Policies & Procedures

AUSTRALIAN INSTITUTE
OF COMMUNITY & HEALTH MANAGEMENT

RTO CODE: 46348
CRICOS CODE: 04337J

RTO POLICY MANUAL

SRTOs 2015 and ESOS National Code 2018

RTO Name: Vocational
Version 5.0

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Glossary

A

Academic- assessment of competency as the student progresses through the qualification.

Academic misconduct is defined as attempts by students to cheat, plagiarise or otherwise act dishonestly in undertaking an assessment task or assisting other students to do so. Students are considered guilty of cheating if they seek to gain an advantage by unfair means such as copying another students' work, or in any way mislead a trainer/assessor about their knowledge, ability, or the amount of original work they have done. In everyday use, academic misconduct is assimilated in the term plagiarism. **Or** Academic misconduct is any action or attempted action that may result in creating an unfair academic advantage for oneself or an unfair academic advantage or disadvantage for any other member or members of the academic community. It includes but is not restricted to: cheating, plagiarism, collusion and improper collaboration during the preparation of any prescribed assessment tasks. Student academic misconduct is prohibited at RTO and any violations of RTO's misconduct policy by students may result in academic penalties.

Academic Integrity – refers to honesty, responsibility and the maintenance of academic standards in scholarship.

Access and equity- means policies and approaches aimed at ensuring that VET is responsive to the individual needs of clients whose age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location may present a barrier to access, participation and the achievement of suitable outcomes.

Accreditation The process of formal recognition of an accredited course by state or territory regulators, or the national regulator, in accordance with the Standards for VET Regulators 2015 and the Standards for VET Accredited Courses 2012.

Accredited course A structured sequence of VET training that has been accredited and leads to an AQF qualification or Statement of Attainment. An accredited VET course is:

• a structured sequence of training developed to meet training needs that are not addressed by existing training packages

• a course accredited by the national VET regulator or by a delegated body of the national VET regulator; and

• a course that has been assessed by ASQA as compliant with the Standards for VET Accredited Courses 2012 and the AQF

Action learning

A team or group-based learning model in which the participants take action, often real action in their place of work, and then reflect on and learn from that experience. Learning team members contribute their knowledge and expertise to collaborate on and guide the group learning experience. The members learn from each other, as well as through their experiences in participating in and directing the action learning process, guided by the trainer/facilitator or manager. This process supports learning based on individual or group project work where the project forms the basis of the learning and the learning is then integrated into real work situations.

Adult learning principles

A set of principles that addresses the way in which adults learn and which reflects their needs as adults in a learning environment. Malcolm Knowles identified five principles of adult learning, which are summarised below.

1. Adult learners need to know the purpose of the learning; why they need to know.

2. Adult learners need to take responsibility for their own learning, and need to be consulted on decisions about the learning.

3. Adult learners have a variety of life and work experiences that can be both a rich source of information and bias.

4. Adult learners are ready to learn those things they need to know.

5. Adult learners are motivated to learn to the extent that they perceive a purpose relevant to them.

Adult learning principles are also referred to as andragogy.

Andragogy The principles of adult learning

Anonymous feedback Anonymous feedback will be processed as normal and the issues considered if they are sufficiently serious, or if RTO resources allow. Anonymous feedback, however, does not allow RTO to fully investigate the client's concerns where applicable, or provide them with details on how the feedback has been resolved.

Appeal If a student or stakeholder is dissatisfied with a decision made by RTO, they have twenty (20) working days from the date stated within the written notification in which to lodge an appeal to have the case reviewed. This includes decisions relating to complaints outcomes and

assessment appeals, as well as notifications of unsatisfactory academic progress, unsatisfactory attendance, misbehaviour, refusals of transfer applications, and/or pending cancellation of enrolment, in case of students.

Apprentice A person undertaking an apprenticeship.

Apprenticeship/traineeship Regulated employment-based approaches to the gaining of a relevant recognised AQF qualification, involving a combination of work and structured training that is regulated through a training contract (also known as a training agreement), made between an employer and an apprentice/trainee, and their legal guardian if under 18 years of age.

Archive Data that has been removed from the storage system, to another (off-line) location for historical purposes, available for reference or recovery on an as-needed basis. The archive medium may be different from that of the previously stored data, may be in a different physical location, and may, depending on the media and software used, be usable only after it has been run through a "restore" process.

Articulation- An arrangement whereby learners can progress from one course to another, or from one education sector to another e.g. from a VET course to a University course

Aspects of competency the parts of a competency standard; for example, the elements, performance criteria, relevant foundation skills, and dimensions of competency. Also referred to as 'parts of the competency standards' and 'components of competency'

Assessment: the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package or by the learning outcomes of a VET accredited course. Source: Standards for NVR Training Organisations 2012

For a student to be assessed as competent in qualification, they must be assessed as Competent in all the Units they are registered for.

It is the process of collecting evidence and making judgements on whether a learner is competent.

Assessment Appeal - A student may appeal against the decision on the final assessment result outcome.

It is neither a grievance nor a complaint but dissatisfaction in relation to an assessment process or outcome; that is an Assessment Appeal.

Assessment attempts- Students are entitled to two attempts (first and second) for each assessment task, within a unit enrolment period.

Assessment context the environment in which the assessment of competency will be carried out. This may be the environment where the work is performed 'in situ' – a simulated environment that replicates the work environment and encompasses various contexts that address different aspects of the competency.

It also includes physical and operational factors, the assessment system within which assessment is carried out, the range of opportunities for gathering evidence in a number of situations, the purpose of the assessment, who carries out the assessment, and the period of time during which the assessment takes place. *From National Quality Council, Training Package Glossary*

Assessment instrument developed by an assessor or resource writer/developer/instructional designer as part of formative or summative assessment activities; includes:

- profiles of acceptable performance measures
- templates and proformas
- specific questions or activities
- evidence and observation checklists
- checklists for the evaluation of work samples
- recognition portfolios
- candidate self-assessment materials.

Also includes tools developed elsewhere that have been modified by the assessor for use with a particular learning group.

Assessment judgement the exercise conducted by the assessor to evaluate whether the evidence provided meets the principles of assessment and rules of evidence, and whether the candidate is competent or not yet competent based on the evaluated evidence.

From National Quality Council, Training Package Glossary

Assessment materials Any physical and documentary resources that assist in any part of the assessment process. They may include information for the candidate, the documented competency standards or other documented assessment benchmarks, other related documentation impacting on assessment, the assessment tools, assessment exercises/activities, equipment and tools and any other resources for the quality assurance arrangements of the assessment system.

Assessment requirements Assessment requirements are the endorsed component of a Training Package that underpins assessment and sets out the industry's approach to valid, reliable, flexible and fair assessment.

Assessment method assessment of students may involve using a range of methods necessary to demonstrate competency. Examples include (but are not limited) to:

- direct observation;
- structured activities, e.g. simulations, roles, group work, case studies, projects, fieldwork, practicum, electronic forums presentations;
- questioning, e.g. verbal or written
- portfolios, e.g. work samples, journal, logbook
- review of products, e.g. reports, performance, exhibitions
- formal and informal tests including examinations.

Assessment-only pathway The achievement of competencies/qualifications recognised through a process of formal assessment by an assessor, which involves evaluative judgement of collected evidence arising from any combination of formal or informal education and training and education, work experience and/or general life experience; and recognition of competence held through a process of assessment that is not directly linked to a structured learning process to support achievement of the competencies.

From National Quality Council, Training Package Glossary

Assessment plan the overall planning document for the assessment process, which includes a range of information to guide assessors. This may include purpose; context; personnel; competency standards/assessment benchmarks; assessment methods and tools; the evidence plan; organisational arrangements including physical and material resources and equipment; and other relevant information.

Assessment process the series of key steps in the assessment cycle, including agreeing outcomes with stakeholders and learners/candidates; design and development of measures, tools and instruments; use of tools; and evaluation of the results of assessment for the purpose of continuous improvement of the assessment process

Assessment report the report written by the assessor after the assessment decision has been made and recorded. An assessment report may include: personal details of the candidate; details of assessment events/activities; dates, times, venues, etc.; details of assessor's evidence; completed assessment tools; documented feedback to and from the candidate; justification of decision; summary of candidate's action plan; other critical information including appeals and outcomes (if relevant); sign-off by assessor and candidate; electronic/paper reports to funding bodies.

Assessment strategy a documented framework to guide and structure assessment arrangements for a VET qualification. In a learning and assessment pathway it is addressed as part of the learning strategy. In an assessment-only pathway it is a separate document.

Based on National Quality Council, Training Package Glossary

Assessment system A controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations, are consistent, fair, valid and reliable, and may include: grievances and appeals processes; validation systems and processes; reporting/recording arrangements; acquisition of physical and human resources; administrative procedures; roles and responsibilities; partnership arrangements; quality assurance mechanisms; risk management strategies; and documented assessment processes.

From National Quality Council, Training Package Glossary

Assessment tool Include the following components—context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules). An assessment tool may address a cluster of competencies as applicable for holistic assessment. This term also takes in the administration, recording and reporting requirements. Source: ASQA General Direction 2013

Assessor A qualified assessor is a person who has the competencies required under the Standards for NVR Registered Training Organisations 2012 and the relevant Training Package or Curriculum.

ASQA Stands for Australian Skills Quality Authority, the National VET regulator and the RTO's registering body

Attendance Is defined as physically attending class at the appropriate time and in the location that the student was advised on enrolment (or any subsequent changes notified).

Audit A systematic, independent and documented process for obtaining evidence to determine whether the activities and related outcomes of a training organisation comply with the relevant regulatory standards.

Audit is also defined as a technique for systemic evaluations of training and/or assessment systems and services and may be internal or external.

Auspicing

See Partnership

Australian Core Skills Framework (ACSF) A framework that describes levels of performance in the five core skills of Learning, Reading, Writing, Oral Communication and Numeracy.

These skills are considered essential for people to participate in our society.

It describes the levels of performance in the five (5) core skills of:

- Learning
- Reading
- Writing
- Oral Communication
- Numeracy

Australian Industry and Skills Committee (AISC) The AISC was established in 2015 (replacing the NSSC) by members of the Council of Australian Governments (COAG) Industry and Skills Council. It is an industry-led body that provides advice on the implementation of national vocational education and training policies. The Committee has the authority to approve industry-defined training qualifications.

Australian Qualification Framework (AQF) A framework that defines all qualifications recognised nationally in post-compulsory education and training in Australia.

Australian Quality Training Framework (AQTF) A set of nationally agreed quality standards for Australia's vocational educational training and assessment services delivered by training organisations.

Note: The AQTF was superseded by the ASQA Standards on 1 July 2011

Authenticity One of the rules of evidence, and relates to ensuring the evidence is from, or of, the candidate, not another person; i.e. the assessor needs to be satisfied that the evidence gathered is the candidate's own work.

See also Rules of evidence

Authorised User An individual that is a RTO faculty, staff or student who has been granted permission to access RTO's server, workstation, networked device, or application resources.

AVETMISS Australian Vocational Education and Training Management Information Statistical Standard - Data that has to be collected annually for ALL VET students and reporting via ASQA to NCVER

B

Benchmarks for assessment The criterion against which the candidate is assessed. May be a competency standard/unit of competency, assessment criteria of course curricula, performance specifications, or product specifications.

Blended learning A mix of various learning methods and media.

The Blended learning model has four key focuses – Skills Recognition, Workplace Delivery, Campus Delivery and Online Delivery.

Breach of Security A breach of security occurs when there is a reasonable belief that an unauthorised person has acquired unencrypted electronic personal identity information or other restricted data.

Business Activity All functions, processes, activities and transactions of an organisation and its employees.

C

Cancellation A cessation or end of enrolment in a course

Candidate The person presenting for assessment.

Certification/Testamur Certification is the verification and authentication of a student's entitlement to a qualification.

Cheating Cheating is the intention to gain an unfair advantage in the assessment of a unit. This may include (but are not limited to) fabrication of data and/or results; colluding with others; allowing another person to complete an assessment on behalf of a student; accessing an advanced copy of an test paper; copying from others in an assessment; bringing into an assessment unauthorised material or information; knowingly helping others to cheat; taking actions which intrude on the ability of others to complete their assessable tasks.

It is the act of wilfully and deliberately using or gaining an unfair advantage over fellow students by flouting the rules and guidelines set down for assessments.

Cheating refers to dishonest act(s) by a student to gain an unfair advantage in taking an assessment or examination or test in a dishonest way. This may take several forms including;

- Unauthorised communications with other students or unauthorised persons during an assessment
- Copying someone else's assessment, or using unauthorised material such as textbooks, notebook or any other written materials during an assessment
- Obtaining unauthorised access to assessment materials during or before the assessment;
- Communicating material to other students in a closed book assessment by leaving answer papers exposed for other students to copy
- Copying another student's work and submitting it as your own
- Hiring or asking another person to do an assignment or attend an examination or assessment on the student's behalf
- Falsification or fabrication of research, lab reports or computer results

Child-Related work Child-Related work means work involving face-to-face contact with children in a child-related sector as designated by the Child Protection (Working with Children) Act 2012.

Client A learner, enterprise or organisation that uses or purchases the services provided by an RTO.

Clustering The process of grouping competencies into combinations that have meaning and purpose for learning, assessment or work-related needs.

Credit: A process by which recognition is gained for prior formal and informal learning.

AQF Definition: The value assigned for the recognition of equivalence in content and learning outcomes between different types of learning and qualifications. It occurs two ways: either through Skills Recognition, Recognition of Prior Learning, and Recognition of Current Competencies or via Credit Transfer of formal education and training. The credit reduces the amount of learning required to achieve a qualification.

Credit transfer From the AQF Definition: A process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications. That is, a recognised qualification from a recognised Registered training Provider (TAFE college etc.) is transferable across states and institutions.

Credit transfer Exempts a student from enrolling in and being assessed in a unit or units because they have been granted recognition for having completed the identical unit or units at another registered provider. It is a process to assess the equivalency of an initial course or subject that an individual is using to claim a credit in another course. This may include credit transfer based on formal learning that is outside the AQF.

Critical Incident Is defined as any extraordinary and traumatic event affecting students or staff that requires the implementation of special arrangements involving one or more areas of the organisation. Critical incidents include, but are not limited to:

- Medical emergencies related to a student
- Critical illness of a student
- Student or staff death
- Public transport or road traffic accidents
- Sexual assault, domestic violence, substance abuse

Traumatic events that affect students include, but are not limited to:

- Mental Health Crisis
- Natural Disasters (in Australia and overseas)
- National Emergencies

Coaching A technique used to facilitate and support individual learning through one-on-one guided learning activities and skills acquisition in either a formal or informal process.

Code of practice for assessors Code of practice based on an international code of ethics and practice, developed by the National Council for Measurement in Education (NCME). The code formed part of the TAE10 Training and Assessment Training Package Assessment Guidelines.

CoE: The Confirmation of Enrolment generated by PRISMS.

Collusion is the unauthorised collaboration between a group of students in the preparation and production of work, which is ultimately submitted by each in an identical or similar form as to be the product of his or her individual efforts. (Note: Collaboration in learning is encouraged for all students; however, they need to submit assignments based on their own work and creation. It is a secret agreement between two or more parties for a fraudulent, illegal, or deceitful purpose.

Companion volume A non-endorsed component of a training package, published by the training package developer, which provides information for the implementation of delivery and assessment.

Compassionate and compelling circumstances Conditions which are beyond the control of the student which may impact on the student's course progress or wellbeing.

Examples of these circumstances are as follows:

- Serious illness or injury – where a medical certificate states the student was unable to attend classes.
- Bereavement of close family members
- A traumatic experience i.e. involvement in or witness a serious crime or accident that has impact on the student
- Where the registered provider was unable to offer a pre-requisite unit.
- Other reasons may be considered but must have compelling documentary evidence to support the request.

Competency The ability to perform particular tasks (requiring relevant knowledge and skills) to the standard of performance expected in the workplace or by an industry. It is the consistent application of knowledge and skill to the standard of performance required in the learning environment.

Competency-based assessment The assessment in which the assessor makes a judgement of competency (competent or not yet competent) against clear benchmarks or criteria such as a competency standard/unit of competency, assessment criteria of course curricula, performance specifications, or product specifications. Competency-based assessment may be contrasted with assessment in which candidates are compared to others or graded, for example.

Competency specification

See Competency standard

Competency standard The requirements for effective workplace performance in a discrete area of work, work function, activity or process that are used as the basis for defining learning outcomes and the benchmarks for assessment within the VET sector.

Competency standards are expressed in outcome terms and aim to reflect the standards of performance required in the workplace.

Competency standards have a standard format and are also referred to as units, units of competency, competencies, and competency specifications.

Competency based training (CBT) An approach to vocational education, training and assessment that is based on what a person can do to a defined standard (competency).

Complaint A formal complaint takes place if a grievance cannot be resolved informally (for example, the affected parties discussing the matter), and is written down for official processing.

The definition of a complaint, consistent with the Australian Standard ISO 10002-2006, is:

"an expression of dissatisfaction made to RTO, related to its products (including services), or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected".

A complaint is certainly not:

(a) a request for information, a request to review a decision, or explanation of policies

(b) a disagreement with a decision that has a formal avenue of appeal or review.

If a client disagrees with a decision that has a formal avenue of appeal or review, information about the appeal or review process will be provided to the client. If a disagreement includes a complaint about the service provided by the RTO during its decision-making, the complaint will be responded to, unless the client does not require a response.

Complainant A student or potential student or a stakeholder lodging a grievance or complaint.

Components of competency See Aspects of competency

Complete student assessments Actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required. Source: ASQA General Direction 2013

Contextualisation The addition of industry- or enterprise/organisation-specific information to a unit of competency to tailor the standard to reflect the immediate operating context and thereby increase its relevance. Contextualisation is related to (but not the same as) customisation.

Contextualisation must be guided by relevant training package contextualisation guidelines. Any contextualisation must ensure that the integrity of the outcome of the relevant unit of competency is maintained.

See also Customisation.

Contingency management skills One of the four dimensions of competency that involves the requirement to respond to irregularities and breakdowns in routine.

See also Dimensions of competency, Job/role environment skills, Task management skills, and Task skills.

Contractors Individuals who are engaged under contract by an RTO, to deliver training and assessment.

Continuous Improvement The process adopted by RTO management to supports its effort to continually improve on quality of education provided and services associated with that provision. The term is used in an educational setting to describe improvement occurring in incremental steps through continuous cycles of plan, deliver, assess and review.

Continuous Improvement Register Refers to a list of items for review, decisions taken, action assigned to whom and by when and any other notes as appropriate.

Core Skills for Work (CSfW) framework The Core Skills for Work framework describes the core non-technical skills that have been identified by Australian employers as important for successful participation in work. The framework consists of ten skill areas grouped into three clusters:

● Cluster 1 – Navigate the world of work: Manage career and work life; Work with roles, rights and protocols

● Cluster 2 – Interact with others: Communicate for work; Connect and work with others; Recognise and utilise diverse perspectives

● Cluster 3 – Get the work done; Plan and organise; Make decisions; Identify and solve problems; Create and innovate; Work in a digital world.

The CSfW describes performance in each of the ten skill areas across five stages of performance – Novice, Advanced Beginner, Capable, Proficient and Expert. The CSfW framework, together with the ACSF, comprise foundation skills.

Core Skills Profile for Adults (CSPA) The Core Skills Profile for Adults is a set of online assessments designed to provide an efficient, valid and reliable method for assessing the stages of development of adult learners against the ACSF.

Credit arrangements Credit arrangements are an endorsed component of training packages. They specify details of existing credit arrangements between vocational and higher education qualifications in accordance with the AQF.

Credit transfer The agreed value of the achievement or partial achievement of one qualification when related to another qualification. This value translates to the learner as equivalent to an exemption from undertaking a component or components of the destination qualification based on the acceptance that these components have already been successfully completed through previous formal study. This exemption reduces the amount of time and learning required in achieving the second qualification

Course When discussing VET qualifications, the term 'course' refers to a state-based curriculum course (not associated with a Training Package) which is accredited under the AQF.

An RTO course is an approved plan of study (collection of approved units) with specific award rules leading to an award.

CRICOS: The Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) is the register prescribed under section 14A of the ESOS Act.

Criterion referencing In the context of assessment, determining a grade (in the case of graded assessment) or making a judgement of competency (in the case of competency-based assessment) with strict reference to predetermined learning standards or criteria. Criterion referencing may be contrasted with norm referencing.

Currency in assessment One of the rules of evidence that relates to the age of collected evidence. Competency requires demonstration of current performance – therefore the evidence collected must be current/very recent.

Currency in practice Keeping up-to-date with the technical area of work that is the focus/subject area of delivery/assessment and keeping up-to-date as a trainer/VET practitioner/VET professional with developments in training/assessment/VET practice.

Customisation The process of making or changing something according to the end user's specifications and needs. Customisation is related to (but not the same as) contextualisation.

Current Competence (CC) The requirements for a unit of competency or module that need to be maintained as current e.g. licensing, First Aid.

Current student/ Currently Enrolled Student/ Continuing Students A student who has enrolled and commenced training and/or assessment

D

Deferral Postponement of studies

Delivery method The particular techniques used to guide, facilitate and support the learning process. *From National Quality Council, Training Package Glossary*

Delivery mode The medium used to deliver the training/facilitate the learning. May be face-to-face, via technologies, distance-resource-based or blended.

Delivery plan A context-specific plan for implementing the learning program that includes session plans, formative assessment opportunities, location of training delivery, the number of learners, activities to be used, resources to be used, any additional requirements to meet special needs of learners, and work health and safety considerations.

Delivery strategy Part of the learning strategy that involves developing and documenting the focus of delivery, the context of delivery, the mode of delivery and delivery methods.

From National Quality Council, Training Package Glossary

Diagnostic assessment Assessment to identify a gap in skills and/or knowledge i.e. a training need.

Dimensions of competency Part of the broad concept of competency, which includes all aspects of work performance e.g. task skills, task management skills, contingency management skills and job/ role environment skills.

Discrimination Occurs when a person is treated less favourably than others due to the person's circumstances, characteristics or beliefs.

a. **Direct Discrimination**: -Direct discrimination takes place when a person, organisation or group of persons is treated less fairly than others based on stereotyped beliefs or views.
b. **Indirect Discrimination: -** Indirect discrimination includes rules, practices or polices which appear to be non-discriminatory and equally applicable, but operate in such a way that certain groups of people are excluded without just cause.

Direct observation An assessment method that involves opportunities to view real work/real-time activities in the workplace or work activities in a simulated workplace environment.

Direct supervision A person conducting training who does not hold relevant training qualifications may work under the supervision of a person designated by their RTO who does hold those training qualifications, receiving regular guidance, support and direction. It is not necessary for the supervising person to be present during all training delivery.

Documents Structured units of recorded information, published or unpublished, in hard copy or electronic form, and managed as discrete units in information systems.

E

Early intervention strategies Effective and appropriate support services e.g. counselling, academic skills for students identified as being at risk of not achieving satisfactory course progress.

Education The formal learning that takes place within a structured learning setting, such as VET provider and higher education.

Educational resources Most often refer to books, but also include audio-visual resources such as CDs and DVDs, software and Trainer produced materials. Educational Resources cover all "learning materials" and support materials – text books, software, workbooks, assessments and class activity book, etc.

Educational modules Training and assessment resources are also called educational modules.

E-learning Facilitated online learning that uses a range of electronic media. It enables learners to connect, learn and collaborate with trainers, experts and other learners in an online environment.

Element of competency Part of the format of competency standards. Elements of competency are the basic building blocks of the unit of competency, specifying the critical outcomes to be achieved in demonstrating competence.

Employability skills Additional, non-technical skills and competencies required in the workplace or by an industry. The eight employability skills included in Training packages are communication, teamwork, problem solving, initiative and enterprise, planning and organising, self-management, learning and technology.

Endorsed components of training packages The parts of a training package that are formally recognised as meeting the identified training and assessment needs of an industry/industry sector or enterprise. These endorsed components are qualifications, units of competency, assessment requirements and credit arrangements.

Endorsement The formal process of recognition of training packages undertaken by the relevant national endorsing body (formerly the NSSC, now AISC)

Endorsed Date The date the Training Package is endorsed by the National Quality Council.

Enrolment Each program of study is made up of multiple individual units of study (subjects). Enrolment is the process whereby the students who are admitted to a program of study select and confirm the units they will study in a particular study period.

Excursions Are a valuable teaching and learning vehicle, often integral to quality curriculum delivery. They provide access to teaching content and learning experiences in the cultural component of their language learning.

Extenuating Circumstances

- The student is missing.
- Has medical concerns, severe depression or psychological issues which lead RTO to fear for the student's well-being
- Has engaged or threatens to engage in behaviour that is reasonably believed to endanger the student or others.

Event The point in time when a particular set of circumstances occur that result in loss of control or a hazard.

Evidence Information gathered to support a judgement of competence against the specifications of the relevant unit/s of competency. Evidence can take many forms and be gathered from a number of sources. Assessors often categorise evidence in different ways, such as:

- direct, indirect and supplementary sources of evidence, or a combination of these
- evidence collected by the candidate or evidence collected by the assessor
- historical and recent evidence collected by the candidate and current evidence collected by the assessor.

Evidence guide A former part of the competency standard that provided advice to inform and support assessment of the unit including assessment of required/underpinning knowledge, skills, and key competencies necessary for competent performance. The evidence guide identified critical/specific evidence requirements, assessment resource implications and other relevant information.

F

Facilities Are any premises/ requirements that are necessary for the delivery of a quality course.

They include: -

- Classrooms and associated equipment – including whiteboards and data projectors etc.
- Specialist facilities – laboratories, workrooms including all the associated equipment Workshops – including all specialist equipment.

Feedback Includes complaints, compliments, suggestions, or any information about RTO's program delivery, services or performance. Feedback may be received by RTO through multiple channels which include website, written correspondence (letters, emails, facsimiles), Feedback via suggestion box, telephone, in person (face-to-face), referrals from other RTO areas including departments, and other agencies.

Feedback From the trainer to the learner is provided throughout training and assessment to assist the learner to become competent.

Feedback from the learner to trainer is requested at the end of training for the purposes of course review and continuous improvement.

Fees This includes all fees, fines and charges payable as specified in the Schedule of Fees.

File recovery Restoring individual files or records from original, archive or backup media.

Flexible learning Flexible learning covers a range of delivery modes, including e-learning, distance education, mixed-mode, online learning, self-paced and self-directed learning. It gives learners the freedom to study what, when, where and how they want.

Formative assessment Assessment that takes place throughout a training program to provide learners with feedback as they learn rather than at the end of the program ie. summative assessment. It can be used to help learners or to improve the delivery of the program during delivery.

G

General misconduct Students are expected to respect other students, staff and property so that learning and teaching can take place freely, safely and without impediment due to the misconduct of others.

The following examples indicate the kinds of behaviour, which constitute student misconduct; the list is not exhaustive.
General misconduct is where a student:

- fails to attend scheduled classes as instructed
- takes leave from studies without notifying the school or without permission
- fails to inform the RTO of change of address and contact details repeatedly
- disobeys/fails to comply with contractual or legal requirements (e.g. payment of fees)
- disobeys/fails to comply with the RTO internal rules and Code of Conduct (e.g. refusing to show their student ID, refusing to identify him or herself when lawfully asked to do so by RTO staff)
- fails to comply with any penalty imposed for breach of discipline
- acts dishonestly and improperly
- harasses other students or staff
- harasses or intimidates another student, a member of staff, a visitor to the RTO, or any other person while the student is engaged in study or other activity as an RTO student, because of race, ethnic or national origin, sex, marital status, sexual preference, disability, age, political conviction, religious belief or for any other reason
- interferes with other students or staff
- obstructs any member of staff in the performance of their duties
- prejudices the good order and governance of RTO or interferes with the freedom of other people to pursue their studies, carry out their functions or participate in the life of a RTO
- intentionally disobeys or disregards any lawful order or direction from RTO staff
- prevents or disrupts learning
- misbehaves in a class, meeting or other activity under the control or supervision of RTO, or on RTO premises or other premises to which the student has access as a student of the RTO (e.g. field placement, excursions)
- acts dishonestly in relation to admission to the RTO

- knowingly makes any false or misleading representation about things that concern the student as a student of the RTO or breaches any of RTO rules
- contravenes any rules or acts
- misuses, damages or steals the RTO's property or the property of others
- misuses any facility in a manner which is illegal, or which is or will be detrimental to the rights or property of others. This includes the misuse, in any way, of any computing or communications equipment or capacity to which the student has access at or away from the RTO premises while acting as an RTO student, in a manner which is illegal, or which is or will be detrimental to the rights or property of others
- alters/defaces the RTO's or any other documents or records
- prejudices the good name and reputation of the RTO, or otherwise act in an improper manner

Graded assessment The practice of assessing and reporting levels of performance in competency-based vocational education and training. It is used to recognise merit.

Good faith Acquisition of personal information by a RTO employee or agent for RTO purposes does not constitute a security breach, provided that the personal information is not used or subject to further unauthorised disclosure.

Grievance A grievance is a concern about academic matters, perceived discrimination, a situation, a process, a person or people, a facility or a support service provided by RTO, which the student brings to the attention of RTO in an informal way, i.e. it is spoken about, not written down.

H

Harassment May result from behaviour which is not intended to offend or harm, such as jokes or unwanted attention however, this does not mean that it is lawful.

Hazard A source of potential harm in terms of human injury, ill-heath, damage to property, the environment or a combination of these. A source of potentially damaging energy.

Hazard identification The process of identifying sources of harm.

Hierarchy of control The priority order in which hazard and risk controls should be considered, with the eventual outcome often being a combination of measures. The prime emphasis is on:

- elimination

and where this is not practicable, minimisation of risk by:

- substitution
- engineering controls, including isolating the hazard from personnel then, when these options have been implemented as far as is practicable
- administrative controls (e.g. procedures, training)
- personal protective equipment (PPE).

Holistic assessment The assessment of a range of skills and knowledge together. The methods and tools may assess a number of elements of competence or more than one Unit of Competency at a time. It enables learners to show that they can do more than perform separate tasks.

Honesty in scholarship Refers to all academic work results from an individual student's own efforts and that credit is given to other peoples' ideas.

HR Relationship Manager/Advisor HR Relationship Manager/Advisor means the contact person within the Human Resources Relationship team, RTO.

I

Improvement Action The action is taken to correct or improve the delivery of educational services at RTO in order to maintain regulatory compliance and improve outcomes for clients.

Incident In the context of information security, a security incident is any attempted or successful unauthorised access, disclosure, or misuse of computing systems, data or networks, including hacking and theft.

Inclusivity A term used to define behaviours that actively acknowledge, respect and build on individual differences and individual needs to create a positive and inclusive learning culture and environment.

Induction/orientation Induction/orientation is the first step in building a relationship between the organisation and the employee once employment has commenced.

Individual learning plans An individual learning plan is a working document for the planning, provision and evaluation of a learner's education.

Industry Means the bodies that have a stake in the services provided by the RTOs. These can include, but are not limited to:

- Enterprise/industry clients, e.g. employers;
- Group training organisations;
- Industry organisations;
- Industry regulators;
- Industry skills councils or similar bodies;
- Industry training advisory bodies; and
- Unions.

Industry Consultation Conducting industry consultation is paramount to ensuring that the RTO's TAS will provide learners with the necessary knowledge and skills to complete workplace tasks to the standard that is required in the workplace.

Industry consultation is required during:

- preparation of a Training and Assessment Strategy (TAS)
- subsequent review of each TAS
- development and review of assessment methods and tools.
- evidence of industry consultation should demonstrate:
    - gathering information from industry
    - assessing the usefulness of that information
    - applying useful information to develop or revise materials (TAS, learning materials, assessment materials).
- recognised and funded by the Australian Government
    - governed by independent, industry led boards
    - not-for-profit companies limited by guarantee

Industry Currency Can be defined as maintaining, upgrading and if required, widening competence in the specialised industry skills and knowledge needed by trainers to deliver and assess vocational education and training (VET). There is a wide variation in understanding among VET stakeholders about what is required to demonstrate industry currency and how best to

maintain it. Some trainers do not acknowledge the need for industry currency at all, while others use very sophisticated approaches to improve industry currency. Ultimately currency is about continuous improvement. Industry currency is a non-negotiable requirement by RTO.

Current Industry Skills can be maintained by:

- Participation in vocational workshops, conferences, industry placement
- Attending professional development activities run by industry skills alliances
- Researching best and new practice
- Subscribing to professional journals and publications
- Applying for sponsored corporate teaching awards and scholarships
- Networking with industry mentors, employers and other trainers
- Talking to students about practices and job roles in their workplaces
- Industry specialist visits, industry site visits and study tours
- Undertaking specific training courses in new equipment or skill sets
- Work shadowing
- Active Enquiry
- Fulfilling industry licensing or regulatory requirements.
- Professional affiliations,
- Visits to work sites (observe processes),
- Visits to students on work placements,
- Subscriptions to journals, social and business communication media channels such as LinkedIn, etc.

Industry Reference Committee (IRC) Bodies responsible for providing advice and direction to a Skills Service Organisation (SSO) responsible for training package development and review

Industry regulator Means a body or organisation responsible for the regulation and/or licensing arrangements within a specific industry or occupation.

Industry Skills Council (ISC) Former bodies responsible for industry advisory arrangements in VET, including the development and review of industry training packages. Previously known as Industry Training Advisory Bodies (ITABs), Skills Service Organisations (SSOs) currently perform this role.

Initial validation/ Preliminary consultation Conducting initial validation assist in the definition of the qualification or training program. The preliminary consultation will help identify among other things:

a.) The need for the strategy

b.) The purpose of the strategy

c.) The skills and knowledge to be attained through the training program or qualification

d.) How the learning will be provided, and knowledge and skills assessed

e.) Characteristics of the learners including educational levels and learning needs Accessibility to workplace resources (opportunities for practice)

Insurance refers to Public liability, professional indemnity, safe work, copyright

Instructional design The design and development of instructional materials and learning activities to meet learning needs.

Instructional design principles The set of principles, or design models, relating to setting outcomes, analysing learner characteristics using appropriate instructional methods, creating effective learning environments, and reviewing and evaluating outcomes.

International students The RTO defines an International Student as someone who is not an Australian citizen or permanent resident or a New Zealand citizen or a permanent visa holder. This definition includes students studying onshore on a range of temporary visas (working holiday visa, tourist visa, student visa etc.). It should be noted that all international students pay fees specified for international students, regardless of visa subclass.

Integrity of assessment Is achieved when students receive proper credit for assessable work which is apparently their own**.**

Intervention Plan: A plan that is agreed upon in collaboration with a student and enacted to help the student complete their course successfully. These plans are developed when the student is showing signs of falling behind, dropping out or failing for whatever reason.

J

Job analysis Involves determining the required knowledge skills and attributes to perform in a particular role.

Job/role environment skills One of the dimensions of competency that involves demonstrating the ability to deal with responsibilities and expectations of the workplace, including working with others.

K

Key competencies Any of several generic skills or competencies considered essential for people to participate effectively in the workforce. Key competencies apply to work generally, rather than being specific to work in a particular occupation or industry.

Key selection criteria (KSC) Key selection criteria (KSC) are the criteria developed to assess whether candidates have the requisite knowledge, skills and attributes in order to be able to perform in a particular role.

Knowledge the information/understanding a candidate requires to perform a role.

L

Language, Literacy & Numeracy (LLN)- Language, literacy and numeracy skills are considered necessary to secure sustainable employment or pursue further education and training. RTOs are required to provide adequate LLN support to enable students to participate in training and employment.

Late Arriving more than 15 minutes after the advertised start time. This can lead to exclusion for the remainder of the session.

Learner Styles The different ways, in some theories of learning, in which individuals receive, respond to and process information in order to acquire and develop knowledge, skills and competence. Learner styles may be auditory, visual, kinaesthetic, tactile, left/right brain, global/analytical, theoretical, activist, pragmatist or reflective.

Learning A process by which a person assimilates information, ideas, actions and values and thus acquires knowledge, skills and/or the application of the knowledge and skills.

Learning Activities The activities used to support learning. Learning activities convey content, create meaning, and support the development and transfer of skills/knowledge through practice and experience. Learning activities take many forms and may include group-based activities, role-plays, written activities, case studies, simulations, audio or visual activities, practice or demonstration, individual assignments, individual group projects, workplace practice and research.

Learning and Assessment Pathway A pathway to achievement of competencies/qualifications involving participation in a structured and sequenced learning process that provides relevant learning experiences and which combines formative assessment and summative assessment to determine competence.

Learning Materials The tools used to support learning activities. Examples include workplace practice, worksheets, workbooks, prepared case studies, prepared task sheets, prepared topic/unit/subject information sheets, prepared role-plays, prepared presentations and overheads, prepared scenarios, projects, assignments, materials sourced from the workplace (e.g. workplace documentation, operating procedures or specifications), and prepared research tasks.

Learning Outcomes/Objectives The expression of the set of knowledge, skills and the application of the knowledge and skills a person has acquired and is able to demonstrate because of learning.

Learning plan

See Training plan.

Learning program

See Training program

Learner support needs The needs of learners that require specific and/or additional attention. Support needs may be determined by: physical, psychiatric, intellectual or sensory disabilities; learning difficulties; culture, gender, age, language and background.

Learner support strategies The strategies used to address learner support needs. These may include providing referrals to internal and/or external services such as language, literacy and numeracy support, disability support services and counselling support; or incorporating techniques such as modelling/demonstrating, chunking, providing opportunities to practice, and drawing on a range of resources from the learners' first language, including peer support.

Leave of Absence Temporary postponement of studies after commencement of studies

Licensed or Regulated Outcome Compliance with an eligibility requirement for an occupational licence or a legislative requirement to hold a particular training product in order to carry out an activity.

LLN review the review that is used to ascertain the ACSF level of a student before enrolment.

LLN skills Language, literacy and numeracy as defined by ACSF.

LLN components:

Language: - This relates to the words, verbal structures and gestures we use to convey meaning. This includes communication forms such as speaking, listening, reading, writing and visual communication

Literacy: - This means being able to read and use written information. It also means being able to contextualise your writing in an appropriate way.

Numeracy: -This is the practical application of mathematical skills to absorb, use and critically evaluate information in numerical or graphical form. Numeracy skills include basic number skills, spatial and graphical concepts, the use of measurement and problem-solving. Numeracy and literacy are interlinked particularly when extracting mathematical information from written text.

M

Maintaining Academic Integrity Involves a student:

- creating and expressing their own ideas in their work;
- acknowledging all sources of information;
- completing assignments independently or acknowledging collaboration;
- accurately reporting results when conducting research or in clinical or laboratory work; and
- honesty during examinations.

Marketing Material: Any printed or electronic material promoting the RTO or any of the RTO's training and assessment products or services**.**

Mentoring A technique used to facilitate and support individual learning through one-on-one guided learning activities and skills acquisition in a formal, agreed and documented process between the mentor and mentee.

Minimum Attendance The minimum acceptable level or attendance. Once the student falls below this level then a corrective action plan will be triggered.

Monitoring partnering arrangements Once agreements have been established, RTO will monitor these arrangements to ensure that both parties are meeting their obligations and that the services being provided comply with the Standards for Registered Training Organisations 2015. RTO will monitor arrangements through:

- Regular management liaison;
- Student feedback survey;
- Site visits;
- Self-Assessments;
- Shared assessment moderation; and
- Shared professional development activities

Misbehaviour Refers to general misconduct, academic misconduct, fee default or breach of student visa conditions by a student.

Moderation The process of reviewing assessor judgements for consistency and to bring standards into alignment. It is a process that ensures the same judgements are applied to all assessments from the same Unit/s of Competency. Adjustments to assessor judgements might be made to overcome differences in the difficulty of the tool and/or the severity of judgements.

Modes of delivery The environment or way in which learning has occurred e.g. online, distance, workplace and on-campus.

Mutual recognition A principle that underpins national standards for RTOs that:

● allows an RTO registered in one state or territory to operate in another without a further registration process

● allows holders of qualifications and Statements of Attainment issued by any RTO to have them accepted and recognised by all other RTOs.

Adapted from the NCVER online Glossary of VET

N

National Code The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018, established pursuant to Part 4 of the ESOS Act 2000, as amended from time to time.

National recognition Recognition across each state and territory:

- by an RTO of the AQF qualifications and statements of attainment issued by all other RTOs
- of the training organisations registered by any other state or territory's registering body and its registration decisions
- of the courses accredited by course-accrediting body and of its accreditation decisions.

Nationally Recognised Training (NRT) Includes training packages and accredited courses provided by RTOs

National Skills Standards Council (NSSC) The NSSC was responsible for developing and maintaining the national standards that regulate the vocational education and training sector.

National Training System The national training system is defined as the Australian system for VET under which employers, the states and territories of Australia, and the Australian Government, collectively develop national standards for the development of curricula, units of competency and processes for the assessment of students and the issuance of qualifications by Registered Training Organisations.

National VET Regulator (NVR) The NVR is the national regulator for the vocational education and training (VET) sector. It is an independent Commonwealth statutory authority.

