available to employees:

1. Direct contact with the RTO Operations Manager to air grievances
2. Trainer's review meeting
3. General Communications meetings
4. Corrective and preventive action processes
5. Trainer/Assessor Report for Continuous Improvement - documentation of improvement opportunities to be reviewed in the internal review

Any concerns with the operation of the management system should be brought to the attention of the RTO Operations Manager who will ensure that they are addressed.

## **Management System**

### **General**

The management system includes the following documentation in a hierarchal structure:

- Policy Manual
- Procedures Manual
- Associated records, forms, lists
- Legislation and regulation consistent with the delivery of vocational education and training and industry specific operations

The management system is underpinned by the following general operational principles:

1. The Policy Manual documents policies for the successful implementation, maintenance and improvement of the management system.
2. The Procedures Manual shall describe process or actions that affect either quality or training delivery and responsibilities of staff in carrying out the duties.
3. Policies and procedures will be authorised by the RTO Operations Manager and reflect current working practice. Procedures will be open to improvement as part of Evolution Training Solutions Continuous Improvement procedures.
4. All staff will be involved in implementation of quality and training and assessment systems processes and tools.
5. Opinions of all staff in the implementation of quality in the products and services offered by Evolution Training Solutions will be valued at all times.

## **Training and assessment quality planning and design control**

Quality Planning will be completed on an ongoing basis by the RTO Operations Manager in consultation with industry representatives and associated experts for the determination of the industry needs with respect to training for employees and industry in general.

Evolution Training Solutions will ensure documented procedures to address the design processes are consistently implemented and involve the RTO Operations Manager.

- a. Courses will be designed, developed and implemented according to training package, quality and industry requirements;
- b. Assessment principles, rules of evidence and recognition principles will be addressed throughout the design and development stages
- c. Review, redevelopment and contextualisation of training programs will be completed in consultation with industry and based upon industry expectations and contextualisation requirements;
- d. Lesson plans will identify applicable timeframes and infrastructure requirements necessary for each lesson and delivery cycle.
- e. Training and Assessment Strategies will identify training and assessment modes and methodologies of the delivery of each course;
- f. All training and assessment records will be reviewed, retained and archived to verify the implementation of quality system processes;
- g. To ensure a comprehensive and balanced management system, improvement and benchmarking process will be implemented. Improvement and benchmarking will focus on product, service and process quality and linked to client feedback.

## **Quality Management Focus**

Evolution Training Solutions will ensure that a quality focus is maintained for the business by:

- Preparing and reviewing relevant strategic/business plan
- Implementing internal review processes
- Completing regular evaluations of services to ensure that client and industry needs are met through collection, collation and analysis of client feedback
- Implementing improvement of services to ensure that client and industry needs are met
- Implementation of formal quality assurance processes
- Consistent application of client service standards
- Provision of relevant information to all staff to ensure a consistency of service delivery

## **Educational Standards**

Evolution Training Solutions, through its dynamic curriculum, professional teaching staff and first class facilities aims to provide its students with the necessary skills to successfully compete in the changing environment of the building and construction industry, resources sector and mining industries.

Evolution Training Solutions will adhere to its educational policies and management practices to provide the highest professional standards in the marketing and delivery of vocational educational and training services, and which safeguard the interests and welfare of trainees.

Evolution Training Solutions will maintain a learning environment that is conducive to the learning requirements of its trainees. Evolution Training Solutions will utilise the necessary facilities to deliver the nominated qualification/s or course/s, and provide appropriate methods and materials to ensure all participants are able to achieve the highest standard of learning.

## **Training Guarantee**

- Evolution Training Solutions will honour all commitments made in this Quality Policy.
- Evolution Training Solutions will honour all agreements and commitments for the provision of training including:
  - Access to resources (training and assessment)
  - Access to physical resources (in the ownership of Evolution Training Solutions or sourced externally)
  - Access to appropriately qualified and industry current trainer and assessors
  - Supporting its learners through their qualification/course including the provision of flexible and assessment options for special needs students or students requiring specific assistance
  - Evolution Training Solutions will support the transition of its students to new qualifications or accredited courses
  - Evolution Training Solutions will transition students to a new registered training organisation in circumstances where Evolution Training Solutions cease to operate

Evolution Training Solutions is committed to meeting its obligations under the Standards for NVR Registered Training Organisations and National VET Regulator Act 2011, requirements of training packages and accredited courses for which it is registered.



# Access and Equity

## ETS-POL-002

### Purpose

Evolution Training Solutions is fully committed to access and equity across the services that we offer and within the constraints of work location and available resources:

1. Our access and equity policy will be continuously implemented and reviewed for areas of improvement.
2. Evolution Training Solutions will strive to meet the needs of individuals, and the community as a whole through the implementation of access and equity guidelines.
3. Evolution Training Solutions staff and contractors will ensure that equity principles for all people are implemented through the fair allocation of resources and the right to equality of opportunity without discrimination.
4. We will increase opportunities for people to participate in the vocational education and training system, and in associated decisions, which affect their lives by working very closely with relevant government organisations, employers and trainees.
5. We will implement customer oriented programs and target the specific needs of market segments in enhancing the economic development of the organisation.

### The principles of access and equity will be achieved by:

- Being aware of our industry and community needs
- Marketing our services in a non-discriminatory and inclusive manner
- Ensuring that we do not discriminate against potential clients in giving access to our full range of services
- Applying approved government policies that assist the client
- Ensuring access and equity issues are considered during learning and assessment development
- Providing access to professional development for staff and to assist trainers and managers who provided training and assessment for under-represented groups
- Assist our trainers and assessors in developing additional skills to work with clients with differing learning requirements

# Administrative and Records Management

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## ETS- POL-003

*(Must be read in conjunction with Standard 4 Governance Policies and Procedures)*

### **Purpose**

Evolution Training Solutions is committed to meeting its responsibilities under the requirements of the Standards for NVR Registered Training Organisations Standards for Continuing Registration and the Vocational Education Training and Employment Act 2000 and to implement best practice in its records management systems. Evolution Training Solutions' Administrative and Records Management Policy meets the current guidelines in the Australian Skills Quality Authority General Direction for the management of student assessment items and student records.

Evolution Training Solutions makes regular updates of all documents in order to continuously improve the services it provides and make certain that the most current version of documents is used at all times. Electronic copies of these documents are made available to all staff upon commencement and will form part of their induction procedures.

All practices and procedures concerning records management by Evolution Training Solutions will be in accordance with this policy. Evolution Training Solutions will:

- Implement a model of records management whereby staff, contractors and co-providers of Evolution Training Solutions have responsibility for the management of their records with the advice and assistance of management of Evolution Training Solutions.
- Will manage its records in a way that conforms to the requirements of the Standards for NVR Registered Training Organisations and the National VET Regulator Act 2011
- Ensure the appropriate creation, management and protection of all learner records
- Maintain evidence of results of assessment of learners in accordance with the Australian Skills Quality Authority General Direction on the management of student assessment items and records
- Manage the destruction of records in accordance with the Australian Skills Quality Authority General Direction on the management of student assessment items and records
- Maintain an archives of all applicable student records in accordance with the Australian Skills Quality Authority General Direction on the management of student assessment items and records
- Allow learners to access their records upon request and in accordance with the procedure
- Limit with accessing of learner records by third parties without the written permission of the learner
- Maintain all records of students including personal and enrolment information and results of assessment until such time as Evolution Training Solutions ceases to operate

### **Back up of electronic records**

In order to maintain the accuracy and integrity of records, Evolution Training Solutions will ensure that a complete back up of all Evolution Training Solutions records is conducted on a weekly basis.

All student results are maintained on the student database which is password protected.

### **Transfer of Records to ASQA on cessation of Business**

To ensure that future students of Evolution Training Solutions have access to qualifications and statements of attainment after Evolution Training Solutions has ceased to operate, Evolution Training Solutions will ensure that copies of student information including enrolment details and results of assessment is forwarded to the Australian Skills Quality Authority for the re-issuance of qualifications or statements of attainment.

### **Storage and Archiving of Administrative and Assessment Records**

To ensure that Evolution Training Solutions maintains accurate records of students including results of assessment, all student records will be maintained with the highest degree of integrity ensuring firm security measures are implemented and maintained.

All student records including personal information and assessment records and results will be recorded and maintained on a password secured student database - JobReady. Hard copy student records will be maintained in secure lockable filing cabinets.

All electronic files will be archived manually in the applicable RTO archive folder located on Evolution Training Solutions server (S drive).

### **Access to Records**

Evolution Training Solutions has a commitment to being open with all students and subsequently all students will have access to their own records at any time. Evolution Training Solutions has procedures in place for the management of access of records by students and third parties that will be adhered to by all staff at all times. No access will be given to an individual without appropriate identification or written authorisation.

## Version Control

Evolution Training Solutions will monitor and maintain version control of all:

- Policies
- Procedures
- Forms
- Learning materials and resources
- Training and assessment strategies

All of the above documents will include in the footer of the document:

- The name of the document
- Version number
- Implementation date

All current versions of documents will be saved on Evolution Training Solutions server accessible only by administrative and management staff of Evolution Training Solutions. Trainers and assessors requiring materials for the purposes of providing training will request printing of or electronic versions of documents through administration.

## Student Records Management

Evolution Training Solutions will ensure that student records are:

- Entered into JobReady
- Monitored and managed in accordance with regulatory body requirements (including the provision of AVETMISS data)
- Backed up
- Maintained accurately and with integrity
- Securely stored
- Only accessible to persons whose role specifically requires access to student records and who has been granted permission to access records by the RTO Operations Manager

Student records will be regularly reviewed by Administration to ensure that Evolution Training Solutions meets its obligations in accordance with the DET Retention of Records Policy and continued accuracy and integrity. Areas for improvement will be recorded, reported and recommendations for improvement. No improvements will be made without the approval of the RTO Operations Manager or person delegated by the RTO Operations Manager.

# Complaints and Appeals Policy

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## ETS- POL-004

### Purpose

All stakeholders (students, employers and industry) have the right to quality vocational education and training. Therefore, it is the policy of Evolution Training Solutions to accept all complaints about products, services, staff, other students or appeals against student assessment results. All complaints and appeals will be thoroughly investigated, and all parties supported through the process to ensure that the needs of each party are met and satisfied.

### Definitions

*Appeal* - An appeal is a process for requesting a form change to a decision

*Complaint* – A state that a situation is unsatisfactory or unacceptable

Evolution Training Solutions will accept written complaints by all persons involved with Evolution Training Solutions in any way. Complaints in relation to regulated issues must be submitted in writing to the RTO Operations Manager.

All complaints and appeals will be taken seriously and dealt with in timely manner taking full consideration of the conditions, circumstances, privacy and confidentiality of complainants and appellants. Evolution Training Solutions will ensure that the rights of complainants, appellants and Evolution Training Solutions staff.

Students wishing to appeal an assessment result will be required to lodge an appeal on the Complaints and Appeals form clearly outlining the reasons for the appeal with Evolution Training Solutions within fourteen (14) days of receipt of assessment result.

Should a student wish to appeal against an assessment outcome, they should follow the process outlined below:

- The appeal must be lodged within 14 days of receipt of the result.
- Discussion on the appeal will be conducted between the assessor, the student, and the RTO Operations Manager or their appointed representative immediately or within 24 hours of receipt of notice of the appeal.
- Evolution Training Solutions will attempt to resolve the issue(s) within seven (7) working days from receipt of the lodgement of the appeal
- The appellant will be notified in writing of the result

If the issue remains unresolved, then:

- The appellant shall be notified of the outcome in writing and encouraged to contact other relevant third party as a further attempt to resolve
- All correspondence and documentation will be retained with confidential documentation in Evolution Training Solutions locked files accessible only by designated personnel.

During the course of acting on complaints and appeals, the rights of both parties will be respected, and the following principles and strategies observed:

1. Fairness, respect, impartiality and access and equity considerations will be applied to all complaints and appeals
2. Natural justice principles will be applied in all cases taking accord of cultural sensitivities and values
3. All and every attempt to reach mutually agreeable outcomes of complaints will be made in direct consultation with complainants and appellants without recourse to the complainant, appellant or Evolution Training Solutions staff
4. Complaint and appeal hearings and meetings will be free from discrimination or harassment and the rights of all parties will be observed at all times including following the conclusion of these processes
5. Clients will be referred to relevant authorities to instigate other action where internal processes have failed to reach a mutually agreeable solution
6. Evolution Training Solutions will support the inclusion of an impartial third party of the selection of the complainant or appellant to assist and support their case
7. Privacy and confidentiality legislation and regulation will be observed by all parties involved in complaints and appeals processes. Failure by staff to maintain the privacy and confidentiality of complaint and appeal processes will result in instant dismissal
8. At all stages of the process, decisions and actions arising from and taken as part of the process will be provided in writing and recorded in accordance with Evolution Training Solutions management systems
9. We endeavour to finalise all complaints and appeals within 14 days and will communicate an expected timeframe to have a finalisation. Where complaints may take longer than 60 calendar days to resolve Evolution Training Solutions will inform the complainant or appellant in writing, including reasons why more than 60 days are required. Regular updates will occur on the progress of the matter until finalised.

# Assessment Management

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## ETS-POL-005

### Purpose

Assessment is the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the vocational or educational outcomes of an accredited course.

This policy and related procedures ensure that assessment conducted is valid, reliable, consistent and fair.

In order for Evolution Training Solutions to ensure it meets its obligations for training and assessment of all students, all assessments will be developed in consultation with industry and all training and assessment staff of Evolution Training Solutions. The management of Evolution Training Solutions will procure all resources required for the development of learning and assessment resources and ensure that all assessment procedures are fair and equitable for its target groups.

In the design and administration of summative assessment and the reporting of assessment results, Evolution Training Solutions has a commitment to promoting open, equitable and accountable procedures. Evolution Training Solutions is committed to providing valid and reliable assessment information, in accordance with standards in which students, potential employers and accrediting bodies can have confidence. In the design and administration of formative assessment, Evolution Training Solutions has a commitment to enhance the quality of student learning.

### Procedures to implement this policy relate to the following activities and practices:

- Development and use of fair and equitable assessment guides, instructions and associated tools
- Implementation of this policy to meet the range of student needs
- Reviewing, recording and reporting of results, including reporting of successful results, AVETMISS reporting (where applicable), withdrawals and cancellations and issuance of qualifications and statements of attainment
- Setting and marking of examinations and concessional examinations
- Conduct of practical observations

**Students will be clearly informed about:**

- The expectations of assessment in a course and requirements for completion of assessment tasks
- Marking criteria and standards of performance for each assessment task
- Submission dates, resubmission dates and presentation requirements
- Requirements and processes for negotiating suitable assessment arrangements with their assessor
- The number of opportunities allowed to demonstrate competence performance in an assessment task/s (three attempts are provided following which students will be required to resit/resubmit the assessment or submit an appeal against the assessment result)
- Where an apprentice/trainee has exhausted his/her options & attempts at assessment the employer will be informed and it is the employer's responsibility to inform the departments Chief Executive of the apprentice's failure to make progress.
- All other students; if all attempts/options have been exhausted the student will be required to re-enrol and repay for the units required.

**Assessments will:**

- Be inclusive and equitable and design to enable sufficient time for completion of the assessment task/s
- Be aligned to and consistent with the aims, required learning outcomes and unit requirements of the course or qualification
- Provide an appropriate number of assessable tasks, in a range of formats, that are aligned with the requirements of the units of competency to enable the development of knowledge and skill in a context suitable to the student and his/her employer (where applicable)
- Be validated and moderated as given in the validation planner, to align with NVR standards that each training product is validated on a planned and systematic program and that 100% of assessment is validated in five years, designed to confirm the addressing of the principles of assessment and rules of evidence.

**Formative feedback will be provided to students upon completion of assessment tasks to:**

- Assist students in preparing for future assessment (where applicable)
- Identify areas for improvement and/or resubmission if necessary
- Allow evaluation against stated assessment criteria and competency/industry standards



**Evolution Training Solutions staff, are responsible for ensuring that:**

- Students are advised of the implication of plagiarism
- Conflicts of interests are avoided or managed
- Information on student assessment outcomes remains confidential
- Assessment items are maintained securely
- Appropriate processes are followed for the safe recording, transfer, storage, retrieval, communication and reporting of information on student achievement, including final course results

**Evolution Training Solutions students and trainers/assessors are expected to:**

- Maintain a high standard of integrity and honesty at all times
- Comply with Evolution Training Solutions plagiarism policy
- Respect the rights and interest of fellow students to learn in a safe and non-discriminatory environment
- Participate in all training and assessment activities organised by Evolution Training Solutions and strive to achieve their best

**Evolution Training Solutions students will have the right to:**

- Access records of assessments or appeal the result of an assessment in a course

# Continuous Improvement

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## ETS- POL-006

### Purpose

Evolution Training Solutions is committed to a policy of quality assurance throughout its activities, and to the development of a quality culture amongst its staff.