New qualification -A new qualification or a new version of a previously endorsed qualification

New Enrolee/ Commencing Students A person who wishes to enrol in a particular training package qualification or accredited course for the first time and has never previously been enrolled in this qualification or course at the Institute or at any other RTO. They may have been enrolled in other qualifications or courses.

Non-Attendance is being recorded as absent – either through not being present or being excluded for lateness.

Numeracy This is the practical application of mathematical skills to absorb, use and critically evaluate information in numerical or graphical form. Numeracy skills include basic number skills, spatial and graphical concepts, the use of measurement and problem-solving. Numeracy and literacy are interlinked particularly when extracting mathematical information from written text.

O

Occupational health and safety (OHS) The assessment and migration of risks that may impact the health, safety or welfare of those in the workplace. Also known as work health and safety (WHS), especially outside of Victoria and Western Australia. State-based health and safety legislation was harmonised nationally in 2012, following the model Work Health Safety Act 2011. Victoria and WA, however, are still using their previous OHS Acts.

Orientation Orientation assists newcomers adjust to their new surroundings and learn the behaviours, attitudes, and skills necessary to fulfil their new roles and function effectively.

Outsourcing of training/assessment services May include partnering or contracting to another training/assessment organisation to provide training/assessment services

P

Partner providers Training and assessment service providers that provide training and assessment services under contract on RTO's behalf e.g. schools, adult and community education providers, industry enterprises and private.

Personal Information Refers to any information provided in writing or verbally that is provided with the expectation that by giving that information it will be handled confidentially.

> RTO complies with the Information Privacy Principles set out in the Privacy Act 1988 in relation to the collection of information relating to all students.
>
> RTO will allow a student to apply for and receive a copy of the VET personal information that the provider holds in relation to that student.

Person-organisation fit The extent to which an individual's values match those of the organisation.

Plagiarism Presenting another person's work as your own (i.e. without proper referencing). It is identified as the act of " take(ing) and use(ing) as one's own the thoughts, writings or inventions of another person" (Oxford English Dictionary). Plagiarism, therefore, has two elements: Taking another's work, and using the work as one's own. If student takes someone else work but does not use it as his/ her own – because he/she referenced it correctly – it is not plagiarism.

Plagiarism is defined as presenting someone else's works which include ideas, words, images, or opinions without proper citation as if they are his or her own. Plagiarism may take several forms:

- Direct copying of someone else's work such as "phrases, paragraphs, graphs, tables or ideas" without acknowledgment, this also includes downloading of internet materials without referencing;
- Minor paraphrasing of other people's work by changing words or altering phrases or paragraph order without acknowledgment;
- Submitting work which has been developed fully or partly by other people as if it were their own.

Previously Enrolled Student A student who has been enrolled in the past at RTO or at another RTO, in the qualification or course which is being superseded or is expiring but who has a gap in their enrolment history, including in the enrolment period immediately prior to the date from which the training package or course is superseded or expires.

Principles of assessment To ensure quality outcomes, assessment should be:

- fair
- flexible
- valid
- reliable
- sufficient

PRISMS The Provider Registration and International Students Management System.

Privacy Act 1988 Australian law dealing with privacy. Section 14 of the Act stipulates a number of privacy rights known as the Information Privacy Principles (IPPs).

Professional development (PD) Refers to activities that assist the growth of each individual and thereby enhance RTO's performance through improved organisational efficiency and effectiveness. PD activities may include the following:

- Concurrent employment in industry and RTO
- Knowledge of relevant legislations and regulations
- Outcomes/findings from internal and external audits etc.
- Attendance at formal training sessions

- Membership of an industry body
- Attendance at meetings held by Industry Bodies
- Up-grading of qualifications
- External consultation in relation to job specific information
- Specific Training Package workshops
- Government / Industry run workshops on training topics / compliance requirements
- Webinars

Program The term 'program' is used to encompass both a Training Package qualification and State accredited courses.

Public Information Public information is any information relating to the conduct of the public's business. In the case of personal information, the term relates to information that has been determined not to constitute an unwarranted invasion of privacy if publicly disclosed.

Q

Qualification A subject listed on the training.gov.au website as a course that RTO is registered to deliver. A formal certification, issued by a relevant approved body, in recognition that a person has achieved learning outcomes or competencies relevant to identified individual, professional, industry or commercial needs.

Quality Indicators Two standard questionnaires to be administered to VET students and the associated employers (if any) producing statistics for analysis nationally. The statistics are then linked to the third set of statistics – enrolments and completions.

R

Recognition of Current Competency (RCC) Required updates and/or reassessment to ensure that previously attained competence in a Unit of Competency or module is still current e.g. licence certificates that might be issued with an expiry date.

Recognition of prior learning An assessment only process that assesses an individual's non-formal and informal learning to determine the extent to which that individual has achieved the competencies for entry to, and/or partial or total completion of, a qualification.

It is a detailed process whereby knowledge and skills acquired through training, work or life experiences may be acknowledged to gain credit toward current studies.

Recognition of Prior Learning (RPL) is an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the Training Package or VET accredited courses.

1. Formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF Qualification or Statement of Attainment (for example, a certificate, diploma or university degree);
2. Non-formal learning refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF Qualification or Statement of Attainment (for example, in-house professional development programs conducted by a business); and;
3. Informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

Note: See Skills Recognition

Records management The discipline and organisational function of managing records to meet operational business needs, accountability requirements and student expectations.

Refund A return of fees paid due to the product not meeting the standards claimed / not fit for purpose

Registered provider A registered training organisation (RTO)

Registered Training Organisation (RTO) - A training organisation registered by a state or territory registering body in accordance with the ASQA Standards for NVR Registered Training organisations.

Note: A training organisation must be registered to deliver and assess nationally recognised training and issue nationally recognised qualifications.

Reasonable adjustment Reasonable adjustment describes the actions or change to be implemented in order to ensure that a student will be able to participate in the learning on the same basis as other students.

Reasonable adjustment to teaching methods and assessment strategies refers to special

conditions or considerations given to students with disabilities to improve their access and equity to the various learning opportunity, supporting them to successfully complete their course of training. Extensions will be considered to enable students to complete their course within realistic and agreed timeframes

Reasonable adjustment to teaching methodologies refers to variations in the way that courses are taught, providing support and access to students with disabilities.

Reasonable adjustments may be made to assessment processes to minimise disadvantage to individuals or groups. However, these adjustments will not compromise the integrity of the competency standard or the qualification.

Reasonable adjustments to the way in which evidence of performance is gathered should not alter the mandated performance standards. Assessment practices will be inclusive and support the RTO's equity and access principles

It is an action to assist a student with a disability to participate in education and training on the same basis as other students e.g. providing resources and assessment instruments in large print for visually impaired students.

Rules of Evidence Related to the Principles of assessment the Rules of evidence provide guidance to ensure that assessment evidence is valid, sufficient, authentic and current.

S

Satisfactory Course Progress Attending scheduled classes and successfully completing all assessments and obtaining at least a Pass grade in all the units in the prescribed study period.

Schedule of Fees - Means the listing of fees and charges as determined under the Student Fees and Charges –Policy.

Selection Committee Selection Committee means either a professional staff or an academic staff panel, to make a recommendation to the Delegated Officer about filling a vacant position.

Sexual Harassment The most common form of harassment is sexual harassment. Examples of sexual harassment include, but are not limited to:

a) Unwanted touching

b) Sexual innuendo/ propositions

c) Nude pin-ups and posters

d) Obscene telephone calls and/or text messages

e) Wolf whistles

Sexual harassment can occur among peers or co-workers, and in subordinate-supervisor, supervisor-subordinate or staff-student, student-staff, student-student situations.

Short-listing Short-listing is used to reduce a large applicant pool to a smaller more manageable size.

Skills The ability a candidate requires to perform a role.

Skills Recognition An assessment only process of gaining formal recognition for skills and knowledge that have been obtained through work, previous study and life experience. Skills Recognition may occur through one or more of the following processes:

- Credit Transfer
- Recognition of Prior Learning (RPL).

Skill Sets Single Units of Competency or combinations of Units of Competency from an endorsed Training Package, which link to a licence or regulatory requirement, or defined industry need.

Special Consideration Students who are unwell or experiencing hardship on the day of assessment are expected to submit/attend an assessment. If a student is unable to do this, they can make application for special consideration. However, if RTO believes that the reasons given by the student should not have prevented the student submitting an assessment or attending the assessment, the application may be rejected, and the student will fail the assessment.

Standards Refer to the Standards for Registered Training Organisations (RTOs) 2015 from the VET Quality Framework which can be accessed at www.asqa.gov.au

Static Curriculum The document that defines the core and elective Units of Competency selected from a Training Package for a qualification that will be delivered by an RTO.

Student Account A student's financial account with the RTO's Administration systems which shows financial transactions made between the student and the RTO including; payments made by the students, fees payable by the student, any refunds made and the outstanding fees balance

Student Misbehaviour

- Where a student has failed to attend classes for 3 consecutive sessions without prior approval, or without a medical certificate from a registered medical practitioner.

- Where a student has found to be cheating/plagiarizing as identified in the Student Code of Conduct, under "Course Study Conduct".
- Swearing, fighting, aggressive behaviour and abusive language, whether to other students, staff members, or any other person/s on the RTO premises.
- Conduct that is discriminatory and /or threatening on the basis of religion, culture, race, sexual differences, age, disability, or socio-economic status, whether to other students, staff members, or any other person on the RTO premises.

Student Support Services The service provided by RTO to clients in order to assist and support the successful achievement of learning outcomes. Services may include (but are not limited to):

- Pre-enrolment materials;
- Study support and study skills programs;
- Language, Literacy and Numeracy (LLN) programs or referrals to these programs;
- Equipment, resources and/or programs to increase access for learners with disabilities;
- Mediation services or referrals to these services;
- Referrals to medical and legal services
- Counselling services or referrals to these services;
- Information Technology (IT) support,

Superseded Date The date the Training Package is published on training.gov.au or an alternative date as specified by a State Training Authority for that State's purposes.

Summative Assessment Conducted at predetermined points in the training process or at the end of a period of training and/or work experience to determine the achievement of competency requirements.

Suspension Temporary putting studies on hold during the course after which the student may recommence study. Suspension may not necessarily come as a consequence of misbehaviour. Will not necessarily push out the completion date.

T

Teach-out -Allowance to complete all training, assessment and qualification issuance of current students in an inactive training product, following expiry of any applicable transition period of the training products replacement

Training.gov.au (TGA) website A website with a database on Vocational Education and Training in Australia. TGA is the official National Register of information on Training Packages,

Qualifications, Courses, Units of Competency and Registered Training Organisations (RTOs) and has been developed for training sector users.

Training The process used by an RTO to facilitate learning. It refers to the acquisition of knowledge, skills and competencies as a result of the teaching.

Training and Assessment Resources Support materials developed to support the delivery and assessment of training from Training Packages. They can be printed materials, CDs, videos, web-based resources or libraries of resources.

Training and Assessment Strategy (TAS)/ Learning and assessment strategy (LAS) A framework that guides the learning requirements and the training and assessment arrangements for a Vocational Education and Training (VET) qualification. It is the document that outlines the macro-level requirements or the learning and assessment process, usually at the qualification level.

Trainer and Assessor Qualifications Training and assessment are conducted by trainers and assessors who:

- have the necessary training and assessment competencies as determined by ASQA Standards for NVR Registered Training organisations
- have the relevant vocational competencies as least to the level being delivered or assessed
- continue developing their vocational and training and assessment competencies to support continuous improvements in delivery of the RTO's services.

Training Package (TP) A nationally endorsed set of Units of Competency that include an integrated set of competency standards, assessment guidelines and AQF qualification for a specific industry, industry sector or enterprise.

Training Plan A documented program of training and assessment for an apprentice or trainee developed by an RTO in consultation with the key stakeholders to the training contract.

Training Program A program (also known as a learning program), developed by an RTO, that meets the training and assessment requirements of a qualification from a training package, one or more designated units of competency, or an accredited course. It might specify such matters as essential and elective units, the sequence and timing of training and assessments, and the resources' required. It might form part of a training and assessment strategy.

Training Support Network (TSN) website The Training Support Network (TSN) website provides access to Victorian State Accredited Curricula which have been developed to provide the skills and knowledge not covered by national training packages.

Transition All actions required to change the delivery operations of an RTO from an existing training product to a replacement endorsed or accredited training product; including resourcing, registration and transfer of students

Transition Date The final transition date is the date prescribed in the Purchasing/Implementation Guide or by the State Training Authority/Registering Body.

Transition Period Transition from superseded training package qualifications to new training packages qualifications must be completed within 12 months of the date the revised package or qualification is released on the training.gov.au or the date approved by the State Training Authority. The transition period should not be longer than the normal duration of the qualification or course in existing delivery modes.

Tick Sheet A selection of Units of Competency drawn from the Static Curriculum that directs a learner's enrolment.

U

Unique Student Identifier (USI) A national student identifier (or number) for vocational educational education and training (VET) students with the capability of being fully integrated with the entire education and training system and, potentially, also covering early childhood education. A USI would enable all training activity to be linked, facilitating electronic training records of learner attainment (e-portfolios), irrespective of where the training took place.

Unit The term 'unit' is used to encompass either a 'unit of competency' or a 'module'.

Unit of Competency Individual training activity that will be assessed. A student will undertake one or more Units.

A Unit can vary from a few hours to up to (but not limited to) 100 hours of training and assessing.

It is a document that specifies industry knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

Unit Outline The unit outline is a document provided to students to identify elements, required skills and knowledge, critical aspects of evidence, delivery schedule and assessment requirements for a unit.

Unsatisfactory Course Progress Where the student has failed or is deemed Not Yet Competent (NYC) in 50% or more of the units attempted in any study period.

V

Validation of Assessment A quality review process, scheduled at least twice a year, to ensure that the assessment plans, process and instruments (or tools) meet the requirements outlined in the Unit/s of Competency and according to the Principles of assessment and Rules of evidence.

Variations In the version number of units reflect minor changes not related to outcomes and are therefore accepted for credit transfer.

Victorian Student Number (VSN) This is a unique number allocated to every student in Victoria that are below 25 years of age upon enrolment. This number is recorded in the Student Management System (SMS)

Vocational Competency A particular industry consists of broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competencies must be considered on an industry-by-industry basis and with reference to the guidance provided in the Assessment Guidelines of the relevant Training Package. Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to any guidance provided in the relevant Training Package or Accredited Course.

Every unit of competency being delivered must have its equivalent piece of evidence. This could include:

- The trainer holds the same unit they are delivering
- The trainer holds the superseded unit which has been deemed by the Training Package as competent
- The trainer holds a similar unit that when combined with verified industry experience, is equivalent
- The trainer holds verified industry experience that is equivalent.

Vocational Education and Training (VET) In Australia Vocational Education and Training is mostly post-secondary and provided through the vocational education and training (VET) system by Registered Training Organisations (RTOs). This system encompasses both public, TAFE, and

private providers in a national training framework consisting of the Australian Qualifications Framework and Industry Training Packages which define the assessment standards for the different vocational qualifications.

W

Welfare Matters Related to the mental, physical, social and spiritual wellbeing of overseas students. These may include accommodation, disability, equity issues, financial matters, legal issues, medical issues, mental health and other personal issues.

Workplace Harassment is any behaviour which is unwelcome, offends, humiliates or intimidates a person and causes the work environment to become unpleasant. If a person is being harassed, then their ability to do their work is affected as they often become stressed and suffer health problems.

Acronyms and abbreviations

A

AASB	Australian Accounting Standards Board
AASN	Australian Apprenticeship Support Network
ABS	Australian Bureau of Statistics
ACARA	Australian Curriculum, Assessment and Reporting Authority
ACOLA	Australian Council of Learned Academies
AGA	Australian Government Actuary
AGEST	Australian Government Employees Superannuation Trust
AIATSIS	Australian Institute for Aboriginal and Torres Strait Islander Studies
AITSL	Australian Institute for Teaching and School Leadership
AMEP	Adult Migrant English Program
AMSI	Australian Mathematical Sciences Institute
AMSPP	Australian Maths and Science Partnerships Program
ANFF	Australian National Fabrication Facility
ANU	Australian National University
APEC	Asia-Pacific Economic Cooperation
APS	Australian Public Service
APSC	Australian Public Service Commission
ARC	Australian Research Council
ASGS	Association of Support for Graduate Students
ASQA	Australian Skills Quality Authority
ATSIHEAC	Aboriginal and Torres Strait Islander Higher Education Advisory Council

AVETMISS Standard	Australian Vocational Education and Training Management Information Statistical

B

BBF	Budget-Based Funded

C

CAD	Computer Aided Design
CCB	Child Care Benefit
CCR	Child Care Rebate
CCS	Child Care Subsidy
CEO	Chief Executive Officer
CGS	Commonwealth Grant Scheme
CM	Centre Manager/ Branch Manager/ Compliance Manager
COAG	Council of Australian Governments
COPE	Commonwealth Own-Purpose Expenses
CoE	is the Confirmation of Enrolment generated by PRISMS.
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
CRN	Collaborative Research Networks
CSIRO	Commonwealth Scientific and Industrial Research Organisation
CSS	Commonwealth Superannuation Scheme
CSfW	Core Skills for Work developmental framework

D

Department of Human Affairs (DOHA) Department of Immigration.

DEEWR Department of Education, Employment and Workplace Relations (transitioned to the Department of Education and Department of Employment in 2013)

DIISRTE Department of Industry, Innovation, Science, Research and Tertiary Education (decommissioned in 2013)

DCBs Departmental Capital Budgets

DHS Department of Human Services

DSS Department of Social Services

E

ESOS Act: The Education Services for Overseas Students Act 2000 of the Commonwealth of Australia, as amended from time to time.

EIF Education Investment Fund

ELICOS English language intensive courses for overseas students

ELLA Early Learning Languages Australia

ESA Education Services Australia

ESOS Act Education Services for Overseas Students Act 2000

EYQF Early Years Quality Fund

F

FBT Fringe Benefits Tax

FCP Fraud Control Plan

FDC Family Day Care

FEE-HELP	FEE-HELP is a loan scheme that assists eligible fee-paying students pay all or part of their tuition fees.
FTE	Full-time equivalent

G

GST	Goods and Services Tax

H

HCA	High Court of Australia
HDR	Higher Degree by Research
HECS-HELP	Higher Education Contribution Scheme – Higher Education Loan Program
HELP	Higher Education Loan Program
HEPPP	Higher Education Participation and Partnerships Program
HESA Act	Higher Education Support Act 2003
HESP	Higher Education Superannuation Program
IAGDP	Indigenous Australian Government Development Program

I

ITABs	Industry Training Advisory Bodies (succeeded by ISCs in 2004; succeeded by SSOs in 2015)
IRC	Industry Reference Committee
ISC	Industry Skills Council

ICT	Information and Communications Technology
IPP	Indigenous Procurement Policy
IPSP	Inclusion and Professional Support Program
IRCs	Industry Reference Committees
ISP	Inclusion Support Programme
IT	Information Technology

J

JETCCFA	Jobs, Education and Training Child Care Fee Assistance

L

Language, Literacy & Numeracy (LLN): Language, literacy and numeracy skills are considered necessary to secure sustainable employment or pursue further education and training. RTOs are required to provide adequate LLN support to enable students to participate in training and employment.

Low SES	Low Socio Economic Status

M

MCEETYA	Ministerial Council for Education, Employment, Training and Youth Affairs
MP	Member of Parliament

N

N/A	Not Applicable
NABERS	National Australian Built Environment Rating System

NAIDOC	National Aborigines and Islanders Day Observance Committee
NAPLAN	National Assessment Program — Literacy and Numeracy
NCRIS	National Collaborative Research Infrastructure Strategy
NCVER	National Centre of Vocational Education Research
NISA	National Innovation and Science Agenda
NQF	National Quality Framework
NUHEI	Non-University Higher Education Institutions
NQC	National Quality Council (succeeded by NSSC in 2011; succeeded by AISC in 2015)
NRS	National Reporting System
NRT	Nationally Recognised Training
NSF	National Skills Framework, succeeded by AQTF, then succeeded by VET Quality Framework in 2015
NSSC	National Skills Standards Council (succeeded by AISC in 2015)
NTF	National Training Framework
NTIS	National Training Information Service (succeeded by TGA in 2011)

O

OECD	The Organisation for Economic Co-operation and Development
OHS	Occupational health and safety, see WHS
OPA	Official Public Account
OS-HELP	Overseas – Higher Education Loan Program
OSO	Oversea Student Ombudsman
OSTF	Overseas Students Tuition Fund

P

PACER	Parliament and Civics Education Rebate
PAES	Portfolio Additional Estimates Statements
PBS	Portfolio Budget Statements
PELTHE	Promotion of Excellence in Learning and Teaching in Higher Education program
PGPA Act	Public Governance, Performance and Accountability Act 2013
PISA	Programme for International Student Assessment
PSM	Public Service Medal
PSS	Public Sector Superannuation Scheme
PSSap	Public Sector Superannuation accumulation plan
PWS	Parliamentary Workflow Solution
PRISMS	is the Provider Registration and International Students Management System.

Q

QILT	Quality Indicators in Learning and Teaching

R

RAP	Reconciliation Action Plan
RBG	Research Block Grant
RCC	Recognition of current competency
RPL	Recognition of prior learning
RTO	Registered Training Organisations

S

SA-HELP Loan scheme that assists eligible students to pay for all or part of their student services and amenities fee

SEIFA Socio-Economic Indexes for Areas

SEE Skills for Education and Employment

SES Senior Executive Service

SME Small and Medium Enterprises

SMiS Scientists and Mathematicians in School

SOETM Services for Other Entities and Trust Moneys

SSC Shared Services Centre

STEM Science, Technology, Engineering and Mathematics

SSO Skills Service Organisation

Standards: refer to the Standards for Registered Training Organisations (RTOs) 2015 from the VET Quality Framework which can be accessed at www.asqa.gov.au

STA State and Territory Training Authority

T

TAFE Technical and Further Education

TEMAG Teacher Education Ministerial Advisory Group

TEQSA Tertiary Education Quality and Standards Agency

TPS Tuition Protection Service

TSL Trade Support Loans

TGA Training.gov.au

U

UNESCO United Nations Educational, Scientific and Cultural Organization

USI Unique Student Identifier

V

VET Vocational education and training

VETiS Vocational Education and Training in Schools

W

WHS Work health and safety, see OHS

Section 1: Marketing and Pre-enrolment

Policies and procedures:	Mapping		Comments
Policy 1.1.1 Marketing policy and procedure	SRTOs 2015	Clause 4.1	
	ESOS National Code 2018	1.1, 1.2, 1.3, 1.4, 1.5, 2.1	
Policy 1.1.2 Marketing Information policy and procedure	SRTOs 2015	Clause 4.1	
	ESOS National Code 2018	1.1; 1.2; 1.3; 1.4; 1.5; 2.1	
Policy 1.1.3 Pre-enrolment policy and procedure	SRTOs 2015	5.1; 5.2; 5.3; 5.4;	
	ESOS National Code 2018	1.2; 2.1;	

No.1.1.1: Marketing Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standards: 1.1; 1.2; 1.3; 1.4; 1.5; 2.1 Standards for RTOs 2015 - Standard: 4.1
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure that all the RTO stakeholders understand how the marketing and advertising of training and assessment products and services must be conducted in accordance with ESOS National Code 2018 and Standards for RTOs 2015. This also includes the procedure for and actions required in relation to any marketing activities and to safeguard the use of the NRT and AQF logos.

Objective

The RTO will ensure that it's marketing and advertising of all AQF and VET Accredited qualifications and those on CRICOS is conducted ethically and accurately and is consistent with its scope of registration and ESOS legislation. Any non-accredited training will also be marketed in line with this policy.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

Marketing Guidelines

The RTO will ensure that the marketing of its education and training services is undertaken professionally and maintains the integrity and reputation of the industry and registered providers. Therefore, all statements made in any advertising or marketing materials will be:

- accurate and unambiguous;
- only about the services the RTO offers;
- designed to establish accredited courses from non-accredited courses clearly;
- designed not to devalue the good reputation and interests of the Australian education industry or other educational institutions nor make negative comparisons and derogatory statements about them.

The RTO will ensure:

- The RTO's Legal Entity Name and Trading Name if relevant, ABN, TOID and CRICOS Number will appear on all RTO written marketing and other required materials, including in electronic format, for:
  - providing or offering to provide a course to an overseas student
  - inviting a student to undertake or apply for a course, or
  - indicating it is able or willing to provide a course to overseas students.
- To not give false or misleading information or advice about:
  - claims of association between providers
  - the employment outcomes associated with a course
  - automatic acceptance into another course
  - any work-based training the student is required to undertake as part of the course
  - prerequisites- including English language proficiency- for entry to the course
  - possible migration outcomes, or
  - any other information relating to the registered provider, its course or outcomes associated with the course.
- All marketing must ensure the consistent and positive brand message for the RTO.
- The RTO will only market those qualifications that it currently holds on the scope of its registration.

- All marketing materials will meet Australian standards or laws about copyright, identity ownership and privacy.
- All the marketing material must be consistent with Australian consumer Law.
- RTO will ensure that advertising/marketing material will distinctly separate AQF courses from any other courses offered.
- All names and titles of courses and training will comply with the requirements of the respective training packages and be advertised or marketed accordingly.
- The PEO/Compliance Manager shall ensure that the NRT logo is only used with respect to its accredited training and assessment services and those services relevant to its scope of registration.
- All participants will be provided with the following information through the relevant marketing materials:
    - Admission procedure and criteria
    - Required competencies
    - Assessment procedure
    - Course costs
    - Refund policy
    - The nature of the guarantee
    - Complaints procedure
    - Third-party information that is used in RTO marketing will have written permission from the third-party for the use of this information by the RTO.
    - Information to learners about their obligations:

        i. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product, and

        ii. any materials and equipment that the learner must provide

- The RTO will use the NRT logo only in accordance with the conditions of use as outlined at https://www.asqa.gov.au/sites/g/files/net3521/f/NRT_logo_specifications_NEW.pdf
- RTO will adhere to the conditions for the use of the Australian Qualifications Framework Logo which are found at: https://www.aqf.edu.au/sites/aqf/files/aqf-logo-conditions-for-use-july-2011-reissued-may-2012.pdf

- The RTO will accurately represent training products and services by:

- accurately representing to prospective students training products and services that lead to AQF qualifications or statements of attainment, and that advertised outcomes are consistent with these qualifications;
- only promoting AQF qualifications that are included in RTO's scope of registration;
- identifying training and assessment services leading to AQF qualifications and statements of attainment separately from any other training/assessment services;
- providing information and advice to customers on these products and services to allow them to make informed decisions;
- providing accurate information and appropriate advice on pathways to another qualification and employment opportunities before, during or after their course completion;
- regularly reviewing and updating marketing material to ensure it is accurate and consistent within the scope of registration.

ADDITIONAL CRICOS GUIDELINES

Also, the promotional material will reflect the commencement period and holiday period for which the promotional material relates.

The RTO will not actively recruit a student where this conflicts with where registered providers must assess requests from students for a transfer between registered providers before the student completing six months of the principal course of study by their documented procedures.
In accordance with National Code 2018, the RTO will develop its marketing materials, including its website, to ensure that the following information is provided to overseas students before enrolment:

- the requirements for acceptance into a course, including the minimum level of
    - English language proficiency, educational qualifications or work experience required
    - moreover, whether course credit may be applicable;
        a. the course content and duration, qualification offered, modes of study and assessment methods:
        b. campus location and a general description of facilities, equipment, and learning and library resources available to students;
        c. details of any arrangements with another registered provider, person or business to provide the course or part of the course (where applicable);
    - indicative course-related fees including advice on the potential for fees to change
    - during the student's course and applicable refund policies;

- information about the grounds on which the student's enrolment may be deferred, suspended or cancelled;
- a description of the ESOS framework made available electronically by the relevant department of education;
- relevant information on living in Australia, including:
    - indicative costs of living;
    - accommodation options; and
    - where relevant, schooling obligations and options for school-aged dependents of intending students, including that school fees may be incurred.

- When developing international marketing materials for international students, the RTO will ensure that all material is consistent with the cultural and regulatory systems of the countries in which it is used.
- The RTO must not:
    - claim to commit to secure for, or on the student or intending student's behalf, a migration outcome from undertaking any course offered by the registered provider
    - guarantee a successful education assessment outcome for the student or intending student.
- All marketing materials containing any form of "offer" will contain an expiry date and be version controlled.

	Description	**Responsibility**
1.	**<u>Material Development</u>** • Approval to develop new materials or make amendments to current materials must be obtained from the PEO. • Materials will be developed as per the brief approved by the PEO. • A clearly defined "Draft" document will be submitted for review amongst relevant stakeholders and constructive feedback given back to PEO.	PEO/ Compliance Manager

	• Content changes are actioned, and a final draft is submitted to relevant stakeholders for sign off. • Upon approval, a final draft is created, prepared for publication and authorised by the PEO. • Signed hard copies of all final approved materials will be stored in the approved materials register.	
2	**Advertising in non-English** All non-English advertising must be checked by a native speaker for the accuracy of information and interpretation. This must be recorded on the Advertising Approval Form.	PEO Compliance Manager
3	**Material Use** • All RTO staff are contracted to the condition that they must use only the range of authorised client information when providing information to clients and prospective clients to ensure clear understanding. This ensures consistency and accuracy of information. Whether the information is being used in face-to-face communication or being electronically/manually transmitted to clients, it is the only material that is to be used. • All RTO staff will ensure any printed materials submitted to clients and prospective clients are appropriate and the current version so as to ensure ethical and accurate representation of the RTO's products and services. • Whenever changes are made to any marketing materials, all internal and external stakeholders will be informed of the changes through written communication (i.e. Email). The revised documents/ access details will be then be distributed accordingly and old material will be removed from circulation.	PEO Compliance Manager

	• All RTO staff are responsible for reporting any errors or inaccuracies discovered in any of RTO's marketing materials to the PEO immediately.	
4	**RTO Website Update** • Approval to add new content to the website must be obtained from the PEO. • Materials will be developed as per the brief approved by the Compliance Manager . • A clearly defined "Draft" document of the new content will be submitted for review amongst relevant stakeholders and constructive feedback given back to the PEO. • Proposed changes to the website will be actioned and a final draft is submitted to relevant stakeholders for sign off to ensure accuracy and consistency. • Upon approval, the website will be updated as authorised by the PEO.	PEO Compliance Manager
5	**RTO Social Media Update** • Approval to add new content to the social media sites must be obtained from the PEO. • Updates will be developed as per the brief approved by the Compliance Manager . • Photos of any of the RTOs activities that may be published must be approved for use. • Any comments, posts and queries by readers must be scrutinised and approved and offensive comments must be brought to the PEO. Development's attention and removed immediately. • All content must be updated regularly. • All queries must be responded to promptly and appropriately.	PEO Compliance Manager

6	**Training and assessment services** • The content of training and assessment services or products can only be changed through the approval of the PEO or Compliance Manager . • This policy does not provide scope for changes or modifications to training and assessment services or products.	PEO Compliance Manager
7	**Joint advertising** • All joint advertising with an RTO registered educational agent may use the agent's branding if they are the recipients of any enquiries. • All joint advertising must be approved by the PEO. **Other Institutions or Agencies** • All joint advertising with other institutions or agencies should have an RTO logo in a prominent position based on our involvement. • All joint advertising with other institutions or agencies should be approved by the PEO.	PEO Compliance Manager
8	**Special Situations** The PEO may approve advertising in special situations as they become required.	PEO Compliance Manager

Continuous Improvement

A summary of all marketing related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and students. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Marketing Information and Practice Policy and Procedure Student support and welfare policy
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.1.1.2: Marketing Information and Practice Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standards: 1.1; 1.2; 1.3; 1.4; 1.5; 2.1 Standards for RTOs 2015 - Standard: 4.1
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that RTO is committed to developing marketing, promotional material, qualification overviews and training. RTO will then inform potential students and employers about qualification units of competency, compliance, relevance to current industry standards and training products and services that are ethical, professional and maintained by the integrity of the industry at all times in line with the SRTO 2015, and National Code 2018.

Objective

The objective of this policy and procedure is to ensure that RTO;

- Advertise AQF courses only that are included in the scope of registration. RTO will not state or imply that services are within the scope if they are not
- Has obtained written permission from any person or organisation for the use of any marketing or advertising material which refers to that person or organisation, and will abide by any conditions of that permission

- Training and assessment products and services that lead to AQF qualifications or Statements of Attainment are accurately represented, to current and prospective clients, ensuring that advertised outcomes are consistent with these qualifications
- Use the Nationally Recognised Training (NRT) and State Training Logo (STA) logos appropriately on advertisements following the Standards for RTOs, and specifically Schedule 4 of SRTOs

Scope

This policy and procedure is applicable to all stakeholders of RTO and all training programs developed, marketed, and delivered by RTO

General Processes

1. Marketing material accuracy checklist

When marketing materials are designed and developed, either electronic or paper, these will be read and authorised by the CEO/Compliance Manager to ensure that materials are accurate and contain no misleading information as well as ensuring that the RTO's code and the name are embedded. This includes:

- Advertising educational services that RTO are registered to deliver
- Only advertising or marketing current training products as published by the national register
- Advertising and marketing training products only that will enable the learners to obtain a licensed or regulated outcome
- Providing details on all fees and any potential hidden costs
- Providing accurate contact details, contact people and RTO training facility location(s)
- Ensuring that all promotional statements and claims by RTO are accurate and not misleading
- Expressing and acknowledging where a third-party recruits prospective learners on the RTO's behalf
- Ensuring that any testimonials that RTO obtain have written permission before they are used

- Ensuring that any student content that the RTO obtains must have written permission before use of that information for marketing or promotional purposes

2. Written permission

Written permission will be obtained from any person or organisation where advertising material refers to that person or organisation prior to its use.

RTO will not give false or misleading information or advice in relation to:

- Claims of association between providers
- The employment outcomes associated with a course
- Automatic acceptance into another course
- Any other information relating to the registered provider, its course or outcome associated with the course
- RTO has the right to use the relevant material as it deems appropriate in either printed or electronic format, and that material remains the property of RTO and can be used at any time
- RTO will use the Nationally Recognised Training (NRT) logo on all AQF Qualifications and Statements of Attainment issued within its scope of registration in accordance with the Nationally Recognised Training logo specifications
- RTO uses the NRT logo in advertisements only where it complies with the requirements of the Nationally Recognised Training logo specifications
- RTO uses the following statements in advertisements only in respect of training and/or assessment within its scope of registration;
    - Nationally Recognised Training
    - RTO uses the logo of the recognition authority only where it is permitted by the registering body and in accordance with the registering body's conditions of use

RTO will acknowledge where it is providing training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third-party.

3. Full entity name

Take care to ensure that RTO is referred to by its full entity name and code, as published in the national register, in all documents and marketing materials.

4. Conditions of accuracy and integrity

RTO complies with the condition of accuracy and integrity of marketing by gaining permission and retaining it for the use of any person's image or name of any other organisation.

5. Compliance controls

- Marketing material is accurate and ethical to allow learners to make informed decisions
- The NRT logo is only used in accordance with its conditions of use
- Compliance Manager (CM) in conjunction with the CEO to ensure all marketing and advertising material is ethical, accurate and consistent with the RTO's scope of registration.
- RM in conjunction with the CEO to ensure all qualifications or course detail is consistent with packaging rules
- RM to ensure CEO is involved in the approval process for all VET advertising
- RM to ensure, all material must be signed off by the CEO or their appointed representative
- RM in conjunction with the CEO to ensure all marketing material has been approved prior to publishing
- RM in conjunction with the CEO to ensure RTO markets its products and services with integrity, accuracy and professionalism, avoiding ambiguous and vague statements. In the provision of information, no false or misleading comparisons are drawn with any other training organisation or training product
- Before the student enrols or enters into an agreement, RTO must inform them about the training, assessment and support services to be provided and their rights and obligations which states that RTO's management ensures that students receive the services detailed in their agreement with RTO.

  RTO does not guarantee that:
  - the learner will successfully complete the training product on its scope of registration

- the training product can be completed in a manner which does not meet the requirements
- the learner will obtain a particular employment outcome outside the control of the RTO.

- RM in conjunction with the CEO to ensure prior to enrolment that students are provided with the following information as part of the service agreement:
    - Clear information regarding the qualification/accredited course and/or units of competency
    - Course outcomes and pathways
    - Information regarding all fees and charges, including the Fees, Charges and Refund Policy and Procedure
    - Information regarding the issuance of qualifications etc.
    - Training and assessment arrangements (including RPL), e.g. competency-based assessment, workplace requirements etc
    - Selection and enrolment of students, e.g. entry requirements and admission requirements
    - Legislative and occupational licensing requirements
    - Detail regarding the guarantee of services – Service agreement which refers to the written agreement between RTO and the student which includes the responsibilities of the students and RTO, – this may be outlined in the subject election processes. RTO must have processes in place to ensure students understand the terms of the agreement. This is particularly critical for students who enter a course that has already commenced and which they may not have the opportunity to complete
    - Student support services
    - Complaints and Appeals Policy and Procedure
    - RM in conjunction with the CEO to ensure RTO complies with the additional recommendations:
        - Include the National Registration Code (RTO number) in all marketing and advertising

- Include a publication date for subject selection handbooks and other similar documents
- Include a statement on the VET qualification pages such as 'correct at time of publication but subject to change.'
- Where some or all the training and assessment is to be done by an external RTO, a full description of those services should be included as well as the name and national registration code for the external RTO.

Procedures

No	Procedure Steps	Responsibility	Reference
1	Initiate the development of marketing materials or edit existing materials.	Compliance Manager , Developer	In discussions with CEO
2	All marketing materials must be approved by the CEO.	CEO	CEO must check all the Materials in accordance with SRTO 2015 and National Code 2018 requirements before approval.
3	Draft copies are reviewed by the Compliance Manager regarding compliance with SRTO 2015 and National Code 2018.	Compliance Manager	Compliance Manager will complete the review as noted on the Marketing Materials Checklist.

4	Once reviewed, the Compliance Manager will return the marketing materials to the developer with the completed marketing materials checklist.	Compliance Manager , Developer	The Marketing Materials Checklist will indicate if the Marketing Materials are compliant or if further information is required.
5	Finally, when the work is completed, it is forwarded to the CEO for his/her approval	CEO	
6	Once approved by the CEO, the Compliance Manager is responsible for implementing the new document or the practices.	Compliance Manager	An appropriate implementation plan is in effect to ensure all old versions are replaced and staff are made aware of the changes.

Continuous Improvement

A summary of all marketing practice and information related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of

- Common threads relating to compliance and quality assurance.
- Repeat issues
- Any general adverse trends that need correcting

Confidentiality and Privacy Statement

For more information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Marketing Policy and Procedure
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.1.1.3: Pre-enrolment Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 1.2; 2.1; Standards for RTOs 2015 – Standard: 5.1; 5.2; 5.3; 5.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2011

Purpose

The purpose of this policy is to ensure that:

- All individuals that enrol in a Nationally Recognised training course have the appropriate skills and ability to complete their studies successfully.
- RTO provides accurate and ethical marketing through its pre-enrolment information.
- RTO informs prospective students about pre-requisites, entry requirements, eligibility requirements and fees for the training program in which they are seeking to enrol.
- RTO informs prospective students about the requirement for a Unique Student Identifier (USI).
- RTO within qualification and industry requirements encourage the enrolment of all eligible students to available educational opportunities regardless of age, religion, gender, cultural, ethnic background, impairment, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location.
- RTO objectively screens students according to eligibility requirements, special needs and opportunities for recognition.

- RTO assesses language, literacy and numeracy levels to ensure prospective students have the necessary skills to meet qualification requirements.
- RTO determines the need for reasonable adjustment, assistance and/or referral.
- RTO informs students about alternate pathways to training (e.g. direct credit transfer/recognition).
- RTO's enrolment and induction process enable students to make informed decisions about their training and assessment requirements and the suitability and appropriateness of the qualification for that individual
- Students enter a training pathway that is suitable and free from discriminatory barriers.

Objectives

The objective of this Policy and Procedure for RTO is to ensure that:

- RTO personnel know about their responsibilities and obligations to providing pre-enrolment Information to students
- RTO has suitable and appropriate mechanisms in place to provide pre-enrolment Information to students to comply with Standards for Registered Training Organisations, 2015
- RTO has a policy framework for providing pre-enrolment Information to students

Scope

This policy applies to all prospective students, all staff and other RTO stakeholders.

General Processes

1. Enquiry –

The following guidelines are applied when engaging with an enquiring person:

- Appropriate training solutions are discussed and where relevant possible program/courses identified. If a person requires a training program, not on the RTO's scope of registration, they are referred to alternate organisations/websites, for example, www.training.gov.au for more information.
- Course information outlining the training program eligibility criterion, pre-requisite requirements, content, duration, location, delivery style and fees is provided and where required explained.

- This includes providing information about any government-funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment, as applicable.

Prospective students are provided with pre-enrolment information directed to the RTO website and if a course information session is set up by their Compliance Manager or an officer appointed by the Compliance Manager /Administration, then RTO staff will provide the potential student with information and assistance on how to book into a session.