It is the policy of Evolution Training Solutions to remain current with all industry trends, stakeholder feedback and requirements affecting legislation and regulation and use this information to continually improve its processes and systems. Subsequently, Evolution Training Solutions has implemented procedures to ensure that all relevant mechanisms for improvement are implemented including:

- Client feedback
- Stakeholder feedback
- Workshops and other professional development activities
- Internal audit and risk assessment
- Training and assessment validation

The management of quality activities is the responsibility of the COO who meets frequently with the RTP Operations Manager to ensure continuous monitoring and improvement of the quality system. The RTO Operations Manager has overall responsibility for the administration of the quality system and the co-ordination and facilitation of defined quality activities.

### The quality objectives of Evolution Training Solutions are to:

- Ensure Evolution Training Solutions complies with all relevant Commonwealth and State legislation and regulations as they apply to the operation of the Registered Training Organisation
- Employ strategic and operational planning processes to ensure that Evolution Training Solutions manage and monitor the products and services offered by the organisation and that these meet the objectives of the industry in which it operates and provides for future business directions
- Use client feedback to generate the continuous improvement of products and services that meet client and industry needs and expectations
- Ensure that the delivery of training and assessment programs achieves quality outcomes for its students, meets workplace and industry requirements, addresses the needs and expectations of students and minimise direct or indirect discrimination in conformity with legislation governing access and equity
- Offer fair, and flexible recognition of prior learning processes and ensure training and assessment strategies are developed in consultation with industry to meet industry needs and expectations

- Issue qualifications and Statements of Attainment that meet Australian Qualifications Framework requirements, identify Evolution Training Solutions by its RTO number and includes the NRT logo in accordance with the NRT Logo Specifications
- Employ human resource management policies and practices that ensure all training and assessment personnel possess the required qualifications, experience and vocational competence to provide training and assessment services for specified qualifications;
- Efficiently and effectively manage financial, resource and information management processes;
- Ensure that the quality of products and services provided or offered by Evolution Training Solutions are delivered in accordance with client needs, expectations and in observation of all regulatory and compliance requirements;
- Manage advertising and marketing and ensure that it is conducted ethically and accurately in accordance with Evolution Training Solutions scope of registration
- Regularly and systematically monitor the performance of the organisation to maximise efficiency, maintain integrity and use all opportunities to improve the quality of training and assessment
- Foster a culture of continuous improvement among all staff

# Financial Management

## ETS- POL-007

*(Must be read in conjunction with Standard 4 Governance Policies and Procedures)*

### **Purpose**

To ensure that Evolution Training Solutions remains solvent, commits to its refund policy and protects the fees of students that have paid in advance, Evolution Training Solutions will adopt succinct financial management procedures that effectively protect the organisation and its clients.

### **Maintaining Financial Records**

1. Evolution Training Solutions will meet all of its obligations according to the requirements of the Standards for NVR Registered Training Organisations, Accounting Standards and requirements for Australian Companies registered with the Australian Securities and Investments Commission.
2. Evolution Training Solutions will maintain a fully compliant record of all financial activity in the organisation's financial management software system.
3. Financial management systems will be securely backed up and maintained to meet the required Australian Taxation Office requirements for business financial records - records of financial documents will be stored for a period of at least seven (7) years
4. All financial records including records of student fees paid, corporate fee payments and fee refunds will be kept accurate and current and no more than 14 days in arrears
5. All Evolution Training Solutions accounts will be reconciled monthly to ensure accurate and efficient reporting including Australian Taxation Office reporting and relevant government funding reports

### **Financial Viability and Planning**

1. Evolution Training Solutions will maintain financial projections and planning over three (2 -3) year periods reviewed and updated on an annual basis to ensure continual and consistent financial viability and confirm sustainability of the products and services offered by Evolution Training Solutions into the future.
2. Financial plans will include:
  - Confirmation of viability of potential and identified markets in accordance with relevant market research
  - Realistic expectations of costs associated with the provision of training and assessment products and services
  - Forecasts and projections of potential student enrolments
  - Potential growth areas for Evolution Training Solutions
  - Realistic timeframes for achievement of financial objectives
  - Risk factors and key performance indicators

3. Financial indicators in the planning process will take full consideration of:
  - Credit rating and relevant risk factors impacting on positive credit
  - Analysis of cash flow and potential projections
  - Balance sheets addressing liabilities vs assets
  - Analysis of debtors and creditors
  - Cash on hand, assets and working capital
4. Positive cash flow will be maintained and regularly balanced (at least quarterly) to confirm income, expenses and balance liabilities.
5. The Finance Manager in consultation with the RTO Operations Manager will develop and review regular budgets including planning for potential and actual variances. This will include new business, existing business and potential market opportunities.
6. Where requested by the Evolution Group CEO or the Board, reports of monthly income and expenditure will be generated by the Finance Manager to support succinct monitoring of financial activities of Evolution Training Solutions.
7. Evolution Training Solutions will have its accounts, including financial projections, reviewed and verified by its Accountant (qualified to Australian Auditing and Assurance Standards) annually and, where requested, provide a full report to the registering body to verify continuing financial viability. Where requested by the registering body, the Finance Manager will arrange for a full audit report to be provided to the registering body in accordance with its duly authorised request.

# Fees and Charges

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## ETS - POL-008

### Purpose

Evolution Training Solutions will ensure consistent, fair and equitable fees and charges are levied to students and that this information is made available to students prior to enrolment. All students and (where applicable) employers of students will be provided with accurate information on fees and charges according to Evolution Training Solutions Training Fees and Charges Schedule or, in the case of corporate clients, via individual quotations.

1. Fees and charges will be levied according to costs associated with:
  - Materials
  - Trainers/assessors salaries
  - Facilities and resources infrastructure
  - Catering requirements (where applicable)
  
2. Evolution Training Solutions reserves the right to increase Fees and charges from time to time determinant upon economic and other factors including:
  - Currency value
  - Consumer Price Index
  - Inflation
  - Supplier price increases
  
3. Price increases will be advised to students and corporate clients in cases where these price increases affect their specific enrolment.
  
4. In accordance with SNR 22 of the Standards for NVR Registered Training Organisations, Evolution Training Solutions' fees, charges and refunds meet the requirements of Option 3.

5. The following fee information will be provided to each client prior to their enrolment in their chosen course (individuals only):
  - a) The total amount of all fees including course fees, administration fees, materials fees and any other charges
  - b) Payment terms, including the timing and amount of fees to be paid and any non-refundable deposit and administration fees
  - c) Fees and charges for additional services such as reissuance of qualifications or statements of attainment, purchase of PPE (where applicable), purchase of uniforms
  - d) Refund Policy and terms

### **Student fee payments**

1. All fees are to be paid in full PRIOR to training, or unless otherwise agreed. No SOA or Qualification will be given unless full payment has been made.
2. Any applicable non-refundable deposit will be clearly identified on the invoice with specified payments terms and conditions.
3. Students will be provided with a maximum of 14 days in which to pay the invoice. Where invoices have not been paid prior to the commencement of training, unless otherwise arranged with Evolution Training Solutions staff, students may be refused entry.
4. Evolution Training Solutions will commit to supporting students in a position of financial difficulty by enabling fees and charges for courses to be paid in instalments (where necessary). Students entering into arrangement to pay fees by instalment will be required to:
  - Enter into a formal agreement detailing instalment arrangements
  - Agree to have instalments paid by direct debit from their nominated bank account
  - Agree to equal intervals (fortnightly) for all payments to be received by Evolution Training Solutions.

# Recognition Policy

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## ETS - POL-009

### **Purpose**

Evolution Training Solutions is committed to the principles of recognition including the recognition of qualifications and statements of attainment issued by other registered training organisations. All qualifications and statements of attainment issued by other RTOs will be recognised upon substantiation by the enrolling student.

This policy does not apply in circumstances where a Government authority, regulatory body or corporate client mandates the completion of a training program to meet a legislative or workplace requirement.

Prior to enrolment, all students will be advised of the opportunities for recognition including direct credit and credit transfer. Information on recognition will be provided to all students in the Student Handbook.

### **Direct Credit**

Students already holding units of competency from an origin course will be granted automatic credit upon substantiation. Students must provide a certified copy of an academic transcript or statement of attainment confirming successful completion of the unit/s of competency in which they intend to enrol.

### **Credit Transfer**

Where a student has completed a historical version of a unit/s of competency in which they intend to enrol (timeframes for the age of the origin unit apply) may be granted credit.

Prior to credit being applied to the student's enrolment, Evolution Training Solutions will undertake a formal mapping exercise to determine the extent to which the origin unit/s of competency meet the criteria and specifications of the destination unit/s of competency.

Gap in the mapping exercise will result in credit not being granted. In order to complete the unit/s of competency, the student will be required to undertake gap training and assessment., which will result in RPL being granted once gap training has been completed.



## Recognition of Prior Learning

Recognition of Prior Learning (RPL) is a way of using existing skills to get a formal qualification. Evolution Training Solutions can assess the skills, knowledge and experience that you have gained on-the-job, through any previous training, voluntary work or just in general. You may be able to gain a complete qualification or, if you have gaps in your knowledge, parts of a qualification. You can then complete the rest of the qualification with additional training.

Anyone can apply for RPL but not everyone will get credit for their skills and knowledge. A typical applicant is someone who has a reasonable amount of experience in the area of their course. This might mean working in that field. Life skills can also be recognised where relevant. Assessment happens in a variety of ways. Being prepared can save you valuable time and make the recognition process easier for you.

- Be prepared to talk about your job and work history. Bring a resume or write down where you have worked, either paid or unpaid, and what you did.
- Bring your position description and any performance appraisals you have from any of your workplaces.
- Consider the possibility of workplace contact – can the assessor contact your workplace or previous workplaces so your skills can be validated?
- Think about who can confirm your skills. Is it your current or recent supervisors who have seen you work in the past 18 months?
- Collect any certificates from in-house training or formal training.
- You may also use letters from employers, records of professional development, acknowledgements, workplace forms or other relevant documents.

Some of the advantages of RPL are:

- You can attain a formal nationally recognised qualification in a shorter period and at less cost and accelerate you through your qualification.
- Your career and education options may be increased through formally recognised skills and knowledge.
- Recognition helps keep your studies interesting and challenging (as you are not learning things you already know)
- There may be opportunities for you to get into a university course if you are recognised for 100% of a Diploma or Advanced Diploma qualification.

**Our Process:**

**Step 1:**

Email [training@evolutiontraining.edu.au](mailto:training@evolutiontraining.edu.au) and one of the Evolution Training Solutions team members will send you an email and organise a time with you to come in for a meeting.

**Step 2:**

Come in for a short face-to-face meeting where one of our qualified Trainer and Assessors will take you through what evidence is required and what qualifications might be suitable for you. Evolution Training Solutions will require students to undertake Online Theory and students will be required to be complete Written Assessments to assess their knowledge. This can be completed online self-paced externally.

**Step 3:**

Gather all your evidence of your skills, knowledge and experience to assist the assessor in deciding whether you can apply for RPL for a Unit of Competency. An administrator from Evolution Training Solutions will work with you during the RPL process to determine exactly what evidence is required. At this point you will be invoiced for the initial deposit and required to complete an enrolment form.

**Step 4:**

One of our qualified Trainer and Assessors will review your skills and knowledge based on the evidence you provided. We will then match your skills and knowledge you have presented to the Units of Competency within the qualifications.

**Step 5:**

After your evidence has been reviewed, your assessor will give you information about the skills and knowledge that you have been recognised for, and whether you have gained recognition for the full unit of competency, or whether you have any gaps. We will then discuss with you how these gaps may be address through flexible training options to enable you to complete the qualification.

# Refund Policy

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## ETS - POL010

### Purpose

Evolution Training Solutions is committed to offering the best possible training and assessment products and services to its students and corporate clients. However, we recognise that there may be circumstances whereby students or corporate clients are entitled to or seek a refund of fees and charges.

***All requests for refunds must be made in writing using Evolution Training Solutions Refund Request Subsidised Courses Form or Refund Request Form, and, where applicable, include evidence to substantiate the claim and submitted to the Administrator for processing.***

### Apprentices only

A pro-rata refund of tuition fees paid to participants withdrawing from or cancelling their enrolment. Tuition fees will not be refunded for those units of competency that have been successfully completed.

Any advanced paid course fees will be refunded in full to individual students and corporate clients:

- If a course is cancelled by Evolution Training Solutions prior to its commencement
- A course arranged for a corporate client cannot be delivered as scheduled
- Where student allocations go above maximum numbers permitted in a class/course

### All other participants

A full refund of all fees paid prior to commencement, less a \$50 administration, will be paid to individual participants where the participant advises of his/her intent to withdraw at least 14 working days prior to commencement. No refunds will be paid where formal written notification is not received in accordance with this policy and the participant fails to commence.

A full refund of all fees paid will be issued to students less a \$50 administration fee in exceptional circumstances upon substantiation. Circumstances may include:

- Illness (a medical certificate must be supplied)
- Change in employment conditions or location of the student or corporate client (confirmation must be provided by the student's employer)
- Family commitments that take the student away from the state or city in which the training is delivered (confirmation in writing must be provided)

No refunds on any fees paid, including fees paid by instalment, will be offered where students have commenced or participated in training.

All deposits or administrative fees specified in invoices to corporate clients and individual students are non-refundable.

# Privacy and Confidentiality

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## ETS-POL-011

### **Purpose**

Evolution Training Solutions, as a leading provider, understands the importance persons place on maintaining the privacy of personal information (such as name, address, date of birth, personal email address, etc.). Subsequently, we are committed to managing and protecting the personal information provided by students.

Through this policy Evolution Training Solutions seeks to ensure students that any personal information obtained by Evolution Training Solutions will be held in confidence and only used by Evolution Training Solutions during its business as a registered training organisation.

### **The collection, use and disclosure of personal information**

Personal information held by Evolution Training Solutions (i.e. enrolment information and personal details) is collected and used for the purposes enrolling students into courses and maintaining clear and accurate records of its training and assessment activities.

Evolution Training Solutions acknowledges that individuals provide personal information on a voluntary basis, to assist Evolution Training Solutions to provide high quality products and services to students at their request. Evolution Training Solutions will use individual's contact details to assist in the administering of its products and/or services. In this way, the Evolution Training Solutions is able to ensure all interested persons are informed.

Evolution Training Solutions will not disclose personal information to an external company or third party without the express written permission of the student.

Personal information shall not be sold to anyone and shall not be used for promotions independent of Evolution Training Solutions.

Evolution Training Solutions shall destroy personal information, if there is no longer any legitimate purpose in retaining such information except where required by regulatory authorities such as the Australian Skills Quality Authority which requires all student results information to be retained for a minimum of 30 years.

Notwithstanding the above, Evolution Training Solutions, as registered training organisation, is required to participate in external audit by the Australian Skills Quality Authority and other regulatory authorities in the conduct of its business. Subsequently, these authorities will have access to participant's personal information for the purposes of audit only. None of the information disclosed to these authorities will be used for purposes other than that of the audit.

### **Examples of personal information Evolution Training Solutions may hold:**

- Name
- Address
- Telephone Number
- Date of birth/age
- Place of birth
- Race or ethnic origin
- Language spoken at home
- Email address
- Photograph
- Student Results
- Educational Qualifications

### **Changes to our privacy statement**

Evolution Training Solutions may vary its privacy standards from time to time. Where changes are made these will be communicated to all students.

### **Collection of personal information**

Evolution Training Solutions shall only collect personal information that is necessary to carry out its business activities. Information shall be collected in a legal and just method and shall not, where reasonably possible, be intrusive. If practical, personal information shall be collected from individuals through enrolment into course/qualifications. When collecting Personal Information, Evolution Training Solutions shall take reasonable steps to inform students about our identity, the purpose of collection and their rights to access Personal Information held by this organisation

### **Use and disclosure of personal information**

Evolution Training Solutions shall only use or disclose information for the primary purpose it was collected. Evolution Training Solutions shall not use or disclose information for a secondary purpose unless the individual has consented in writing to the use or disclosure.

### **Data quality**

Evolution Training Solutions shall take all reasonable steps to make sure that personal information is accurate, complete and up-to-date at the time of collection and use.

## **Data security**

Evolution Training Solutions shall take reasonable steps to ensure personal information is safe from misuse, loss, and unauthorized access, alteration or disclosure. Information shall be destroyed or identifiers removed when it is no longer needed for either the primary or approved secondary purpose.

Evolution Training Solutions shall take reasonable steps to ensure the security of physical files, computers, networks and communications are always maintained.

## **Openness**

Evolution Training Solutions shall make available, on request, our Privacy Statement and Policy.

We shall also, on request and within reason, inform an individual:

- What type of Personal Information we collect and hold
- For what purpose
- How it is collected
- How it is used and disclosed.