Prior to accepting an overseas student for enrolment in a course, the RTO must make the following information, in plain English, available to the prospective student or current student on:

- the requirements for an overseas student's acceptance into a course, including the minimum level of English language proficiency, educational qualifications or work experience required, and course credit if applicable
- the CRICOS course code, course content, modes of study for the course including compulsory online and/or work-based training, placements, other community-based learning and collaborative research training arrangements, and assessment methods
- course duration and holiday breaks
- the course qualification, award or other outcomes
- campus locations and facilities, equipment and learning resources available
- the details of any arrangements with another provider, person or business who will provide the course or part of the course
- indicative tuition and non-tuition fees, including advice on the potential for changes to fees over the duration of a course, and the RTO's cancellation and refund policies
- the grounds on which the overseas student's enrolment may be deferred, suspended or cancelled
- the ESOS framework, including official Australian Government material or links to this material online
- the policy the RTO has in place for approving the accommodation, support and general welfare arrangements for younger overseas students
- accommodation options and indicative costs of living in Australia

RTO distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessments delivered by the RTO.

2. Provision of pre-enrolment information –

Potential students may be invited to attend a scheduled group information session and meet with Compliance Manager or an officer appointed by the Compliance Manager / Administration. Alternatively, potential students may have a one to one session with an Compliance Manager or an officer appointed by the Compliance Manager / Administration before deciding to enrol in a training program.

Key information explained at this session may include;

- Eligibility criterion
- The currency of the training product
- Delivery mode, duration and location of the training product
- Course pre-requisites
- Entry and admission requirements
- Unique Student Identifier
- Anticipated course duration including instructed led, self-paced (home) and non-classroom-based sessions of learning and assessment
- Training and assessment requirements
- Course availability and delivery details
- Opportunities for recognition of prior learning (RPL) and credit transfer
- Fees
- Student's rights and obligations
- Refunds
- Complaints and Appeals

All published course information contains eligibility criterion and course prerequisite requirements and must also include: (Refer Standard 5 – Clauses 5.1, 5.2 and 5.3)

- the code, title and currency of the training product to which the student is to be enrolled, as published on the National Register
- the training and assessment, and related educational and support services that RTO will provide to the students including the:

- estimated duration
- expected locations where training and assessment will be provided
- expected modes of delivery
- name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on RTO's behalf, and
- any work placement arrangements.

- the student's obligations:
  - any requirements that RTO requires the student to meet to enter and successfully complete their chosen training product, and
  - any materials and equipment that the student must provide.
- Information on the implications for the student of government training entitlements and subsidy arrangements in relation to the delivery of the services.

The following is provided in the Student Handbook:

- the RTO's obligations to the student, including the responsibility for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation using the NRT logo in accordance with the conditions of use specified in Schedule 4.
- the student's rights, including:
  - details of RTO's complaints and appeals process
- the provider must clearly outline and inform the student, prior to commencing the course of the requirements to achieve satisfactory course progress and, where applicable, attendance in each study period.

The following is to be provided in the Student Agreement:

- If RTO, or a third-party delivering training and assessment or recruiting on its behalf, closes or ceases to deliver any part of the training product that the student is enrolled in.

RTO personnel are advised to refer to Clause 5.3 of the Standards for the requirements of what fee information must be provided to a student. RTO must include this information for each course In the Course Outline and Student Agreement.

RTO does not guarantee that the learner will successfully complete a training product on its scope of registration or a training product can be completed in a way that does not meet the requirements, or that the learner will obtain a particular employment outcome where this is beyond the control of RTO.

3. Advertising Materials –

Refer to the Marketing Information Checklist to ensure that information included in an advertisement is compliant with the Standards.

- Ensure advertising materials are approved by the CEO.
- Keep a register of approved advertisements on the Advertising Register.
- Advertisements made by third parties must also be approved and recorded on the register.
- Keep a copy of all advertising materials.

4. Permissions –

Only refer to an external person/organisation's marketing material if consent has been obtained from that party which holds the material.

Gain and record permissions for use of testimonials and images;

- If testimonials and/or images or other works of an individual are to be used in marketing material, gain their permission using the Marketing Permission Form.
- Record the details of the permission on the Permissions Register.
- Keep a copy of the signed Permission Form in the relevant student file as well as a copy in the marketing folder.
- When a student's image or work is used, record this on the permissions register

Sr.No.	Procedure Steps	Responsibility	Reference

1)	The potential student is provided with the latest course information which outlines: • Qualification description • Pre-requisites • Pathway • Core/elective units (including nominal/volume hours) • Job outcomes • Duration • Delivery modes • Assessment methods • Work placement requirements (if relevant) • Fees • Refunds • Student Support They are directed to RTO website for fee information. If a potential student doesn't have access to the internet, the Compliance Manager or an officer appointed by the Compliance Manager /administration will provide the access to the internet to ensure access to the fee information on the RTO website.	Compliance Manager or an officer appointed by the Compliance Manager / Administration	Pre-training review form and process
(2)	**All prospective students:** Prospective students are given the Information for Prospective Students which outlines the roles	Compliance Manager or an officer appointed by the Compliance Manager /Administration	Information for Prospective Students

	and the responsibilities of the students, employer (if applicable) and as well as RTO policies and procedures. Information such as tuition fees, CT and RPL, refund, complaints, appeals and other relevant information. The potential student may also be required to submit evidence of WWCC, Police Check, Pre-requisites if applicable.		
(3)	The Compliance Manager or an officer appointed by the Compliance Manager / RTO representative conducts a pre-training review with the potential student The Pre-Training review form is completed. If the qualification, which the potential student is interested in, has pre-requisite requirements, the Compliance Manager or an officer appointed by the Compliance Manager /RTO representative must discuss with the potential student the relevant requirements and record this discussion in the pre-enrolment documentation.	Compliance Manager or an officer appointed by the Compliance Manager /RTO representative	Pre-Training Review

(4)	Compliance Manager or an officer appointed by the Compliance Manager s are updated on a regular basis in line with the ongoing changes to the State and Commonwealth eligibility criteria.	Compliance Manager	
(5)	Management Team are responsible for ensuring the information provided in the Student Handbook is up to date. The Compliance Manager provides latest industry information for reference.	Management Team	Student Handbook
(6)	When potential students have had sufficient time to review the Student Handbook and have agreed to the terms and conditions, they are provided with the appropriate LLN and Enrolment forms to complete. Potential students are to be advised of all fees and charges. Refer to Policy and Procedure: Fees and Charges.	Compliance Manager or an officer appointed by the Compliance Manager / RTO representative	LLN Enrolment forms Fees and Charges Policy and Procedure
(7)	The potential student completes the LLN Assessment. The Compliance Manager or an officer appointed by the Compliance Manager / RTO representative marks the LLN Assessment.	Trainer and assessor	LLN Assessment

(8)	The Compliance Manager or an officer appointed by the Compliance Manager / RTO representative discusses with the potential student, previous experience and qualifications relevant to the qualification they wish to enrol in. CT or RPL information is provided in the Student Handbook, on the course flyer, and the website. For details refer to Policy and Procedure: RPL/CT.	Compliance Manager or an officer appointed by the Compliance Manager / RTO representative	RPL/CT Policy and Procedure
(9)	If CT is applied for, the Compliance Manager or an officer appointed by the Compliance Manager / RTO representative collects copies of any evidence. If not available at the time, certified copies* of any certificates will need to be sent to RTO office and provided to the Training Department for assessment.	Compliance Manager or an officer appointed by the Compliance Manager / RTO representative	CT Application form
(10)	If RPL is applied for, the Compliance Manager or an officer appointed by the Compliance Manager / RTO representative is to refer to the Policy and Procedure: RPL/CT.	Compliance Manager or an officer appointed by the Compliance Manager / RTO representative	RPL Application form

Continuous Improvement

A summary of all pre-enrolment related matters and concerns will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review. The purpose of this is to ensure management are up-to-date and aware of:

- Any general adverse trend that needs correcting
- Common threads relating to compliance and quality assurance.
- Repeat issues

Confidentiality and Privacy Statement

For more information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy and procedure will be reviewed annually by the Compliance Manager .

Other related policies and procedures

Related policies	Marketing Policy and Procedure Marketing Information Policy and Procedure
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

Policies and procedures:	**Mapping**		**Comments**
Policy 2.1.1: International Student Admissions & Enrolment Policy and Procedure	SRTOs 2015	5.1, 5.2, 5.3, 5.4	
	ESOS National Code 2018	3.1, 3.2, 3.3, 3.4, 3.5, 3.6	
Policy 2.1.2: Assessing English Language Proficiency Policy	SRTOs 2015	5.1	
	ESOS National Code 2018	2.2	
Policy 2.1.3: English Only Policy and Procedure	SRTOs 2015	1.1; 1.3(b); 1.7;	
	ESOS National Code 2018		
Policy 2.1.4: Language, Literacy and Numeracy Policy and Procedure	SRTOs 2015	1.7; 5.1;	
	ESOS National Code 2018	2.2; 6.1.2;	
Policy 2.1.5: Access and Equity Policy and Procedure	SRTOs 2015	5.1	
	ESOS National Code 2018	6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7, 6.8, 6.9	
	SRTOs 2015	1.2:	

Policy 2.1.6: Course Credit Policy and Procedure	ESOS National Code 2018	2.1.1; 2.3; 2.4; 2.5;	
Policy 2.1.7: Recognition of Prior Learning (RPL) Policy and Procedure	SRTOs 2015	1.8, 1.12	
	ESOS National Code 2018	2.3	
Policy 2.1.8: Fees, Charges, and Refunds Policy and Procedure	SRTOs 2015	Standards 4, 5	
	ESOS National Code 2018	2.1.7; 3.1; 3.3.4; 3.3.5; 3.3.8; 3.4, 3.4.1; 3.4.2; 3.4.3	

No.2.1.1: International Student Admissions & Enrolment Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 3.1; 3.2; 3.3; 3.4; 3.5; 3.6 Standards for RTOs 2015 – Standard: 5.1; 5.2; 5.3; 5.4
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure the integrity of admissions decisions by setting clear responsibilities and accountabilities and to ensure that admissions processes are transparent, and decisions are consistent and fair.

Objective

The RTO will ensure that all students are responsibly recruited, correctly enrolled in appropriate course/s and that accurate records are maintained and reported as required, to the Department of Education and Training (DET) and the Department of Human Affairs (DOHA) and all other relevant agencies. The RTO ensures that the students are placed in a class appropriate to their current language proficiency level, learning goals and learning needs and consistent with their written agreement.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

	Description	**Responsibility**
1.	**For an International student enquiry:** • Current RTO marketing brochure • International Application form including *Fees and Refund Policy* • General course information flyer (If any) • Advice to access the RTO's website Inquiries can also be directed to the RTO's website.	PEO Compliance Manager Agents
2	**On receiving a completed International Student Application Form:** • If the applicant is currently in Australia, the applicant is booked in for an interview. o The applicant is advised that they must supply evidence of the required IELTS standard for the course/s applied for. o The applicant is also advise to provide the document related to admission requirements.	PEO Compliance Manager

	• If the applicant is currently overseas, the applicant is:
	  ○ Booked in for an interview for when they will be in Australia and be able to attend.
	  ○ Supply any documentation that may support their application
	  ○ Supply evidence of the required IELTS standard for the course/s applied for.
	Note: IELTS test can also be substituted with other Australian Government approved English language test examinations. For more information, please visit Department's website.	

3	**For an interview:** • The applicant is interviewed by a suitably qualified staff member who will assess the extent to which the student's qualifications and proficiencies are appropriate to the course • Any applicant under the age of 18 will not be admitted - If the overseas student or intending overseas student is under 18 years of age, the written agreement with the overseas student or intending overseas student must be signed	PEO Compliance Manager Student Support Officer/Admissions Officer

	or otherwise accepted by the student's parent or legal guardian's consent will also be required. • The submission is evaluated by a staff member who will assess the extent to which the student's qualifications and proficiencies are appropriate to the course and make any LLN decisions in accordance with RTO's LLN policy and procedure. • LLN test will be conducted prior to commencement of training.	
4	Forward the Letter of Offer and Student Acceptance Agreement to the successful applicant or Forward letter to indicate that application has failed.	PEO Compliance Manager Student Support Officer/Admissions Officer
5	**The acceptance of offer or enrolment:** • payment or evidence of payment for one semester's course fee and compulsory medical insurance. • Complete Enrolment Acceptance Agreement form	PEO Compliance Manager Student Support Officer/Admissions Officer
	Prior to accepting an overseas student for enrolment in a course, the RTO must make the following information, in plain English,	

	available to the prospective student or current student on: • the requirements for an overseas student's acceptance into a course, including the minimum level of English language proficiency, educational qualifications or work experience required, and course credit if applicable • the CRICOS course code, course content, modes of study for the course including compulsory online and/or work-based training, placements, other community-based learning and collaborative research training arrangements, and assessment methods • course duration and holiday breaks • the course qualification, award or other outcomes • campus locations and facilities, equipment and learning resources available • the details of any arrangements with another provider, person or business who will provide the course or part of the course • indicative tuition and non-tuition fees, including advice on the potential for changes to fees over the duration of a course, and the RTO's cancellation and refund policies • the grounds on which the overseas student's enrolment may be deferred, suspended or cancelled	

	• the ESOS framework, including official Australian Government material or links to this material online • where relevant, the policy the RTO has in place for approving the accommodation, support and general welfare arrangements for younger overseas students • accommodation options and indicative costs of living in Australia The RTO must enter into a written agreement with the overseas student or intending overseas student, signed or otherwise accepted by the student, concurrently with or prior to accepting payment of tuition fees or non-tuition fees. A written agreement may take any form provided it meets the requirements of the ESOS Act and the National Code.	
6	The Electronic Confirmation of Enrolment (eCOE) is generated and forwarded to the applicant for applying student visa.	**PEO** **Compliance Manager** **Student Support Officer/Admissions Officer**
7	Under-age students Where the registered provider enrols a student, who is under 18 years of age, it must meet the Commonwealth, state or territory legislation or other regulatory requirements relating to child welfare and protection	

	appropriate to the jurisdiction(s) in which it operates. Registered providers must ensure students under 18 years of age are given age-and culturally-appropriate information on: • who to contact in emergency situations, including contact numbers of a nominated staff member and/or service provider to the registered provider • seeking assistance and reporting any incident or allegation involving actual or alleged sexual, physical or other abuse.	
8	The registered provider must clearly outline and inform the overseas student before they commence the course of the requirements to achieve satisfactory course progress and, where applicable, attendance in each study period	
9	**Orientation procedure:** • Student Handbook • Timetable • Fee Schedule (if applicable) • Student Card (photo taken and notified when card will be available) **Admin requirement:**	**PEO** **Compliance Manager** **Student Support Officer/Admissions Officer**

	PRISMS must be updated within 14 days of required details for each accepted student.	

Enrolment of overseas students

- RTOs must not knowingly enrol an international student seeking to transfer from another registered provider's course prior to the overseas student completing six months of their main course (or for the school, sector, until after the first six months of the first registered school sector course), except where any of the following apply:
    - The releasing provider, or the course in which the overseas student is enrolled, has ceased to be registered
    - The releasing provider has had a sanction imposed on its registration by the ESOS agency that prevents the overseas student from continuing their course at that provider
    - The releasing provider has agreed to the overseas student's release and recorded the date of effect and reason for release in PRISMS
    - Any government sponsor of the overseas student that considers the change to be in the overseas student's best interests and has provided written support for the change
- The RTO must have and implement a documented policy for assessing overseas student transfer requests prior to the overseas student completing six months of their principal course (or for the school sector, until after the first six months of the first registered school sector course). The policy must be made available to staff and overseas students, and outline:
    - The steps for an overseas student to lodge a written request to transfer, including that they must provide a valid enrolment offer from another provider
    - Circumstances in which the provider will grant the transfer because the transfer is in the overseas student's best interests, including but not limited to where the provider has assessed that:
        - The student will be reported because they are unable to achieve satisfactory course progress at the level they are studying, even after engaging with that registered provider's intervention strategy to assist the overseas student in accordance with the Overseas student visa requirements
        - There is evidence of compassionate or compelling circumstances
        - The provider fails to deliver the course as outlined in the written agreement
        - There is evidence that the students' reasonable expectations about their current course are not being met

        - There is evidence that the student was misled by the provider or an education or migration agent regarding the provider or its course and the course is therefore unsuitable to their needs and/or study objectives
        - an appeal (internal or external) on another matter results in a decision or recommendation to release the overseas student.
- If the student is under the age of 18:
    - the registered provider must have written confirmation the overseas student's parent or legal guardian supports the transfer
    - where the overseas student is not being cared for in Australia by a parent or suitable nominated relative, the receiving provider must confirm it accepts responsibility for approving the student's accommodation, support and general welfare arrangements in accordance with Standard 5 (Younger overseas students).
- If a release is granted, it must be at no cost to the student and the releasing registered provider must advise the student to contact Immigration to seek advice on whether a new student visa is required.
- If the registered provider intends to refuse the transfer request, they must inform the overseas student in writing of:
    - the reasons for the refusal
    - the overseas student's right to access the provider's complaints and appeals process, in accordance with Standard 10 (Complaints and appeals), within 10 working days.
- The provider must not finalise the student's refusal status in PRISMS until the appeal finds in favour of the provider, or the overseas student has chosen not to access the complaints and appeals processes within the 20-working day period, or the overseas student withdraws from the process.
- The registered provider must maintain records of all requests from overseas students for a release and the assessment of, and decision regarding, the request for two years after the overseas student ceases to be an accepted student.

Written Agreements

The RTO must enter into a written agreement with the overseas student or intending overseas student, signed or otherwise accepted by the student, concurrently with or prior to accepting payment of tuition fees or non-tuition fees. A written agreement may take any form provided it meets the requirements of the ESOS Act and the National Code. The written agreement must:

- outline the course or courses in which the student is to be enrolled, the expected course start date, the location(s) at which the course will be delivered, the offered modes of study for the course, including compulsory online and/or work-based training, placements, and/or other community-based learning and/or collaborative research training arrangements

- outline any prerequisites necessary to enter the course or courses, including English language requirements
- list any conditions imposed on the student's enrolment
- list all tuition fees payable by the student for the course, the periods to which those tuition fees relate and payment options (including, if permitted under the ESOS Act, that the student may choose to pay more than 50 per cent of their tuition fees before their course commences)
- provide details of any non-tuition fees the student may incur, including as a result of having their study outcomes reassessed, deferral of study, fees for late payment of tuition fees, or other circumstances in which additional fees may apply
- set out the circumstances in which personal information about the student may be disclosed by the registered provider, the Commonwealth including the TPS, or state or territory agencies, in accordance with the Privacy Act 1988
- outline the registered provider's internal and external complaints and appeals processes, in accordance with Standard 10 (Complaints and appeals)
- state that the student is responsible for keeping a copy of the written agreement as supplied by the registered provider, and receipts of any payments of tuition fees or non-tuition fees
- only use links to provide supplementary material.

The RTO must also include in the written agreement information in relation to refunds of tuition fees and non-tuition fees in the case of student default and provider default:

- amounts that may or may not be repaid to the overseas student (including any tuition and non-tuition fees collected by education agents on behalf of the RTO)
- processes for claiming a refund
- the specified person(s), other than the overseas student, who can receive a refund in respect of the overseas student identified in the written agreement
- a plain English explanation of what happens in the event of a course not being delivered, including the role of the TPS
- a statement that "This written agreement, and the right to make complaints and seek appeals of decisions and action under various processes, does not affect the rights of the student to take action under the Australian Consumer Law if the Australian Consumer Law applies".

The RTO also must include in the written agreement a requirement that the overseas student or intending overseas student, while in Australia and studying with the RTO, must notify the RTO of his or her contact details including:

- the student's current residential address, mobile number (if any) and email address (if any)
- who to contact in emergency situations
- any changes to those details, within 7 days of the change.

The RTO must retain records of all written agreements as well as receipts of payments made by students under the written agreement for at least 2 years after the person ceases to be an accepted student.

Continuous Improvement

A summary of all International student admissions and enrolment matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff, students and other stakeholders. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Student support and welfare policy
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.2.1.2: Assessing English Language Proficiency Policy

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.2 Standards for RTOs 2015 – Standard: 5.1
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this procedure is to define the system used to:

- Assess international students' English language proficiency as required by the National Code 2018 (Standard 2)
- Assess students' equivalency in qualifications from overseas to entry in the courses.

Objective

The RTO will ensure that the English Language Proficiency of International students is assessed fairly and consistently.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

	Description	Responsibility
1.	**Method** 1. All enquiring students must be sent a student prospectus (or directed to a copy on the website) which includes an Application Form as well as information on the minimum course entry requirements 2. Applicants must complete the application form, sign and date where required and attach certified evidence of qualifications, work experience (if relevant) and IELTS results or proof of an accepted equivalent 3. The Admissions/student support Officer must review the application and determine if an offer should be made on the basis of the entry requirements for academic entry and for IELTS. 4. IELTS requirements are assessed and certificates verified online at https://ielts.ucles.org.uk/ielts-trf/index.jsp 5. Assessment for academic entry will be done on the equivalency of an overseas qualification by way of using the NOOSR Online to check equivalency. 6. If the applicant has satisfactorily met all entry requirements, including English, an unconditional offer will be issued. If there are any requirements not met, an offer conditional to the student meeting the outstanding criteria will be issued instead. All offers must be signed and dated on the Letter of Offer by the Admissions Officer	PEO Admission/student support officer

	7. If the applicant has not met the outstanding conditions on the offer at the time of payment these conditions will be carried across to the eCOE.	

Continuous Improvement

A summary of all Assessing English related matters will be presented as a part of *the Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and stakeholders. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	o International Student Enrolment Policy o Academic Management Policy o Agent Management Policy

Forms or other organisational documents	
Documents related to this policy	

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.2.1.3: English Only Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.1; 1.3(b); 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to help students to maximise their English language skills during their studies in Australia. To help the students to improve their English language skills, they are expected to communicate in English **ONLY** at all times whilst at the RTO.

Objective

The RTO takes the English Only Policy very seriously, so from the moment the student enters the building, the only language spoken is English.

Scope

This policy will apply to all the students, staff and other RTO stakeholders.

Procedures

	Description	**Responsibility**
1.	During classes, students must only communicate in English. If they are found to	PEO

	be using their own language during a class, they will be asked to speak in English only. If the student continues speaking in their own language and not English, they will be asked to leave the class and will be marked absent. If help or clarification on the point of English or general matter is asked by one student to another student in their own language, they must ask the Trainer for permission to do so. The *Lunch Area*, *Common Rooms*, *Learning Centre* and *Corridors* are English <u>ONLY</u>. Persons not speaking English in these areas will be reminded of the English only rule. If the student(s) continually speak in their own language, they will be asked to leave the building for the duration of the break period. During break times if the student needs to use their mobile phone to speak with someone in their own language or to another student, the student should go to the recreation area which is designated for this purpose. If the student is caught speaking any language other than English, then the student will be asked to go to the designated area or leave the building. If the student is caught a second time, then they will be asked to leave the building immediately. Further breaches will require the student to have a meeting with the PEO to discuss their behaviour and possible disciplinary action. The use of Mobile Phones during class time is <u>NOT PERMITTED</u> unless it is an emergency. If the student is expecting a call, they need to advise the Trainer prior to class starting. If the student uses the mobile phone during class time without first notifying the teacher, they	Compliance Manager Trainers and Assessors Students

	will be asked to leave the class and marked absent**.**	

Continuous Improvement

A summary of all English-only matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff, students and other stakeholders. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	International Student Admissions & Enrolment Policy. Student Support & Welfare Policy
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.2.1.4: Language, Literacy and Numeracy Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.2; 6.1.2; Standards for RTOs 2015 – Standard: 1.7; 5.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to establish RTO's culture and the process of determining the support needs of individual students regarding language, literacy and numeracy for the success in their training.

Objective

The objective of this Policy and Procedure is to ensure that RTO:

- Establish a range of methods to assist students to measure their language, literacy and numeracy skills.
- Identify students' LLN skill level through LLN tests for different training areas.
- Promote the Language Literacy & Numeracy Policy to students at the initial enquiry, pre-enrolment interview, before the training course commences and of the availability of confidential assistance if the student has problems with language, literacy or numeracy;

- Ensure that employees can identify students with LLN problems and can implement appropriate strategies to assist them with their learning;
- Ensure that LLN issues are considered during development of training courses;
- Provide students with as much opportunity as possible to learn given their current LLN skill's levels;
- Provide relevant staff development opportunities and publications for employees to ensure their continued awareness of and competence about LLN requirements.

Scope

This Language, Literacy and Numeracy policy and procedure is applicable to the following stakeholders:

- RTO staff
- RTO students

General Processes

- Prior to enrolment and commencement, RTO will provide:
    - the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register
    - the training and assessment and related educational and support services that will be provided to the learner
        - estimated duration
        - expected locations at which it will be provided
        - expected modes of delivery
        - name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf
        - any work placement arrangements.
    - information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

- RTO is committed to providing clear information to its students about the detail of the language, literacy and numeracy assistance available and to take due account of language, literacy and numeracy when designing and delivering courses included on the RTO's scope of registration.
- All students are required to complete an LLN assessment prior to delivery of training and assessment.
- In some cases, a student may need to attend a Foundation Skills Training Program at another provider if there is a gap of 1 ACSF level between their existing performance and the level required to successfully complete a qualification or a course. This may mean deferment of the current enrolment until the student achieves the required level of ACSF skills. In other cases, if the ACSF level discrepancy is not too great or spiked, RTO may deem it unnecessary to provide additional foundation skills training and will devise ways to support the student to acquire these skills through the learning in the program in which the student is enrolled. In these cases, an individual learning plan will be prepared and followed which will allow the student to achieve the competencies of the vocational course.
- RTO staff need to be aware of students who may be more likely to need language, literacy and numeracy support than others.
- These clients may include:
    - Students whose first language is not English
    - Students with lower educational attainment
    - Students whose training/education has been disrupted, and
    - Students of Aboriginal and Torres Strait Islander origin.

Obligations of RTO to the learner include that RTO is responsible for the quality of the training and assessment in compliance with the Standards and also for the issuance of the AQF certification documentation.

Procedures

	Procedure Steps	Responsibility	Reference
(1)	Different levels of LLN assessment tools are developed for potential students based on The Australian Core Skills Framework (ACSF) 2012.	PEO/Trainer	
(2)	The different levels of LLN assessment tools, marking guides, and assessment instructions are reviewed and validated regularly by LLN personnel and external LLN foundation skills specialists. The validation is conducted on a regular basis.	PEO/Trainer	
(3)	Compliance Manager or an officer appointed by the Compliance Manager s are provided with LLN assessment instructions for each qualification level. The LLN assessment instructions are managed by the Compliance Manager .	Compliance Manager	LLN assessment instructions
(4)	RTO designs different levels of LLN support courses based on Australian Core Skills Framework (ACSF) 2012.	Compliance Manager /Trainer	

(5)	At the pre-training review stage, Compliance Manager or an officer appointed by the Compliance Manager s supervise the undertaking of LLN assessments for the potential students as a mandatory requirement. The completed LLN assessment tools is forwarded to trainer/LLN Personal for marking.	Compliance Manager or an officer appointed by the Compliance Manager	
(6)	The trainer marks the LLN assessment based on LLN model answers and marking guides. LLN level outcomes must be recorded. This report is to remain on the student's file as evidence of initial LLN assessment. The trainer refers the outcome of LLN assessment tools to the Compliance Manager or an officer appointed by the Compliance Manager and the potential student. If the potential student's LLN level is deemed satisfactory to proceed with the course of study, the Pre-Enrolment Review will be forwarded to Administration to process.	Trainer Administration	LLN model answers and marking guides

(7)	If any deficiencies that will impede progress are identified, the potential student is advised about the necessity to improve their LLN skills and will not be enrolled in a VET Qualification. The potential student can either be referred to other professional organisations specialising in LLN skills or undertake an LLN Support Course.	Compliance Manager or an officer appointed by the Compliance Manager /Administration	
(8)	During the study, if a student is identified as requiring extra tuition time or support, this is provided by the student's trainer	Trainer	
(9)	During the application of support course and course of study, ensure the student participates in the process and meet the required standard.	Compliance Manager or an officer appointed by the Compliance Manager /Administration	

Continuous Improvement

This procedure is designed to ensure that the LLN of the students are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO and qualifications and is to ensure management become aware of:

- Common threads relating to compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.2.1.5: Access and Equity Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.1; 6.2; 6.3; 6.4; 6.5; 6.6; 6.7; 6.8; 6.9; Standards for RTOs 2015 – 1.3(b); 1.3(c); 1.3(d); 1.7; 5.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure RTO give a coordinated approach to ensuring access and value standards throughout its operations, and to treat similarly and genuinely all students looking to study in a VET course.

Objective

The objectives of this Policy and Procedure are that the RTO:

- Follows the access and equity guidelines designed to remove barriers and obstacles so that all students can gain skills, knowledge and experience through access to Vocational Education & Training (VET) subjects.
- Implements these access and equity guidelines through the following strategies:
    - Access to VET programs will be available to all eligible participants regardless of gender or race.
    - All participants will be provided with the opportunity to gain a full qualification.

- For participants with special needs, access to additional assistance will be provided.

- Where poor literacy and/or numeracy skills present a barrier to participation, additional support will be provided to the participants within the capacity of the organisation's resources to provide such support and/or external assistance will be accessed as required.

Scope

This policy is applicable on the following RTO stakeholders:

- Staff
- Students

General Processes

1. Availability of Policy and Procedures

The policy, procedure and related form are made available to all students and potential students by directly contacting the RTO, through the RTO's website and/or Student Handbook.

2. Establishment of non-discriminatory selection procedures

We actively encourage the participation of a cross-section of the community. This is achieved through the establishment of non-discriminatory selection procedures, encouraging access for all members of the community.

In the first instance, the Trainer/Assessor will assess literacy, language and numeracy concerns. When indicated, the Training Coordinator will make available to the Trainer/Assessor such materials or training processes to assist with learning. Interpreters are welcome to attend the training of a student with literacy difficulty; however, RTO will not incur any expense associated with interpretation services.

If the student requires support for any reason at all whilst enrolled with RTO, please contact RTO directly. RTO staff will endeavour to assist students to the fullest capacity, or where appropriate, direct students to a suitable professional agency. This referral service is of no charge to the student. (Support can include interpreters, trauma, disability, harassment, welfare etc.)

3. Barriers

RTO understands the barriers to accessing education and training may or may not include:

- Language, literacy or numeracy skills
- Low levels of formal educational achievement,
- Racism,
- Low socio-economic status,
- Inappropriate training environments,
- Living in rural and remote areas,
- Lack of information,
- Lack of continuity of programs in rural areas etc.

4. Access and equity principles

The following principles are applied by RTO in the development and implementation of all training and assessment strategies.

To ensure that the student recruitment and admission process is bias-free and non-discriminatory, RTO:

- provides advice to the prospective learner before enrolment or commencement of the training product appropriate to the learner's needs taking their existing skills and competencies into account.
- uses the same recruitment and admission process for all applicants
- provides a special admissions program for specific groups such as Aboriginal and Torres Strait Islander people as set out in our selection and admissions policy
- bases admission to courses and programs solely on availability of places and the applicant satisfying course entry requirements
- provides applicants with adequate information and support to enable them to select the most suitable program for their needs

To ensure that the learning environment is free from harassment, discrimination and victimisation, the RTO:

- specifies standards of behaviour expected from students and staff in its Codes of Conduct
- has policies and procedures in place for preventing harassment and discrimination

To ensure that all curriculum developed by the RTO are inclusive of a range of student needs, RTO:

- considers issues relating to access and equity when specifying course entry requirements and prerequisites
- offers flexible course design that provides multiple entry and exit points or pathways through the course, including credit transfer and recognition of prior learning
- considers the requirements of students with a disability when designing courses
- provides inclusive and non-discriminatory learning materials
- in the case of vocational courses, language, literacy and numeracy requirements are consistent with the vocational level of the qualification
- provides students without online access with information through other media according to needs

RTO provides an assessment process that is fair, valid, reliable and consistent through:

- recognition of previously acquired skills and knowledge
- adequate information on course and subject assessment, prior to enrolment in the course
- adapting assessment to meet student needs while still maintaining a high quality, valid and consistent process (see reasonable adjustment below)
- gives students the right to appeal an assessment or recognition decision
- gives all students equal opportunity to demonstrate competence

Support is provided to those with special needs. The reasonable adjustment is provided to those with a disability or special needs according to individual circumstances. This means providing the appropriate services and/or facilities for student learning and assessment.

The reasonable adjustment may include but is not restricted to:

- the use of adaptive/assistive technology (equipment and software designed for use by people with a disability)
- educational support

- alternative assessment methods
- learning and assessment aids such as papers in large print or the use of scribes or interpreters
- extra time to complete a course or assessment

Learning support is facilitated for those with basic literacy, numeracy or English language difficulties or other identified areas of learning difficulty.

Special consideration may be granted if through misadventure (e.g. illness, bereavement or personal trauma) a student is prevented from completing an assessment or sitting an examination; or believes that their performance in an assessment event has been affected by the incident.

RTO premises will provide appropriate access to those with a physical disability. Where RTO provides training and assessment at other venues, RTO will ensure to the best of its ability that the venues are accessible to people with a disability.

Complaints and appeals are addressed in a fair and equitable manner. Individuals who believe they have been treated unfairly are encouraged to use RTO's student complaints and appeals procedures. RTO will promptly and thoroughly investigate all complaints and appeals in accordance with stated procedures.

Students also have the right to appeal against any decisions as set out in the complaints and appeals procedure.

Procedures

	Procedure Steps	Responsibility	Reference
1	All staff employed by RTO will adhere to the principles and practices of equity in education and training by applying the strategies for operations from administration through training, assessment and support service.	All/any RTO staff	
2	Training services are available to all clients regardless of ethnicity, gender, age, marital status, sexual orientation, physical or intellectual impairment. Sexual harassment is illegal, and will not be permitted in the workplace, or in the training environment. RTO will treat every client fairly and without discrimination. Grievance procedures are in place to ensure that any concerns are dealt with immediately and appropriately. (Refer to the Complaints and Appeals Policy & Procedure).	All/any RTO staff	

3	Strategies, responsible officials and measures Strategy: To include questions in all enrolment forms that requests learners to provide details of their background. Responsible Official: CEO, Trainer Measure: All enrolment forms assessed for inclusion of appropriate questions.	All/any RTO staff	

RTO acknowledges its legal obligations under State and Federal equal opportunity laws that include:

- The Human Rights Commission Act 1986 (Cth)
- The Age Discrimination Act 2004 (Cth)
- The Disability Discrimination Act 1992 (Cth)
- The Racial Discrimination Act 1975 (Cth)
- The Sex Discrimination Act 1984 (Cth)
- The Privacy Act 1998 (Cth)

Where possible, a range of support services or appropriate referrals will be provided to participants with special needs.

Strategy: Feedback forms to make available opportunities for learners to raise any access issues.

Responsible Official: CEO, Trainer, Compliance Manager (CM).

Measure: All surveys forms assessed for inclusion of appropriate questions.

Strategy: Trainer to assess learner for any LLN concerns at induction through ensuring learner completes their own enrolment form and other appropriate documentation.

Responsible Official: Trainer, Student Support Officer.

Measure: Ongoing

Strategy: All policies, procedures, and contact information are to be made available to the public through our internet website.

Responsible Official: Compliance Manager

Measure: Ongoing

Strategy: Any access issues raised by the public are to be addressed immediately to ensure it does not affect the enrolment and training of potential learners.

Responsible Official: CEO

Measure: Ongoing

Strategy: Allow for flexibility (when appropriate) for extensions of time to lodge enrolment forms, assessment tasks and other related forms, for members of identified groups, in order to cater to those with different social and cultural backgrounds.

Responsible Official: CEO

Measure: Ongoing

Strategy: To provide a barrier free environment for learners and stakeholders and for all people through offering multiple methods of contact, training and assessing

Responsible Official: CEO

Measure: Ongoing

Student Selection

Students will not be denied access to services offered by RTO where they are deemed eligible for the service. Students will be individually assessed on their eligibility for the service being provided and selection will comply with relevant equal opportunity legislation and the selection criteria for the service.

Whilst practising an open access policy, it is recognised that student eligibility for services may be influenced by:

- Course pre-requisites
- Availability of services

Where limited places are available, student selection is completed on confirmation of payment and enrolment processes.

Maintaining currency of legislative requirements

RTO will implement pro-active continuous improvement processes as documented through the Quality Management Policy and Procedure and will ensure that any areas that are identified as requiring improvement or immediate action are addressed appropriately.

RTO will ensure that through implementation of the 'Quarterly Review' process all legislation is reviewed for currency.

The following websites provide current and supporting information on the legislation requirements:

- Australia.gov.au

http://australia.gov.au/publications/commonwealth-legislation

- Victorian Legislation and Parliamentary Documents

http://www.legislation.vic.gov.au

Staff responsibilities

All employees of RTO are required to ensure all clients receive fair and equitable services within their scope of responsibility. All staff hold the responsibility to maintain a work and study environment free from discrimination and harassment.

Management is responsible for ensuring adherence to RTO's policies and procedures that support this goal.

Continuous Improvement

A summary of all access and equity related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance.
- Repeat issues

- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually, and Compliance Manager will be the responsible person for this.

No.2.1.6: Course Credit Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.1; 2.3; 2.4; 2.5; Standards for RTOs 2015 – Standard: 1.2:
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to have a system in place to ensure RTO complies with the SRTO 2015 Clause 3.5 which states 'Registered providers must appropriately recognise course credit'.

The policy implements a procedure for RTO to process student applications for course credit and documents results, including student verification of the outcome. It will provide a process that ensures that students receive written verification of the outcome of course credit application and records of this are kept with student files.

Objective

The objective of this policy and procedure is to ensure that RTO;

- Has documented procedures for the granting and recording of course credit.
- Provides a record of the course credit to the student, which must be signed or otherwise, accepted by the student, and filed in the student's file.

- Indicates the actual net course duration (as reduced by course credit) in the confirmation of enrolment issued for that student for that course.

Scope

This policy and procedure is applicable to the following stakeholders:

- RTO Staff
- RTO Students

General Processes

1. Documented procedures

- Policies and procedures for granting and storing credit transfer requests and records
- Student management system procedures and documentation
- File management procedures and documentation

The RTO provides, either prior to enrolment or the commencement of training and assessment, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register
- the training and assessment, and related educational and support services the RTO will provide to the learner including the:
    i. estimated duration
    ii. expected locations at which it will be provided
    iii. expected modes of delivery
    iv. name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf
    v. any work placement arrangements.
- the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these standards, and for

the issuance of the AQF [Australian Qualifications Framework] certification documentation

- the learner's rights, including:
    i. details of the RTO's complaints and appeals process required by Standard 6
    ii. if the RTO, or a third-party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in.
- the learner's obligations:
    i. in relation to the repayment of any debt to be incurred under the VET [Vocational Education and Training] training arising from the provision of services
    ii. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product
    iii. any materials and equipment that the learner must provide
- information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services, as applicable.

2. Credit Transfer (CT)

The granting of exemption or credit by a Registered Training Organisation (RTO) to students for units of competency completed under accredited training through AQF certification or authenticated VET transcripts authenticated by the registrar.

If the registered provider grants RPL or course credit to an overseas student, the registered provider must give a written record of the decision to the overseas student to accept and retain the written record of acceptance for two years after the overseas student ceases to be an accepted student.

If the registered provider grants the overseas student RPL or course credit that reduces the overseas student's course length, the provider must:

- inform e student of the reduced course duration following granting of RPL and ensure the confirmation of enrolment (CoE) is issued only for the reduced duration of the course.

- report any change in course duration in PRISMS if RPL or course credit is granted after the overseas student's visa is granted.

As per AQF 2nd edition January 2013- Definition of credit transfer: "Credit transfer is a process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in content and learning outcomes between matched qualifications." Such as:

1. Unit/module is the same i.e. same code and title
2. Unit/module has been reviewed and this results in minor changes to the unit/module code e.g. B to C. This indicates that the learning outcomes of the unit/module have remained the same.
3. Unit/module has been transferred from another Training Package/curriculum and recoded however the learning outcomes remain the same.

Granting RPL and Course credit:

Procedures

	Procedure Steps	Responsibility	Reference
1	Applicants for credit transfer must complete the Credit Transfer Application form, attach a copy of a qualification, Record of Result (Academic Transcript) or Statement of Attainment and submit the application to the Compliance Manager or Student Administration.	Trainer/Assessor or Student Administration	
2	The Trainer/Assessor or Student Support Officer must check the qualifications, Statement of Results (Academic Transcript) or Statement of Attainment and grant credit transfers for identical units that have been identified as being completed at another registered provider.	Trainer/Assessor or Student Administration.	
3	Verified copies of Qualifications, Record of Results (Academic Transcript) and Statements of Attainment used as the basis for granting credit transfer/s must be placed in the student files.	Trainer/Assessor or Student Administration.	
4	The student and the Trainer/Assessor or Student Support Officer must sign the completed Credit Transfer record.	Trainer/Assessor or Student Administration.	

5	Granting of credit transfer/s must be recorded as a unit outcome in the student's file/Student Management System. If the RTO grants course credit to an overseas student, the RTO must give a written record of the decision to the over overseas student to accept and retain the written record of acceptance for two years after the overseas student ceases to be an accepted student. If the RTO grants the overseas student RPL or course credit that reduces the overseas student's course length, the RTO must: • inform the student of the reduced course duration following granting of RPL and ensure the confirmation of enrolment (CoE) is issued only for the reduced duration of the course • report any change in course duration in PRISMS if RPL or course credit is granted after the overseas student's visa is granted.	Trainer/Assessor or Student Administration.	
6	After credit transfer/s is granted, a student's course schedule must be reviewed and any reductions in the scheduled attendance and the reasons for the reduction recorded and placed in the student's file.	Trainer/Assessor or Student Administration.	
7	If possible, a full-time load for the student should be maintained by adjusting a student's course schedule and duration for completion of the course.	Trainer/Assessor or Student Administration.	

Continuous Improvement

A summary of all course credit related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually. The Compliance Manager will be the responsible person for this.

No.2.1.7: Recognition of Prior Learning (RPL) Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.3; Standards for RTOs 2015 – Standard: 1.8; 1.12;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to demonstrate that RTO is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015) and National Code 2018. As such, RTO is required to implement an assessment system that ensures all assessment (including recognition of prior learning) complies with assessment requirements of Training Packages and VET Accredited Courses.

Objective

The objective of this policy and procedure is to ensure that RTO;

- Have documented procedures for the granting and recording of credits given through recognition of prior learning
- Provides a record of the RPL to the student, which must be signed or otherwise accepted by the student and then placed on the student's file.
- Indicates the actual net course duration (as reduced by course credit) in the training plan.

- Recognises that a qualification or a unit of competency or partial qualification can be obtained through training, work or life experiences, skills and knowledge gained from employment and hobbies etc.

Scope

This policy and procedure apply to the following stakeholders:

- RTO Staff
- RTO Students

General Processes

1. Documented procedures

- Policy and procedure for granting and storing credit transfer requests and records by AQF certification documentation, or through authenticated VET transcripts issued by the Compliance Manager .
- Student management system procedure and documentation
- File management procedure and documentation

The RTO provides, either prior to enrolment or the commencement of training and assessment, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register
- the training and assessment, and related educational and support services the RTO will provide to the learner including the:
    i. estimated duration
    ii. expected locations at which it will be provided
    iii. expected modes of delivery
    iv. name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf
    v. any work placement arrangements.
- the learner's rights, including:

i. details of the RTO's complaints and appeals process required by Standard 6

ii. if the RTO, or a third-party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in.

- the learner's obligations:
  i. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product
  ii. any materials and equipment that the learner must provide
- information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services, as applicable.

2. Recognition of Prior Learning (RPL) processes

- Evidence will be requested to support any claims. Some examples might include: previous formal study, job descriptions, samples of work and specific references
- A student must enrol in the unit(s) before RTO can process the RPL application.
- A student can RPL through an entire qualification
- There is a fee involved as an RPL Assessor will need to assess the application. The Assessor must be satisfied the applicant is currently competent
- The fee for RPL will be calculated based on the number of units the applicant is applying for RPL.
  - All relevant fee information must be presented to the learner including all fees that must be paid to the RTO, and the payment terms and conditions including deposits and refunds.
  -
  - The learner needs to be informed of their rights as a consumer, including but not limited to any statutory cooling-off period, if applicable.

- Also, the learner's right to obtain a refund for services not provided by the RTO in the event the arrangement is terminated early, and/or the RTO fails to provide the agreed services.

- To apply for RPL, an RPL Kit Applicant Booklet needs to be completed

3. Recognition of Prior Learning (RPL)

RPL involves the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. RPL is an assessment process that assesses the individual's non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes or competency standards. To support this type of application evidence of where and how the skills were obtained is required.

RTO recognises the prior learning of students based on:

- Previous training, (including overseas qualifications)
  - If the RTO grants RPL to an overseas student, the RTO must give a written record of the decision to the overseas student to accept and retain the written record of acceptance for two years after the overseas student ceases to be an accepted student.
  - If the RTO grants the overseas student RPL or course credit that reduces the overseas student's course length, the RTO must:
    - inform the student of the reduced course duration following granting of RPL and ensure the confirmation of enrolment (CoE) is issued only for the reduced duration of the course
    - report any change in course duration in PRISMS if RPL or course credit is granted after the overseas student's visa is granted
- Formal study and acquisition of a Qualification and/or Statements of Attainment from another RTO
- Practical experience in a work environment
- Projects undertaken
- Life experience

Obligations of the RTO to the learner include that the RTO is responsible for the quality of the training and assessment in compliance with the Standards and also for the issuance of the AQF certification documentation.

Procedures

	Procedure Steps	Responsibility	Reference
1	Applicants for RPL must complete the RPL Application form and submit the application to the Compliance Manager or Student Administration	Compliance Manager or Student Support Officer/ Administration Student	RPL Application form
2	Compliance Manager must appoint a Trainer/Assessor to assess the student's existing knowledge and skills relevant to unit of competencies/ qualification	Compliance Manager and Trainer/ Assessor	
3	Trainer/Assessor must evaluate all records, application and documentation provided by the applicant	Trainer/Assessor	
4	Trainer/Assessor may ask for more evidence and/or demonstration of skills and knowledge as required	Trainer/Assessor Student	
5	Trainer/Assessor completes the competency conversation kit with the Applicant	Trainer/Assessor Student	
6	Trainer/Assessor reviews all of the collected evidence and documentation	Trainer/Assessor	
7	Trainer/Assessor must decide the outcome of the application	Trainer/Assessor	

8	The Applicant may be required to undertake gap-training if all units or contents cannot be provided through RPL	Trainer/Assessor Student	
9	Inform the student and reduce the COE accordingly by using PRISMS software	Student support officer	

Continuous Improvement

A summary of all recognition of prior learning related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually. The Compliance Manager will be the responsible person for this.

No.2.1.8: Fees, charges and refunds policy and procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.7; 3.1; 3.3.4; 3.3.5; 3.3.8; 3.4; 3.4.1; 3.4.2; 3.4.3; Standards for RTOs 2015 – Standards 4 & 5
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to establish the framework for all applicable course fees, charges and refunds. The RTO ensures it applies fees and charges to students as per the required guidelines mentioned in the policy context. RTO management reviews fees and charges on a regular basis.

Fees and charges are calculated and levied to students as per the current guidelines set out by the RTO according to market research and Government guidelines.

RTO has published the tuition fees for each course/qualification on its website.

RTO is entitled to charge fees for services provided to students undertaking a course of study and for other services RTO may provide. These charges are generally for items such as

- tuition fees;
- enrolment fees;
- course materials;
- text books;
- student services and

- other related training and assessment services.

The transparency, governance and management of fees and charges are integral to financial transparency and ensuring students' rights and responsibilities are fully explained and maintained.

Objectives

The objective of this Policy and Procedure for course fees, charges and refunds is to ensure that:

- RTO has suitable and appropriate mechanisms and framework in place to handle all fees, charges and refunds related matters and enquiries
- RTO personnel know their responsibilities and obligations
- RTO has all fees clearly listed on their marketing and advertising documentation and website.

Scope

This policy applies to current, prospective and previous students, all staff and other RTO stakeholders.

General Processes

1. Provision of pre-enrolment information:

Written Agreements

The RTO must enter into a written agreement with the overseas student or intending overseas student, signed or otherwise accepted by the student, concurrently with or prior to accepting payment of tuition fees or non-tuition fees. A written agreement may take any form provided it meets the requirements of the ESOS Act and the National Code. The written agreement must:

- Outline the course or the courses in which the student is to be enrolled and its details
    - Expected start date
    - The locations of course delivery
    - Modes of study offered
    - Any compulsory online or work-based training

    - Placements, other community-based learning, or collaborative research training arrangements
- Outline any necessary prerequisites needed to enter the course
- List any conditions imposed on the student's enrolment
- List all the tuition fees payable by the student for the course, the periods to which those tuition fees relate and payment options (including, if permitted under the ESOS Act, that the student may choose to pay more than 50 per cent of their tuition fees before their course commences)
- provide details of any non-tuition fees the student may incur, including as a result of having their study outcomes reassessed, deferral of study, fees for late payment of tuition fees, or other circumstances in which additional fees may apply
- set out the circumstances in which personal information about the student may be disclosed by the RTO
- outline the registered provider's internal and external complaints and appeals processes
- state that the student is responsible for keeping a copy of the written agreement as supplied by the registered provider, and receipts of any payments of tuition fees or non-tuition fees

The RTO must also include in the written agreement information in relation to refunds of tuition fees and non-tuition fees in the case of student default and provider default:

- amounts that may or may not be repaid to the overseas student (including any tuition and non-tuition fees collected by education agents on behalf of the RTO)
- processes for claiming a refund
- the specified person(s), other than the overseas student, who can receive a refund in respect of the overseas student identified in the written agreement

- a plain English explanation of what happens in the event of a course not being delivered, including the role of the TPS
- The statement that "This written agreement, and the right to make complaints and seek appeals of decisions and action under various processes, does not affect the rights of the student to take action under the Australian Consumer Law if the Australian Consumer Law applies".

The registered provider must retain records of all written agreements as well as receipts of payments made by students under the written agreement for at least 2 years after the person ceases to be an accepted student.

RTO applies tuition fees, plus additional fees and charges and according to the guidelines of management.

Fees are published on RTO's website including service and amenities fees, and material fees, where applicable.

All fees that are to be charged to a student and the terms of a refund will be documented in the following places:

a.) Student Brochure

b.) RTO's website

c.) Student Handbook

2. The fee schedule is updated by the CEO annually and when required, for example upon notification on changes to the fees and charges policies in Government and relevant administrative directives.
3. The CEO will keep all relevant staff members up to date with all changes to the fees and charges policies.
4. The Compliance Manager ensures all marketing material refer students to the RTO website regarding current fees and charges.

5. Potential students are informed of the tuition fees, service and amenities fees, and material fees, by directing them to RTO website and marketing material.

- Prior to enrolment or commencement of training and assessment
- Students are given information regarding the fees to be paid to the RTO, the payment terms and conditions (including refunds and deposits)
- The student's rights as a consumer, including but not limited to any statutory cooling off period, if applicable
- Student upon request may discuss payment methods, may seek a fee waiver or scholarship.
- The student has the option of the following payment methods: EFT, Credit Card, Cheque, cash.
- RTO may accept full payment of tuition fee but no more than $1500 from each individual student prior to the commencement of the course.
    - Where RTO requires the student to pay or prepay in excess of a total of $1500 the RTO must meet the requirements set out in Schedule 6 under the Requirements for Fee Protection.

6. In the case of an employer paying the enrolment fee for their staff, Compliance Manager or an officer appointed by the Compliance Manager notifies Administration staff.

- An invoice is generated and sent to the student's employer detailing qualification, student name and enrolment/tuition fees in detail.

7. Once the enrolment fees are paid, the student is enrolled on the Student Management System, a receipt is generated, and a copy is sent to the employer, and another copy is placed in the student file.

8. If the potential student applies for RPL/CT, the fees and charges will be revised. Refer to the Course Credits – National Recognition, Recognition of Prior Learning & Credit Transfer Policy and Procedure.

9. The published fee is charged once the potential student has made an informed decision to enrol.

10. Potential students are provided with clear and detailed information in respect of fees, payments, and refunds in the Student Handbook

11. The Student Handbook and relevant policies and procedures are available at RTO Reception.

12. To apply for a refund the student is to fill in the Fee Refund Form and submit it at Reception. Students can download the form from the RTO's website. A hard copy of the form may also be obtained from Reception. Applications will be considered, and applicant advised in writing, within 20 working days of the application being received by the CEO.

    - The student holds the right to obtain a refund in the event of the arrangement being terminated early or if the RTO fails to provide the agreed services.

13. The CEO assesses the application and takes decision related to the application.

14. Management of fees paid;

    - All Fees collected in advance (i.e. prior to enrolment) will be accessible until the student is enrolled.
    - When a student applies to RTO for a course their enrolment application is reviewed and accepted in accordance with the Admission Policy. Once accepted, a Student Welcome Letter, Student Handbook and Invoice are sent to the applicant. These documents identify:
        - Total Course Fees
        - Enrolment Fee
        - Total fees payable to confirm the application
        - Balance of fees that are left outstanding

PAYMENT PLAN/INSTALMENT PLAN:

If any student is applying for a payment plan, the payment plan form is to be completed and submitted to the Student Support Officer. The CEO will make the final decision and the Student is to be notified of the outcome.

Procedures

Sr.No.	Procedure Steps	Responsibility	Reference

1	Procedure Steps (Review and implementation)	CEO	
2	Payment Plan/ Instalment Plan	CEO	

Refund procedure

Procedure	Responsibility
Student is informed about refund process and conditions for eligibility for refunds and conditions for no refunds. Advise students of complains and appeals policy and procedure.	Student Support Officer / Administration
Student applies for refund using Application for Refund of Fees Form and providing necessary supporting documentation.	Student
Reviews the refund request, verifies accuracy of information and determines the outcome of refund. Inform the CEO.	Student Support Officer / Administration
Check for accuracy and verify information for authenticity (e.g. bank details). Review and approve refund request. Inform Student Services Officer.	CEO
Refund outcome letter is prepared and sent to student. Advise students of complains and appeals policy and procedure.	CEO
Payment of refund is processed.	CEO/ Finance

Continuous Improvement

A summary of all fees, charges and refund related matters and concerns will be presented as a part of the Continuous Improvement policy and procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- Any general adverse trend that needs correcting
- Common threads relating to the compliance and quality assurance.
- Repeat issues

Confidentiality and Privacy Statement

For more information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually by the Compliance Manager .

Appendix

All applicable fees and charges

Fees	Total Amount	Frequency
Course fees	Please refer to the website	Your fees are protected under tuition protection scheme (TPS). If you are experiencing financial hardship, you may select the option of payment plan
Material fees	Please refer to the Letter of Offer and Acceptance Agreement	At commencement of course
Deferment Fee	$100.00	
Application fees	$200.00	At enrolment
Change of CoE	$100.00	At application
Supplementary Assessment	2 free re-assessment attempts	
Supplementary Assessment	$350/after two free resubmission attempts	
Unit Repeat cost	$350	
Replacement Student ID	$15.00	
Credit Transfer	No Charge	N/A
RPL fees	$150 per unit	
Certificate re-issue fee	$50 for certificate re-issue	
Student Photocopying	10c per page	
Overseas Health Cover	Please refer the cost of living section.	
Interim academic transcript	No Charge	N/A
Late payment fees	$50	Weekly
Airport pickup	$350	

Refunds

Refunds will be paid direct to the student. To claim a refund, the student must complete a refund application form available from AICHM administration.

The refund amount in the table below is based on fees collected from a Student

No.	Situation	AICHM Refund fee
1	AICHM does not deliver the program for which the student has paid for the following reasons: The course does not begin on the agreed commencement date The offer is withdrawn by the Institute and incomplete information is provided by the student The course ceases to be provided, before any training and/or assessment The course is not provided in full to the student because a sanction has been imposed on the registered provider Visa refused (before commencement)	Full Refund on tuition fees
2	Withdrawal notified in writing and received by the Institute 28 days or more prior to course commencement	70% refund of tuition fees
3	Withdrawal notified in writing and received by the Institute after the course commencement	No refund
4	Visa Refused (After Commencement)	Charged according to the study period

Payment of refund

Application rejected by AICHM	Full refund of tuition fee NOT including application fee ($300)
Visa refused prior to course commencement OR withdraw at least 10 weeks prior to agreed start date	Full refund of tuition fee NOT including application fee ($300) The amount of unspent pre-paid fees that the provider must refund the student for the purpose of subsection 47E (2) of the Act is the total amount of the pre-paid fees the provider received for the course in respect of the student *less* the following amount: the lesser of: (a) 5% of the total amount of pre-paid fees that the provider received in respect of the student for the course before the default day; or (b) the sum of $500
Withdrawal more than 4 weeks and up to 10 weeks prior to agreed start date	70% refund of tuition fees NOT including application fee ($300)
Withdrawal less than 4 weeks prior to agreed start date	25% refund of tuition fees NOT including application fee ($300)
Withdraw after the agreed start date	No refund
Enrolment is cancelled due to student's misconduct or non-compliance with the rules and regulations set by the Australian Government	No refund
Course withdraw by AICHM (Before the agreed start date)	Full refund including application fee
Course withdraw by AICHM (AICHM is unable to deliver the course after the agreed start date)	Refund of unused tuition fees. Pre-paid fees may be transferred to an alternative enrolment where the student agrees

The course is not provided fully to the student because the AICHM has a sanction imposed by a government regulator	Return of unused tuition fees
Recognition of Prior Learning (RPL) fees	No refund if Statement of Attainment provided
Abandons the course during the study period	No refund and the balance of all outstanding fees for the course to be invoiced to the student
Visa extension is refused	Once the term starts, fee is not refundable Students have their own responsibilities to ensure they have valid visa(s).
Withdrawal from study - current students (not including English Language Studies' students) with confirmed extenuating circumstances) *	Refund of unused tuition fees (of the following term/s) *(Notification of Withdrawal from Studies)* Form

Notes:

a. Refunds identified above are for the Tuition Fees ONLY (Tuition Fees are those identified in the marketing brochure/website or on the agreement as course fees).
b. Incidental fees are all other fees apart from Tuition Fees and Enrolment Fees E.g. Material Fees. ONLY the "unspent" amount will be returned. If the cost of the service or material has already been incurred this will NOT be refunded.
c. Fee refunds for special circumstances (illness, family circumstances) may be agreed upon, on an individual basis, at the discretion of the accounts department of AICHM.
d. Where the student has paid for other fees, including material fees, then only the "unspent" portion will be returned.
e. For RPL, the fee is $150 each unit
f. All date calculations are based on the date the form is received by AICHM, not the date the student completed the form (if different).
g. An LLN assessment will be conducted prior to the enrolment or commencement at no charges to the prospective student.
h. All approved refund request will be paid in 14 working days and CEO is responsible for refund approval.

Note: The fees and charges are subject to change from time to time. For the most recent information, please visit AICHM's website www.AICHM.edu.au or contact AICHM's office.

Section 3: Support and Progression

Policies and procedures:	Mapping		Comments
Policy 3.1.1: Accommodation Assistance Policy	SRTOs 2015		
	ESOS National Code 2018	2.1.11; 5.3; 5.3.1; 5.3.2; 5.3.3; 5.3.6; 5.3.7; 7.3.2;	
Policy 3.1.2: Disciplinary Policy and Procedure	SRTOs 2015		
	ESOS National Code 2018	6.9.1; 6.9.3; 8.8.1; 8.9.1;	
Policy 3.1.3: Monitoring Student Attendance Policy	SRTOs 2015		
	ESOS National Code 2018	6.1.7; 8.1; 8.4; 8.5; 8.6; 8.6.1; 8.6.2; 8.6.3; 8.6.4; 8.6.5; 8.10; 8.11; 8.12; 8.12.1; 8.12.2; 8.12.3; 8.12.4; 8.13; 8.13.1; 8.14; 8.15;	
Policy 3.1.4: Special Needs Assessment Guidelines and Reports Policy and Procedure	SRTOs 2015	1.3(b); 1.7; 5.1;	
	ESOS National Code 2018	6.4; 6.6;	

Policy 3.1.5: Student Support & Welfare Services Policy	SRTOs 2015	1.3(b); 1.3(c); 1.3(d); 1.7;	
	ESOS National Code 2018	2.1.10; 5.3; 5.3.1; 5.3.4; 6.1; 6.3; 6.4; 6.5; 6.6; 7.3.2; 10.2.4;	
Policy 3.1.6: Complaints and Appeals Policy and Procedure	SRTOs 2015	Standard 6	
	ESOS National Code 2018	3.3.7; 3.4.5; 6.1.6; 7.5.2; 7.6; 8.13.3; 8.14.1; 8.14.2; 8.14.3; 9.4.2; 10.1; 10.2; 10.3; 10.4;	
Policy 3.1.7: Academic Misconduct Policy and Procedure	SRTOs 2015		
	ESOS National Code 2018	8.8.1; 8.9.1;	
Policy 3.1.8: Critical Incidents Policy and Procedure	SRTOs 2015		
	ESOS National Code 2018	6.8; 6.9.1; 6.9.2; 6.9.3;	
Policy 3.1.9: Literacy and Numeracy Policy and Procedure	SRTOs 2015	1.7;	
	ESOS National Code 2018	2.2	
Policy 3.1.10: Student progress and Course Progress Policy	SRTOs 2015	1.3(b); 1.3(c); 1.3(d);	
	ESOS National Code 2018	6.1.7; 7.2.2.1; 8.1; 8.3; 8.4; 8.5; 8.7; 8.7.1; 8.7.2; 8.7.3; 8.7.4; 8.8; 8.9; 8.13; 8.14; 8.16.2; 9.3.3;	
	SRTOs 2015	1.7;	

Policy 3.1.11: Student welfare and Duty of Care	ESOS National Code 2018	2.1.10; 5.1; 5.2; 5.3; 5.5; 5.6; 5.7;	
Policy 3.1.12: Student, Staff and External Feedback Policy and Procedure	SRTOs 2015	2.2(b);	
	ESOS National Code 2018		
Policy 3.1.13: Support Services Available to Students Policy	SRTOs 2015	1.3(b); 1.3(c); 1.3(d); 1.7;	
	ESOS National Code 2018	2.1.10; 5.3; 5.3.1; 5.3.4; 6.1; 6.3; 6.4; 6.5; 6.6; 7.3.2; 10.2.4;	
Policy 3.1.14: Deferral, Suspending and Cancelling Enrolment and/or Admission Policy	SRTOs 2015	1.7; 6.2; 6.3; 6.4; 6.5;	
	ESOS National Code 2018	3.3.5; 8.16.3; 9.1; 9.4; 9.5; 9.6;	

No.3.1.1: Accommodation Assistance Policy

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.11; 5.3; 5.3.1; 5.3.2; 5.3.3; 5.3.6; 5.3.7; 7.3.2;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is that the RTO will not take responsibility for approving the accommodation, support and general welfare arrangements for any international student who has not turned 18. The RTO currently do not accept enrolments from students who have not yet turned 18.

Objective

The RTO does not offer accommodation services or take responsibility for accommodation arrangements.

The RTO will not take responsibility for approving the accommodation, support and general welfare arrangements for any international student who has not turned 18.

The Student Support Officer is available full time to discuss any issues or concerns a student may have with their accommodation arrangements and is able to refer students to appropriate accommodation services. The RTO will ensure that the accommodation assistance is designed to provide professional development opportunities for teaching staff.

Scope

This policy will apply to all current and prospective students, staff and other RTO stakeholders.

Procedures

The RTO will not take responsibility for approving the accommodation, support and general welfare arrangements for any international student who has not turned 18.

Such a student would need to demonstrate the following for the grant of a student visa:

- That they will live in Australia with a parent or legal custodian; or
- That they will live in Australia with a relative over 21 years of age who has been nominated by a parent or legal guardian
- That they will live in Australia in accommodation and welfare arrangements approved by the RTO

RTO will direct the student's family/guardian to lodge an application for a homestay place through Australian Homestay Network.

Under 18 years of age and the role of the RTO (does not include legal guardianship) – The RTO does not enrol students below 18 years of age.

The following procedures will be used if RTO decides in future that they have systems and processes to enrol students below 18 years of age.

In case a prospective international student is still under the age of 18 at the time of applying for admission into an RTO course, an offer for admission will be made with the provision that the student will have completed 18 years of age before course commencement.

Where the RTO enrols a student, who is under 18 years of age, it must meet the Commonwealth, state or territory legislation or other regulatory requirements relating to child welfare and protection appropriate to the jurisdiction(s) in which it operates.

Registered providers must ensure students under 18 years of age are given age-and culturally-appropriate information on:

- who to contact in emergency situations, including contact numbers of a nominated staff member and/or service provider to the RTO
- seeking assistance and reporting any incident or allegation involving actual or alleged sexual, physical or other abuse.

In such cases, the PEO will undertake responsibility of signing the Confirmation of Appropriate Accommodation and Welfare (CAAW) and undertake welfare responsibilities on behalf of RTO.

Where the RTO takes on responsibility under the Migration Regulations for approving the accommodation, support and general welfare arrangements (but not including guardianship, which is a legal relationship not able to be created or entered into by an RTO) for a student who is under 18 years of age, the RTO must:

- nominate the dates for which the RTO accepts responsibility for approving the student's accommodation, support and general welfare arrangements and advise Immigration, which is responsible for administering the Migration Regulations, of the dates in the form required by that department
- ensure any adults involved in or providing accommodation and welfare arrangements to the student have all working with children clearances (or equivalent) appropriate to the jurisdiction(s) in which the RTO operates
- have and implement documented processes for verifying that the student's accommodation is appropriate to the student's age and needs:
    - prior to the accommodation being approved
    - at least every six months thereafter.
- include as part of their policy and processes for critical incidents under Standard 6, a process for managing emergency situations and when welfare arrangements are disrupted for students under 18 years of age
- maintain up-to-date records of the student's contact details as outlined in Standard 3.5, including the contact details of the student's parent(s), legal guardian or any adult responsible for the student's welfare
- advise Immigration in the form required by that department:
    - as soon as practicable if the student will be cared for by a parent or nominated relative approved by Immigration and a Confirmation of Appropriate Accommodation and Welfare (CAAW) is no longer required
    - within 24 hours if the RTO is no longer able to approve the student's welfare arrangements
- have documented policies and processes for selecting, screening and monitoring any third parties engaged by the RTO to organise and assess welfare and accommodation arrangements.

If the registered provider enrols a student under 18 years of age who has welfare arrangements approved by another registered provider, the receiving registered provider must:

- negotiate the transfer date for welfare arrangements with the releasing RTO to ensure there is no gap
- inform the student of their visa obligation to maintain their current welfare arrangements until the transfer date or have alternate welfare arrangements approved or return to their home country until the new approved welfare arrangements take effect.

If the RTO is no longer able to approve the welfare arrangements of a student, the RTO must make all reasonable efforts to ensure that the student's parents or legal guardians are notified immediately.

Cancellation/Suspension of Enrolment

Where the RTO suspends or cancels the enrolment of the overseas student, the RTO must continue to approve the welfare arrangements for that student until any of the following applies:

- the student has alternative welfare arrangements approved by another RTO
- care of the student by a parent or nominated relative is approved by Immigration
- the student leaves Australia
- the RTO has notified Immigration under Standard 5.3.6 that it is no longer able to approve the student's welfare arrangements or under Standard 5.5 that it has taken the required action after not being able to contact the student.

Continuous Improvement

A summary of all accommodation assistance related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

RTO values and is committed to protecting the privacy of its staff and students.

The purpose of this policy is that the RTO will not undertake responsibility for approving the accommodation, support and general welfare arrangements for any international student who has not turned 18. Stakeholders can obtain more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Student Support & Welfare Services Policy and Procedure
Forms or other organisational documents	
Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.3.1.2: Disciplinary Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.9.1; 6.9.3; 8.8.1; 8.9.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure appropriate disciplinary actions and the process and responsibilities for implementation. While this policy highlights the consequences of misbehaviour and breach of code of conduct, the RTO will report to the relevant authorities of any criminal acts committed by its students.

Objective

The RTO will ensure that there is a process for monitoring student's conduct, identifying students who are displaying any form of misconduct as defined in this policy or are not complying with the RTO's Code of Conduct and their contractual obligations.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

	Description	Responsibility
1.	**<u>Requirements / Process:</u>** • All students enrolled at RTO are, at all times, required to comply with RTOs Code of Conduct. Where behaviour is deemed to be improper or inappropriate as outlined below, RTO will act in accordance with the Student Disciplinary Policy described below. • RTO offers support services to students who need assistance to achieve their education goals including academic support and re-sitting assessments. • The very important requirement amongst these is to attend classes. **<u>ALL</u>** students are expected to attend class at the scheduled times. For International Students, unsatisfactory attendance may have negative implications for their Student Visa see *Monitoring Student Attendance Policy*. • Where the student is failing to meet the course progress requirements, then the *Course Progress Policy* will be applied including the development and monitoring of an intervention plan. For international students, unsatisfactory course progress may have negative implications for their student visa. • Any student who has been found to willingly or accidentally actiAICHMe fire or security alarms which results in the calling out of emergency services such as the fire department, police,	PEO Compliance Manager Student Support officer Trainer and Assessors

	ambulance or any other emergency service will be liable for whatever costs are incurred by their actions. Furthermore, students may be prosecuted under State or Federal laws in relation to their actions. • Improper or inappropriate behaviour may result in an investigation into the suspension of enrolment. • Serious misconduct is deemed to be behaviour that is illegal, wilful or premeditated. This behaviour can result in immediate suspension pending investigation and may lead to expulsion. For international students, misconduct may have serious negative implications for their student visa, as RTO may report them to the Department of Human Affairs (DOHA) authorities. • Misconduct of a criminal nature will be reported to the appropriate authority including the police for prosecution as appropriate.	
2	**<u>Student Disciplinary Procedure</u>** Where student behaviour breaches RTO Code of Conduct, disciplinary action will be taken and the following process will apply. The disciplinary process will be dealt with in a confidential manner. Investigation:	PEO Compliance Manager Student Support officer Trainer and Assessors

	• The Student Services Officer(s) (SSO) will meet with the student to discuss the incident. This will provide the student with the opportunity to present their perspective of the incident, including any supporting evidence and to discuss the possible consequences. • If the incident is not serious misconduct, the SSO will discuss the actions and consequences and remind them about the importance of observing the Code of Conduct. The SSO will also offer support to the students as RTO's policy. • If the incident is serious misconduct, the SSO will refer the matter to the Compliance Manager who will meet with the student to discuss the actions and the consequences. • The Compliance Manager will meet with the SSOs to review the incident and establish whether or not the incident is serious misconduct and to determine actions to be taken including the consequences for the student. • All meetings are to be formally recorded on a Student Interview Form and recorded on the Student file. • Following the meeting, a formal letter must be sent to the student identifying the issue and actions. This letter is to include the right to access the *Complaints and Appeals Procedure* if the student feels they have been unfairly treated. All communications will be recorded in the student's file.	

	• A note will be placed on the Student Management System (SMS) to identify that a disciplinary interview has taken place and that the details are located in the student's file. • Any repeated or serious misconduct will be dealt with by the PEO or their delegate.	
3	**Temporary Suspension** The RTO may after due consideration suspend a student for misconduct. This will be for a maximum of four weeks.	PEO Compliance Manager Student Support officer Trainer and Assessors
4	**Expulsion** • In the review of the behaviour, consideration will be given as to whether the student's behaviour constitutes cause for expulsion from RTO. • Factors that can be cited as reasons to expel are – o The safety of students or others o Failure to respond to repeated action plans to correct behaviour or study issues o Willful damage to others and property.	PEO Compliance Manager Student Support officer Trainer and Assessors

	○ Disruptive behaviour that will cause discomfort or disquiet to others.	
5	**Reporting to DOHA** Reporting of International Students to Department of Human Affairs (DOHA) authorities will be through PRISMS after the student has been informed of the opportunity to access the *Complaints and Appeals Process* and after any such complaint or appeals process is completed unless extenuating circumstances relating to the welfare of the student apply.	PEO Compliance Manager Student Support officer Trainer and Assessors
6	**Reporting to TPS** The RTO will report to the Director, Tuition Protection Scheme (TPS) if a student defaults from starting the course within 5 business days of the first day of the term's formal start date.	PEO Compliance Manager Student Support officer
7	**Plagiarism, collusion and cheating procedure** • Students are expected to read, comprehend, respect and comply with the policies and procedures regarding plagiarism, collusion and cheating. Students should also seek assistance from teaching staff if not sure about the proper way of gathering and using data or references.	PEO Compliance Manager Student Support officer Trainer and Assessors

	• RTO expects all teachers/ trainers/assessors to be aware of the potential of plagiarism and cheating and apply appropriate risk management strategies. • Staff are to make sure that students understand the implications of either act and both the reputational and financial cost of undertaking in such practices. • Staff are required to take time, especially at the beginning of a qualification to ensure that students understand what plagiarism and cheating are and how it is regarded in Australia. Importantly staff should take time to explain to students how to reference correctly. • Students and staff will have notices about improper use of material in their respective handbooks, websites and on the Course or unit outlines of every course or unit. • Staff that develop course materials are expected to design assessments that do not lend themselves to plagiarism, copying or collusion.	
8	**<u>Detection of Plagiarism</u>** • Staff is expected to actively plan to detect plagiarism. • If a staff member, when assessing a piece of work, suspects plagiarism they must subject the piece of work to a test or undertake sufficient research to	PEO Compliance Manager Student Support officer Trainer and Assessors

	satisfy themselves of the extent of the plagiarism (if any). • Many tools exist on the Internet to help detect plagiarism. • Plagiarism can vary in scale from incorrect referencing to blatant copying of large chunks of information. • Staff will have to exercise judgment in how to deal with each incident • Comments may be made in terms of the assessment (minor infringement) and a reminder of how to reference correctly • A formal warning may be issued and the student requiring them to be re-assessed	
9	**Detection of Cheating** • Staff will need to have evidence of cheating, for example, by observation in closed book test, by comparison of two students work or through use of an appropriate tool. • The offending student should immediately be made aware that the assessor knows and if it is a test situation, remove the student from that test. • If just one student is involved (e.g. obtaining answers without another student's knowledge) then that student will be marked as "Unsatisfactory" or "Not Yet Competent" and will lose their	PEO Compliance Manager Student Support officer Trainer and Assessors

	right to repeat the assessment under the *Assessment Policy*. • If collusion is suspected, then **ALL** students will be declared as cheating and will be marked as failing their assessment	
10	**Actions** • The assessor will inform the Compliance Manager . The appropriate form is to be filled out and signed by the student, and the trainer. • Compliance Manager reviews and investigates allegations. If allegations are found to be true, the students found to have cheated or plagiarised work will not be entitled to repeat the assessments – see below. • A meeting will be arranged within 10 working days to inform the student of the course of action taken and provide counselling where necessary. • The student will receive a formal letter confirming the decision and informing them of their right to appeal under the *Complaints and Appeals Policy*.	PEO Compliance Manager Student Support officer Trainer and Assessors
11	**Assessment Failure** • Students found to have cheated or plagiarised work will lose their right under the *Assessment Policy* to take a repeat assessment/test.	PEO Compliance Manager Student Support officer

	• Student will be required to repeat the unit/module and pay the appropriate repeat fee.	Trainer and Assessors

Continuous Improvement

A summary of all Disciplinary related matters will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

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Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Attendance Policy and Procedure Academic Management Policy and Procedure Teaching and Assessment Policy and Procedure Deferment, Suspension and Cancellation Policy and Procedure

Forms or other organisational documents	
Documents related to this policy	Student Interview Form Behaviour / Academic Warning Letter Template Notice of intention to report Template

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.3.1.3: Monitoring Student Attendance Policy

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.1.7; 8.1; 8.4; 8.5; 8.6; 8.6.1; 8.6.2; 8.6.3; 8.6.4; 8.6.5; 8.10; 8.11; 8.12; 8.12.1; 8.12.2; 8.12.3; 8.12.4; 8.13; 8.13.1; 8.14; 8.15;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure that the RTO monitors course progress by systematically monitoring, recording and assessing the academic progression of each student.

Being proactive in notifying, supporting and counselling students who are at risk of failing to meet the course progression requirements.

Describing the circumstances in which the RTO will report international students via PRISMS if they do not meet the course progress requirements.

Objective

The RTO will ensure that they will systematically monitor international student's attendance to ensure that students attend the timetabled activities which enable them to learn and demonstrate competence by completing their assessment activities.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Policy

- The Institute systematically monitors its vocational students' compliance with student visa conditions relating to attendance requirements.
- The Institute will be proactive in notifying and counselling vocational students who are at risk of failing to meet attendance requirements.
- The Institute will report vocational students, under the relevant legislation, who have breached the attendance requirements.
- International students must meet requirements for achieving satisfactory attendance, which at a minimum, requires international students to attend at least 80% percent of the scheduled course contact hours.

Procedures

Recording Attendance

Procedure	Responsibility
Trainers/Assessors to print the attendance roll sent by Admin/SSO	Trainers/Assessors and Admin/SSO
Students are required to sign in when they attend class at the start of the day and sign out when leaving class at the end of the day with a correct time stamp. Trainers/Assessors to oversee that this has been done. If a student has left the class without signing out, a note is to be written by the Trainer/Assessor on the sign in and out sheet and the student's attendance is recorded as 0 hours for the day.	Trainers/Assessors

Monitoring Attendance

Procedure	Responsibility
By the end of each week, trainer/assessor is to date and sign the completed Class Attendance Roll. Submit to the Student Admin/SSO	Trainers/Assessors Admin/SSO

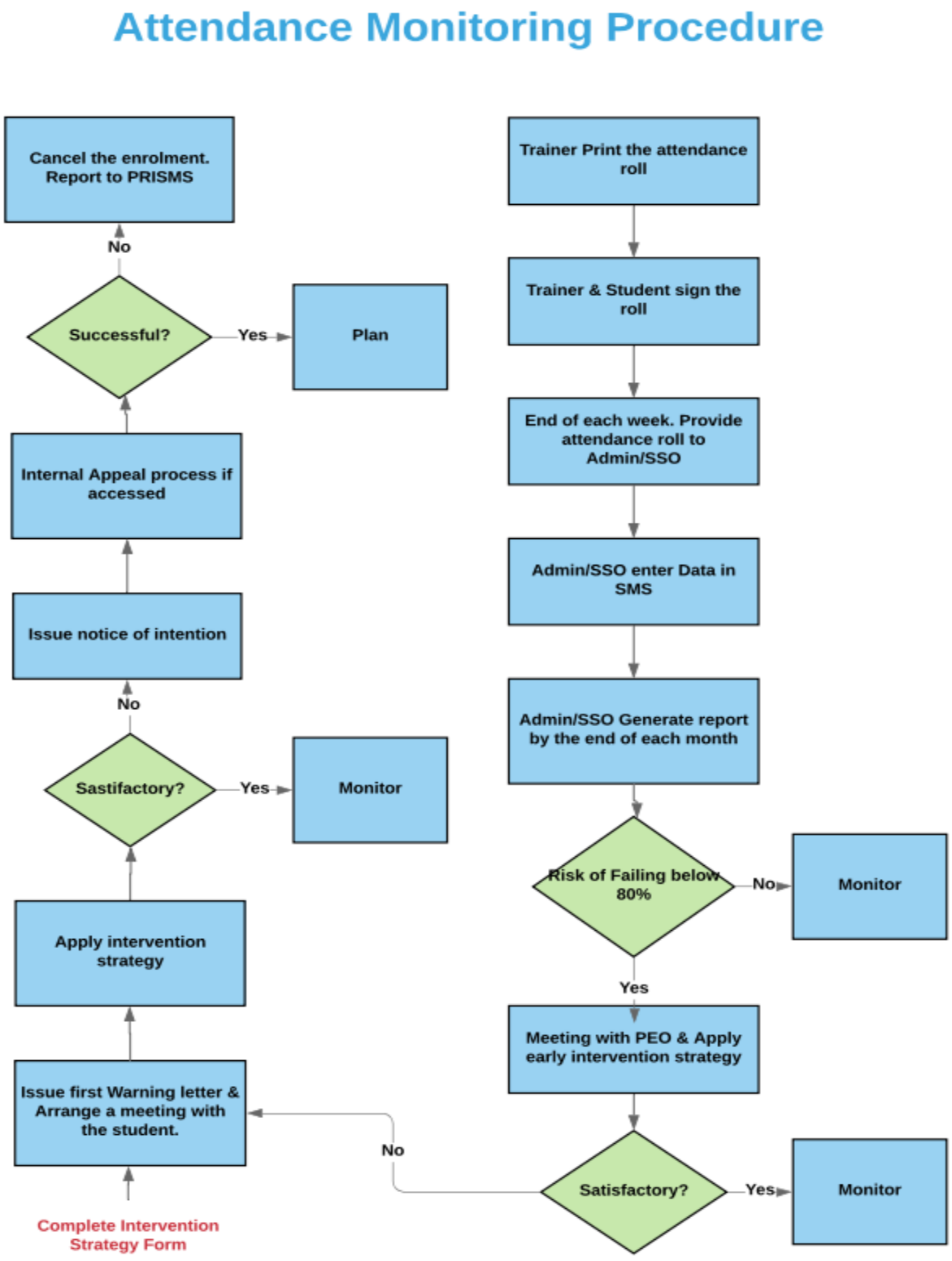
Procedure	Responsibility
Admin/IT enter attendance information on SMS. Scan the attendance roll and attached relevant course offer on SMS.	Admin/SSO
Students who were absent to classes due to medical or health reasons must submit a valid medical certificate along with the *Submission of Documentation Form*. Medical certificates must be submitted within 2 weeks of the absent days.	Student
Review medical certificates and if deemed to be fraudulent, report the matter to PEO.	Student support Officer / Admin

Reporting Unsatisfactory Attendance - International Student Visa Holders

Procedure	Responsibility
Email students who are at risk of falling below 80% attendance rate based on SMS report by the end of each month.	Student support officer/ Admin
Counsel and intervene students as required for improvements to attendance In the meeting with student, PEO will discuss student attendance and course progress including how many units completed. Based on the progress of the student, PEO may propose the following options: • Ask to attain catchup classes • Submit all the remaining assessment by deadline • Provide additional trainer/assessor support • Refer other counselling support as required PEO will complete the Intervention Strategy Form and collect the student signature.	PEO
Prepare a list of students from all classes who have a current attendance rate of below 80% or have missed 5 consecutive days of classes and report to the PEO by the end of each month.	Student support officer PEO
Review the student list and generate the First Warning Letter on Unsatisfactory Attendance. Update the information on SMS. Arrange a meeting with student and discuss the intervention options and complete the Intervention Strategy Form.	SSO PEO

Procedure	Responsibility
If the student does not respond to the first warning and will not be able to achieve 80% attendance by the end of the study period, then inform all the student information to PEO.	Student support officer
Review the student list and send notice of intention to report to the relevant students including the expiry date for appeal process.	SSO/PEO
If student wishes appeal and completed the relevant documents by the expiry date then PEO will Follow the *Complaints and Appeals Policy and Procedure* for outcome.	PEO
If student has not appealed by the expiry date or chosen not to access the external complaints and appeals process or withdraws from the internal or external appeals processes by notifying AICHM in writing, begin process for reporting and cancellation of student's enrolment as per Deferral, Suspension and Cancellation Policy and Procedure.	SSO/Administration
Reporting of student's breach of visa conditions via PRISMS – after 20 working days after letter of intention to report; and after any appeal process has been exercised and exhausted	Student Support Officer

Flow chart


Attendance Monitoring Procedure
Trainer Print the attendance roll
Trainer & Student sign the roll
End of each week. Provide attendance roll to Admin/SSO
Admin/SSO enter Data in SMS
Admin/SSO Generate report by the end of each month
Risk of Failing below 80%
No
Monitor
Yes
Meeting with PEO & Apply early intervention strategy
Satisfactory?
No
Yes
Monitor
Issue first Warning letter & Arrange a meeting with the student.
Complete Intervention Strategy Form
Apply intervention strategy
Sastifactory?
Yes
Monitor
No
Issue notice of intention
Internal Appeal process if accessed
Successful?
Yes
Plan
No
Cancel the enrolment. Report to PRISMS

Continuous Improvement

A summary of all student attendance monitoring related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

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Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	
Forms or other organisational documents	Attendance warning letter
Documents related to this policy	

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.3.1.4: Special Needs Assessment Guidelines and Reports Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.4; 6.6; Standards for RTOs 2015 – Standard: 1.3(b); 1.7; 5.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

Characteristics and circumstances such as having a disability, carer responsibilities, cultural or religious obligations, of Indigenous origin, or having English as a second language may result in a student requiring reasonable adjustments for some or all of their assessments.