## **Access and correction**

If requested, Evolution Training Solutions shall give individuals access to and correction of their personal information held by this organisation. A copy of the policy and accompanying information will be available for perusal. When requesting access to personal information, individuals shall:

- Formally in writing, request to access their personal information
- Provide two (2) acceptable forms to prove their identity
- Advise in what format they require the information
- Provide data storage, if necessary
- Pay any reasonable associated fees
- Allow 15 working days for processing (i.e. 3 weeks)

Evolution Training Solutions may choose to charge for access to personal information. However, Evolution Training Solutions may charge for the cost of copying and postage of information to students.

Should fees apply, they shall not be excessive, nor shall they apply to lodging a request and students are to be advised of the costs prior to arrangements for access being commenced.

## **Identifiers**

Evolution Training Solutions shall not assume, as its own identifier of a person, an identifier that has been assigned by a Government agency or agent or a contracted service provider for a Commonwealth Contract. Note: A person's name or ABN number is not considered to be an identifier.

## **Anonymity**

Persons will be given the option to interact anonymously with Evolution Training Solutions whenever it is lawful and practicable to do so.

## **Sensitive and health information**

Evolution Training Solutions shall not collect information that is of a sensitive nature unless prior permission has been sought from the individual.

A person has the right to inquire about their personal information being held by Evolution Training Solutions. In the event that a person is not satisfied with Evolution Training Solutions response in revealing/ disclosing this information, the person has the following recourse:

- The person has the right to request, and Evolution Training Solutions is required to provide, information on the grounds for partial or non-disclosure;
- If unsatisfied with the grounds for partial or non-disclosure, the person has 60 days to write to Evolution Training Solutions explaining why the person is disputing the partial or non-disclosure;
- If, on receiving this correspondence, Evolution Training Solutions position remains, the person can request that the matter be referred to the Office of the Federal Privacy Commissioner for review.

# Human Resource Management

## ETS -POL-012

*(Must be read in conjunction with Section 3 Governance Policies and Procedures)*

### **Purpose**

Evolution Training Solutions is committed to recruiting all staff equitably, fairly and without discrimination. Evolution Training Solutions has staff recruitment procedures in accordance with access and equity principles and equal opportunity legislation.

Selection of staff will be based on merit and not on practices that discriminate against individuals based on race, age, gender, marital status. The RTO Operations Manager of Evolution Training Solutions reserves the right to interview all applicants for positions and make decisions on employment based on the applicant's ability to respond to criteria and perform at interview.

Persons seeking training and/or assessment positions with Evolution Training Solutions are required to have the relevant training and assessment and vocational competencies, at least to the level being assessed, as specified by Standard 15.4 of the Standards for NVR Registered Training Organisations. The standard states that:

### **Training and assessment is delivered by trainers and assessors who:**

- a) Have the necessary training and assessment competencies as determined by the National Quality Council or its successors;  
and
- b) Have the relevant vocational competencies at least to the level being delivered or assessed;  
and
- c) Can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
- d) Continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.

Standard 1.4 also requires that successful candidates must demonstrate to Evolution Training Solutions that they have current practical industry experience. Further information on the requirements for trainers and assessors is contained in the National Skills Standards Council decision on the competence of trainers and assessors.

Applicants holding the most current TAE40116 Certificate IV in Training and Assessment **OR HOLD** a Diploma or higher-level qualification in adult education in line with the regulator's requirements, will be considered for positions with Evolution Training Solutions as trainers and/or assessors.

Evolution Training Solutions will ensure that all Traffic Control and Traffic Management trainers and/or assessors, are approved by the relevant State Government bodies prior to commencing any training course delivery or student assessments.



## **Staff Induction**

All staff employed by Evolution Training Solutions will undergo a full induction to ensure that they are aware of the policies and procedures of the organisation, their roles and responsibilities as staff members of the organisation and relevant industry and vocational information to assist them in carrying out their duties.

Inductions of staff members will include the following:

- Introduction to Evolution Training Solutions staff
- Overview of Evolution Training Solutions management system including policies, procedures and forms
- Information on relevant legislation that impacts on the staff member's role within Evolution Training Solutions including where applicable legislation can be accessed including the National VET Regulator Act 2011
- Requirements for professional development including formal learning, on the job learning and where possible industry release or work experience
- Training and assessment materials and resources (where applicable)
- Provision of copies of or access to the Evolution Training Solutions Student Handbook, Policy Manual and Procedure Manual (either in electronic or hardcopy format)
- Provision of copies of or access to the Standards for NVR Registered Training Organisations
- Tour of facilities including operations of equipment, issuance of keys (where applicable), storage facilities, plant and equipment
- Overview and introduction of workplace health and safety procedures of Evolution Training Solutions including full safety induction
- Overview of records access, availability and location of student and business records (applicable to the individual's role)
- Copies of marketing material or information on how to access the material

## **Staff Qualification Verification**

It is the policy of Evolution Training Solutions to ensure that all new applicants undergo a full verification exercise to ensure that he/she has the required knowledge and skill to undertake the responsibilities required by his/her role. Where the qualifications and experience of staff cannot be substantiated, employment will not be considered.

## **Training and Staff Development**

Where possible, the RTO Operations Manager of Evolution Training Solutions will ensure that all staff receive relevant professional development on a minimum annual basis. Professional development plans will be implemented for all staff as part of all new staff member's induction to ensure ongoing development of members and continual education in the industry and vocational sector.

Professional development may include:

- Release to industry
- ACPET
- Formal training courses
- Mentoring and coaching in the workplace
- Attendance and professional development workshops organise by the industry organisations such as VELG Training
- Internal workshops

# Transition to new Training Packages

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## ETS – POL-013

### Purpose

The advent of training packages and competency-based training and assessment has seen a massive shift in the provision of training and assessment in the vocational education and training sector since 1997. Training packages are reviewed and endorsed on a regular basis as a result of:

- Consultation with industry by industry skills councils
- Changes in legislation, regulation and government policy
- Changes in government agendas
- Technological advances
- Evolving industry systems and processes

Standard One of the 2015 Standards for Registered Training Organisations requires that registered training organisations transition to new or reviewed training packages within twelve months of the publication. This would see 100% of the cohort enrolled in a superseded package transition within the given time frame of 12months, unless completion can be achieved prior to the transition period. Evolution Training Solutions is committed to providing the most current and up to date training consistent with training package requirements and industry needs and expectations and transitioning to.

The RTO Operations Manager will maintain subscriptions to relevant and applicable Industry Skills Council responsible for the qualifications and units of competency on scope of registration of Evolution Training Solutions. Information coming from the Industry Skills Councils will be advised at monthly meetings.

### Transition of registration

Evolution Training Solutions subscribes to National Skills Standards Council (NSSC) communiques and publications and [www.training.gov.au](http://www.training.gov.au) to ensure it remains up to date with new iterations of training packages.

Evolution Training Solutions will conduct a full review of equivalency of new training packages to determine gaps in:

- Qualifications
- Units of competency
- Assessment guidelines

The review of the new training package including iterations of qualifications will include undertaking an analysis of business focus and market trends to establish.

A review and validation of existing assessment will be undertaken to ensure current materials meet the requirements of the new training package prior to the submission of an application to the regulatory authority to transition to newer versions of qualifications. Applications will not be submitted until the RTO Operations Manager is satisfied that all assessment is up to date. Applications will be submitted by Evolution Training Solutions to the Australian Skills Quality Authority within 12 months of the training package publication. No new enrolments will be accepted by students in expiring qualifications within the twelve-month period or following registration of the newly published training package qualification (whichever comes first).

Evolution Training Solutions will not enrol students into old versions of qualifications following confirmation of the change to scope of registration by the Australian Skills Quality Authority. In addition, Evolution Training Solutions will ensure that its website and other marketing materials reflects a final date for enrolments (where applicable) and expiration of training package qualifications.

### **Transition of students**

The transition of students will be conducted on a case by case basis and dependent on the time in which the student has already completed.

Students will be fully advised of implications of transition to new qualifications as a result of endorsement of a new training package including:

- Transition will occur to all students that cannot complete within 12 months of the publication of the superseding qualification
- Changes to units of competency – specifically relating to the collection of sufficient valid and reliable evidence
- Changes to assessment necessary to meet unit of competency requirements
- Changes in the number of units of competency to be completed

Those students wishing to transition to the new qualification will be required to provide written confirmation (email acceptable) of their intention to transition, utilising the correct DETE form. Transition will be carried out within 14 days of receipt of formal notification and students notified in writing following completion of the transition. All correspondence will remain on the student file.