Reasonable adjustment describes the actions or changes to be implemented in order to ensure that a student will be able to participate in the learning on the same basis as other students.

Objective

The RTO will ensure that its services provide access to and equity for all students and potential students and that the RTO's policies and procedures are fair and do not discriminate against any person as required by legislation.

Where the RTO cannot meet individual student's needs and believes it cannot offer students the best service possible, it will refer them to another training provider.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

Course and Training Delivery Modification Guidelines

Delivery strategies that can be employed by the trainers to accommodate students with reading difficulties could include:

- Minimising amount of reading requirements undertaken during the course.
- Explain content and information verbally and visually.
- Read aloud from overheads.
- Extensive use of demonstration and simulation.
- Explaining written concepts verbally.
- Using oral questioning technique to highlight critical information requirements.
- Use of group activities where other students are responsible for the reading requirements of the task.
- Using visuals to support written text.
- Enlarging text.

Delivery strategies that can be employed by the trainers to accommodate students with writing difficulties could include:

- Utilise group exercises so that the responsibility for writing rests with more than one person
- Provide examples of completed written tasks.
- Ensure that documents and forms are written and formatted in plain English
- Highlight critical key words and / or phrases
- Use of glossaries for technical terms

Delivery strategies that can be employed by the trainers to accommodate students with hearing difficulties could include:

- Ensuring audio-visual materials are accompanied by transcripts or subtitles
- Encourage students with hearing impairment to seat themselves toward the front of the class where they will have an unobstructed line of vision
- Ensure that any background noise is minimised or turned off if possible and the classroom is well lit.
- Repeat clearly any questions asked by students in the class before offering a response.
- Trainers ensure that they do not speak when facing the whiteboard.
- Ensure all information to students is available in handouts and hardcopy.

Delivery strategies that can be employed by RTO trainers to accommodate students with numeracy difficulties could include:

- Supporting students to identify in words what the numeracy problem is and how they might solve it, in step by step way manner.
- Demonstrating to students how to undertake calculations in step by step manner.
- Support students to work out the Calculations/Measurements are required.
- Encourage the use of calculators and demonstrating how to use them.

Modifications for assessment purposes could include:

- Assessment questioning or projects submitted orally rather than in written form. This could be undertaken on a one on one basis or by tape recording or other audio device.
- Assessment undertaken by observation and oral questioning of underpinning knowledge and theory
- Assessment questions read to student s and the student answers the question orally
- Group work or activities, where other students can act as scribe
- Use of a personal support person who can read and scribe for student
- Use of interpreters where necessary

Continuous Improvement

A summary of all special needs of the students related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

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Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Educational Resources and Equipment Policy. Student Support & Welfare Policy
Forms or other organisational documents	
Documents related to this policy	International Student Application form Excursion form

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.3.1.5: Student Support & Welfare Services Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.10; 5.3; 5.3.1; 5.3.4; 6.1; 6.3; 6.4; 6.5; 6.6; 7.3.2; 10.2.4; Standards for RTOs 2015 – Standard: 1.3(b); 1.3(c); 1.3(d); 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed and implemented to ensure that RTO is committed to provide care and support for students, and to promote a positive learning environment for all.

Objective

RTO will ensure that all students feel safe and supported and contribute in a positive manner to the RTO community.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Policy

Overseas student support services

- RTO must support the overseas student in adjusting to study and life in Australia by giving the overseas student information on or access to an age and culturally appropriate orientation program that provides information about:
    - support services available to assist overseas students to help them adjust to study and life in Australia
    - English language and study assistance programs
    - emergency and health services
    - RTO's facilities and resources
    - complaints and appeals processes
    - requirements for course attendance and progress, as appropriate
    - the support services available to assist students with general or personal circumstances that are adversely affecting their education in Australia
    - services students can access for information on their employment rights and conditions, and how to resolve workplace issues, such as through the Fair Work Ombudsman.
- RTO must give relevant information or provide referrals as appropriate to overseas students who require assistance in relation to services and programs, at no additional cost to the student
- RTO must facilitate access to learning support services consistent with the requirements of the course, mode of study and the learning needs of overseas student cohorts, including having and implementing documented processes for supporting and maintaining contact with overseas students undertaking online or distance units of study.
- RTO must designate a member or members of its staff to be the official point of contact for its overseas students. The student contact officer or officers must have access to up-to-date details of the RTO's support services.
- RTO must have sufficient student support personnel to meet the needs of the overseas students enrolled

- RTO must ensure its staff members who interact directly with overseas students are aware of the RTO's obligations under the ESOS framework and the potential implications for overseas students arising from the exercise of these obligations.
- The RTO must implement a documented process for managing critical incidents that could affect the student's ability to undertake or complete a course. Incidents may include but are not limited to physical and psychological harm.
    - RTO must maintain a written record of any critical incident and remedial action taken by the RTO for a at least two years after the overseas student ceases to be an accepted student
- RTO must:
    - Take all reasonable steps to provide a safe environment on campus and advise overseas students and staff on actions they can take to enhance their personal security and safety
    - Provide information to overseas students about how to seek assistance for and report an incident that significantly impacts their wellbeing, including critical incidents
    - Provide overseas students with or refer them to (including electronically) general information on safety or awareness relevant to life in Australia.

Students under the age of 18 – RTO currently do not enrol students under the age of 18 years of age.

Where RTO enrols a student, who is under 18 years of age, it must meet the Commonwealth, State or Territory legislation or other regulatory requirements relating to child welfare and protection appropriate to the jurisdiction(s) in which it operates.

RTO must ensure students under 18 years of age are given age and culturally appropriate information on:

- who to contact in emergency situations, including contact numbers of a nominated staff member and/or service provider to the RTO.
- seeking assistance and reporting any incident or allegation involving actual or alleged sexual, physical or other abuse.

Where RTO takes on responsibility under relevant regulations for approving the accommodation, support, and general welfare arrangements (but not including guardianship, which is a legal relationship not able to be created or entered into by the RTO) for a student under the age of 18, the RTO must:

- present the dates for which RTO accepts responsibility for approving the student's accommodation, support and general welfare arrangements and advise Department of Human Affairs (DOHA), which is responsible for administering the Migration Regulations, of the dates in the form required by that department
- ensure any adults involved in or providing accommodation and welfare arrangements to the student have all working with children clearances (or equivalent) appropriate to the jurisdiction(s) in which RTO operates
- have and implement documented processes for verifying that the student's accommodation is appropriate to the student's age and needs:
    - prior to the accommodation being approved
    - at least every six months thereafter
- have a process implemented in their policies for managing emergency situations and situations where welfare arrangements are disrupted for students under 18 years
- maintain current records of the student's contact details, including the contact details of the student's parent(s), legal guardian or any adult nominated for responsibility of the student's welfare
- advise Department of Human Affairs (DOHA) in the form required by that department:
    - as soon as practicable if the student will be cared for by a parent or nominated relative approved by Department of Human Affairs (DOHA) and a Confirmation of Appropriate Accommodation and Welfare (CAAW) is no longer required
    - within 24 hours if the RTO is no longer able to approve the student's welfare arrangements
- have documented processes for selecting, screening and monitoring any third parties engaged by the RTO to organise and assess welfare and accommodation arrangements

Where or if the RTO is no longer able to approve the welfare arrangements of a student, the RTO must make all reasonable efforts to ensure that the student's parents or legal guardians are notified immediately.

If the RTO is unable to contact a student and has concerns for the student's welfare, the RTO must make all reasonable efforts to locate the student, including notifying the police and any other relevant Commonwealth, state or territory agencies as soon as practicable.

In the case that the RTO undertakes the responsibility (under the Migration Regulations) for approving welfare arrangements, and the RTO suspends or cancels the enrolment of the international student, the RTO must continue to approve the welfare arrangements for that student until any of the following applies:

- the student has alternative welfare arrangements approved by another RTO
- care of the student by a parent or nominated relative is approved by Immigration
- the student leaves Australia
- the RTO has notified Immigration that it is no longer able to approve the student's welfare arrangements or that it has taken the required action after not being able to contact the student

In the case that the RTO enrols a student under 18 years of age who has existing welfare arrangements approved by another registered provider, the receiving RTO must:

- negotiate the transfer date for welfare arrangements with the releasing RTO to ensure there is no gap
- inform the student of their visa obligation to maintain their current welfare arrangements until the transfer date, or have alternate arrangements approved or return to their home country until the new approved welfare arrangements take effect

Guidelines

General

- The services will be documented in the Student Handbook which is made available to every student during the Orientation Program. Students will be asked to sign the Student Orientation Attendance Form at that time.

- Student Services are designed to help all students, but particularly international students who are living and studying in Australia.

- The Student Services Officer (SSO) is always available for students to provide guidance and advice on both academic and personal issues. The SSO may also refer students to other professional and confidential advisory services in specialist areas such as legal, private counselling and support agencies.

Types of Service available

- Student Support Services/ Welfare Officer provide services which address the mental, physical, social and spiritual well-being of students. These services may include, through direct provision or referral, information/advice about: accommodation, counselling, crisis services, disabilities and equity issues, financial matters, legal issues, medical issues, mental health, peer mentoring, programs promoting social interaction, religious and spiritual matters, and stress management. *Note: cancelling and mental health related concerns will be directed to relevant third parties*.

- A dedicated SSO will communicate effectively with a wide range of people utilising a non-judgmental attitude and will deal with conflict in stressful situations with a commitment to human rights and social justice.

- Counselling services and other external referrals will be arranged if deemed appropriate by the Student Support Officer. There is no fee attached to this welfare support and referral service. Any cost charged by the external services will be paid by the students.

- All the support services also discussed and explained in the orientation session. All the student must attain the orientation session.

Meeting Course Requirements and Attendance Requirements

- RTO provides best-practice student academic support and intervention to optimise achievement of learning outcomes as well as satisfy the provisions of Standard 8 of the *ESOS National Code 2018*.

Language, Literacy and Numeracy Support

- All students are provided with an LLN test at the beginning of any course at RTO. If a student is found to need additional literacy and numeracy (LLN) support or if the LLN deficiency clearly inhibits the student's ability to complete their course, they may be advised to defer their course and to enrol in a suitable English course, and after successful completion, to resume their original course of studies.

- AICHM provide LLN support as required based in the LLN test. LLN support will be provided by the AICHM trainers.
- If RTO cannot provide a course suitable to properly assist the student, he/she will be referred to an organisation that can assist in improving their skills. On attaining proficiency, they may then resume or reapply to RTO.

Reasonable Adjustment

- The Disability Discrimination Act uses the principle of reasonable adjustment, which is also called reasonable accommodation, to ensure that people with disabilities are treated equally. This means that 'reasonable adjustments' must be made wherever possible to meet the needs of a student with a disability.

- RTO acknowledges the Disability Discrimination Act 1992 and the Disability Standards for Education 2005, and its obligation as an education and training provider to support the rights of students with a disability to participate in educational courses and programs on the same basis as students without a disability.

- Students who wish to apply for adjustments to teaching or assessment methods on the basis of a disability should contact the Compliance Manager and bring supporting documents for consideration of disability (e.g. a letter from your treating professional).

- Reasonable adjustments to training and assessment methods are made using the following principles:
    - Students with disabilities are subject to the standard rules and policy on assessment and teaching methods, and assessment is only varied where a student can demonstrate with appropriate documentation that he/she is disadvantaged because of disability.
    - The nature of reasonable adjustments are such that they are designed to minimise the disadvantage experienced by students with disabilities, rather than provide students with a competitive advantage.
    - Any adjustments to assessment for a student with a disability are to be made in such a way as to ensure that the fundamental nature of the assessment remains

the same i.e. student with disabilities are still required to demonstrate a pre-determined level of ability in relation to essential competency requirements.

The Student Services Officers will have access to the latest ESOS framework updates and changes. RTO will ensure that the SSO and all the staff members who are involved with the students are aware of RTO's obligations under the ESOS Framework and the potential implications for students arising from the exercise of these obligations are made aware during the Induction and will be asked to confirm their knowledge of ESOS by signing off on the induction checklist.

Student Hardship

The requirements of study may present some students with hardship, due to economic, social, or other difficulties. Where genuine hardship exists, a student may seek permission to review their workload or other related matters.

To make a request, a student will be required to provide a letter to the Student Support Officer describing the reason for their hardship. It is essential to include evidence supporting a claim of hardship, for example:

- Financial hardship: Financial documents, pay slips or bank statements which indicate financial status;
- Medical grounds: Medical certificates stating nature of condition, duration;
- Family Situation: Doctor or Counsellor's report or recommendation, external community/welfare agency recommendation

Student Support Officer shall review the request and where necessary arrange a face-to-face meeting to discuss the issues and provide the required support through internal or external referrals and advice.

Continuous Improvement

A summary of all Student support and Support services related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues

- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff. This policy has been developed to ensure that the program is developed to promote professional and personal development among staff by connecting them with others who can advise, coach, guide, and support them, as well as help them understand the environment in which they are operating. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	• Access and Equity Policy and Procedure • Complaints and Appeals Policy and Procedure • Fees Refund Policy and Procedure • Student Academic Progress Monitoring Policy and Procedure • Student Attendance Monitoring Policy and Procedure
Forms or other organisational documents	• Student Brochure • Induction letter • Student Handbook • Notice of Intention to Report Letter
Documents related to this policy	

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.3.1.6: Complaints and Appeals Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 3.3.7; 3.4.5; 6.1.6; 7.5.2; 7.6; 8.13.3; 8.14.1; 8.14.2; 8.14.3; 9.4.2; 10.1; 10.2; 10.3; 10.4; Standards for RTOs 2015 - Standard 6
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to provide clear and practical guidelines to ensure that student's complaints/grievances and appeals can be resolved in accordance within the principles of natural justice, fairly, efficiently and effectively.

Objective

The objective of this Policy and Procedure is to ensure that RTO has:

- suitable and appropriate complaints and appeals processes, procedures and protocol in place.
- An appropriate policy framework to comply with the complaints and appeals (internal and external) process
- personnel that understand and know their responsibilities and obligations.

Scope

This policy and procedure applies to all current, prospective and previous students of RTO and all staff.

Complaints and appeals may be made in relation to any of the following:

- RTO, its trainers, assessors or other staff;
- Education agent
- Any third-party providing services on RTO's behalf, its trainers, assessors or other staff;
- Assessment/RPL outcome;
- Fees and refunds/re-crediting or
- A student of RTO.

General Processes

Despite all efforts of RTO to provide satisfactory services to its students, complaints may occasionally arise that require formal resolution or students may appeal against a complaint outcome or educational determination (e.g. assessment result). In this instance, RTO must implement their documented internal complaints handling and appeals process and policy, and provide the overseas student with comprehensive, free and easily accessible information about that process and policy.

RTO's internal complaints process must:

- Include a process for the student to lodge a formal complaint or appeal if a matter cannot be resolved informally
- Ensure that RTO will respond to any complaint/appeal the student makes regarding their dealings with RTO, their education agents or any related party the provider has an arrangement with to deliver the course or related services.
- Commence assessment of the complaint/appeal within 10 working days of lodgement in accordance with the RTO's complaints handling policy and process, and finalise the outcome as soon as practicable
- Ensure the student is given an opportunity to formally present their case at minimal or no cost and be accompanied and assisted by a support person of their choice at any relevant meetings
- Conduct the assessment of the complaint or appeal in a professional, fair and transparent manner
- Ensure the student is given a written statement of the outcome of the appeal, including detailed reasons for the outcome

- Keep a written record of the complaint/appeal, including a statement of the outcome and reasons for the outcome.

Staff also have the right to avail themselves of this process.

RTO will approach all complaints and appeals with an open view and attempt to resolve issues through discussion and conciliation. Where a complaint cannot be resolved through discussion and mediation, RTO acknowledges the need for an appropriate external and independent agent to mediate between the parties.

RTO understands individuals' concerns regarding confidentiality and is totally committed to fair treatment respecting and upholding individuals' rights to privacy protection under the Australian Privacy Principles (APPs) contained in The Privacy Act amended 1988 (Cth). RTO respects the privacy rights of all individuals in the workplace. RTO has implemented a program to ensure compliance with the APPs.

RTO understands that despite all its efforts to provide satisfactory services to its students, complaints may occasionally arise that require formal resolution. Students have the opportunity to have any complaint or appeal resolved and resolutions reached that attempt to satisfy all parties. There is no cost to the student unless the referral is made to a third party.

Complaints may be made in relation to any of RTO's services and activities including but not limited to:

- The application and enrolment process
- Marketing information
- Education agent
- The quality of training and assessment provided
- Training and assessment matters, including student progress, student support and assessment requirements
- The way someone has been treated
- The actions of another student
- Personal safety
- Customer service and administration
- The issue of result, certificate and statement of attainment
- Learning resources
- Fees and changes
- Student amenities and facilities

- Discrimination
- Sexual harassment
- Other issues that may arise

Where a stakeholder is not satisfied with the RTO's decision regarding their complaint, they may appeal against that decision.

RTO is committed to developing a procedurally fair complaints and appeals process that is carried out free from bias, following the principles of natural justice. Through this policy and procedure, RTO ensures that complaints and appeals:

- Are responded to in a consistent and transparent manner.
- Are responded to promptly, objectively, with sensitivity and confidentiality.
- Can be made at no cost to the individual.
- Are used as an opportunity to identify potential causes of the complaint or appeal and to take action to prevent the issue from recurring as well as identifying any areas for improvement.
- Are viewed as an opportunity to improve the organisation and how it works.
- Are responded to from a view that is client focused and helps RTO to prevent these events from recurring.
- Ensure that complaints and appeals are resolved promptly, objectively, with sensitivity and in complete confidentiality.
- Are treated confidentially and that the views of each complainant, appellant and respondent are respected and that any party to complaint or appeal is not discriminated against nor victimised.
- Are dealt with in a fair, equitable and consistent manner.

RTO must ensure that students are fully informed of their right to lodge a complaint or appeal.

Students must be informed that the person(s) responsible for investigating the complaint will not be the subject of the complaint or appeal.

Procedures

	Procedure Steps	Responsibility	Reference
1	Informal Complaint	Trainer Administration	
2	Formal Complaint	CEO Trainer Compliance Manager	

The complaints and appeals policy and procedure and form are made available to all students and potential students by directly contacting RTO, through RTO's website, pre-enrolment and Student Handbooks.

Where possible, all informal attempts shall be made to resolve the issue (informal complaint) this may include advice, discussions, meeting with the student, emails and general mediation in relation to the issue and the student's issue. Any staff member can be involved in this informal process to resolve issues, but once a student has submitted a formal complaint/appeal, the following procedures must be followed.

If a student is uncomfortable with speaking directly to the person involved or the informal process does not resolve the issue to the student's satisfaction, the formal process should be followed as described below.

Where a student is unhappy with the outcome of an assessment decision, this will be dealt with under assessment appeals.

Formal Complaints

Any student, potential student, employee or third party may submit a formal complaint to RTO with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for the complaints process unless it is referred to a third party. Complainants

have the right to access advice and support from independent external agencies/persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the CEO.

Any person wishing to submit a formal complaint can do so by completing the Complaints and Appeals Form and state their case, providing as many details as possible. This form can be obtained by contacting the administration staff at RTO, or through the RTO website.

All formally submitted complaints are submitted to the Compliance Manager /PEO.

Once a formal complaint is received it will be entered into the Complaints and Appeals Register and written acknowledgment will send to the complainant which is monitored by the Compliance Manager regularly. The information to be contained and updated within the register is as follows:

- The name of the complainant
- Date of the complaint
- Type of complaint
- Name of investigating officer/business unit assigned to deal with the complaint
- Response from those involved in the allegations
- Analysis of the matter
- Outcome of complaint
- Action recommended addressing systemic issues (if any)
- Time taken to investigate the complaint
- Complainant satisfaction with the outcome.

A student may be assisted or accompanied by a support person at any face to face meetings regardless of the nature of the issue or complaint throughout the process.

The Compliance Manager will then refer the matter to the appropriate staff members or CEO to resolve or decide on the complaint within 10 working days and keep the complainant informed of any decisions or outcomes concluded, or processes in place to deal with the complaint.

Where a decision is expected to take longer than 60 days, RTO will advise the student in writing of the delay and include the reasons for the delay. Thereafter the student will be provided with weekly updates in writing of the progress of the complaint or appeal. Weekly updates to both complainant and appellant will be provided by the Administration Manager. If the decision is taking more than 60 days, the matter can be forwarded to an external complaint resolution organisation as well for resolution.

Once a decision has been reached, the Compliance Manager informs all parties involved in writing. Where the complaint process does not find in favour of the learner, students must be notified within 10 working days of concluding the internal review that they have the right to appeal. To appeal a decision, RTO must receive, in writing, grounds of the appeal within 10 days of the date of the notice of the decision.

The Compliance Manager ensures that RTO will act immediately on any complaint where the complaints process results in a decision that supports the student. RTO will immediately implement any decision and/or corrective and preventive action that is required and advise the student of the outcome.

Copies of all documentation, outcomes and further action required will be placed on the Complaints and Appeals Register by the Compliance Manager or representative and also in the student's file.

Appealing

All students have the right to appeal decisions made by RTO where reasonable grounds can be established. The areas in which a student may appeal a decision made by RTO may include:

- Any other conclusion/decision that is made after a complaint has been dealt with RTO in the first instance as described in the complaints process above. This is referred to as a general appeal.
- Assessments decisions as set out below (assessment appeals).

To activate the appeals process, the student must complete a Complaints and Appeals Form that is to include a summary of the grounds the appeal is based upon. The reason the student feels the decision is unfair is to be clearly explained and help and support with this process can be gained from RTO staff. With regard to general appeals, The Complaints and Appeals Committee determines the validity of the appeal and organises a meeting with all parties involved in the matter and attempts to seek resolution where appropriate.

The process for all formally lodged appeals will begin within 10 working days of the appeal being lodged.

The Complaints and Appeals Committee ensures RTO acts on any substantiated appeal.

The Complaints and Appeals Committee is made up of three people; the three people will be selected from this group: the CEO and Compliance Manager and one other person nominated by the CEO.

General Appeals

Where a student has appealed a decision or outcome of a formal complaint, they are required to notify RTO in writing within 20 working days of the grounds of their appeal. Any supporting documentation should also be attached to the appeal

The appeal shall be lodged through the Complaints and Appeals Committee and they shall record the details of the appeal in the Complaints and Appeals Register.

The Complaints and Appeals Committee will be notified and will seek details regarding the initial documentation of the complaint and make a decision based on the grounds of the appeal.

The student will be notified in writing of the outcome with reasons for the decisions, and the Complaints and Appeals Register updated. The student will also be provided with the option of activating the external appeals process if they are not satisfied with the outcome. The student is required to notify RTO if they wish to proceed with the external appeals process.

Assessment Appeals

Where a student wishes to appeal an assessment, they are required to notify their Trainer in the first instance. Where appropriate their Trainer may decide to re-assess the student to ensure a fair and equitable decision is gained. The Trainer shall complete a written report regarding the re-assessment outlining the reasons why assessment was - or was not - granted.

If this is still not to the student's satisfaction, the student may formally lodge an appeal. They will lodge this with the Complaints and Appeals Committee and the appeal will be entered in the Complaints and Appeals Register.

The Compliance Manager will be notified and will seek details from the Trainer involved and any other relevant parties. A decision will be made regarding the appeal either indicating the assessment decision stands or details of a possible re-assessment by a third party. The third party will be another Trainer appointed by RTO.

The student will be notified in writing of the outcome with reasons for the decision, and the Complaints and Appeals Register updated. The student will also be provided the option of activating the external appeals process if they are not satisfied with the outcome. The student is required to notify RTO if they wish to proceed with the external appeals process.

External Appeals

If not satisfied with the decision in stage 2, the complainant may request that the matter be further reviewed by an external dispute resolution process, by the body appointed by RTO for that purpose.

The details of these external bodies are as follows:

LEADR Complaints, Appeals and Resolution Department
https://www.leadriama.org/aboutleadr/compliments-suggestions-and-complaints

Or

By contact with the Legal Aid Department in your relevant state.

The division of the expenses associated with the mediation e.g. mediator's fee, room hire and possibly travel expenses are to be shared equally between RTO and the complainant.

The RTO will immediately implement recommendations arising from the external review within at least 10 working days of the receipt of the recommendations.

Further information

If a client (student or other party) is still dissatisfied with the decision of RTO, they may wish to seek advice or make a complaint about RTO to ASQA directly. If, after RTO's internal complaints and appeals processes have been completed, the complainant still believes RTO is breaching or has breached its legal requirements, the complainant can submit a complaint to ASQA by completing the "Complaint about a training organisation operating under ASQA's jurisdiction" form. While ASQA will not be able to act as the complainants advocate the lodgement of the complaint will inform ASQA's risk assessment of RTO and a complaint audit may be conducted.

Contact details for ASQA are:

Australian Skills Quality Authority

Melbourne - Level 6, 595 Collins Street

Brisbane - Level 7, 215 Adelaide Street

Sydney - Level 10, 255 Elizabeth Street

Canberra - Ground Floor, 64 Northbourne Avenue

Perth - Level 11, 250 St Georges Terrace Adelaide - Level 5, 115 Grenfell Street

Hobart - Level 11, 188 Collins Street Telephone: 1300 701 801

Email: *complaintsteam@asqa.gov.au*

Website: *www.asqa.gov.au*

RTO Staff may also use this complaints and appeals process. RTO will use all complaints as an opportunity for continuous improvement.

This policy and procedure is compliant with VQF and National Code Standards in providing a process for complaints and appeals to be heard and actioned where necessary.

The RTO Complaints and Appeals policy - principles of natural justice and procedural fairness

- All parties to a complaint or appeal have the opportunity to put their case and have this properly considered
- Any allegation against an RTO staff member or member of a subcontractor party is made known to that person
- Investigations and decisions are made by persons who do not exercise bias
- A complainant should feel confident that they will not suffer any discrimination as a result of using the complaint or appeal process
- Confidentiality shall be maintained to the extent of the people that need to be directly involved in the complaint or appeal process.
- All the information regarding this policy can be found:
    - On RTO's website
    - In the Pre-Enrolment Handbook and Learner Handbook
    - In the Staff Handbook
    - In the Letter of Offer and Agreement
    - During Orientation
- The student can be supported or accompanied by an independent person or friend during the complaints and appeals process.
- It is normal RTO policy that whilst a student is going through any formal complaint or appeals process that the student remains enrolled at RTO and continues their studies and assessments in the normal way. It should be noted that if the complaint or appeal has resulted in the student being suspended or excluded due to a breach of the Student Code of Conduct, then the suspension or exclusion shall continue until either it has expired, or the result of the complaint or appeal is decided in the students favour.
- RTO has a fair and transparent informal and formal complaints and appeals process, but should the student require it, access is available to an independent mediator who can review the complaint and/or appeals process.

Important: see note at beginning of the section on External Appeals Procedure below.

NOTE: If the outcome is in the appellant's favour then RTO will implement any changes recommended by the adjudicator immediately and advise the appellant of the outcome and actions taken.

General Process to lodge a complaint or internal appeal

The process to be followed for an external appeal is documented by LEADR for Students.

The following actions must be completed for a complaint or internal appeal:

Topic	Process
Availability of Complaints and Appeals Policy and Procedures	The complaints and appeals policy and procedure and form are made available to all students and potential students by directly contacting RTO, through the RTO's website, pre-enrolment and Learner handbooks.
Informal Complaints	Where possible all informal attempts shall be made to resolve the issue (informal complaint). This may include advice, discussions, meeting with the student, emails and general mediation in relation to the issue and the student's issue. Any staff member can be involved in this informal process to resolve issues but once a student has placed a formal complaint / appeal the following procedures must be followed.

Receive and acknowledge the Formal complaint	Complaints Any student, potential student, employee or third party may submit a formal complaint to RTO with the reasonable expectation that all complaints will be treated with integrity and privacy. There is no cost for the complaints process unless it is referred to a third party Complainants have the right to access advice and support from independent external agencies/persons at any point of the complaint and appeals process. Use of external services will be at the complainant's costs unless authorised by the CEO. Any person wishing to submit a formal complaint or appeal can do so by completing the Complaints and Appeals Form and state their case providing as many details as possible. This form can be obtained by contacting Administration staff at RTO, or through the RTO website. a. As per policy, complaints are to be made in writing by the complainant. b. The Compliance Manager should review all complaints upon receipt. c. Acknowledge receipt of complaint in writing by sending a letter to complainant. d. Record details of the complaint on the Complaints and Appeals Register.

Review of Complaint or Appeal	Once a complaint or appeal is received and checked for it should be forwarded to the review person (identified in the table below) for review.
Cost	There will be no charge to the complainant or appellant for the lodgement or presentation of their case. Incidental expenses for attending RTO offices to lodge the document or attend a meeting or any charges incurred (e.g. telephone) will NOT be reimbursed.
Presentation of case	All complainants and appellants must be given the opportunity to formally present their case and to be accompanied by a friend or third party to support them (and if language is an issue to help them present their case). The cost to accompany that friend/third party will be at their own cost.
Determination	The Review Person may gather evidence and constitute a review committee as they see fit. This process must be commenced within 10 working days of the lodgement of the complaint or appeal (and receipt of all supporting evidence) and complete the process within a reasonable time period usually 10- 15 working days. If further evidence is requested, then the Review Person must communicate with the complainant or

	appellant as soon as possible and within 5 working days asking for evidence. The process will be put on hold until the evidence is received. How a decision is reached will be advised in the written response to the complainant or appellant.
Timescale	The complaint or appeal should normally be commenced within 10 working days of the receipt of the completed form and associated supporting material. See "Determination" above in relation to request of supplementary information.
Appeal following a complaint	If the complainant is not happy with the decision, they may appeal. That appeal is on the fairness and objectivity of the decision.
Formal response to a complaint	A template for a formal written response has been developed for when the complaint is accepted or rejected. This included the complainant's right to access the Internal Appeals process.
Formal response to an appeal	A template for a formal written response has been developed for when the appeal is accepted or rejected. This includes the complainant's right to access the External Appeal process.

Documentation	All documentation relating to a formal complaint or appeal must be recorded on the student file. This must include the initial form, supporting evidence, meeting minutes, copy of correspondence with all concerned parties. This information will be kept confidently and stored securely for 7 years. Documentation of all complaints and appeals and their outcomes is securely maintained. Potential causes of complaints and appeals are identified, and RTO takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence.
Complaints and Appeals Register	All formal complaints or appeals must be logged in the Complaints and Appeals Register
Learning	A complaint or appeal is a learning opportunity for RTO. The outcome will be seen as an input to the continuous improvement process. Any decisions that support students will be immediately implemented

Standards for Registered Training Organisations 2015	Subject to Clause 6.6, to be compliant with Standard 6 RTO has the following procedures in place: 1. RTO has a complaints policy to manage and respond to allegations involving the conduct of: a) RTO, its trainers, assessors or other staff; b) a third-party providing services on RTO's behalf, its trainers, assessors or other staff; or c) a student of RTO. 2. RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by RTO or a third-party providing services on the RTO's behalf. 3. RTO's complaints policy and appeals policy ensure: a) the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process; b) are publicly available; c) set out the procedure for making a complaint or requesting an appeal; d) complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and e) provide for review by an appropriate party independent of RTO and the complainant or appellant, at the request of the individual making

	the complaint or appeal, if the processes fail to resolve the complaint or appeal. 4. Where RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, RTO: a) informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and b) regularly updates the complainant or appellant on the progress of the matter.

Categorisation of complaint or appeal

The nature of the complaint or appeal will be categorised as follows:	Matter referred to the following:
Administrative Complaint. Complaints against the delivery of administrative and support services and facilities	***Compliance Manager***
Academic Complaint. Complaints against teachers/trainers, training delivery and assessment and the like.	***Compliance Manager***
Student Conduct Complaint. Complaints against misconduct/ misbehaviour of students.	***Compliance Manager***
Appeal	***CEO of RTO***

Continuous Improvement

This procedure is designed to ensure that the needs, and feedback, of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO and qualifications and is to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.3.1.7: Academic Misconduct Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 8.8.1; 8.9.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to provide a framework for the standard of conduct expected of students of RTO with respect to their academic and personal conduct.

Objective

The objectives of this policy are to:

(a) provide a framework to ensure that academic standards and expectations are met

(b) define and articulate the importance of maintaining academic integrity

(c) outline what constitutes major or minor cases of breaches of academic integrity, and the procedures for dealing with each

(d) assist in identifying academic misconduct

(e) ensure that student academic misconduct procedures are transparent, consistent, equitable and fair, and consistent with the principles of natural justice

(f) identify responsibilities and accountabilities for decisions and processes

(g) ensure that decision-making on academic misconduct is undertaken at appropriate levels of responsibility within the RTO

(h) provide for the membership of committees formed to consider student academic misconduct

(i) define a framework of penalties which may be imposed for substantiated academic misconduct that are appropriate, proportionate and consistent.

Scope

Identifying the primary obligations of students, directs staff and students to the code of conduct which specify student obligations and RTO's responsibilities.

Outlines the criteria for the highest ethical standards in all aspects of academic work.

This policy is applicable to the following stakeholders:

- RTO Staff
- RTO Students

General Processes

1. Availability of Policy and Procedures

The policy, procedure and related forms are available to all students and potential students by directly contacting RTO, through the RTO's website and/or Student handbook.

The RTO establishes the support needs of individual learners and provides access to the educational and support services necessary for the student to meet the requirements of the training product as specified in training packages or VET [vocational education and training] accredited courses.

2. Academic misconduct

Suspected academic misconduct must be investigated and dealt with quickly and in accordance with this policy and procedure. The process must be evidence-based and within the principles of impartiality, fairness, consistency and consultation.

Where academic misconduct is presumed , the student is to be contacted by the Trainer or SSO to discuss the issue and to provide them with an opportunity to give a statement on the instance.

The student is allowed to have a support person attend any discussions and meetings.

If this is a first instance of suspected academic conduct, work with the student to ensure they understand the breach and to establish an outcome that is understood by all parties.

If a mutually acceptable outcome is unable to be reached, the matter is to be referred to the Course Coordinator/Academic Manager/Compliance Manager for review and resolution.

If a repeat instance of academic misconduct occurs, the matter is to be referred to the Course Coordinator/Academic Manager/Compliance Manager for review and resolution.

A finding of academic misconduct will result in a Fail Grade being given for the unit of study and the student will have to re-enrol, pay and study the unit again.

2. Levels of misconduct

Student misconduct is determined according to a system of three levels of misconduct –

a) level 1 – minimal;
b) level 2 – moderate; and
c) level 3 – serious.

The levels of misconduct determine which decision-maker decides an allegation of student misconduct and the available penalties.

Level 1 – minimal

Students who are unfamiliar with the conventions of academic writing can sometimes unintentionally plagiarise or copy relevant acts.

Minimum Consequence: Warning, restitution (if applicable) and potentially one or more of the following: educational consequences, behavioural contract, fee or loss of privileges. A remedial advice (oral or verbal) will always be issued to the student upon preliminary investigation.

Level 2 – moderate

Students who are indulged in plagiarism or other acts (not harmful or grave to others)

It will attract penalties because it is too serious to be addressed by remedial advice alone.

Level 3 – serious

An accusation of plagiarism at this level is very serious. If student's work demonstrates clear intent to cheat or defraud by copying all or significant portions of the material presented in his/her work, by having someone else complete the work for him/her or by colluding with another person he/she may find him/her-self accused of Level 3 plagiarism.

Conduct generally deemed "Level 3" includes but is not necessarily limited to the institutional mission, substantial disruption to the educational process, undue risk to persons and property, threats against persons or property, etc.

Level 3 plagiarism or conducts are academic misconduct and will attract severe penalties such as an annulled result for the unit or the suspension of the ability to enrol in units for a period or cancellation of enrolment pending the outcome of hearings and/or appeals. Conduct at this level may also involve reporting the student and misconduct to relevant authorities.

3. **Decision makers**

Level 1 (minimal) and Level 2 (moderate) are handled in RTO by RTO staff. The Chief Executive Officer (CEO) and Compliance Manager (CM) are involved in these matters. Level 3 is reported to relevant authorities inside and outside RTO (depending upon the misconduct).

4. Conflict of interest

A decision-maker who has a conflict of interest must refer the alleged misconduct to an appropriate decision-maker at the same or higher level. The appointed decision-maker will then hear the allegation in place of the original decision-maker but will apply the same level of misconduct as the original decision-maker.

5. Documentation

All documentation relating to an academic misconduct **must** be recorded on the student file.

This must include:

- the initial form,
- supporting evidence,
- meeting minutes, and
- copy of correspondence with all concerned parties.

This information will be kept confidentially and stored securely for 7 years. (Refer to the Records management policy and procedure for more information).

Documentation of all academic matters and their outcomes is securely maintained. Potential causes of academic misconduct are identified, and RTO takes appropriate corrective action to eliminate or mitigate the likelihood of re-occurrence.

6. Reporting a complaint of misconduct generally

Any person may report a complaint of misconduct by a student to the RM or CEO.

A member of staff who receives a complaint in relation to –

(a) Academic misconduct must –

(i) Refer the complaint to RM; and

(ii) In consultation with the RM, conduct a preliminary investigation in a timely manner;

(b) General misconduct must –

(i) Refer the complaint to the CEO; and

(ii) In consultation with the CEO, conduct a preliminary investigation in a timely manner.

If a complaint raises an allegation which may be regarded as either academic or general misconduct, then the allegation will be treated as academic misconduct.

Upon finalisation of the preliminary investigation into a complaint in relation to –

(a) Academic misconduct, a person who received the complaint must provide a report to RM;

(b) General misconduct, a person who received the complaint must provide a report to the CEO.

CEO may authorise another RTO employee to exercise his or her powers under this section.

At any stage of this procedure students can access the Student Complaints and Appeals Procedure to settle any disputes that may arise. The Complaints and Appeals Procedure outlines that all complaints and appeals are recorded, acknowledged and dealt with fairly efficiently and effectively.

The RTO's policy includes managing and responding to allegations involving the conduct of the RTO itself, its trainers, assessors, other staff, a third-party providing services on the RTO's behalf and their trainers, assessors or other staff.

If during the process of finalising the complaint or appeal, the RTO requires more than 60 days, the complainant or appellant is to be informed in writing why more than 60 days is needed, and the RTO is to provide regular updates to the complainant or appellant on the progress of the matter.

With all complaints and appeals, the RTO securely maintains records of all documentation and their outcomes, and also identifies the potential causes of complaints and appeals and takes suitable corrective action to eliminate or reduce the likelihood of recurrence.

Acknowledgement letter

If a stakeholder reports a complaint of alleged misconduct, an acknowledgement letter of receipt will be issued. An acknowledgement letter of a reported instance of alleged misconduct must include:

a) The date the report was received and a brief description of the alleged misconduct;
b) Reference to the Privacy and confidentiality Policy and Procedures;
c) Reference to the Academic Misconduct Policy and Guidelines and the confidentiality of misconduct matters; and
d) A statement that the outcome of the RTO's enquiries or investigations will not be advised to the Parties of concern.

Continuous Improvement

This procedure is designed to ensure that the needs, and feedback, of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO to ensure management become aware of:

- Common threats relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

No.3.1.8: Critical Incidents Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.8; 6.9.1; 6.9.2; 6.9.3;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to manage critical incidents, ensuring, possible prevention, documentation, communication and appropriately corrective action by RTO.

Objective

The objectives of this policy are to:

a) identifying and preventing incidents and critical incidents;
b) allocating appropriate resources and building relationships to manage incidents and critical incidents in compliance with RTO's obligations and standards;
c) managing its reputation for the benefit of students, staff, and stakeholders; and
d) evaluating the effectiveness, adequacy and ongoing suitability of its incident and critical incident responses consistent.

Scope

This policy is applicable to the following stakeholders:

- RTO Staff
- RTO Students

General Processes

1. Critical Incident Team

RTO has a Critical Incident Team to assist the CEO in the prevention and management of critical incidents at RTO, or off campus in the case of student for whom RTO has undertaken care responsibilities.

The Compliance Manager is the critical incident team leader.

The Critical Incident Team also includes Workplace Health and Safety Representatives and Student Service Officers

2. The responsibilities of the Critical Incident Team

a) Risk assessment of hazards and situations which may require emergency action
b) Analysis of requirements to address these hazards
c) Establishment of liaison with all relevant emergency services e.g. police, fire brigade, ambulance, community emergency services, hospital, poisons information centre, community health services and/or Department of Immigration and Border Protection.
d) 24-hour access to contact details for all students and their families
e) 24-hour access to contact details for all relevant staff members needed in the event of a critical incident e.g. Critical Incident Team leader, Compliance Manager
f) Development of a Critical Incident Plan for each critical incident identified
g) Assisting with implementation of Critical Incident Plans
h) Dissemination of planned procedures
i) Organisation of practice drills
j) Coordination of appropriate staff development
k) Regular review of Critical Incident Plans

3. Critical Incident Report

A 'critical incident report' is to be completed by the appropriate staff member involved in the incident or notification of the incident. Where applicable the report will be completed/verified by the Compliance Manager and given to the CEO.

The 'critical incident report' is to contain as much information as possible and indicate the people directly involved in the incident.

4. During Operating Hours

Students and staff are required to notify any critical incident involving a student or staff member immediately to the Compliance Manager / CEO.

The Compliance Manager /CEO will consider the details and severity of the incident and determine what action needs to be taken.

If the incident is not severe and can be resolved with resources available Compliance Manager / CEO will initiate the action to ensure the appropriate level of support is provided.

If the incident is severe and warrants a level of support/assistance from external resources Compliance Manager /CEO will initiate action to arrange that support. Personal details may be provided to the relevant emergency service/s if the student involved is incapacitated and unable to provide these themselves.

Compliance Manager will determine, based on the severity of the incident and in conjunction with RTO Policies, whether other RTO staff and family members of the student/s involved need to be advised of the details of the incident. The CEO and Compliance Manager will take the necessary action.

The registered provider must:

- take all reasonable steps to provide a safe environment on campus and advise overseas students and staff on actions they can take to enhance their personal security and safety
- provide information to overseas students about how to seek assistance for and report an incident that significantly impacts on their wellbeing, including critical incidents
- provide overseas students with or refer them to (including electronically) general information on safety and awareness relevant to life in Australia.

5. Outside Operating Hours

Students and staff are required to notify any critical incident involving a student immediately to the Compliance Manager or CEO.

Compliance Manager or CEO will contact the Student Support Officer who will gain access to the records of the student/s involved to enable verification of details to any emergency services.

The CEO or Compliance Manager will determine if there is any care or support required to be provided and make the necessary arrangements.

The CEO and Compliance Manager will determine in conjunction with RTO's Solicitor (If required) whether other staff or family members need to be advised of the details of the incident. They will take the necessary action.

6. Follow Up Action

1. Any required follow-up such as debriefing; counselling and prevention strategies have been completed.
2. All staff and students involved in the incident have been informed of all outcomes from the incident.
3. A recommendation as to the response to the critical incident is documented and included in the Incident Register.
4. Any further follow up required is documented and responsibilities allocated to appropriate staff.
5. Monitor the condition of and provide adequate support to the student/s through any period of treatment/convalescence;
6. Coordinate the provision of any Institute based resources required during any period of treatment/convalescence;
7. Liaise with the police and other emergency services personnel;
8. Advise and assist any family members who decide to travel to Australia to support the student/s with travel and accommodation requirements;
9. Ensure that detailed records are maintained on the student's records of the incident. These records must be registered in date order and kept in the student file. This file is located at the Reception.

7. Concluding Steps

In the event of the death of a Student, Compliance Manager / CEO will ensure the following is undertaken:

1. Contact the family and determine their wishes regarding repatriation of the body, personal effects, religious observances, etc;
2. Coordinate the repatriation of the body and personal effects in line with the family's wishes and in accordance with Australian regulations;
3. Organise the sending of a letter of condolence to the family;
4. Ensure all administrative actions are taken e.g. Adjust the student records database, process any tuition refunds, etc.

8. Public Relations/ Media Release

Where the circumstances of a critical incident involving a student/s is considered to have some public relations implication, CEO/Compliance Manager , are the only authorised spokespersons to speak to media representatives on behalf of RTO.

Procedures

	Procedure Steps	**Responsibility**	**Reference**
1	Identify the critical incident/ traumatic event	All/any RTO staff	
2	Documenting the incident/event on critical incident form	All/any RTO staff	
3	Discussion/Reporting to the CEO	CEO	
4	Critical Incident form should manage the situation according to the guidelines provided in the "General Processes" Form and information must keep for two years after the student completion of course.	SSO	

Continuous Improvement

This procedure is designed to ensure that the needs, and feedback, of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually, and Compliance Manager will be the responsible person for this;

No.3.1.9: Language, Literacy and Numeracy Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.2 Standards for RTOs 2015 – Standard: 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to establish RTO's culture and the process of determining the support needs of individual students regarding language, literacy and numeracy for the success in their training.

Objective

The objective of this Policy and Procedure is to ensure that RTO:

- Establish a range of methods to assist students to measure their language, literacy and numeracy skills.
- Identify students' LLN skill level through LLN tests for different training areas.
- Promote the Language Literacy & Numeracy Policy to Students at the initial enquiry, pre-enrolment interview, before the training course commences and of the availability of confidential assistance if the student has problems with language, literacy or numeracy;

- Ensure that employees can identify students with LLN problems and can implement appropriate strategies to assist them with their learning;
- Ensure that LLN issues are considered during development of training courses;
- Provide students with as much opportunity as possible to learn given their current LLN skill's levels;
- Provide relevant staff development opportunities and publications for employees to ensure their continued awareness of and competence about LLN requirements.

Scope

This Language, Literacy and Numeracy policy and procedure is applicable to the following stakeholders:

- RTO staff
- RTO students

General Processes

- Prior to enrolment and commencement, RTO will provide:
    - the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register
    - the training and assessment and related educational and support services that will be provided to the learner
        - estimated duration
        - expected locations at which it will be provided
        - expected modes of delivery
        - name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf
        - any work placement arrangements.
    - information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

- RTO is committed to providing clear information to its students about the detail of the language, literacy and numeracy assistance available and to take due account of language, literacy and numeracy when designing and delivering courses included on the RTO's scope of registration.
- All students are required to complete an LLN assessment prior to delivery of training and assessment.
- In some cases, a student may need to attend a Foundation Skills Training Program at another provider if there is a gap of 1 ACSF level between their existing performance and the level required to successfully complete a qualification or a course. This may mean deferment of the current enrolment until the student achieves the required level of ACSF skills. In other cases, if the ACSF level discrepancy is not too great or spiked, RTO may deem it unnecessary to provide additional foundation skills training and will devise ways to support the student to acquire these skills through the learning in the program in which the student is enrolled. In these cases, an individual learning plan will be prepared and followed which will allow the student to achieve the competencies of the vocational course.
- RTO staff needs to be aware of students who may be more likely to need language, literacy and numeracy support than others.

  These clients may include:

  - Students whose first language is not English
  - Students with lower educational attainment
  - Students whose training/education has been disrupted, and
  - Students of Aboriginal and Torres Strait Islander origin.

Obligations of RTO to the learner include that RTO is responsible for the quality of the training and assessment in compliance with the Standards and also for the issuance of the AQF certification documentation.

Procedures

	Procedure Steps	Responsibility	Reference
(1)	Different levels of LLN assessment tools are developed for potential students based on The Australian Core Skills Framework (ACSF) 2012.	PEO/Trainer	
(2)	The different levels of LLN assessment tools, marking guides, and assessment instructions are reviewed and validated regularly by LLN personnel and external LLN foundation skills specialists. The validation is conducted on a regular basis.	PEO/Trainer	
(3)	Compliance Manager or an officer appointed by the Compliance Manager s are provided with LLN assessment instructions for each qualification level. The LLN assessment instructions are managed by the Compliance Manager .	Compliance Manager	LLN assessment instructions

(4)	RTO designs different levels of LLN support courses based on Australian Core Skills Framework (ACSF) 2012.	Compliance Manager /Trainer CEO	
(5)	At the pre-training review stage, Compliance Manager or an officer appointed by the Compliance Manager s supervise the undertaking of LLN assessments for the potential students as a mandatory requirement.	Compliance Manager or an officer appointed by the Compliance Manager	

(6)	The appointed trainer marks the LLN assessment based on LLN model answers and marking guides. LLN level outcomes must be recorded on the Pre-Training Review Sheet. This report is to remain on the student's file as evidence of initial LLN assessment. The trainer refers the outcome of LLN assessment tools to the Compliance Manager or an officer appointed by the Compliance Manager and the potential student. If the potential student's LLN level is deemed satisfactory to proceed with the course of study, the Pre-Enrolment Review will be forwarded to Administration to process.	Trainer	LLN model answers and marking guides

(8)	If any deficiencies that will impede progress are identified, the potential student is advised about the necessity to improve their LLN skills and will not be enrolled in a VET Qualification. The potential student can either be referred to other professional organisations specialising in LLN skills or undertake an LLN Support Course.	Compliance Manager or an officer appointed by the Compliance Manager /Administration	
(9)	If the potential student decides to undertake the RTO's LLN Support course, LLN personnel designs an appropriate LLN Support Course based the units identified in the LLN Student Assessment Mapping that address the identified deficiencies. An Individual Learning Plan is developed.	PEO/Trainer	LLN Student Assessment Mapping Individual Learning Plan
(10)	During study, if a student is identified as requiring extra tuition time or support, this is provided by the student's trainer	Trainer	

(11)	During the application of support course and course of study, ensure the student participates in the process and meet the required standard.	Compliance Manager or an officer appointed by the Compliance Manager /Administration	

Continuous Improvement

This procedure is designed to ensure that the LLN of the students are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO and qualifications and is to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.3.1.10: Student Progress and Course Progress Policy & Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.1.7; 7.2.2.1; 8.1; 8.3; 8.4; 8.5; 8.7; 8.7.1; 8.7.2; 8.7.3; 8.7.4; 8.8; 8.9; 8.13; 8.14; 8.16.2; 9.3.3; Standards for RTOs 2015 – Standard: 1.3(b); 1.3(c); 1.3(d);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to ensure that the Institute adopts a proactive approach in monitoring students' course progress and notifying and counselling students who are at risk of failing to meet the accepted course progress requirements. International students, who persist in failing to meet course progress requirements, even after attempts by the Institute to notify and counsel them, shall be reported to Department of Education and Department of Home Affairs in accordance with the ESOS Act 2000.

Institute has a duty of care to assist each student to achieve their learning goals and make satisfactory progress to ensure completion of their course within the expected duration. Institute is proactive in notifying and counselling students who are at risk of failing to meet their course progress requirements.

Each student's academic performance is monitored for both domestic and international students, and any student deemed to be 'at risk' is to be referred to Compliance Manager to discuss possible intervention strategies.

Objective

The objective of this policy and procedure is to ensure that RTO has:

- Suitable and appropriate mechanisms in place to monitor student and course progress.
- A policy framework for managing student progress
- Personnel that understand and know their responsibilities and obligations in relation to managing student progress

Scope

This policy and procedure is applicable to the following stakeholders;

- RTO Staff
- RTO Students

Policy

- Satisfactory Course Progress

  Every effort will be made to proactively assist students to achieve satisfactory course progress and complete the course within expected duration. All students are expected to adhere to the requirements of course progress. The satisfactory course progress is deemed to be 50% or more competence in the number of units of study attempted within a study period of 6 months.

- Monitoring Course Progress

  Requirements for monitoring and progress

  - Formal monitoring, recording and assessment of student performance
  - Develop an intervention strategy
  - Determining the points at which the student has failed to meet satisfactory course progress

- The Institute must monitor the progress of each international student to ensure the international student is in a position to complete the course within the expected duration specified on the student's CoE.

- Student performance and course progress will be monitored by trainers, assessors and student support officer. Trainers are required to keep appropriate records and to undertake assessments in a timely fashion to enable effective monitoring of student academic performance and the implementation of all procedures.
- The Institute must identify, notify and assist an international student at risk of not meeting course progress or attendance requirements where there is evidence from the student's assessment tasks, participation in tuition activities or other indicators of academic progress that the student is at risk of not meeting those requirements.
- All students are expected to study at least one unit (not by distance or online learning) during each study period. International students may not study more than one third of their course online or by distance learning.
- The Institute may only extend the duration of the student's study as a result of compassionate and compelling circumstances, where an intervention strategy is being implemented or where an approved deferment has been granted. For International Students, except in these circumstances, the student's course duration will not exceed the CRICOS registered duration. Any variations are recorded on the student file and reported correctly in PRISMS.
- The Institute must ensure that in each compulsory study period for a course, the international student is studying at least one unit that is not by distance or online learning, unless the student is completing the last unit of their course.
- Where the registered provider has assessed the overseas student as not meeting course progress or attendance requirements, the registered provider must give the overseas student a written notice as soon as practicable which:
    - notifies the overseas student that the registered provider intends to report the overseas student for unsatisfactory course progress or unsatisfactory course attendance
    - informs the overseas student of the reasons for the intention to report

- advises the overseas student of their right to access the registered provider's complaints and appeals process, in accordance with Standard 10 (Complaints and appeals), within 20 working days.

- If the registered provider extends the duration of the student's enrolment, the provider must advise the student to contact Immigration to seek advice on any potential impacts on their visa, including the need to obtain a new visa.

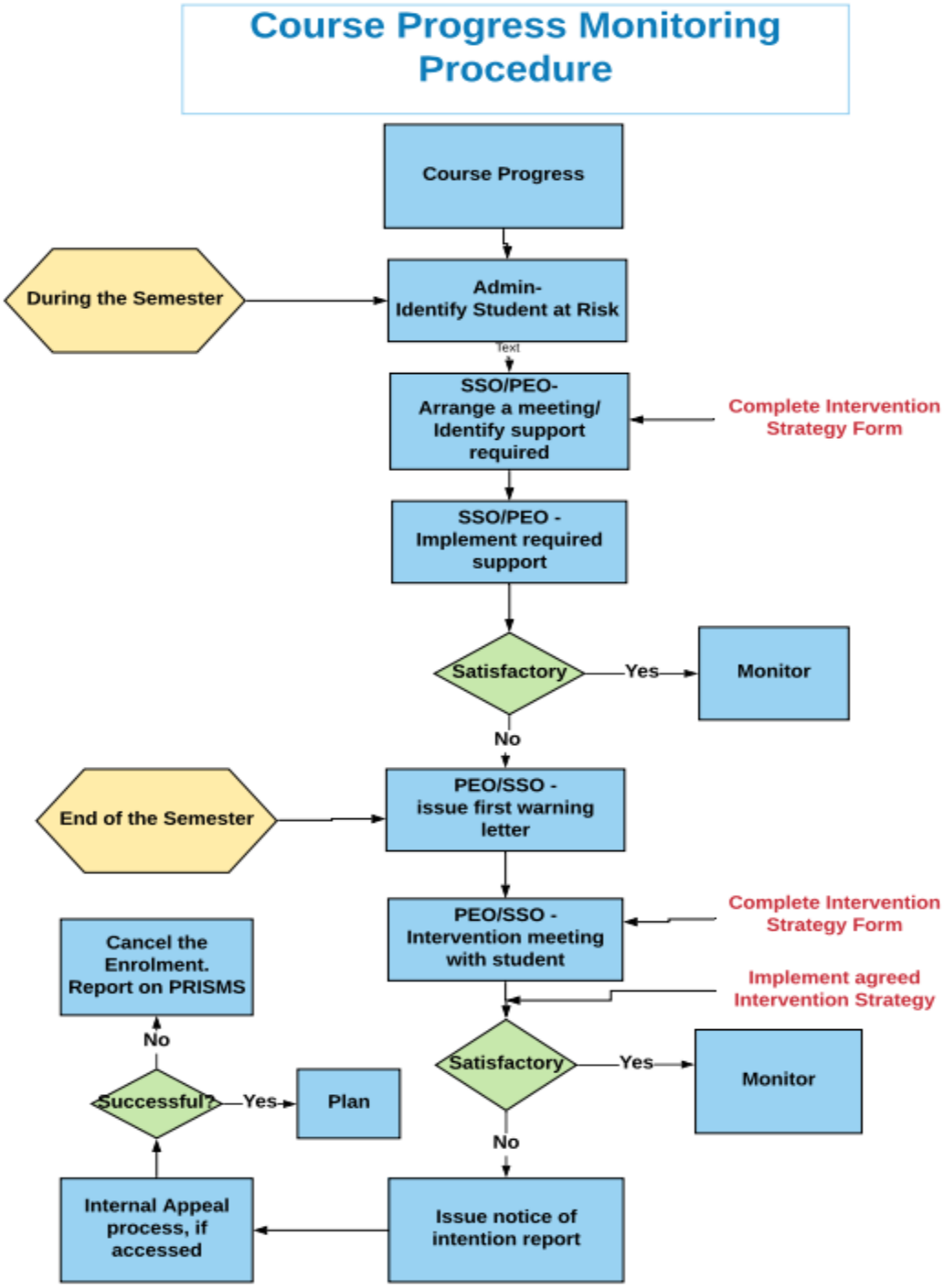
Procedures

Procedure	**Responsibility**
At the end of each unit, trainers and assessors must submit the Unit Competency file which details the results of each student.	Trainer/Assessor
Record Unit Competency results on SMS (Student management system).	Admin
During the semester – Early detection process, student Support Officer to identify the students who are likely to be at risk and arrange a meeting with them.	Student Support Officer
During the semester – Discuss the course progress issues with the students and identify any support required to complete the remaining unit/s. Complete an Intervention Strategy Form document and store on SMS.	Student Support Officer PEO
SSO/PEO implement the agreed intervention strategy	Student Support Officer PEO
At the end of the semester – Issue *First Warning Letter for Unsatisfactory Course Progress* for each student with a NYC (Not Yet Competent) result	Student Support Officer PEO

in 50% or more units on competency will be deemed "At Risk" and ask them to attend a meeting to identify an appropriate intervention strategy.	
Conduct the meeting to: ▪ Identify any reasons for the unsatisfactory course progress ▪ Discuss possible solutions to assist in rectifying the problem (i.e. possible referral to external counselling services, improve time management strategies, arrange for additional training or English language tuition, temporarily reduce study load, etc.) ▪ Complete Intervention strategy Form in consultation with the student to assist them to improve their performance. PEO may propose the following options: • Ask to attain catchup classes • Submit all the remaining assessment by the deadline • Provide additional trainer/assessor support • Refer other counselling support as required	PEO/Student Support Officer
Implement the intervention strategy on the agreed start date and closely monitor students on an intervention strategy on a regular basis.	Student Support Officer/ Trainers and Assessors
Review student progress in the next semester.	Student support Officer and Trainer/assessor
Where the student has been identified as not making satisfactory course progress for the second consecutive compulsory study period/semester, notify the student in writing using *Notice of Intention to Report for Unsatisfactory Course Progress*. Refer to *Deferral, Suspension and Cancellation Policy and Procedure* for further information.	PEO /Student Support Officer

If student has not appealed by the expiry date or chosen not to access the external complaints and appeals process or withdraws from the internal or external appeals processes by notifying Institute in writing, begin process for reporting and cancellation of student's enrolment as per Deferral, Suspension and Cancellation Policy and Procedure.	Student Support Officer
Reporting of student's breach of visa conditions via PRISMS – after 20 working days after the letter of intention to report; and after any appeal process has been exercised and exhausted	Student Support Officer

Flow Chart


Course Progress Monitoring Procedure
Course Progress
During the Semester
Admin-
Identify Student at Risk
Text
SSO/PEO-
Arrange a meeting/
Identify support
required
Complete Intervention
Strategy Form
SSO/PEO -
Implement required
support
Satisfactory
Yes
Monitor
No
End of the Semester
PEO/SSO -
issue first warning
letter
PEO/SSO -
Intervention meeting
with student
Complete Intervention
Strategy Form
Implement agreed
Intervention Strategy
Cancel the
Enrolment.
Report on PRISMS
No
Satisfactory
Yes
Monitor
Successful?
Yes
Plan
No
Internal Appeal
process, if
accessed
Issue notice of
intention report

Continuous Improvement

A summary of all critical incidents and related matter/ concerns will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review.

The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually. The Compliance Manager will be the responsible person for this.

No.3.1.11: Student Welfare and Duty of Care Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.10; 5.1; 5.2; 5.3; 5.5; 5.6; 5.7; Standards for RTOs 2015 – Standard: 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

Student Welfare is a cornerstone of all RTO's policies, programs and activities. It addresses the health, safety, security, well-being and guidance of all students and recognises that all students need care and support as they grow towards maturity. Welfare encompasses the physical, social, emotional and educational growth of students.

The purpose of the Student Welfare and Duty of Care Policy is therefore to ensure that:

- All RTO staff have a legal duty to take reasonable steps to protect students in their charge from risks of injury that are reasonably foreseeable.
- RTO creates and continually improves an environment that provides a sense of belonging and promotes well-being.
- RTO ensures strategies for primary prevention are established and built into the RTO's programs.
- RTO plans and implements early intervention strategies to reduce risk and strengthen the coping skills of vulnerable students.

- RTO provides staff with appropriate support to fulfil their duty of care and student welfare responsibilities.
- RTO assists each student to achieve their learning goals and make satisfactory progress in the course in which they are enrolled by offering a range of support services where relevant

Objectives

The objective of this Policy and Procedure for RTO is to ensure that:

- RTO has suitable and appropriate student welfare and duty of care control systems and practices in place
- RTO policy framework to comply with its Student welfare and duty of care guidelines
- RTO Personnel know their responsibilities and obligations

Scope

This policy applies to all RTO students and staff.

General Processes

1. An extensive orientation program –

The RTO has an extensive pre-training review and enrolment process that provides comprehensive information about student support services and support staff. These services are provided at no additional cost to the student.

Any student may access any student support service offered by the RTO if they have recognised that they would benefit from some form of assistance. Students should speak to the Student Support Officer/Trainer who will be able to provide the assistance required or will refer them to the appropriate service.

The RTO has early intervention processes in place to identify students that would potentially benefit from additional support services based on either academic performance or behaviour. These students will be offered support and referrals where necessary.

If there are any changes to agreed services, then the RTO will advise the student as soon as practicable, including in relation to any new third-part arrangements or a change in ownership or changes to existing third-party arrangements.

Note: Students will not be forced to attend a service.

Identifying students –

1. Students are identified as requiring special assistance through the initial course application process and will be referred to the Student Support Officer and relevant trainer to discuss any reasonable adjustment required.

2. Students may be identified at the time of undertaking the Language, Literacy and Numeracy (LLN) test prior to enrolment or commencement.

3. Students may refer themselves to their Trainer or Student Support Officer should they recognise the need for additional support or reasonable adjustment. In this instance students must be referred to the Student Support Officer.

4. The RTO has a rigorous process in place to identify students at risk of not achieving satisfactory course progress, and of implementing early intervention strategies to assist them.

5. Trainers and other staff may also advise the Student Support Officer of possible at-risk students as a result of behaviour, poor class attendance or participation.

Overseas student support services

- The RTO must support the overseas student in adjusting to study and life in Australia by giving the overseas student information on or access to an age and culturally appropriate orientation program that provides information about:
    - support services available to assist overseas students to help them adjust to study and life in Australia
    - English language and study assistance programs
    - any relevant legal services
    - emergency and health services
    - the RTO's facilities and resources
    - complaints and appeals processes
    - requirements for course attendance and progress, as appropriate

- the support services available to assist students with general or personal circumstances that are adversely affecting their education in Australia
- services students can access for information on their employment rights and conditions, and how to resolve workplace issues, such as through the Fair Work Ombudsman.

- The RTO must give relevant information or provide referrals as appropriate to overseas students who require assistance in relation to the services and programs, at no additional cost to the student
- The RTO must facilitate access to learning support services consistent with the requirements of the course, mode of study and the learning needs of overseas student cohorts, including having and implementing documented processes for supporting and maintaining contact with overseas students undertaking online or distance units of study.
- The RTO must designate a member or members of its staff to be the official point of contact for its overseas students. The student contact officer or officers must have access to up-to-date details of the RTO's support services.
- The RTO must have sufficient student support personnel to meet the needs of the overseas students enrolled with the RTO
- The RTO must ensure its staff members who interact directly with overseas students are aware of the RTO's obligations under the ESOS framework and the potential implications for overseas students arising from the exercise of these obligations.
- The RTO must implement a documented process for managing critical incidents that could affect the student's ability to undertake or complete a course, incidents may include but are not limited to physical and psychological harm.
    - The RTO must maintain a written record of any critical incident and remedial action taken by the RTO for a at least two years after the overseas student ceases to be an accepted student
- The RTO must:
    - Take all reasonable steps to provide a safe environment on campus and advise overseas students and staff on their actions they can take to enhance their personal security and safety

- Provide information to overseas students about how to seek assistance for and report an incident that significantly impacts their wellbeing, including critical incidents

- Provide overseas students with or refer them to (including electronically) general information on safety or awareness relevant to life in Australia.

Information regarding the Student Support Services

Pre-training review

All new students attend a pre-training review process. The pre-enrolment process advises students of their rights, responsibilities, study information and of the support services available to them at RTO which include:

- Facilities and Resources
- Complaints and Appeals Processes
- Counselling and Psychological Services
- Academic Skills Assistance
- Reasonable Adjustment
- Fees, Refunds and any other administration charges
- Course Progress and Intervention Strategies
- Careers and Employment

This information is also included in their Student Handbook and on the RTO website.

During the course:

1. Student support services are available to RTO students for the duration of their course.

2. Academic, language and learning support is offered by RTO.

Privacy Protocols

All means used to identify students who may have specific support needs must comply with RTO's Privacy Policy and Personal Information Policy. Students are informed of how any personal information collected will be used, to whom it may be disclosed and, where possible, personal information should be collected directly from the relevant student.

Refer to the Privacy Policy for more information.

Procedures

Sr.No.	Procedure Steps	Responsibility	Reference
1	Student welfare and duty of care is monitored	Trainer/ Compliance Manager	
2	Corrective actions are taken regarding the matters discussed in this policy	Compliance Manager	

Continuous Improvement

A summary of all student welfare and duty of care related matters and concerns are presented as a part of the Management Meeting for review. The purpose of this is to ensure management become aware of:

- Any general adverse trend that need correcting and
- Common threads relating to the compliance and quality assurance.

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually. The Compliance Manager will be the responsible person for this.

No.3.1.12: Students, Staff and External Feedback Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 2.2(b);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The RTO is a training organisation with best practice as its main benchmark.

This policy is developed in line with RTO's commitment to quality and delivery of exceptional educational services, RTO will actively elicit feedback from its stakeholders via a variety of methods to ensure that the internal perception of quality provision matches the external reality. This policy ensures that RTO:

- Provides quality education, training and assessment to all students
- Considers the view that this is vital information that if used wisely, can support ongoing development. Hence RTO seeks this information through a range of formal and informal mechanisms. Each year the data is aggregated into a course report and a student feedback and benchmarking report and forms the basis of future RTO business strategy.
- Meeting student and, where applicable, employer needs is about providing quality training and assessment services including marketing and quality of delivery of education, assessment, support services and administration and associated services.
- The collection of data from student cohorts will be conducted on a regular basis. The collated results will be reported to Management and appropriate actions and strategies developed to respond to improvement opportunities. RTO is required to provide statistical information (quality indicators) and to comply with AVETMISS reporting requirements.

- By regularly collecting and analysing the information received, RTO will be able to objectively identify and measure trends and issues and feed these into the continuous improvement process to ensure that RTO remains a leading provider of quality educational services.
- Adheres to principles of access and equity and maximises outcomes for its clients; and
- Has management systems that are responsive to the needs of clients, staff and other stakeholders and the environment in which they operate.

This policy provides guidance to all RTO employees and stakeholders. All feedback received from external departmental clients about their satisfaction or dissatisfaction with the RTO's services or program delivery fall within the scope of this policy.

This policy though does not cover:

(a) decisions where an external review or appeal mechanism already exists

(b) complaints by RTO employees about employment or work-related issues

(c) allegations about misconduct or criminal conduct. These will be investigated under the RTO's Code of Conduct through the appropriate departmental channels.

Objective

The objective of this Policy and Procedure for RTO to ensure:

- It has suitable and appropriate feedback collection, processing and analysing systems and processes in place.
- policy framework supports the feedback collection, processing and analysis
- personnel know their responsibilities and obligations

Scope

This policy applies to the following:

- All staff members and students

Policy Statement: Our Commitment

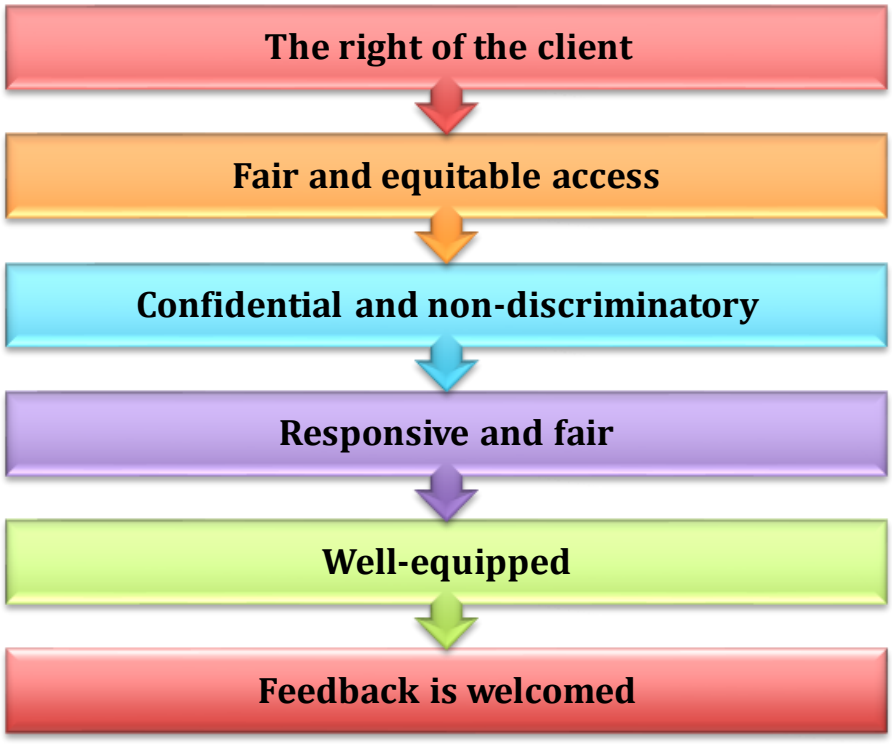
RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

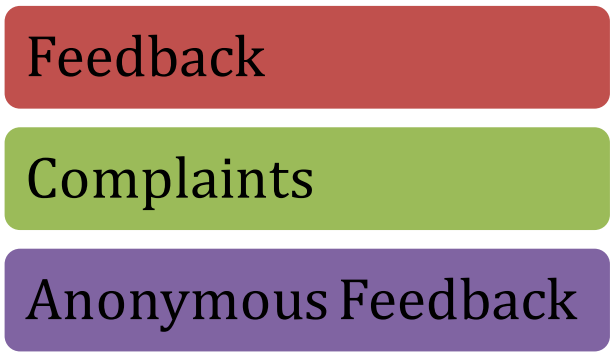
- Ensure that all relevant staff have access to the policy
- Ensure staff know their obligations and responsibilities

- Ensure RTO has suitable and appropriate feedback collection, processing and analysing systems and processes
- Ensure RTO has a compliant policy framework to support the confidentiality, integrity, availability and privacy in feedback collection, processing and analysing
- Ensure staff know their limitations

General Processes

Items	Processes	Roles
The Feedback management charter	RTO's feedback management charter is based on the following principles:  (a) The right of the client: the right of clients to provide feedback and to have their complaints heard and actioned (b) Fair and equitable access: all clients have fair and equitable access to feedback channels	

	(c) Confidential and non-discriminatory: feedback provided is confidential, and clients who provide feedback will not be discriminated against (d) Responsive and fair: feedback is dealt with in a responsive, efficient, effective, and fair way (e) Well-equipped: employees are well-trained and equipped to advise clients on how to lodge feedback, and help those who may need assistance (f) Feedback is welcomed: encouraging and supporting an environment where feedback is valued by employees and integrated into business improvement programs and processes.	
Feedback received by RTO	RTO receives different types of feedback from multiple channels. The main types of feedback are defined below. 1) Feedback 2) Complaints 3) Anonymous feedback	

		
Requirements / Process for handling the feedback	(a) For RTO to continuously improve it must collect accurate objective data from various parties. The output of this set of processes will be collated, analysed and reported and acted upon through the Continuous Improvement process. **VET Students** (b) Students will be encouraged to provide feedback at various times during their studies at RTO either by completing our internal survey or by submitting suggestions for improvement via the suggestion box located at Reception. (c) At the completion of the Orientation Program students will be asked to complete the Student Orientation Feedback Form (d) The Quality Indicators Student Surveys will be completed and reported by 30 June annually for the previous calendar year. This is known as the "Learner Questionnaire". This may either be printed or administered on line. – See Quality Indicators Survey Process below. (e) AVETMISS Data will be collected for all students during the application process or on enrolment. The data will be requested on the application form or on a supplementary questionnaire (for	

	International Students) at orientation and will be input into the Student Management System to produce the reports required each year. **Staff** (f) Staff will be asked to complete a review form as a part of their annual review assessment. The comments and feedback from these forms will be collated and form another input into the Continuous Improvement process (g) Outputs from all staff meetings should be formally recorded and the CEO of RTO should be copied in on the minutes. The CEO of RTO will review any issues arising and advise management of any issues that are arising and how they are being handled. (h) All issues will be added to the Continuous Improvement Register; the information is to be distributed to the management team at least twice per annum. (i) Feedback from staff is also used in development of business strategy and in management decision making in respect to RTO educational policy, processes and systems. **External** (j) RTO will actively seek feedback from external stakeholders. Informal feedback should be directed to the Chief Executive Officer (PEO) for collation into the Continuous Improvement Register for consideration at the next management meeting. (k) Where a student has been placed at RTO by an employee then a copy of the Quality Indicators "Employers Questionnaire" should be	

	provided with a request to complete annually. For process see Quality Indicators Process below. (l) External Moderation and validation will be conducted in line with the Validation and Moderation Policy. **General** (m) All survey reports will be collected, and the results collated in to summary reports. These reports are used in the Continuous Improvement Process (n) All forms should be collated and stored safety for a period designated by the records management policy. Forms may be scanned and stored electronically (subject to secure access) and the original forms shredded.	
RTO's Quality Indicator Surveys Process	AQTF Learner's survey (a) **Administration** • The students sampled will be from all current VET courses on the RTO's scope with student's enrolled year of review. • Tabulate the student feedback using an appropriate tool. • Review the tabulated data and document any improvement actions required. • Report the outcomes for input into the Continuous Improvement process for implementation. (b) **Frequency** • Collect student feedback (at the end of each course)	

	(c) Tools • Learner questionnaire. • Survey Management, Analysis and Reporting Tool (NCVER). • Informal Discussions documentation. (d) **Tracking** • Prepare the consolidated data undertake analysis and development improvement actions. • Report the data, analysis and recommended improvement actions to the Institute Management Group for review and approval. • All approved actions are recorded in the Continuous Improvement Register. • Report the implementation of the required improvement actions via the Continuous Improvement process. (e) **Sign-off** • Implementation of the required improvement actions is signed off by the CEO RTO. • Outcomes are reported to the Continuous Improvement process. (f) **Administration**	

	• All employers of VET students who either fund or sponsor student should be invited to complete a Quality Indicators "Employer Questionnaire". (g) **Frequency** • At the completion of each course. (h) **Tools** • Employer questionnaire. • Survey Management, Analysis and Reporting Tool. • Informal Discussions documentation. (i) **Tracking** • Distribute the tabulated data and improvement actions required to all RTO staff. • All issues are to be listed in the Continuous Improvement Register • Report the required improvement actions to the Institute's Management Group meeting. • Report the implementation of the required improvement actions to the Continuous Improvement process. • Tracking of improvement actions are made continuously and follow up closely by department manager and reported to the Continuous Improvement process.	

Procedures

Procedures are provided with the general processes.

Continuous Improvement

A summary of all feedback related matters and concerns will be presented as a part of the Continuous Improvement policy and procedure at the management meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually by the Compliance Manager .

No.3.1.13: Support Services available to Students Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.10; 5.3; 5.3.1; 5.3.4; 6.1; 6.3; 6.4; 6.5; 6.6; 7.3.2; 10.2.4; Standards for RTOs 2015 – Standard: 1.3(b); 1.3(c); 1.3(d); 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The main purpose of Student Support Services Policy and Procedures is to outline the support services available for students providing them access to the educational and support services needed to meet the requirements of their qualifications.

Objective

The objectives of this policy are to:

(a) outline the responsibilities of staff, educators and students regarding student support services available for VET programs at RTO; and
(b) Identify support prior to enrolment or commencement or during the delivery of training and assessment

Scope

All staff members of the organisation responsible to provide, maintain, and review student support services available to RTO students to successfully complete their course of study.