# Legislative and Regulatory Compliance

## ETS POL-014

### Purpose

As a registered training organisation, Evolution Training Solutions is expected and required to:

- Comply with all applicable legislation
- Ensure staff and aware of the rights, roles, responsibilities and obligations for compliance with legislation that may impact on their job
- Ensure students and aware of the rights, roles, responsibilities and obligations for compliance with legislation that may impact on their participation in training

Evolution Training Solutions will ensure that all staff and students are aware of relevant legislation that may impact on their job role or participation in training through:

- Induction processes
- Updates to legislation from time to time
- Training and assessment
- Student handbook
- Evolution Training Solutions Policy manual and procedure manual

Staff will be provided with information on legislation as part of their induction upon commencement of employment. Students will be provided with information on legislation through their induction and as part of their training and assessment (applicable industry specific legislation relating to their chosen qualification).

During the conduct of audits, the RTO Operations Manager will take full consideration of and observe all legislative and regulatory provisions that impact on the organisations:

- Quality and compliance
  - Standards NVR Registered Training Organisations
  - National Vocational Education and Training Regulator Act 2011
  - Financial Viability and Risk Assessment Requirements 2011
  - Data Provision Requirements 2011
  - Fit and Proper Person Requirements 2011
  - Australian Qualifications Framework
- Workplace relations and safety
  - Industrial Relations Act 1999
  - Work Health and Safety Act 2011
  - Work Health and Safety Regulation 2011

- Equal opportunity and anti-discrimination
  - Anti-Discrimination Act 1991
  - Disability Discrimination Act 1992
  - Racial Discrimination Act 1975
  - Equal Employment Opportunity (Commonwealth) Authorities Act 1987
- Intellectual Property and copyright
  - Copyright Regulations 1968
- Privacy and confidentiality
  - Privacy Act 1988
- Child protection
  - Commission for Children, Young People and Child Guardian Act 2000

Applicable Commonwealth legislation is available for download from [www.comlaw.gov.au](http://www.comlaw.gov.au).

Applicable Queensland legislation is available for download from [www.legislation.qld.gov.au](http://www.legislation.qld.gov.au).

# Marketing

## ETS– POL-015

*(Must be read in conjunction with Section 4 Governance Policies and Procedures)*

### **Purpose**

Evolution Training Solutions policy is to ensure that all marketing of training activities will be conducted with integrity, accuracy and professionalism, avoiding vague, misleading or ambiguous statements, it is also designed to align in full with Standard Four of the Standards for Registered Training Organisations 2015.

In the provision of information, disseminated directly by the RTO or on its behalf is both accurate and factual.

- a) Will accurately represent the services we provide & the training products on our scope of registration
- b) Will include the RTO's code (31733).
- c) Will only refer to another person or organisation in our marketing products when the consent of that person/organisation has given consent.
- d) Will use the NRT Logo only in accordance with the conditions of use specified in schedule 4 of the 2015 standards.
- e) Will make clear where a 3<sup>rd</sup> party is recruiting prospective learners for Evolution Training Solutions behalf.
- f) Will distinguish where training is being delivered on behalf of another RTO or where training assessment is being delivered on Evolution Training Solutions behalf by a 3<sup>rd</sup> party.
- g) Will distinguish between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training and assessment delivered by Evolution Training Solutions.
- h) Must include the code and title of any training product, as published on the National Register, referred to in that information.
- i) Will only market or advertise a non-current training product while it remains on our scope of registration.
- j) Will only advertise or market a training product will lead to a licence or regulated outcome where it has been confirmed by the industry regulator in the jurisdiction in which the training is being advertised.
- k) Will include details of government funded subsidy or other financial support arrangements associated with the RTO's provision or training and assessment where applicable.
- l) Evolution Training Solutions will not guarantee that:
  - i) A learner will successfully complete a training product on its scope of registration
  - ii) A training product can be completed in a manner which does not meet the requirements of clause 1.1 or 1.2 of the 2015 standards.
  - iii) A learner will obtain a particular employment outcome where this is outside the control of Evolution Training Solutions.

## **Fees and Charges**

Where Evolution Training Solutions collects fees from the individual learner, either directly or through a third party. Evolution will provide or direct the learner to the information in its marketing or other informational products prior to enrolment or the commencement of training and assessment whichever comes first, all relevant fee information includes and is not limited to:

- Fees that must be paid to Evolution Training Solutions
- Payment terms and conditions including deposits and refunds
- The learner's rights as a consumer, including but not limited to any statutory cooling off period if one applies
- The learners right to obtain a refund for services not provided by in the event of
- Arrangement being terminated early
- Evolution Training Solutions fails to provide the agreed services/training
- Where there is a change to an agreed service, Evolution Training Solutions advises the student as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third-party arrangements.



# Issuing Qualifications and Statements of Attainment

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## ETS- POL-016

### **Purpose**

Evolution Training Solutions is committed to ensuring that its participants receive appropriate certification for the successful completion of:

- Units of competency from an accredited short course
- Units of competency from an accredited qualification
- Units of competency from a training package qualification
- Accredited qualification
- Training Package Qualification

Evolution Training Solutions will ensure that all qualifications and Statements of Attainment are issued within 30 calendar days of successful completion of the applicable units of competency or qualification in which the participant is enrolled.

Electronic copies of qualifications will be securely maintained in Evolution Training Solutions student management system (JobReady) to enable reissuance in the event of loss or destruction.

### **Qualifications will include:**

- The full name of Evolution Training Solutions
- The name of the student receiving the award
- Academic Transcript/Record of Results
- Qualification code and name by its full title
- The date of issue
- Signature of the RTO Operations Manager of Evolution Training Solutions
- Organisation Identifier (Company logo)
- Evolution Training Solutions national provider number

### **Statements of Attainment will include:**

- The full name of Evolution Training Solutions
- The name of the student receiving the award
- The units of competency achieved by code and full title
- The Date of issue

# Unique Student Identifier

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## ETS– POL-017

### Purpose

In accordance with the Student Identifiers Act, Registered Training Organisations are required to obtain and report the Unique Student Identifier (USI) provided by the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education. The Act enables the registered training organisation to apply for the USI on behalf of the student or the student can apply for his/her own USI.

It is the policy of Evolution Training Solutions that:

- The RTO will ensure that it maintains records of the USIs for all students enrolled in qualifications, apprenticeships, units of competency and skill sets
- All students are required to, where they have an existing USI, provide this USI to Evolution Training Solutions upon request
- Where the student does not have an existing USI, student can approve Evolution Training Solutions to seek application for a USI on the student's behalf
- Evolution Training Solutions has in place confidentiality and privacy policies assuring that it maintains the privacy and confidentiality of all students unless required by the Australian Skills Quality Authority, AVETMISS reporting requirements or other disclosure requirements specified by regulation, legislation or specific workplace requirements

A copy of this policy will be provided to all students in the Student Information Handbook.

# Data Reporting

## ETS – POL018

### Purpose

In accordance with The Department of Employment , Small Business and Training Total VET Reporting requirements (see National VET Provider Collection Data Requirements Policy), Evolution Training Solutions is committed to the provision of accurate data on the progress and completion of all of its students.

### Contract and Total VET Reporting

In relation to each student Evolution Training Solutions will submit electronic AVETMISS data that contains full and correct information against all relevant fields in JobReady, including:

- a) Relevant “Fund Source Code”
- b) “Delivery Type Identifier” specified in AVETMISS for the relevant mode of delivery
- c) “Outcome Identifier” specified in AVETMISS;
- d) “Location postcode where the apprentice or student predominantly undertakes training and/or assessment (excluding online delivery). In the case of online delivery Evolution Training Solutions will report the postcode of where the training is coordinated from.
- e) The student’s eligibility as a priority population group (where applicable)
- f) Other information specified by the department of education training and employment

In accordance with the NSSC (National Skills Standards Council) National VET Provider Collection Data Requirements Policy, Evolution Training Solutions will collect AVETMISS compliant data on all nationally recognised training where it is responsible for the issuance of a qualification or Statement of Attainment. Data will be collected from 1 each year and reported to the Department of Education Training and Employment on a monthly basis as part of its normal reporting requirement and in accordance with above.

Data reported where training delivered as part of:

- Full qualification
- Accredited courses
- Standalone units of competency

All students and apprentices will be advised at the time of enrolment of Evolution Training Solutions requirement to submit data on its training activity to the regulatory authority.