Procedures

Requirements	Responsibility
RTO is committed to supporting students to achieve their learning goals and to achieve satisfactory progress towards meeting the learning outcomes of their course.	Student Support Officer, Compliance Manager with Trainer/Assessor
RTO assists the students through the pre-training review and enrolment process which covers a range of information, including: • identifying the particular requirements, a student will need to complete the course • developing strategies to make support available where gaps are identified • student handbook • student support service • facilities and resources • complaints and appeals processes	Student Support Officer, Compliance Manager with Trainer/Assessor
RTO provides access to on-campus or external welfare-related support services Designated staff members as the official point of contact for students who require assistance and/or support. A critical incident policy and procedures that cover the action to be taken, required follow-up and records of an incident.	Student Support Officer, Compliance Manager with Trainer/Assessor
Student Services Support RTO student administration is open during normal business hours Monday to Friday. Students can approach administration staff for help or to make general enquiries. If necessary, the administration staff will put the student in touch with the relevant staff member to answer their enquiry.	Student Support Officer, Compliance Manager with Trainer/Assessor
Personal/Social issues There are many issues that may affect a student's social or personal life and students have access to the Student Support Officer during normal Institute hours to gain advice and guidance on personal (including impairment and health issues), accommodation, or family/friend issues. Where the Student Support Officer feels further	Compliance Manager with Trainer/Assessor

Requirements	Responsibility
support may be required, a referral to an appropriate support service will be organised.	
Academic issues If students have concerns with their attendance, academic performance or other study related issues that are placing them at risk of not achieving the requirements of their course, they are able to gain advice and support from the Student Support Officer. All students' progress and attendances are monitored. Guidance and support will be provided where non-satisfactory results are identified at any time. The Student Support Officer will be able to provide advice and guidance, or referral, where required. • The registered provider must have implemented documented policies and procedures to identify, notify and assist an overseas student at risk of not meeting course progress or attendance requirements where there is evidence from the overseas student's assessment tasks, participation in tuition activities or other indicators of academic progress that the overseas student is at risk of not meeting those requirements	Student Support Officer, Compliance Manager with Trainer/Assessor
Counselling Service The Student Support Officer can assist in times of stress or pressure during the course. Students may make an appointment at any time to see a member of RTO staff for free advice relating to study, such as: • managing your time • setting and achieving your goals • motivation • ways of learning • coping with assessments • looking after yourself If the need arises to seek additional counselling services, the following centres may be contacted: • Lifeline 13 1114 • Centrelink 13 2850 • The Smith Family 1800 422 916	Student Support Officer, Compliance Manager with Trainer/Assessor

Requirements	Responsibility

• The Salvation Army
  o P: (03) 9353 5200
  o F:(03) 9353 5205	

Identifying LLN support prior to enrolment or commencement The LLN Test is administered prior to enrolment into qualifications within RTO's scope of registration. The test is administered by qualified LLN Trainer and Assessor. The main aim of the test is to identify particular skills of the student such as language, literacy and numeracy, in order to meet the requirement of qualification the applicant wishes to enrol in. If a gap is identified applicants are recommended to undertake foundation skills courses at other RTOs or other strategies will be adopted to make support available, prior to enrolment in the qualification.	Student Support Officer, Compliance Manager with Trainer/Assessor
Pre-Training Review The Pre-Training Review is conducted by Trainer/ Assessor or Student Support Officer to identify students learning requirements. Gaps in student's performance, knowledge and skills are identified. Reviewer identifies potential special needs of the leaner that needs to be catered for in the training. Delivery and assessment arrangements are outlined Learning strategies for the learner are detailed Detail of evidences that can be used for the assessment are outlined Resources required are clarified The Pre-Training Review also reflects units chosen by the students or in order of preference as per their work-based requirements The training plan is developed based on this Pre-Training review. It is one of the major tools in identifying academic support needed by the learner.	Student Support Officer, Compliance Manager with Trainer/Assessor
Facilities, resources and equipment's: • Classrooms equipped with tables and chairs, whiteboard, projector, kitchen facility. • Classroom includes course specific resources	Student Support Officer, Compliance Manager with Trainer/Assessor

Requirements	Responsibility
• Student room with kitchen facilities • Disabled access • Male and female toilets. List of resources available for training and assessment. The resources include but are not limited to: • PDF resources for all the units • Class activity book • Self-study guide • Power points • Session plan • Assessment kit • Language literacy and numeracy kit • Recognition of prior learning kit	

Overseas student support services

- The RTO must support the overseas student in adjusting to study and life in Australia by giving the overseas student information on or access to an age and culturally appropriate orientation program that provides information about:
    - support services available to assist overseas students to help them adjust to study and life in Australia
    - English language and study assistance programs
    - any relevant legal services
    - emergency and health services
    - the RTO's facilities and resources
    - complaints and appeals processes
    - requirements for course attendance and progress, as appropriate
    - the support services available to assist students with general or personal circumstances that are adversely affecting their education in Australia

- services students can access for information on their employment rights and conditions, and how to resolve workplace issues, such as through the Fair Work Ombudsman.

- The RTO must give relevant information or provide referrals as appropriate to overseas students who require assistance in relation to the services and programs, at no additional cost to the student

- The RTO must facilitate access to learning support services consistent with the requirements of the course, mode of study and the learning needs of overseas student cohorts, including having and implementing documented processes for supporting and maintaining contact with overseas students undertaking online or distance units of study.

- The RTO must designate a member or members of its staff to be the official point of contact for its overseas students. The student contact officer or officers must have access to up-to-date details of the RTO's support services.

- The RTO must have sufficient student support personnel to meet the needs of the overseas students enrolled with the RTO

- The RTO must ensure its staff members who interact directly with overseas students are aware of the RTO's obligations under the ESOS framework and the potential implications for overseas students arising from the exercise of these obligations.

- The RTO must implement a documented process for managing critical incidents that could affect the student's ability to undertake or complete a course, incidents may include but are not limited to physical and psychological harm.

    - The RTO must maintain a written record of any critical incident and remedial action taken by the RTO for a at least two years after the overseas student ceases to be an accepted student

- The RTO must:

    - Take all reasonable steps to provide a safe environment on campus and advise overseas students and staff on their actions they can take to enhance their personal security and safety

- Provide information to overseas students about how to seek assistance for and report an incident that significantly impacts their wellbeing, including critical incidents
- Provide overseas students with or refer them to (including electronically) general information on safety or awareness relevant to life in Australia.

Continuous Improvement

This procedure is designed to ensure that the student support services policy and procedure is in place and the delivery of our courses across the RTO and qualifications ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.3.1.14: Deferral, Suspension or Cancellation of Student, Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 3.3.5; 8.16.3; 9.1; 9.4; 9.5; 9.6; Standards for RTOs 2015 – Standard: 1.7; 6.2; 6.3; 6.4; 6.5;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to ensure that RTO has documented procedures for assessing, approving and recording a deferment or suspension of study. It also covers student access to complaints and appeals mechanisms if RTO initiates a suspension or cancellation of enrolment against a student's wishes.

Objective

The objective of this Policy and Procedure for RTO is to ensure that RTO:

- provides guidelines for suspending, deferring or cancelling student enrolments with the Institute in accordance standard.
- outline the relationship between the RTO and the enrolled student, and define the obligations of both parties for the duration of the enrolment
- provide policy and procedure for assessing, approving and recording a deferment of the commencement of study or suspension of study for a student.
- inform students before the enrolment about grounds on which their enrolment be deferred, suspended or cancelled.

For the purposes of this policy, the term "RTO" refers to the Registered Training Organisation.

Scope

This policy applies to all prospective and enrolled students

Policy Statement: Our Commitment

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- Ensure that all students complete their course on time;
- Extend the student's course under compassionate or compelling circumstances;
- Provide the implementation of intervention strategies for students at risk of not meeting satisfactory course progress; or
- Comply with the requirements of granting of an approved deferment or suspension of study as per standard.

General Process

Policy aspect	**RTO Implementation**
Compliance with legislation and general requirements	RTO's Management and staff are committed to assessing and recording all deferments, suspensions or cancellations of study, ensuring that in the process students are informed of their rights to appeal and provided with due care and support when required. This policy/procedure provides information on the grounds in which a student's enrolment may be deferred, suspended, or cancelled. The following procedures will ensure that RTO follows the required processes when either a student or RTO, wishes to defer, suspend, or cancel a student's enrolment. Students are able to initiate deferral, suspension or cancellation of their studies only in limited circumstances or may have their enrolment suspended by RTO due to misbehavior.

Deferment/Suspension	To defer or suspend enrolment means to temporarily put studies on hold (adjourn, delay, postpone). A student may request a temporary deferment or suspension to his or her enrolment on the grounds of compassionate or compelling circumstances. A provider may also initiate suspension of a student's enrolment due to misbehavior of the student.
Student Initiated Deferral, Suspension or Cancellation of Enrolment	Students may be able to temporarily defer the commencement of their studies or suspend their enrolment after commencement where they have a good reason to do so. RTO is only able to temporarily defer or suspend the enrolment of the student on the grounds of compassionate or compelling circumstances. These circumstances could include but are not limited to: • Serious illness or injury, where a medical certificate states that the student was /is unable to attend classes; • Bereavement of close family members such as parents or grandparents (Where possible a death certificate should be provided); • Major political upheaval or natural disaster requiring emergency travel, and this has impacted on the student's studies; or • A traumatic experience which could include: o involvement in, or witnessing of a serious accident; or o witnessing or being the victim of a serious crime, and this has impacted on the student

	(these cases should be supported by police or psychologists' reports) • Where the RTO is unable to offer a pre-requisite unit Please Note: The above are only some of examples of what may be considered compassionate or compelling circumstances. The CEO will use their professional judgment to assess each case on its individual merits. When determining whether compassionate or compelling circumstances exist, RTO will consider documentary evidence provided to support the claim and should keep copies of these documents in the student's file. • A student wishing to defer an enrolment must do so prior to commencement of their course. o Students must complete a Deferment/Leave application and submit to the Student Support Officer (SSO). Where possible, the student should meet with the SSO to discuss the reasons for the application. o This application to defer must include 'the compassionate or compelling circumstances' to support the temporary deferral of the start date of their studies. o There should be no outstanding fees owing as this could result in the application being rejected. • A student wishing to temporarily suspend their studies after commencement must complete a Deferment/Leave Application and submit to the SSO. Where possible, the student should meet with the SSO to discuss the reasons for the application.

	o This application for suspension of study (leave of absence) must include the 'compassionate or compelling circumstances' to support the temporary suspension of studies. o There should be no outstanding fees owing as this could result in the application being rejected. The SSO will: 1. Review all applications for deferral or suspension and determine if the applications are to be granted or rejected. 2. On receiving a request for course study deferment, RTO will ensure that the student is aware of our appeals process.
Deferment Request Responses	Following consideration of an application for deferment, the Admissions Department will: ▪ Ensure the student is informed in writing of the outcome of their application for deferral or suspension (leave of absence). ▪ In the case of a student application being rejected, the student will receive written notification (via email) within 10 working days of the application being assessed. This will also inform the student of their ability to access the appeals process if they wish to appeal the decision. ▪ Maintain all documentation in relation to the deferral or suspension application on the students file.
Student Initiated Cancellation	A student may cancel her/his enrolment where s/he has decided to discontinue studying with RTO.

	There should be no outstanding fees owing as this could result in the application being rejected. Students wishing to cancel their enrolment must complete a 'Course Withdrawal - Cancellation from' and submit to the SSO. Where possible, the student should meet with the SSO to discuss the reasons for the application. The SSO will submit all applications to the Admin Department who will then: 1. Review all applications for Course Withdrawal/Cancellation and determine if the applications are to be granted or rejected. 2. On receiving a request for Course Withdrawal/Cancellation, RTO will ensure that the student is aware of our appeals process.
Cancellation Request Responses	Following consideration of an application for Course Withdrawal/Cancellation, the Admissions Department will: • Maintain all application documentation for the cancellation of enrolment on the students file. • Ensure the student is informed in writing of the outcome of their application for cancellation within 10 working days of the application being assessed. • In the case of a student application being rejected, the written notification to the student will also inform of their ability to access the appeals process if they wish to appeal the decision.

	Students will be required to refer to their written agreement and the Refunds Policy and Procedure for details of the refund arrangements in place where an enrolment is cancelled.
Provider Initiated Deferral, Suspension or Cancellation of Enrolment	Provider Initiated Deferral RTO may defer an enrolment where the course is not being offered at the proposed date, site, or any other reason that RTO deems necessary to cancel the course. In such cases a refund shall be processed as required or alternative courses offered. Please see 'Provider Default' within the Refund Policy and Procedure. Provider Initiated Suspension or Cancellation RTO may suspend or cancel a student enrolment where they have not paid fees as documented in their written agreement or has behaved in a manner that is not appropriate for an education setting such as misbehaviour. This may include (but is not limited to): • Disrespecting others including discrimination for any reason • Intimidating students or staff • Refusing to work in a safe, clean, smoke free, orderly and cooperative environment • Damaging or misusing RTO or other students' personal property (including computer files and student work) • Criminal actions • Failure to pay fees when due

	• Failure to make satisfactory progress (Refer to Student Progress Policy & Procedures) • Other actions deemed unsuitable by the CEO. If the registered provider initiates a suspension or cancellation of the overseas student's enrolment, before imposing a suspension or cancellation the registered provider must: • inform the overseas student of that intention and the reasons for doing so, in writing • advise the overseas student of their right to appeal through the provider's internal complaints and appeals process, in accordance with Standard 10 (Complaints and appeals), within 20 working days. When there is any deferral, suspension or cancellation action taken under this standard, the registered provider must: • inform the overseas student of the need to seek advice from Immigration on the potential impact on his or her student visa • report the change to the overseas student's enrolment under section 19 of the ESOS Act.
Suspension or Cancellation Responses	In receiving a report of misconduct, the SSO or CEO shall: • Validate the actions of all staff involved seeking further advice, verbal or written.

	• Where necessary, seek further advice from the student(s) involved maintaining an unbiased approach to the student(s) involved. • Discuss with management and decide whether an enrolment suspension or enrolment cancellation is warranted. • Inform the student that their misconduct has resulted in a report being made to management. • Ensure that the student is aware that they may access RTO's internal complaints and appeals process. • Inform the student in writing should a decision to suspend or cancel their enrolment be made, they have 20 working days to appeal following the decision. • If the student lodges an appeal, the suspension / cancellation cannot take effect until the internal appeal process has been completed, unless extenuating circumstances relating to the welfare of the student apply. Following the suspension or cancellation, the Admissions Department will: • Maintain all documentation for the suspension or cancellation of enrolment on the students file. The suspension or cancellation of the overseas student's enrolment under Standard 9.3 cannot take effect until the internal appeals process is completed, unless the overseas student's health or wellbeing, or the wellbeing of others, is likely to be at risk.

PROCEDURE for Re-enrolment	If a student wishes to re-enrol at RTO after they have withdrawn or been cancelled from a course, they are required to submit an Application for Enrolment to the Student Support Officer. Each application will be re-assessed on a case by case basis and the student will be informed of the decision in writing.

Procedures

	Procedure Steps	Responsibility	Reference
1	The evidence will vary according to the situation and the Student Support Officer/Administration must use their best judgment in determining what is sufficient. In the event of uncertainty, they should seek advice from a senior member of staff. For example, a student requesting to defer because of close family illness (e.g. Mother) must produce a medical certificate showing illness is legitimate and an intention to return. When the cancellation relates to changing from one course to another, then the process will also include processing a new enrolment form as per the Enrolments and Admissions Policy. Before making a decision, the Student Support Officer/Administration should consult with CEO to confirm	Compliance Manager	In discussions with CEO

	that all payments are up to date or acceptable arrangements have been made. All documentation including the request, the supporting evidence and the output must be printed and filed in the relevant drive. The process, once sufficient evidence is supplied should take no more than 7 working days, preferably less. If the request is denied, then the student must be advised in writing and informed of their right to appeal in accordance with the Policy - Complaints and Appeal		
2	Discussion with PEO, RTO Administration	Compliance Manager	
3	All requests and the outcome of that request must be recorded in the Student Management System on the server.	Compliance Manager	

Continuous Improvement

This procedure is designed to ensure that the student support services policy and procedure is in place and the delivery of our courses across the RTO and qualifications ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

Policies and procedures:	**Mapping**		**Comments**
Policy 4.1.1: Educational Resources and Equipment Policy	SRTOs 2015	1.3(c); 1.6(a); 2.4;	
	ESOS National Code 2018	6.1.5; 11.2.5;	
Policy 4.1.2: Student Excursion Policy and Procedure	SRTOs 2015	1.3(b); 1.3(c); 1.3(d); 1.7;	
	ESOS National Code 2018	2.1.10; 5.3.4; 6.3; 6.5; 6.6;	
Policy 4.1.3: Industry Engagement Policy and Procedure	SRTOs 2015	1.3(c); 1.6(a); 2.4;	
	ESOS National Code 2018	6.1.5; 11.2.5;	
Policy 4.1.4: Training and Assessment Standards Policy and Procedure	SRTOs 2015	1.1; 1.2; 1.3; 1.4; 1.5; 1.6; 1.8; 1.9; 1.10; 1.11; 1.12; 1.13; 1.22; 1.23;	
	ESOS National Code 2018		
Policy 4.1.5: Assessment Policy and Procedure	SRTOs 2015	1.1; 1.2; 1.3; 1.4; 1.5; 1.6; 1.8; 1.9; 1.10; 1.11; 1.12; 1.13; 1.22; 1.23;	
	ESOS National Code 2018		
Policy 4.1.6: Requirements	SRTOs 2015	1.3(a); 1.6(b); 1.13; 1.14; 1.15; 1.16; 1.20(b); 1.22; 1.23; 1.24; 6.1(a);	

for Trainer and Assessor Policy and Procedure	ESOS National Code 2018		
	ESOS National Code 2018		
Policy 4.1.8: Transition and Teach Out Policy and Procedure	SRTOs 2015	1.26; 1.27;	
	ESOS National Code 2018		
Policy 4.1.9: Plagiarism and Cheating Policy and Procedure	SRTOs 2015	1.7; 5.2(d); 5.2(e)ii;	
	ESOS National Code 2018	8.9.1;	
Policy 4.1.10: Industry Consultation Policy and Procedure	SRTOs 2015	1.5; 1.6; 1.11(a)i; 1.11(b)i;	
	ESOS National Code 2018		
Policy 4.1.11: Validation Plan Policy and Procedure	SRTOs 2015	1.9; 1.11; 1.25; 2.2(b);	
	ESOS National Code 2018		
Policy 4.1.12: Assessment Validation and Moderation Policy and Procedure	SRTOs 2015	1.9; 1.11; 1.25; 2.2(b);	
	ESOS National Code 2018		
	SRTOs 2015	1.7; 1.8; 1.9; 1.11; 1.25; 2.2(b); 5.2(d); 5.2(e)ii;	

Policy 4.1.13: Assessment Principles	ESOS National Code 2018	8.9.1;	
Policy 4.1.14: Qualification Development Policy and Procedure	SRTOs 2015	1.11; 1.11(a)i; 1.11(b)1; 1.25; 1.26; 1.5; 1.6; 1.7; 1.8; 1.9; 2.2(b); 3.1; 5.2(d); 5.2(e)ii;	
	ESOS National Code 2018	8.9.1;	

No.4.1.1: Educational Resources and Equipment Policy

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.1.5; 11.2.5; Standards for RTOs 2015 – Standard: 1.3(c); 1.6(a); 2.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure that all RTO staff understands the system for review, evaluation, development and management of educational resources.

The purpose of this policy is to define the system for the continuing, ongoing maintenance and review of educational equipment.

Set the standard for the provision of appropriate facilities to provide quality training and assessment for all students.

Objective

RTO will ensure that the educational resources and equipment are available to each student.

Scope

This policy will apply to all current students, staff and other RTO stakeholders.

Procedures

	Description	Responsibility
1.	**Purchase of Resources** • The Compliance Manager chooses the appropriate resources to purchase based on curriculum requirements and Trainer recommendations. The Compliance Manager also maintains regular contact with publishers via appointments, newsletters and at conferences. • New resources are introduced to teaching staff during staff meetings and other professional development activities. • The purchase of new resources must be approved by the PEO. • All resources should reflect current industry standards and be appropriate and relevant. • Once purchased, all resources should be recorded by the Compliance Manager on the Resources Register. • All the purchased resources will be reviewed by the Trainer and Compliance Manager .	Trainers/Teachers Compliance Manager
2	**Storage** • Educational resources are stored on locked bookshelves in staff areas. Books are organised according to course and level. Trainer reference materials are stored in a separate area.	Trainers/Teachers Compliance Manager

	• New resources are clearly labelled; books are catalogued and added to the Resource Register by the RTO administration. There is a stock take of the resource inventory every six months. • Staff are encouraged to ensure that resources that are borrowed are returned in good condition and in a timely manner.	
3	**<u>Trainer Developed Resources</u>** • RTO trainers are required to research course content and produce at least two original pieces of material every quarter to contribute to the continuous improvement of courses at RTO. • Trainers are to present their individually developed resources to staff in staff meetings as part of their professional development. • All material developed by RTO staff is a property of RTO • When teachers create a word-processed worksheet to use in class, a copy together with session plan, placed into the relevant folder. There are folders for each level and multi-level folder for computer lessons, video lessons, excursions, etc. These folders are clearly labelled and can be found in the staff resource area. Each document should have the version control. • Soft copies of the original material should also be stored. • When teachers create materials that need laminating, such as flash cards, they must seek approval from management to laminate.	Trainers/Teachers Compliance Manager

4	**Evaluation and Review** • The Compliance Manager is responsible for the review and evaluation of educational resources. • Evaluation is undertaken annually. Refer to *Evaluation and Review* of Courses. • The review of materials occurs regularly through the means of discussion in staff meetings, emails, professional development sessions etc.	Trainers/Teachers Compliance Manager
5	**Maintenance and Storage of Equipment** • Equipment used in teaching can include any of the following: CD players, TVs, tape recorders, DVD players, computers, overhead projectors, data projectors. • Damaged equipment should be immediately reported to the Compliance Manager . • Borrowing of equipment must be done via the Administration Staff and a booking form must be completed. • All equipment must be returned by the agreed deadline. • All equipment must be labelled with "Property of RTO". • Movement of equipment must be in accordance with OHS/WHS practices.	Trainers/Teachers Compliance Manager

6	**Copyright**
	
	• As an educational institute, the RTO is bound by the Copyright Act 1968 (https://www.legislation.gov.au/Details/C2019C00007).
	
	• The Statutory Educational License allows educational institutions to reproduce and communicate from any work for their educational purposes within the limits set out in the Copyright Act 1968 (the Act). This includes, but is not limited to, reproducing and communicating from such varied sources as books and their accompanying ancillary items, journals, internet sites, CD-ROMs, musical works and artistic works.
	
	• The reproduction limits under the Statutory Educational License for reproductions from hardcopy to hardcopy and reproductions from hardcopy to digital are:
	
	  • 10% of the number of pages or one chapter;
	  • all an item in an anthology, up to 15 pages;
	  • one article from a journal or more than one article if they relate to the same subject matter;
	  • the whole of an artistic work if it illustrates or accompanies text or music copied, or if it cannot be separately purchased; or
	  • the whole of a work if that work cannot be obtained within a reasonable time at an ordinary commercial price
	
	• Without a Statutory Educational License, RTO staff must only utilise/copy less than 10% of the stated reproduction limits above.
		Trainers/Teachers
		Compliance Manager

7	**Facilities** • Ownership or tenancy arrangements that allow for educational use and to be leased for a sufficient period to allow students to complete their studies • All training courses offered by RTO should also have a timetable developed including identification of the classrooms, workshops, laboratories or other specialised facilities identified in accordance with the requirements of the training package. • The class sizes are appropriate, and the teacher-to-student ratios do not exceed 1:18 per class. • All classrooms and other physical locations must be approved for educational use by the local authority and have a Class 9B (or equivalent) certificate issued. • All facilities should be regularly inspected to ensure compliance with Occupation Health and Safety requirements in general and any other safety standards as set by the individual training package or regulator for specialised facilities.	Trainers/Teachers Compliance Manager
8	**Safety** RTO will review the student safety, including the access and departure from premises when they are operating after 6pm, or on weekends, or with facilities that are located in industrial areas or remote from built up areas or further than 500 metres from regular scheduled public transport, or with substantial gardens and car parking areas nearby.	Trainers/Teachers Compliance Manager

9	**Equipment and Learning Resources** In line with the requirements of the training package, the equipment and resources must be sufficient to support quality learning and assessment for the number of students in any class or group at the time of instruction or assessment. This should include but is not limited to: •Classroom basics – desks, chairs, whiteboard, data projects and or other audio-visual equipment •Learning materials - text books, workbooks, training resources and quality up to date support material •Practical facilities – workbenches, safety equipment including protective clothing, quality resources and material or raw products to work with as appropriate. •First Aid equipment - immediate access to and knowledge on how to access emergency support if required.	Trainers/Teachers Compliance Manager
10	**Library resources** • Library facilities must be provided to enable student's access to material supplementary to that provided in class (or their required purchased text books) so that they can do the research required as a part of their course, Physical facilities together with appropriate management of library resources and a clear lending policy that is documented for student to avail them of. • Provision of internet enabled computer workstations for the student to conduct on line research. These may or may not be co-located within the library.	Trainers/Teachers Compliance Manager

	• Facilities to print and copy material in line with copyright legislation. Notice in the copy area of copyright requirements; contact the Australian Copyright Council for the latest information.	
11	**Procurement of Resources** • Staff must forward the Requisition for the purchase of resources form with the reason for procurement to the Coordinator/ Compliance Manager for approval. • The staff will further take the approved form to PEO for authorising and processing the request. • PEO approves and the request is processed; the staff is notified of the delivery date of the required resources	Trainers/Teachers Compliance Manager PEO
12	**Review of resources** All resources should be reviewed periodically. We need specified timelines for review, reviewed to ensure: •Currency in line with the training package requirements •Completeness in terms of number of sets and complete sets as appropriate •Safety – any items that may become dangerous – meets OHS/WHS requirements •Due for replacement based on Asset Register (this applies to capital good) The items should be actively reviewed during validation and moderation and any course review process.	Trainers/Teachers Compliance Manager

13	**Notice of change** When new premises are to be designated as campuses and or a new head office whether it is a replacement or in addition to current facilities, RTO will: • Notify ASQA or its successor of any change using the ASQAnet to update both National Training Information Service (NTIS) and Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) registrations by giving at least 20 working days' notice. • All affected students will also be notified giving 20 working days' notice by one or more the following: 1. Notices posted prominently on all notice boards in common areas and or classroom as appropriate 2. Emailing affected students to their registered email address 3. Letter to the affected student to their registered home address.	Trainers/Teachers Compliance Manager

Continuous Improvement

A summary of all educational resources and equipment related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff. The purpose of this policy is to define the system for the continuing, ongoing maintenance and review of educational equipment. Set the standard for the provision of appropriate facilities to provide quality training and assessment for all students. Stakeholders can obtain more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Academic staff recruitment policy Quality Assurance, Continuous Improvement and Compliance Policy and Procedure
Forms or other organisational documents	Requisition for Purchase of Resources form
Documents related to this policy	N/A

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**

Documentation and communication: Describe how the policy decisions will be documented and communicated
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website

No.4.1.2: Student Excursion Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 2.1.10; 5.3.4; 6.3; 6.5; 6.6; Standards for RTOs 2015 – Standard: 1.3(b); 1.3(c); 1.3(d); 1.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed RTO believes that culture and language are interwoven, and it is difficult to learn a language without learning the aspects of the culture from which the language arises.

Objective

The RTO encourages students to participate in excursions and outings to contribute a cultural component to their English language learning.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

	Description	**Responsibility**

1.	The completed form accompanied by the excursion day lesson plan must be submitted to the Academic Manager at least 10 days prior to the date of excursion. Teachers will be notified as to whether their request for the excursion has been approved or disapproved within 24 hours.	PEO Teacher Compliance Manager
2	On the excursion days, teachers and students must be present at the RTO at the specified time. Students must be accompanied by their Trainer whilst they are leaving the RTO as well as whilst they are on the excursion.	PEO Teacher Compliance Manager
3	Teachers must accompany those students who are not able to go on excursion to another class, if possible. Otherwise, these students will be assigned homework and supervised by another Trainer at the RTO.	PEO Teacher Compliance Manager
4	Teachers and students must not use private cars. The only acceptable mode of transport is the public transport system such as trains, trams or buses. Teachers are encouraged to choose places for their excursions that are in close proximity to the RTO.	PEO Teacher Compliance Manager
5	Students need to be informed of their excursion at least one week prior to the excursion. Teachers may inform students in the class, individually, or by putting the date and the destination on the students' notice board.	PEO Teacher Compliance Manager
6	Excursions that are not in line with the level's curriculum or do not support a student's learning outcomes cannot be considered as a part of the 20 hours of face to face teaching, and therefore will be refused by the Academic Manager.	PEO Teacher Compliance Manager

General Guidelines

Excursions give students and teachers the opportunity to engage outside a classroom setting, as well as giving the students an opportunity to use the language which they are learning. The RTO strongly encourages all its teachers to take students on a short trip excursion once a month.

Determining the educational value of an excursion, it must take into account the needs and resources of the RTO, the needs of the students and the total learning program.

1. Excursions are inclusive, and all students within the specific learning group are to be given the opportunity to participate.

2. A duty of care is owed to students in the RTO environment and while on excursions.

3. A risk assessment is to be conducted before seeking approval for any excursion.

4. RTO must have signed Excursion consent forms from the students prior to participating in excursions.

5. Safe transport or a safe walking route is to be organised for excursions.

6. Students must always behave appropriately while on excursions, including when animals are encountered.

7. The student should have been informed of the excursion's time and date at least seven (7) days prior to the day of excursion.

8. The activities on the excursion should be in line with the designated learning outcomes of the lessons of the week.

9. Teachers should have submitted the completed Excursion Request form and the lesson plan of the excursion day to the Academic Manager at least 10 days earlier.

10. Teachers must have Compliance Manager 's approval for the excursion.

Guidelines for Teachers

The RTO advises that the excursion must be closely linked to the curriculum as well as targeting the same learning outcomes in the class. The excursion requests that are found irrelevant to the

thematic curriculum cannot be approved. The teachers should discuss their excursion plan with Compliance Manager prior to seeking approval.

Continuous Improvement

A summary of all student excursion related matters will be presented as a part of the Continuous Improvement Policy and Procedure at the management meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and students. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	
Forms or other organisational documents	• Refund request form • Deferment or Suspension of Enrolment Form • Course Withdrawal Form • Appeals form
Documents related to this policy	

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**

Documentation and communication: Describe how the policy decisions will be documented and communicated
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website

No.4.1.3: Industry Engagement Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.1.5; 11.2.5; Standards for RTOs 2015 – Standard: 1.3(c); 1.6(a); 2.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure that in accordance with the Standards for Registered Training Organisations 2015, the RTO will systematically engage with relevant industry members to inform the design, content, assessment and delivery methodology of its various programs that lead to vocational qualifications.

The purpose of the RTO's industry engagement is twofold. The first relates to the ongoing continuous improvement of course design and currency of course content and the second, to ensure that the skills and knowledge that a learner gains through the RTO program are current, relevant and have real workplace application that benefits both the individual that completes their qualification and their employer or potential employer.

Objective

The RTO training and assessment practices are developed and maintained as relevant to the needs of industry and informed by industry engagement.

Scope

This policy will apply to all staff and other RTO stakeholders.

Procedures

	Description	Responsibility
1	The RTO has implemented a range of strategies for industry engagement, including: • Partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs; • Embedding personnel within enterprises; • Networking in an ongoing way with industry networks, peak bodies and/or employers; • Developing networks of relevant employers and industry representatives to participate in assessment validation; and • Exchanging knowledge, personnel, and/or resources with employers, networks and industry bodies.	Compliance Manager Assessor/Trainer PEO
2	The RTO participates actively in industry networks and partnerships to ensure the relevance and quality of their training and assessment services.	Compliance Manager Assessor/Trainer PEO
3	The RTO systematically uses the outcome of these industry engagement activities to ensure the industry relevance of: • Training and assessment strategies, practices and resources; and • The current industry skills of its trainers and assessors. Industry engagement informs the relevant selections of qualification, course, skill set or most relevant electives that best meets the skill and knowledge needs of industry. The mode of study and the training and assessment methods to be used in the RTO's services delivery also reflects the needs of industry. Through these industry engagement activities, industry representatives have also had input into the skills and knowledge that the RTO requires	Compliance Manager Industry feedback/Employer PEO

	trainers and assessors to hold, and the resources that the RTO uses for training and assessment.	
4	Each industry engagement event is documented on an Industry Engagement Report/form. These reports/form record, for each industry engagement activity: • The relevant industry stakeholders consulted; • Stakeholder feedback received as relevant on various aspects of training and assessment strategies, practices, resources and the current industry skills required of trainers and assessors; and • How stakeholder feedback received has been incorporated into the development and ongoing review of strategies. Industry engagement evidence will be available on relevant drive.	Compliance Manager PEO
5	The RTO's industry engagement is an ongoing activity, undertaken as industry engagement opportunities arise, as well as at strategic points in services delivery. This includes as part of preparation for extension of scope or transition of training products, and also as a part of systematic monitoring of services delivery. Formal industry engagement activity is scheduled to occur at least annually as per the yearly planner. This formal engagement ensures that the RTO can confirm and maintain industry's ongoing expectations for current industry skills and knowledge of trainers and assessors.	

Continuous Improvement

A summary of all industry engagement related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the management meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues.
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

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Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	
Forms or other organisational documents	• Quality Assurance & Continuous Improvement Policy & Procedure • Validation policy
Documents related to this policy	• Industry consultation/engagement form • Staff meetings/minutes • Validation schedule • Yearly planner

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.4.1.4: Training and Assessment Standards Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.1; 1.2; 1.3; 1.4; 1.5; 1.6; 1.8; 1.9; 1.10; 1.11; 1.12; 1.13; 1.22; 1.23;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to outline the commitment of RTO in:

- Providing high-quality training services by using approaches to training and assessment that are of best practice standard in the Vocational Education and Training (VET) sector within Australia.
- Aim to provide job-ready graduates who are appropriately trained to the level expected by the industry.
- Define the principals of the Delivery and Assessment Plan related to each qualification on the scope of registration and delivered by RTO.
- Providing consistent, best practice in education, training and assessment
- Delivering training and assessment at RTO is in accordance with the principles and parameters of the Australian Qualifications Framework (AQF)
- Ensure all assessments comply with the Assessment Guidelines in Nationally Endorsed Training Packages and/or State accredited curricula

- Ensure qualifications, skill sets, and statements of attainment are issued in accordance with the requirements of the AQF and qualification requirements specified in National Training Packages and/or State Accredited Curricula
- Ensure compliance with the requirements of the Australian Skills Quality Authority (ASQA) Guidelines for Registered Training Organisations (RTO)
- Ensure compliance with the audit requirements of the Australian Skills Quality Authority (ASQA) and other regulatory bodies.
- Promote continuous improvement in education, training and assessment practice.

Objective

The objectives of this Policy and Procedure are that RTO:

- has suitable and appropriate mechanisms in place for assessment recording and judgements
- policy framework supports the training and learning activities
- personnel know their responsibilities and obligations

Scope

This policy applies to all nationally accredited courses, or components of courses, listed on the RTO's Scope of Registration.

General Processes

Items and Roles	Process	Comments
Staff	All RTO staff involved in the training and assessment of VET courses must be able to demonstrate that they: • have the required training and assessment competencies as determined by the NSSC or its successors (currently TAE40116), and • have relevant training and assessment strategies, practices and resources related to the outcomes of industry engagement • have the applicable vocational competencies at least to the level being delivered or assessed, and • can demonstrate current industry skills directly relevant to the training/assessment being undertaken and continuously develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence. To deliver the training and assessment credential specified in Item 1 or Item 2 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:	The process for selecting, recruiting, inducting and assessing staff is given in Policy - Staff Recruitment and Appraisal Policy. Where a member of staff is recruited that cannot meet the requirement outlined in the Staff Recruitment and Appraisal Policy, then they must be supervised while assessing students. They should also embark on training themselves to make up this shortfall. See Policy - Training Supervision.

	• hold the training and assessment credential specified in Item 7 of Schedule 1; or • work under the supervision of a trainer that meets the requirement set out in a) above. The RTO must ensure that any person working under supervision: • does not determine assessment outcomes • holds the following: o on or prior to 31 March 2019, the training and assessment credential specified in Item 1 or Item 2 of Schedule 1; or o on or after 1 April 2019, the training and assessment credential specified in Item 2 of Schedule 1.	
Facilities	RTO will ensure that the facilities provided will meet or exceed the requirements of the training package. For theory classes, these will be provided in classrooms that are adequately resourced for general tuition. This is to include a number of seats and desk space, whiteboards, data projectors (if required), trainer's desk and chair and any other aids defined in the training package.	For practical classes, the facilities must match or exceed the specific requirements of the Training Package. Often this will cover a "simulated workplace". RTO will make every attempt to simulate as closely as possible a real live workplace. Reference should be made to the industry advisors to ensure

		the match and the currency of the environment.
Timing	· The training and assessing time should not exceed 8 hours in any day. · Classes will not start before 8.00 a.m. or go beyond 10.00 p.m. on any day.	
Safety	RTO will assess each campus before courses being conducted to cover safety: · in the classroom and other facilities · Regarding any simulated training conditions · Regarding access to the premises, especially after dark and at weekends – please speak to CEO and Compliance Manager of RTO.	

Equipment	As with the facilities and specific equipment required must match the requirements of the training package and must be currently used in the industry. All equipment must be checked for safety and should be cycled in line with the asset register requirements for this equipment by campus operations, RTO. Thus, the life of the equipment will be determined, by its quality, its amount of use (and thus wear and tear) and its currency.	
Delivery	· All qualifications are made up of many Units of Competency. · Dependent upon the student's enrolment they may undertake just a single unit through multiple Units of Competency that cover one or more qualifications. · Each unit should have a standard structure that defines what is to be taught, how it is to be taught (including sequence and timings) and how it is to be assessed. · The registered provider must facilitate access to learning support services consistent with the requirements of the course, mode of study and the learning needs of overseas student cohorts, including having and implementing documented processes for supporting and maintaining contact with overseas students undertaking online or distance units of study.	

	· A registered provider must not deliver a course exclusively by online or distance learning to an overseas student · A registered provider must not deliver more than one-third of the units (or equivalent) of a higher education or VET course by online or distance learning to an overseas student · A registered provider must ensure that in each compulsory study period for a course, the overseas student is studying at least one unit that is not by distance or online learning, unless the student is completing the last unit of their course. · The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement · The purpose of the above structure is to ensure consistency of delivery by one or more trainers/assessors. · This is not meant to stifle trainer creativity and quality examples. Instead to ensure that all of the requirements of the Training Packages are met. Trainers will add value by applying their industry and worldly experience to customise training delivery to the client group, embellish, underline and clarify any points in the core structure.	

Assessment	· Assessments will be conducted strictly by the requirements of the Training Package. · Assessors are not at liberty to alter the assessments approved by RTO. For changes and improvements see Validation and Moderation below. Assessors are expected to outline to the students: · At the beginning of the unit how many assessments there are, when they will be assessed and how students are to behave – i.e. collaboration, closed book, project work etc. · As each assessment is scheduled, the assessor should walk the students through the task and how it is to be assessed and expected outcomes (based on the unit to be delivered). · During the assessment, the assessor is to support the students in any way possible without compromising the objectivity of the process or giving an unfair advantage. · For a detail steps on assessment see Assessment Recording Policy.	

Training	The RTO determines the amount of training they provide to each learner with regards to: • the existing skills, knowledge and the experience of the learner • the mode of delivery • where a full qualification is not being delivered, the number of units being delivered as a proportion of the full qualification.	
Seeking approval from the ESOS agency for full-time course registration	In applying to register a full-time course at a location, a provider must seek approval from the ESOS agency, including through the relevant designated State authority if the provider is a school, for the following: • the course duration, including holiday breaks • modes of study, including online, distance or work-based training • number of overseas students enrolled at the provider, within the limit or maximum number approved by the ESOS agency for each location • arrangements with other education providers, including partners, in delivering a course or courses to overseas students. In seeking approval, the provider must demonstrate any matters requested by the	

	ESOS agency, including through the designated State authority if the provider is a school, which may include but are not limited to the following: • the expected duration of the course does not exceed the time required to complete the course on the basis of full-time study – for VET courses, this is a minimum of 20 scheduled course contact hours per week unless specified by an accrediting authority • the expected duration of the course includes any holiday periods or any work-based training • any work-based training to be undertaken as part of the course is necessary for the student to gain the qualification and there are appropriate arrangements for the supervision and assessment of students • the course is not to be delivered entirely by online or distance learning • the provider and any partner they engage to deliver a course or courses to overseas students has adequate staff and education resources, including facilities, equipment, learning and library resources and premises as are needed to deliver the course to the overseas students enrolled with the provider • the maximum number of overseas students proposed by the provider for the location reflects the	

	appropriateness of the staff, resources and facilities for the delivery of the course.	
Licensing requirements	· Some Training Packages require that the RTO work with the licensing authority or regulator. RTO will ensure that it obtains full approval from the body in accordance with rules set down in the training package.	
Legislation and regulatory requirements	· All training packages will refer to one or more pieces of legislation or regulations. These are usually defined in the training package. It is the responsibility of all the trainers of that qualification to keep up to date with current legislation. · As a part of the audit process, the list of legislation and or regulations related to all training packages will be annually reviewed to check currency, superseded legislation and or new legislation that has been enacted. Any changes identified will become items in the Continuous Improvement Register for updates to be completed in the training and/or assessment material.	

Recognition of Prior Learning (RPL)	RTO will provide in each qualification package an RPL kit. This kit is to define how an assessor may award an applicant RPL (or not). It should be a vehicle that sets out to the applicant the type of evidence required and how to get it. The assessor is to work with the student to help clarify responses to assesses and whether there is sufficient evidence. If the applicant does not satisfy the assessor, the applicant will then be offered the option to enrol. The applicant may also choose to appeal the decision.	
Validation practices	To ensure that all qualifications offered and assessed by RTO are of high quality, RTO undertakes validation of all material presented and assessed for any given Units of Competency. The PEO will draw up a review list to ensure that all Units of Competency are cycled through and reviewed. This cycle should be a maximum of 5 years, but in practice should be more frequent. In addition, completed assessments are also moderated internally and externally. This process is to ensure that there is consistency across different groups of students and or assessors within RTO and also consistency across different groups from different organisations. The process for Validation briefly is that there is an implemented systematic validation of assessment practices for: • when assessment validation will occur	

	• which training products will be the focus of validation • who will lead and participate in the validation process • how the outcomes of the process will be documented and acted upon on. The RTO systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1. The RTO also, systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. To deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).	
Industry Input	During the development of qualifications and during the life of the qualification industry input is sought to ensure alignment with local industry needs and currency.	