## Data Provision Requirements

In carrying out its operations and in accordance with the Data Provision Requirements 2011, Evolution Training Solutions is committed to the collection, reporting and provision of data on its operations. Upon request of the VET Regulator, Evolution Training Solutions will provide information on:

- a) Type of legal entity
- b) Copy of certificate of incorporation, articles of association or equivalent
- c) Current financial viability risk assessment information including:
  - (i) strategic business plan;
  - (ii) financial projections, including underlying assumptions;
  - (iii) business plans, including forecast income stream and forecast expenditure;
  - (iv) assets and liabilities;
  - (v) audited financial statements;
  - (vi) financial records for the previous 12 months, including profit and loss balance sheets;
  - (vii) cash flow and bank account details;
  - (viii) short term budgets and forecasts, including assumptions;
  - (ix) information on current and projected student enrolments, including assumptions;
  - (x) tax records;
  - (xi) information about current debts and debtors, credits and creditors, loans and repayment details;
  - (xii) plans and information on any legal disputes;
  - (xiii) inter-company dealings, transfers, ownerships and loans;
  - (xiv) contingent liabilities;
  - (xv) ultimate ownership details; and
  - (xvi) post reporting activities.
- (d) Business Name Registration Certificate showing registered business (trading) name(s);
- (e) Australian Company Number (ACN);
- (f) Australian Business Number (ABN);
- (g) Type of training organisation (for example, school, university, community-based adult education, other training provider);
- (h) Address and contact details for:
  - (i) head office;
  - (ii) principal place of business; and
  - (iii) permanent delivery sites or campuses.
- (i) Name and contact details for:
  - (i) executive officers;
  - (ii) high managerial agents; and
  - (iii) any person or entity which exercises a degree of control or influence over the management or direction of the registered training organisation.

- (j) previous registration details;
- (k) whether or not the applicant, the NVR registered training organisation, an executive officer or higher managerial agent have any other application for registration currently lodged with any other registering body;
- (l) Fit and Proper Person information for each relevant person
- (m) a list of the correct national code and title of the Training Package, VET qualifications, VET accredited courses, modules or units of competency that the applicant/NVR registered training organisation delivers, or intends to deliver, including:
  - (i) a training and assessment strategy for each VET qualification, VET accredited course, module and unit of competency applied for;
  - (ii) evidence to demonstrate that each trainer and assessor has the necessary training and assessment competencies and the relevant vocational competency for each VET qualification, VET accredited course, module and unit of competency that they deliver and assess;
  - (iii) evidence to demonstrate that each trainer and assessor has current industry skills directly relevant to the training/assessment being undertaken
  - (iv) evidence of the supervisory arrangements for trainers who do not possess the required training competencies; and
  - (v) evidence of ongoing access to staff, facilities, equipment and training and assessment materials, that are consistent with the requirements of the Training Package or VET accredited course and the RTO's own training and assessment strategy.
- (n) details of any license/regulatory outcomes of the VET qualification and VET course applied for including details of the licensing body;
- (o) whether or not the applicant/NVR registered training organisation delivers, or intends to deliver, any training online, interstate, or by distance, and if so, in which jurisdictions;
- (p) whether or not the applicant/NVR registered training organisation delivers, or intends to deliver, any training offshore (overseas);
- (q) whether or not the applicant/NVR registered training organisation offers, or intends to offer, any training to international students, and if so, details of the CRICOS approval;
- (r) whether or not the applicant/NVR registered training organisation intends to apply for, or already receives, Commonwealth, State or Territory government funding for training;
- (s) whether or not the applicant/NVR registered training organisation intends to enter into, or is in, a partnership/sub-contracting arrangement for training;
- (t) whether or not the applicant/ NVR registered training organisation collects, or intends to collect, fees paid in advance from students for enrolment in training;
- (u) whether or not the applicant/ NVR registered training organisation delivers, or intends to deliver, training to students under the age of 18, and if so:
  - (i) Working With Children Checks for all relevant persons; and
  - (ii) policies and procedures for managing these students.
- (v) evidence of appropriate finance and AVETMISS compliant VET student records management systems; and
- (w) copy of public liability insurance cover.

## Quality Indicator Data Reporting

Evolution Training Solutions is committed to the collection and provision of quality indicator data annually. Evolution Training Solutions will collect data on the quality indicators and provide an annual summary report to the National VET Regulator by 30 June each year. Data to be reported will include:

- Learner Engagement
- Employer Satisfaction
- Qualification completions
- Accredited course completions
- Unit of competency completions
- Current enrolment numbers

# Staff Code of Conduct

## ETS-POL019

### Purpose

The code of conduct provides a guideline as to what is expected from staff in performing their daily tasks as well as providing a common ethical basis for individual conduct. Employees shall be committed to conducting themselves with accordance with the highest standards of integrity and ethics and in compliance with other legislation related to objectivity, independence and conflict of interest. The code shall act as a guide to employees as to what is expected of them from the ethical point of view, both in their individual conduct and in their relationship with others. Compliance with the code is expected to enhance professionalism and help to ensure service confidence in the sector. The primary purpose of the code of conduct is to promote a good exemplary conduct.

Except where otherwise stated, this code shall be a rule for all employees on full-time, part-time or contractual basis and for learners during their theoretical and workplace training.

Employees have a duty to act fairly to all persons or stakeholders who have an interest in the organisation and shall not act in anyway unreasonable or discriminatory. In order to protect the integrity, impartiality and independence of the organization, all activities should stand up to the closest public scrutiny.

1. Employees shall not accept or solicit any gift, hospitality or other benefit that could influence, or be seen to influence his / her judgment, integrity and independence. Where there is doubt as to the appropriateness of a gift, hospitality or other benefit, the employee concerned should discuss the matter with Management.
2. An employee shall honour the confidentiality of matters, documents and discussions, classified as being confidential or secret; not use or disclose any official information for personal gain or gain of a third party or an outsider and not use or allow to be used to further private interests and gains of others.
3. An employee should not undertake remunerative work outside his / her official duties or use office equipment for private work without the explicit approval from the Management and use the organization's equipment for private use.
4. An employee should not engage in any transactions that conflict with or infringes on execution of his / her duties; involve him / her with action which may result in improper personal gain.
5. An employee shall dress and behave (during official duties) in a manner that could enhance the positive reputation of the organization; outside working hours conduct him / herself properly and avoid unbecoming behaviour which will lead to disciplinary action if it negatively reflects on the organization's image; be honest and truthful and conscientious in his / her approach to and in performance of his / her duties; conduct him/herself with courtesy and consideration towards everyone in performing duties and observe and promote a human rights culture.
6. An employee shall cooperate with public institutions established under legislation and country's constitution in promoting the sector's interests; serve the education and training sector in an unbiased and impartial manner in order to create confidence in the work of the organization; be committed in the development, enhancement of training and skills

development in the sector and not discriminate unfairly against anyone on account of race, gender, religion, disability, nationality, etc.

7. An employee shall co-operate fully with other staff members; assist colleagues in complying with the code of conduct and co-operate with appropriate measures in applying the code of conduct; not irresponsibly criticize the professional work or attainments of others but rather focus on the value of the support and assistance they provide. Individual contribution should be acknowledged in a meaningful way. Execute all reasonable instructions in his / her official capacity if these are not contrary to the provisions of the code of conduct, and any other relevant legislation. Never abuse his / her authority or influence another employee, nor allow him/ her authority or influence another employee, nor allow him / her to be influenced to abuse his / her authority. Use proper channels to air his / her grievances or direct representation and commit to the optimum development, motivation and utilization of any sub-ordinates and the promotion of sound labour interpersonal relations.
8. An employee shall strive to achieve the objectives of the organization in a cost effective manner; Be creative in thought and in the execution of his / her duties, seeking innovative ways to solve the problems, and enhancing effectiveness and efficiency within the context of the law; Be punctual in the execution of his / her duties; Execute his / her duties in a professional and competent manner; Promote sound, efficient, effective, transparent and accountable administration and In the course of his / her duties, report to appropriate authorities any corruption, fraud, nepotism, misadministration or any other act which may constitute an offence.

All employees shall subscribe to the following value:

- Be transparent and fair in their conduct
- Co-operate with honesty and integrity
- Be courteous and caring to others
- Apply moral and legal precepts
- Honour deadlines
- Be principled and consistent in their conduct
- Strive to continuous improvement regarding their roles, functions and performance
- Work within a framework of co-operative governance in spite of historical constituency-based representation.

Any violation of any part of this code of conduct may result or cause appropriate disciplinary action in terms of the Disciplinary Procedure.



# Professional Development for Training Staff

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## ETS-POL020

### **Purpose**

Evolution Training Solutions recognises the importance of professional development opportunities to ensure all staff have the necessary qualifications, skills and experience to perform their roles and responsibilities to the standard required. This means that all staff will be encouraged to participate in professional development opportunities.

As a Registered Training Organisation (RTO), Evolution Training Solutions is committed to adhering to the ASQA Standards for RTO's 2015, Clause 1.3 – 1.6 trainers and assessors must have:

- The vocational competencies at least to the level being delivered and assessed;
- Current industry skills directly relevant to the training and assessment being provided, and
- Current knowledge and skills in vocational training and learning that informs their training and assessment.

Evolution Training Solutions undertakes to regularly review this policy to take account of changes in legislation, activities, services and products. As a result of this review, changes may be made to this policy from time to time and all employees and contractors are required to comply with those changes.

### **Scope**

This policy outlines the professional development expectations for all staff and the mandated requirements for trainers delivering accredited training and assessing.

It outlines the professional development point system that Evolution Training Solutions uses to monitor all professional development activity.

Evolution Training Solutions endeavours to keep a record of staff professional development and evidence of qualifications through the completion of its Trainer Matrix (Trainer/Assessor Profile).

### **Professional Development expectations and staff responsibilities**

To ensure that Evolution Training Solutions staff stay current with industry as well as continuing to develop and enhance their skill levels, Evolution Training Solutions, each staff member is required to provide all evidence required to remain current.

Points can be achieved by attending a variety of industry events or accessing a number of industry publications as depicted in the following table.

**1. VET currency and professional development as a VET Trainer and Assessor.**

Examples of VET professional development activities may include:

- Participating in courses, workshops, seminars, and conferences: trainers and assessors can attend both external and internal courses—that is, courses developed by professional development providers and internal programs developed and delivered by Evolution Training and Safety Pty Ltd.
- Demonstrating recent completion of a VET training product (Certificate IV TAE or higher).
- Participation in learning networks—there are various professional associations which provide educative forums about vocational training and assessment.
- Personal development through reading of publications and other relevant information.
- Participation in validation or moderation activities.
- Shadowing or working closely with other trainers' and assessors'

In addition, trainers and assessors are required to keep current with the technical/industry requirements in the relevant industry area. See table below:

# Validation

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## ETS-POL021

### Validation Pre-Assessment Procedure

#### Policy

Validation and moderation of assessments is undertaken to ensure that the highest level of assessment service is being provided to learners and that the assessments being used are fair, reliable, valid, flexible and the evidence being collected is sufficient.

#### Purpose

- Validation is viewed as a valuable quality process which includes perspectives from all stakeholders.
- Validation is conducted in a manner which is both transparent and effective in providing real improvements to learning products and processes.
- Evolution Training Solutions is dedicated to ensuring industry, learners and clients, experience products and services that provide excellence, and include the most current information, approaches to topic matter and delivery and assessment methods.

#### Validation is to be undertaken by personnel who have:

- Vocational competency
- Current industry skills relevant to the assessment being validated
- Current knowledge and skills in vocational teaching and learning
- TAE40116 (or its successor), which ever applies
- Industry experts may be involved to ensure combination of expertise

#### Definitions

##### Validation

Validation is the review process that involves checking that the assessment tools developed and used produce valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the Training Package or Accredited Course are being met. This process includes the review and making of recommendations for future improvements to the assessment tool, process and /or outcomes.

##### Review of completed assessments

Review of completed assessment is the process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same units.

## Procedures

### Validating Assessments

Evolution Training Solutions will apply the following methods to validate assessment processes and decisions:

- 
- Validation will occur in alignment with the RTO's 5-year plan. Refer to the plan/schedule Outlook Calendar.

To conduct validation the following actions are taken for the units and qualification being reviewed:

- Stakeholder feedback is collated and reviewed to identify areas of improvement from the continuous improvement register.
- Moderation recommendations are collated and continuous improvements that have been implemented noted to be compared against old formats.
- A statistically valid sample of assessment completed in the previous six-month period is collected using a random alphabetical method; for example, students with last names beginning with every third letter of the alphabet. Assessments with low error rates will be sampled at 10%, high risk and high error rates at 15% unless a course has smaller numbers.
- The systematic validation process is conducted by a team of persons who together provide vocational competency, current industry knowledge, expertise in vocational teaching and learning and the minimum requirements to train and assess as per RTO Standards 2015 Clause 1.11.
- Recommendations are added to the continuous improvement register for action and monitoring.
- All corrective actions are to be recorded on the moderation documentation and in the Continuous Improvement Register
- If required, a meeting is to be held with the relevant Assessor(s) to discuss the deficiencies and actions required in future.

### Supporting Documents:

- Assessment Validation Checklist
- Moderation outcomes
- Continuous Improvement Suggestions
- Validation Schedule

## **Validation Post Assessment Procedure**

### **Policy**

Evolution Training Solutions is committed to conducting ongoing systematic validation of its assessment practices, tools, processes and judgements made by assessors, including by third party providers.

Evolution Training Solutions ensures that:

- A plan for ongoing systematic validation of assessment is implemented;
- Validation of completed learner assessment items occurs once a month
- Each training product is validated at least every five (5) years;
- Key stakeholders are involved in validation processes;
- It documents its validation activities, outcomes and actions taken to improve the quality and consistency of assessment; and
- Validation is undertaken by appropriately qualified and experienced persons.

### **Purpose**

Evolution Training Solutions is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations 2015. As such, Evolution Training Solutions is required to implement a plan for ongoing systematic validation of assessment practices and judgments for each training project on its scope of registration.

The purpose of this policy is to ensure ongoing systematic validation of assessment practices and judgments.

### **Procedure**

#### **Plan for validation**

#### **Compliance**

Develop and maintain a validation plan to schedule validation of completed assessment items over a five (5) year period.

Ensure Validation Plan ensures that:

- 50% of training products are validated within the first three (3) years;
- 100% of training products (including all units of competency/modules) are validated within the five (5) year period;
- Priority is given to high risk training products;
- Validation is undertaken by parties independent to assessment decisions for a particular training product.

For each validation meeting, determine the assessment to be validated based on completed client assessment in the preceding 6 months.

## **Organise validation meeting**

### **Compliance Coordinator**

Schedule the date and time for the meeting. This may need to be conducted in conjunction with Trainer and Assessors to ensure that suitable human resources are available to assist.

Identify suitably qualified Trainer and Assessors or industry experts that have not been involved in any of the assessment events, to participate in the assessment validation. If necessary, request copies of resumes, professional development records and qualifications to ensure that they are suitably qualified to participate and make decisions on the validity of assessment.

Where industry experts do not hold TAE40116 Certificate IV in Training and Assessment, another employee or Trainer or Assessor of Evolution Training Solutions may facilitate the validation session providing that assessor has not been involved in the assessment event/s.

### **Administration / Compliance Coordinator**

Run a report from the student management system to identify clients that have completed their qualification in accordance with the Validation Schedule.

### **Compliance Coordinator**

Select and highlight a minimum of 2 learners that have completed the qualification in the preceding 6 months.

Send the list to Administration for collation of assessment evidence including logbooks, third party reports etc. applicable to the training / qualification on the Friday before the validation.

### **Administration**

Collate assessment evidence including logbooks, third party reports etc. on the Monday before the validation session and give to the Compliance Coordinator.

### **Compliance Coordinator**

Collate all required documentation, label and have prepared at least 24 hours before the validation session is to take place and complete Validation Assessment Form.

Use / Print one copy of Validation Assessment Form.

Print at least two copies of the unit of competency and assessment requirements from [www.training.gov.au](http://www.training.gov.au) for the validators to refer to during the validation process. Should further copies be required, these can be requested and printed on the day.

## **Prepare for the validation meeting**

Prepare the room for the validation meeting:

2 computers and screens (computers must have access to the internet to enable trainers to access learner assessment items)

## **Compliance Coordinator**

Confirm preparedness of client files ensuring all remaining relevant documentation is prepared and ready for the meeting:

- Unit of competency document (from training.gov.au);
- Training and Assessment Strategy (TAS);
- Original assessment tools including marking guides and model answers
- Completed client assessments
- Assessment policies and procedures
- Validation – Post Assessment forms (sufficient for the number of learner files being reviewed).

## **Conduct the validation**

### **Compliance Coordinator**

Open the meeting, providing information to the group regarding development and implementation of the training product and in particular the assessment processes and resources.

Ensure all parties complete and sign the 'Participants Details & Declaration'.

Chair /facilitate discussions around validity of assessment resources ensuring that findings are communicated to Compliance.

Agree on changes to be made to the assessment system, processes or tools

Record findings from the validation on the Validation

Follow the Improvement Procedure to implement improvement actions.