Transition Planning	As courses become outdated, they are revised and updated. During this process some Units of Competency are changed, some removed, and some added and new version of a qualification released. RTO subscribes to various information sources to be advised when this will happen. For example: · Training Packages @work · Relevant Industry Skills Councils · Relevant State Industry Training Boards · Relevant State Curriculum Maintenance Managers · Licensing Line. Once notification is received RTO will build a Transition Plan. This will be different for each qualification, but will cover: · Scope of changes · List of Units of Competency currently delivered that will remain current · List of Units of Competency that have been deleted · List of Units of Competency that have been substantially modified · Plan to right new units and build new material for the new qualification · Plan to have material externally validated by industry · Time to notify regulator	

	· Plan for existing students which may cover migration/transition, continue on old qualification · Communication plan and agreement with students · De-commissioning old qualification including removing from scope. · The plan will be built and implemented within 12 months of the notification.	
Up-to-date with licensing and regulatory requirements	RTO's staff portal is regularly updated with all current licensing and regulatory requirements.	
Document management and results recording	· This is to be submitted to administration after completion of assessments · Administration is to record this data in the Student Management System (SMS) · All student completed scripts are to be stored for a minimum of 2 years following completion of the assessment (this can be in scanned format) · In addition, the original version of the assessment and model answers shall be stored so that the student's work can be	

	compared to the instructions and questions given at the time.	

Procedures

Procedures are provided with the general processes.

Continuous Improvement

A summary of all access and equity related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy will be reviewed annually by the Compliance Manager .

No.4.1.5: Assessment Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.1; 1.2; 1.3; 1.4; 1.5; 1.6; 1.8; 1.9; 1.10; 1.11; 1.12; 1.13; 1.22; 1.23;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that RTO has in relation to the delivery of training and assessment services to meet the requirements specified in each training package or VET Accredited Course.

RTO only offer valid, reliable, flexible and fair assessments to all students within the boundaries of the associated Training Package. All assessments must comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the Assessment Requirements specified in Accredited Courses.

Objective

The objectives of this policy and procedure are that assessments must be designed to contribute to high quality student learning and underpin the development, delivery and quality assurance of units and courses.

Assessment should both help students learn (assessment for learning) and measure explicit evidence of their learning (assessment of learning).

Assessment:

- Must meet the national standards

- Mapped to ensure compliance
- Meet the needs of the client and the unit of competency
- Must be standards-based and provide evidence of the level of achievement with respect to learning outcomes and graduate attributes;
- Must be a transparent process carried out with honesty, integrity and confidentiality in line with this policy;
- Must be comprised of a variety of tasks which are reasonably achievable by students;
- Must be fair, inclusive and equitable for all students.

Scope

This policy is applicable on the following RTO stakeholders:

- Staff
- Students

General Processes

1. Availability of Policy and Procedures

Policies and Procedures are made available to all staff by directly contacting RTO.

2. Principles

RTO is committed to and guided by the following principles:

- Procedures, methods and tools for assessment are explicit, sufficient, valid and reliable
- Assessment tasks reflect the learning outcomes as stated in the unit outline and unit of competency
- Students are made aware of assessment requirements in the first week of delivery
- Internal validation and moderation occur across qualifications at the level of individual unit assessment tasks.
- RTO maintains transparent and fair mechanisms for marking and validating and moderating assessments
- Validation processes are evaluated informally and formally.

3. What is Assessment?

Assessment is the process of collecting evidence and making judgments on the extent and nature of performance and other requirements, as described in a set of standards, or learning outcomes, resulting in a judgment of whether competency has been demonstrated.

Effective and objective assessment is vital to the successful implementation of competency standards in the workplace and in education. This is the judgment of performance and knowledge against the relevant industry competency standards. Assessment is carried out by the comparison of a candidate's evidence of skills and knowledge, against the requirements of the Standards.

4. What is competency-based assessment?

This is the process of collecting evidence and making judgements on whether competence has been achieved. This confirms that an individual can perform to the standard expected in the workplace as expressed in the nationally endorsed competency standards (where they exist), on competency standards developed by relevant industry, enterprise, community or professional groups, or on outcomes of accredited courses if there are no relevant nationally endorsed competency standards.

5. What sort of evidence is collected?

Evidence collected may be direct, such as observation of workplace performance, indirect, such as formal testing, or supplementary, such as references from employers.

Evidence is used by an assessor to make a judgement about whether a student is competent.

It is the responsibility of the assessor to determine what and how much evidence is required to make the assessment judgement. Training Packages provide guidance on the types of evidence required, and further advice may be gained through moderation and industry consultation.

6. What is classed as evidence?

In general, basic forms of skills evidence include:

- Direct performance evidence current or from an acceptable past period from:
    - Extracted examples within the workplace;
    - Natural observation in the workplace; and
    - Simulations, including competency and skills tests, projects, assignments

- Supplementary evidence, from:
    - Oral and written questioning;
    - Personal reports; and
    - Witness testimony
- Appropriate and valid forms of assessment utilised for both skills and knowledge may include:
    - Evaluation of direct products of work;
    - Natural observation;
    - Skill tests, simulations and projects;
    - Evaluation of underpinning knowledge and understanding;
    - Questioning and discussion; and
    - Evidence from prior achievement and activity
- RTO ensures that assessment, including RPL complies with the Assessment Requirements of the relevant Training Package or VET Accredited Course and it is conducted in accordance with the Principles of Assessment and the Rules of Evidence.
- RTO consults with industry at the time of assessment resources development and regularly meets with industry to ensure assessment tools are current and relevant.
- RTO also uses validation and moderation activities to ensure that assessment is conducted in accordance with the Principles of Assessment and the Rules of Evidence.

7. What is "Competent" and "Not Yet Competent"?

We know whether an individual is "competent" after he/she has completed an assessment that verifies that all aspects of the unit of competency are held and can be applied in an industry context. If a student fails to successfully complete all aspects of the assessment, they will be deemed as "not yet competent".

Students must demonstrate competence by undergoing an assessment process. Assessment may involve a variety of assessment methods. Individuals can be assessed during their training, at the end of their training, or without even undertaking any training, e.g. if they believe that they are already competent.

8. What is an assessment tool?

A tool which contains both the instrument and the instructions for gathering and interpreting evidence:

- Instrument(s) – the specific questions or activities developed from the selected assessment method(s) to be used for the assessment (a profile of acceptable performance and the decision-making rules for the assessor may also be included); and
- Procedures – the information/instructions given to the student and/or the assessor regarding conditions under which the assessment should be conducted and recorded.

9. What is the role of an assessor?

The role of an assessor is to objectively assess and judge a candidate's evidence against a set of standards. To do this effectively, an assessor must have a sound knowledge of, and be skilled in, the relevant industry area. In addition, the assessor must have acknowledged competency in assessment itself and hold an appropriate Workplace Assessor qualification or equivalent i.e. TAE40116 – Certificate IV in Training and Assessment.

An assessor must:

- Interpret and understand the criteria;
- Ensure that evidence meets the standards;
- Ensure that evidence is valid, authentic, reliable, consistent, current and sufficient; and
- Use expertise to make fair and objective judgements.

The training and ongoing professional development of assessors must include such areas as:

- Roles, responsibilities and ethics;
- Procedural and administrative duties;
- Performance and knowledge evidence gathering and presentation;
- Interpretation and usage of standards;
- Selecting and using appropriate methods of assessment; and

- Requirements regarding processing and recording of results, progress and feedback.

It is crucial that assessors always understand and practice fair, objective, unbiased and flexible assessment processes.

10. Conducting the assessment

1. Establish the assessment context

   The trainer/ assessor establishes the context and purpose of the assessment by identifying the relevant competency standards, assessment guidelines and qualification framework, identifies the support materials that have been purchased and developed to facilitate the learning and assessment process.

2. Prepare the student

The trainer/ assessor meets with the student to:

- Explain the context and purpose of the assessment and the assessment process
- Explain the competency standards to be assessed and the evidence to be collected
- Advise on self-assessment including processes and criteria
- Outline the assessment procedure, the preparation which the student should undertake, and answer any questions
- Assess the needs of the student and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies
- Seek feedback regarding the student's understanding of the competency standards, evidence requirements and assessment process
- Determine if the student is ready for assessment and decide on the time and place of the assessment
- Implement the assessment plan

3. Plan and prepare the evidence gathering process

The assessor must:

- Use the correct assessment tools to gather sufficient and quality evidence about the students performance to make the assessment decision
- Organise equipment or resources required to support the evidence gathering process

4. Collect the evidence and make the assessment decision

The assessor must:

- Establish and oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility
- Collect appropriate evidence and assess this against the elements, performance criteria, range statement and evidence guide in the relevant units of competency
- Evaluate evidence in terms of the four dimensions of competency: - task skills, task management skills, contingency management skills and job/role environment skills
- Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies
- Evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency
- Consult and work with other staff in the assessment process
- Record details of evidence collected
- Make a judgment about competency based on the evidence and the relevant Unit[s] of Competency.

5. Provide feedback on the assessment

The trainer/ assessor must provide advice to the student about the outcomes of the assessment process.

This includes providing the candidate with:

- Clear and constructive feedback on the assessment decision

- Information on ways of overcoming any identified gaps in competency revealed by the assessment and an opportunity to discuss the assessment process and outcome information on reassessment and the appeals processes.
- An opportunity for reassessment if appropriate or requested by the student

6. Record and report the result

The assessor must:

- Record the assessment outcome
- Maintain records of the assessment procedure, evidence collected and the outcome
- Provide signed and dated assessment outcomes to the Student Support Officer for updating in the Student Management system (SMS).
- Maintain the confidentiality of the assessment outcome

7. Review the assessment process

On completion of the assessment process, the assessor must:

- Review the assessment process
- Report on the positive and negative features of the assessment to those responsible for the assessment procedures
- Make suggestions (if necessary) on improving the assessment procedures to appropriate RTO staff

8. Participate in the reassessment and appeals process

The assessor must:

- Provide feedback and counselling to the student, if required, regarding the assessment outcome or process including guidance on further options
- Provide the student with information on the reassessment and appeals process as per the Complaints and Appeals Policy and Procedure

- Report any assessment decision that is disputed by the student to the Compliance Manager
- Participate in the reassessment or appeal according to RTO's policies and procedures

11. Reporting and recording results

It is the responsibility of the assessor to keep a record of the evidence presented by the student which enables the assessment decision to be made. When the assessment decision has been made, the assessor submits the results and evidence to the Student Support Officer for checking, who forwards it to Admin for updating the results in the Student Management System.

The assessor must submit all assessment outcomes within two weeks of the term finishing.

12. Student feedback and appeals processes

RTO will ensure that students are provided with feedback that includes details of the assessment outcome, the reasons for the outcome, recommendations for further training, and the appeal and reassessment options. Where students are assessed as not competent they will be provided with additional feedback on their assessment outcome to assist in achieving the required performance standard on reassessment.

13. Reassessments

Students who are dissatisfied with their assessment outcome may apply for reassessment by contacting their trainer or assessor. Students can apply for reassessment two times at no charge after the first assessment, after which there is a fee per unit.

14. RPL (recognition of prior learning)/ credit transfer (national recognition)

If students believe that they are already competent in a unit, they can choose one of two forms of assessment. The first is known as recognition of prior learning (RPL).

RPL is the term used to describe many assessment processes that formally recognise the competencies an individual has acquired through formal or non-formal learning, work experience and/or life experience.

The principles and processes involved in RPL are consistent with other forms of assessment.

15. **Credit Transfer** exempts a student from enrolling in and being assessed in a unit or units because they have been granted recognition for having completed the identical unit or units at another registered provider **Student support**

    During the enrolment process, students are required to undertake an LLN test (Language, Literacy and Numeracy). This test helps RTOs to determine whether the learner requires any additional support services to meet the requirements of the course they are undertaking.

    Students are also advised that they can contact the Student Support Officer at any time throughout their enrolment if they require any support or assistance.

16. **Learners with special needs**

    One fundamental principle of an assessment system is that each student must have access to fair and open assessment. Students with special needs should be offered the same opportunities as any other student.

    As special needs extend to more than physical or learning difficulties, an assessor will also need to consider the best approach when dealing with students with needs such as low literacy, lack of confidence or non-English speaking background.

    An assessor must take special needs into consideration from the planning stage onwards and adopt assessment methods as appropriate. Depending on any specification given in the standards, the assessor may be able to accept alternative evidence from a student with special needs.

    If there is uncertainty, the assessor should call on other assessors or a verifier for assistance and guidance, as required. In such a case, the situation must be fully documented, with appropriate feedback being provided to the candidate at all stages.

Procedures

Items and Roles	**Process**	**Comments**

PEO and trainer	All RTO staff involved with the training and assessment of VET courses must be able to demonstrate that they: · have the necessary training and assessment competencies as determined by the NSSC or its successors (currently TAE40116), and · have relevant training and assessment strategies, practices and resources related to the outcomes of industry engagement · have the relevant vocational competencies at least to the level being delivered or assessed, and · can demonstrate current industry skills directly relevant to the training/assessment being undertaken and · continue to develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence.	The process for selecting, recruiting, inducting and assessing staff is given in Staff Recruitment and Appraisal Policy. Where a member of staff is recruited that cannot meet the requirement outlined in the Staff Recruitment and Appraisal Policy then they must be supervised while assessing students. They should also embark on training themselves to make up this shortfall. Refer to the Training Supervision Policy and Procedure.

Facilities	RTO will ensure that the facilities provided will meet or exceed the requirements of the training package. This is to include number of seats and desk space, whiteboards, Data projectors (if required), trainer's desk and chair and any other aids defined in the training package.	For practical and or specialist classes, the facilities must match or exceed the specific requirements of the Training Package. Often this will cover a simulated workplace. RTO will make every attempt to simulate as closely as possible a real live workplace. Reference should be made to the industry advisors to ensure the match and the currency of the environment.
Timing	The training and assessing time should not exceed eight hours in any day. Classes will NOT start before 8.00 a.m. or go beyond 10.00 p.m. on any day.	

Safety	RTO will assess each campus prior to courses being conducted to cover safety: in the classroom and other facilities in terms of any simulated training conditions In terms of access to the premises, especially after dark and at weekends – please speak to CEO of RTO, and Compliance Manager .	
Equipment	As with the facilities and specific equipment required must match the requirements of the training package and must be currently used in the industry. All equipment must be checked for safety and should be cycled in line with the asset register requirements for this equipment by Campus operations, RTO. Thus, the life of the equipment will be determined, by its quality, its amount of use (and thus wear and tear) and its currency.	

Delivery	All qualifications are made up of a number of Units of Competency. Dependent upon the student's enrolment they may undertake just a single unit through multiple Units of Competency that cover one or more qualifications. Each unit should have a common structure that defines what is to be taught, how it is to be taught (including sequence and timings) and how it is to be assessed. The purpose of the above structure is to ensure consistency of delivery by one or more trainers / assessors. This is not meant to stifle trainer creativity and quality examples. Rather to ensure that all the requirements of the Training Packages are met. Trainers and assessors will add value by applying their industry and worldly experience to customize training delivery to the client group, embellish, underline and clarify any points in the core structure.	

Assessment	Assessments will be conducted strictly in accordance with the requirements of the Training Package. Assessors are NOT at liberty to alter the assessments approved by RTO. For changes and improvements see Validation and Moderation below. Assessors are expected to outline to the students: · At the beginning of the unit how many assessments there are, when they will be assessed and how students are to behave – i.e. collaboration, closed book, project work etc. · As each assessment is scheduled the assessor should walk the students through the task and how it is to be assessed and expected outcomes (based on the unit to be delivered). · During the assessment the assessor is to support the students in any way possible without compromising the objectivity of the process or giving unfair advantage. · For a detail steps on assessment see Assessment Recording Policy.	

Offsite Training	RTO may offer training for groups of students that have specific requirements. E.g. a migrant community group requesting training together and want the training undertaken in a facility near their locality. Offsite training takes place at a local facility close to the group and is run by RTO trainers and assessors (this should NOT be confused with work-based training). Where such a group is identified, the CEO of RTO will meet with the organisers to agree: · What contextualisation is required · Where the training is to take place · Contextualisation of the standard training material based on the main Training and Assessment Strategies required. This will, for example, use the group's experiences and needs or case studies to be a part of the teaching, but in no other way will the standard material be compromised. These contextualisations (that still meets the Training Package requirements) will then become a Training and Assessment	

	Plan for that employer and that cohort / group of students. Each qualification should have a check list if any specific equipment / facility requirements of the training package are to be met. This list must be completed. Once premises local to the student group is identified, RTO will inspect the premises and complete the Venue Checklist is to be completed to ensure the premises is suitable for training.	
Licensing requirements	Some Training Packages require that RTO work with the licensing authority or regulator. RTO will ensure that it obtains full approval from the body in accordance with rules set down in the training package in case such a course is on its scope.	

Legislation and regulatory requirements	All Training Packages will refer to one or more pieces of legislation or regulations. These are usually defined in the Training Package. It is the responsibility of all the trainers of that qualification to keep up to date with the current legislation. In addition, as a part of the audit process the list of legislation and or regulations related to all Training Packages will be annually reviewed to check currency, superseded legislation and or new legislation that has been enacted. Any changes identified will become items in the Continuous Improvement Register for updates to be completed in the Training and or assessment material.	
Recognition of Prior Learning (RPL)	RTO will provide in each qualification package an RPL kit except EAL courses. This kit is to define how an assessor may award an applicant RPL (or not). It should be a vehicle that clearly sets out to the applicant the type of evidence required and how to get it. The assessor is to work with the student to help clarify responses to assesses whether there is sufficient evidence.	

	If the applicant does not satisfy the Assessor, then he/she will be offered the option to enrol. The applicant may also choose to appeal the decision.	
Validation practices	In order to ensure that all qualifications offered and assessed by RTO are of high quality, RTO undertakes validation of all material presented and assessed for any given Units of Competency. The Compliance Manager will draw up a review list to ensure that all Units of Competency are cycled through and reviewed. This cycle should be a maximum of five years, but in practice should be more frequent. In addition completed assessments are also moderated internally and externally. This process is to ensure that there is consistency across different groups of students and or assessors within RTO and consistency across different groups from different organisations. The process for Validation is shown in Validation Policy.	
Industry Input	During the development of qualifications and during the life of the qualification industry input is sought to ensure	

	alignment with local industry needs and currency. The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement	

Transition Planning	As courses become outdated, they are revised and updated. During this process, some Units of Competency are changed, some removed, and some added and new version of a qualification released. RTO subscribes to various information sources to be advised when this will happen. For example: · Training Packages @work · Relevant Industry Skills Councils · Relevant State Industry Training Boards · Relevant State Curriculum Maintenance Managers · Licensing Line Once notification is received Institute will build a Transition Plan (Planning Document). This will be different for each qualification, but will cover: · Scope of changes · List of Units of Competency currently delivered that will remain current · List of Units of Competency that have been deleted	

	· List of Units of Competency that have been substantially modified · Plan to right new units and build new material for the new qualification · Plan to have material externally validated by industry · Time to notify regulator · Plan for existing students which may cover migration / transition, continue old qualification · Communication plan and agreement with students · De-commissioning old qualification including removing from scope. · The plan will be built and implemented within 12 months of the notification.	

Up-to-date with licensing and regulatory requirements	RTO's website is regularly updated with all up-to-date licensing and regulatory requirements.	
Document management and results recording	Assessors must submit the assessments to administration after the marking. Administration is to record this data in the Student Management System (SMS). ALL student completed scripts are to be stored for a minimum of two years following completion of the assessment (this can be in scanned format) In addition, the original version of the assessment and model answers shall be stored so that the students work can be compared against the instructions and questions given at the time.	

Continuous Improvement

A summary of all assessment related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
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This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.4.1.6: Requirements for Trainer and Assessor Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.3(a); 1.6(b); 1.13; 1.14; 1.15; 1.16; 1.20(b); 1.22; 1.23; 1.24; 6.1(a);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that:

- Trainers and Assessors of RTO follow the code of practice for Assessors according to Training and Assessment Training Package assessment guidelines
- RTO complies with the applicable NVR Standards regulated by the National VET Regulator - Australian Skills Quality Authority (ASQA)

Objectives

The objective of this policy and procedure is to ensure that RTO;

- Has suitable and appropriate training and assessment staff according to the guidelines provided by the current Training and Assessment Training Package assessment guidelines and the current National Standards and legislation for registered training organisations
- Supports the policy framework for RTO compliance framework
- Personnel are aware of their responsibilities and obligations

Scope

This policy and procedure applies to all RTO staff. It is the responsibility of every RTO staff member to comply with the applicable regulatory and legislative requirements and standards.

General Processes

1. Code of practice for Assessors

The Code of Practice detailed below is included in the TAE40116 Certificate IV in Training and Assessment Training Package, assessment guidelines to support professionally responsible and ethical assessment practice and to guide trainers and assessors in the responsibilities of their work. This code is loosely based on an international code developed by the National Council for Measurement in Education. The code reinforces the performance outcomes of the training and assessment. Training Package assessment units.

- The differing needs and requirements of the candidates, the local enterprise/s and/or industry are identified and handled with sensitivity.
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified, and appropriate referrals are made, if necessary.
- All forms of harassment are avoided throughout the assessment process and in the review and reporting of assessment outcomes.
- The rights of candidates are protected during and after the assessment process.
- Candidates are made aware of their rights and processes of appeal.
- Personal or interpersonal factors that are irrelevant to the assessment of competence must not influence the assessment outcomes.
- Evidence is verified against the rules of evidence assessment decisions are based on available evidence that can be produced and verified by another assessor.
- Assessments are conducted within the boundaries of the assessment system policies and procedures.
- Formal agreement is obtained from candidates and the assessor that the assessment was carried out in accordance with agreed procedures.
- Assessment systems and tools are consistent with equal opportunity legislation.

- Candidates are informed of all assessment reporting processes prior to the assessment.
- Candidates are informed of all known potential consequences of assessment decisions, prior to the assessment.
- Confidentiality is maintained regarding assessment decisions/outcomes and records of individual assessment outcomes which identify personal details are only released with the written permission of the candidate/s.
- Assessment outcomes are used consistently with the purposes explained to candidates.
- Self-assessments are periodically conducted to ensure current competence against the Training and Assessment Training Package competency standards.
- Professional development opportunities are identified and sought.
- Opportunities for networking amongst assessors are created and maintained.
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment practice and participating in validation.

Reference: Code of Practice for Assessors is from the TAE40116 Training and Assessment Training Package, assessment guidelines.

The RTO will ensure that it has sufficient trainers and assessors to deliver the training and assessment, as well as trainers and assessors who hold current industry skills related to the industries.

Where an individual who is not an official trainer or assessor is engaged in the practices of delivering training and assessment, that individual must work under the supervision of a trainer or assessor and must not be active in determining assessment outcomes. Furthermore, the RTO ensures that any individual working under the supervision of a trainer:

- holds a training and assessment credential in TAE40116,
- has vocational competencies at least to the level being delivered and assessed

- has current industry skills directly relevant to the training and assessment being provided.
- does not determine assessment outcomes
- all assessors and trainers, regardless, must hold the following credentials:
    1. TAE40116 Certificate IV in Training and Assessment or its successor, or;
    2. TAE40110 Certificate IV in Training and Assessment, and one of the following:
        a) TAELLN411 Address adult language, literacy and numeracy skills or its successor or
        b) TAELLN401A Address adult language, literacy and numeracy skills and one of the following:
            i. TAEASS502 Design and develop assessment tools or its successor or
            ii. TAEASS502A Design and develop assessment tools or
            iii. TAEASS502B Design and develop assessment tools.
- Work under the supervision of a trainer that meets the requirements of the credentials necessary above.

The RTO establishes and enforces the following for individuals requiring supervision:

- the level of supervision required
- any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence
- that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Any trainer or assessor delivering training or assessments:

- if delivered on or prior to 30 June 2019, is delivered only by persons who have the training and assessment credential specified in Item 1 or Item 2 or Item 3 of Schedule 1.

- if delivered on or after 1 July 2019, is delivered only by persons who have the training and assessment credential specified in Item 2 or Item 3 of Schedule 1

When a person conducts assessments only, the RTO ensures that:

- on or prior to 30 June 2019, the person has the training and assessment credential specified in Item 1, or Item 2, or Item 3, or Item 4, or Item 5 of Schedule 1; or
- on or after 1 July 2019, the person has the training and assessment credential specified in Item 2, or Item 3, or Item 5 of Schedule 1.

RTO's training and assessment is only to be delivered by those who have:

- vocational competencies at least to the level being delivered and assessed
- current industry skills that are directly relevant to the training and assessment being provided
- the current knowledge and skills in vocational training and learning that informs their training and assessment

The RTO also ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment.

2. Characteristics of an Assessor /Trainer

The important characteristics of an assessor / trainer are mentioned below:

- Unbiased and impartial
- Confidential
- Independent
- Observant, good listener
- Knowledgeable
- Sense of Humour
- Approachable
- Sensitive
- Enthusiastic
- Articulate

- Confident
- Patient
- Well organised
- Supportive
- Available

3. First impressions of an Assessor/ Trainer

- Positive and balanced attitude: open minded, curious and respectful
- Professional appearance
- Alert and focused
- Able to establish rapport with students
- Prepared and organised
- Open and communicative

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1	Code of practice for Assessors to follow	Trainer/ Assessor	
2	Characteristics of an Assessor/Trainer to follow	Trainer/ Assessor	
3.	First impression of an Assessor/Trainer	Trainer/ Assessor	
4.	Compliance and quality assurance requirements	Compliance Manager	

Continuous Improvement

A summary of all Trainer and Assessor matters and concerns will be presented at the Management Meeting for review. The purpose of this process is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually by the Compliance Manager .

No.4.1.8: Transition and Teach out Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.26; 1.27;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that:

- RTO will ensure that students are not enrolled in qualifications/courses that adversely affect their opportunities for employment, residency status and/or future study pathways
- RTO must deliver the current training product to a student, unless the student would be genuinely disadvantaged by undertaking that training product, that is if the genuine disadvantage to them in doing so outweighs the benefits of continuing training in and being issued with a Qualification or Statement of Attainment for a superseded or deleted training package qualification or superseded / expired accredited courses
- RTO will provide timely and adequate advice and guidance to students.
- The transfer of students will be undertaken in collaboration with the student and RTO in accordance with the Standards for RTOs 2015
- If the qualification or course in which the students are enrolled in is superseded/deleted/expired RTO will ensure students are given the opportunity to transfer to replacement training package qualifications and accredited courses or other currently endorsed training packages or accredited courses.

- Confirmation of correct transition and teach out requirements is ensured by complying with this Standard.

Objectives

The objective of this policy and procedure is to ensure that RTO;

- Personnel are aware of their responsibilities and obligations
- Has a suitable and appropriate handling system for transition and teach out
- The policy framework complies with the transition and teach out Guidelines

Scope

This policy and procedure apply to all of RTO staff and students.

General Processes

1. The overarching principle

The overarching principle of this procedure is that RTO must deliver the current (endorsed or accredited) training product to a student, unless the student would be genuinely disadvantaged in undertaking that product. Genuine disadvantage/exceptional circumstances identified by ASQA include, but are not limited, to the following possible scenarios:

- A requirement to undertake additional units of competency
- A fundamental change in the structure of content of the qualification or course
- A significant change in training venue or delivery mode
- The outcome of the new/revised qualification not being recognised by an industry licensing/regulatory body
    - The RTO's training and assessment practices must be relevant to the needs of industry and informed by industry engagement
- An extension to the enrolment period
- An additional financial expense
- A change to apprenticeship/traineeship contract terms
- A change to the residency visa status

Note that exceptional circumstances used are not the same as those identified as reasons for genuine disadvantage.

Rules and Actions for Commencing Students:

- All commencing students are to be enrolled into the current course
- While commencing students may be enrolled into a superseded course, this would only occur within the transition period (12 months) and until the new course is added to RTO's scope.

2. Renewal of required policies

RTO applies the principle that a student will be allowed to complete the course in which they originally enrolled or be transferred to the replacement course with minimum disadvantage.

RTO will teach out students enrolled within a superseded course during the transition period.

If exceptional circumstances exist, then an extra six months (18 months from the date of publication of the replacement course) is available in which the teach out of the superseded course must be completed.

Each case will be considered individually by the Trainers/PEO. Industry and management consultation will be considered in this assessment. Where possible, students will be provided with the opportunity to transfer to the new qualification. When making the decision to transfer to the new qualification the following should be considered;

- proportion of the qualification that has been completed
- the degree of alignment with the new qualification
- potential advantage or disadvantage to student

Current students will be advised in writing as soon as possible of the detailed requirements, for transfer to a replacement Training Package qualification or accredited course.

3. Training product

Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, RTO will ensure that:

- Where a training product on RTO's scope of registration is superseded, all students' training and assessment is completed and the relevant AQF certification documentation is issued or students are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register.
- Where an AQF qualification is no longer current and has not been superseded, all students' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register.

- Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all students' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register, and
- A new student does not commence training and assessment in a training product that has been removed or deleted from the National Register.

The requirements specified in Clause 1.26 do not apply where a training package requires the delivery of a superseded unit of competency.

It is a condition of registration that an Australian Skills Quality Authority (ASQA) Registered Training Organisation (RTO) must comply with any General Directions issued by ASQA under the National Vocational Education and Training Regulator Act 2011 (Cwlth).

The purpose of this procedure is to outline the processes RTO has determined are to be undertaken and the documentary evidence to be maintained to meet ASQA's General Direction: Transition & Teach Out, when RTO believes exceptional circumstances apply that require it to continue to deliver a superseded qualification to one or more current students beyond the designated teach out period.

This policy is based on the Australian Skills Quality Authority (ASQA) Publication - ASQA's General Direction: Transition & Teach Out and advice from other regulatory agencies. It is a condition of registration that RTO complies with the Standards for National Vocational Education and Training Regulator Act 2011 (Cwlth) and any General Directions published by ASQA.

Procedures

	Procedure Steps	**Responsibility**	**Reference**
1	Student transition and teach out system and processes are monitored	Trainer, PEO	
2	Corrective actions is taken regarding the matters discussed in this policy	PEO	

Continuous Improvement

A summary of all Transition and Teach Out related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Any general adverse trend that needs correcting
- Common threads relating to the compliance and quality assurance
- Repeat issues

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy and procedure will be reviewed annually by the Compliance Manager .

No.4.1.9: Plagiarism and Cheating Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 8.9.1; Standards for RTOs 2015 – Standard: 1.7; 5.2(d); 5.2(e)ii;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

RTO expects the students to study honestly, ethically and in accordance with accepted Academic Standards, Assessment Principles Policy.

If there is any non-compliance with such requirements, this can result in penalties, which may have an impact on the student's academic future.

RTO shall monitor the work of students to ensure the academic integrity and validity of its courses and that assessment is being conducted in accordance with the rules of evidence and principles of assessment.

This policy and procedure is implemented for the following reasons;

- Each case of alleged plagiarism and cheating/academic misconduct will be dealt with on its merits, in consideration of all circumstances surrounding the case, and in accordance with this policy.
- To assist in the identification and management of situations where plagiarism or cheating are suspected or proven.

- To maintain academic standards that require the award of student grades where the student demonstrates the work submitted for assessment or their participation is in accordance with the guidelines set down for assessments.
- To provide an appropriate process for investigating situations where plagiarism or cheating are suspected.
- To provide outcomes if the student is found guilty of plagiarism or cheating, RTO will record the assessment outcome as NYC (not yet competent) and the student will lose their right to re-sit the assessment. The student will have to re-sit the whole unit (including all assessments) and pay the appropriate fees. Repeat offenders will be deemed to have breached the Student Code of Conduct and will be dealt with under that policy.
- The outcomes of the student's work will not be finalised until after the case of alleged academic misconduct has been properly investigated and any appeal process has concluded.
- All training and assessment staff are expected to be familiar with this policy and incorporate its principles in their management and communication in relation to all assessments.

Objectives

The objective of this policy and for RTO is to ensure that:

- RTO personnel are aware of their responsibilities and obligations
- RTO has suitable and appropriate plagiarism and cheating control systems and practices in place
- RTO has the policy framework in place to comply with the RTO disciplinary and corrective guidelines

Scope

This policy and procedure is applicable to all RTO students.

General Processes

1. Student and Staff Understanding

Students are expected to comply with this policy and the procedures regarding plagiarism, collusion and cheating.

Students should also seek assistance from trainers and assessors if they are not sure about the correct way to gathering and use data or references.

- RTO expects all assessors to be aware of the potential of plagiarism and cheating and apply appropriate risk management strategies
- Trainers and assessors are to make sure that students understand the implications of either act and the reputational and financial cost of undertaking in such practices
- Students and staff have details about the improper use of material in their respective handbooks, and on the website
- Students must consult with a trainer when in doubt regarding this matter

2. Detection of Plagiarism

Trainers and Assessors are expected to actively plan to detect plagiarism.

If a trainer/assessor when assessing a piece of work suspect plagiarism, they must do sufficient research to satisfy themselves of the extent of the plagiarism (if any).

Many tools exist on the internet to help detect plagiarism (some tools listed at: Grammarly or copy the text written by student and paste in google to check plagiarism).

Plagiarism can vary in scale from incorrect referencing to copying of large chunks of information.

Staff will have to exercise judgment in how to deal with each incident

- Comments may be made in terms of the assessment (minor infringement) and a reminder of how to reference correctly
- A formal warning may be issued, and the student required being re-assessed
- The student will be marked as failing their assessment - See Actions below

3. Detection of Cheating

Staff will need to have evidence of cheating;

- The student(s) offending should be immediately made aware that the trainer/ assessor knows and if it is a test situation, remove the student from that test
- If just one student is involved (e.g. obtaining answers without another student's knowledge) then that student will be marked as "unsatisfactory" or "not yet

competent" and will lose the right to repeat the assessment under the Assessment Policy and Procedure

- If collusion is suspected, then all students will be declared as cheating and will be marked as failing their assessment - see Actions below.

Actions

- The trainer/ assessor will inform the CEO and Compliance Manager , by using a meeting minutes template. The template is to be filled out and signed by the student, trainer/ assessor and CEO.
- The Compliance Manager will then review and investigate the allegations. If the allegations are found to be true, the students found to have cheated or plagiarised work will not be entitled to repeat the assessments – see below
- A meeting will be arranged within 10 working days to inform the student of the course of action taken
- The student will receive a formal letter confirming the decision and informing them of their right to appeal under the Complaints and Appeals Policy and Procedure

4. Assessment Failure

- Students found to have cheated or plagiarised work will lose the right under the Assessment Policy and Procedure to demand a repeat.
- Students will be required to repeat the unit and pay the appropriate repeat fee

5. Record Keeping

Full and proper written records of the following must be kept on the student's file:

6. Appeal

Students have the right to appeal any decision made by RTO administration under this policy.

Students must lodge their appeal within 14 days of the decision being made.

Procedures

Sr. No	Procedure Steps	Responsibility	Reference
1	Student behaviour should be monitored	CEO, Trainer, Compliance Manager	
2	Corrective actions should be taken regarding the matters discussed in the Student Code of Conduct	Compliance Manager	

Continuous Improvement

A summary of all student code of conduct related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Any general adverse trends that needs correcting
- Common threads relating to the code of conduct
- Repeat issues

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy and procedure will be reviewed annually by the Compliance Manager .

No.4.1.10: Industry Consultation Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.5; 1.6; 1.11(a)i; 1.11(b)i;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

Vocational Education and Training (VET) allows students to gain qualifications for all types of employment, and specific skills to help them in the workplace.

With many employers increasingly looking for experience as well as academic achievement in candidates for their positions, suitable training for meeting industry needs and employment have an increasing importance in gaining a good job.

This policy has been developed to ensure that RTO:

- Provides guideline on 'best practice' approaches to engage with industry, considering ranges of strategies for industry engagement and a list of key industry stakeholders
- Provides student "real" skills to work in the "real" Industry;
- RTO develops its course content and assessments and training and assessment strategies in consultation with "real" Industry;
- Develops the key transferable competencies, such as communication, teamwork and problem solving;
- RTO has proper pre-training test conducted to meet the requirements of ASQA and other regulatory compliance and legislations;
- Application of academic theory in the work environment
- Trialling a career option, gaining understanding workplace tasks and decisions and gaining career insight

- Allowing students to explore their potential in a work environment
- Experiential informal learning and development through social interaction in the workplace environment
- Greater enhancement of students' employability in comparison with simulated or classroom-based methods
- Development of links between the Institution and the business community which can be exploited for a variety of purposes of placement learning

Objectives

The objective of this Policy and Procedure for RTO is to ensure that:

- RTO has suitable and appropriate industry consultation systems and practices in place
- RTO Personnel know their responsibilities and obligations

Scope

This policy applies to all RTO staff.

General Processes

1. Involvement with industry

Trainer and assessor currency

The knowledge, skills and experience required by VET trainers and assessors to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

Current industry skills may be informed by consultations with Industry and may include, but is not limited to:

a. having knowledge of latest techniques and processes
b. possessing a high level of product knowledge
c. understanding and knowledge of legislation relevant to the industry and to employment work places
d. being customer / client orientated
e. possessing formal industry and training qualifications
f. training content that reflects current industry practice

2. Industry Engagement –

Industry Engagement may include, but is not limited to strategies such as:

1. partnering with local employers, regional/national businesses, relevant Industry bodies and/or enterprise RTOs:
2. involving employer nominees in industry consultation
3. embedding staff within enterprises
4. networking in an ongoing way with industry networks, peak bodies and/or employers
5. developing networks of relevant employers and industry representatives to participate in assessment validation
6. Exchanging knowledge, staff, and/or resources with employers, networks and industry bodies
7. Assessment tool validation

3. Support to the Industry –

RTO supports the Industry by providing:

- Training product that meets the industry needs and requirements.
- Implementing and conducting assessment and learning that meet industry expectations.

How Industry feedback is used?

Industry feedback is used to improve the following:

- Trainer and assessor currency
- Training and assessment products
- Facilities, equipment and support resources

Procedures

.	Procedure Steps	Responsibility	Reference

1	Industry consultation is done at the time of developing training, assessments and validation, on an ongoing basis	Trainer/ Compliance Manager	
2	The feedback provided by the industry is discussed	Management meeting	
3	Preparation of plan and implementation of feedback through management approved methods	Compliance Manager	
4	Amendment of industry consultation register and saving of relevant documents in the appropriate location	Compliance Manager	

Continuous Improvement

A summary of all Industry consultation related matters and concerns will be presented as a part of the Management Meeting for review. The purpose of this is to ensure management become aware of

- Any general adverse trend that needs correcting
- Common threads relating to the compliance and quality assurance.
- Repeat issues

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.4.1.11: Validation Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.9; 1.11; 1.25; 2.2(b);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this Validation Policy and Procedure for RTO is to ensure that assessment tasks are valid, flexible, reliable and fair, and that decisions are made based on sufficient and appropriate evidence. Validation is conducted on a regular basis for each training product in line with the requirements of the Standards (Clause 1.9, 1.10 & 1.11) and involves industry experts and people external to the assessments being validated.

Objective

The objective of this Policy and Procedure for is to ensure that RTO has:

- a policy and procedures for validation.
- A plan for validation for each training product

Scope

This policy is applicable on the following stakeholders:

- RTO Staff
- External validator as required

General Processes

1. Validation Activities

- Review of the assessment resources after students use the tools and methods
- Implement improvements to the assessment resources when systematic reviews and feedback has been completed and received

2. Validation Documents

Validation Strategy

- tells us what we are going to do and when we are going to do it

Assessment Validation Template

- this is one that we use when we are developing a new course or qualification.
- we use it mostly in our work with other RTOs to help them ensure their assessment planning is correct from the very beginning of their planning.
- it is a good overview of what elements to focus on when validating.

Assessment Validation

- what we use to check out assessment documents after we have done some assessment

Validation Review Report

- what we use to summarise our findings during an assessment validation review

Validation Action Plan

- what we use to plan how we are going to 'fix' any of the things we find that need 'fixing' - this is really the thing that drives our continuous improvement in this area.

Systematic Validation

Systematic validation of an RTO's assessment practices and judgements is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:

- on or prior to 31 March 2019:

- vocational competencies and current industry skills relevant to the assessment being validated
- current knowledge and skills in vocational teaching and learning
- the training and assessment credential specified in Item 1, or Item 2, or Item 4, or Item 5 of Schedule 1.

- on or after 1 April 2019:
  - vocational competencies and current industry skills relevant to the assessment being validated
  - current knowledge and skills in vocational teaching and learning
  - the training and assessment credential specified in Item 2 or Item 5 of Schedule 1.

3. Independent Validation

Note: Institute is not delivering any training product related to training and education at the moment, so this is not required by the RTO.

Independent validation of assessment is important for ensuring quality assessment outcomes that are consistent and meet industry expectations.

To deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

RTO engages in independent validation of assessment. Independent validation means that the validation is carried out by a validator or validators who are not employed or subcontracted by RTO to provide training and assessment and have no other involvement or interest in the operations of RTO.

Independent validation of assessment is a process that ensures that assessment practices are appropriate to the outcomes of training, are consistently applied, meet standards for assessment, and are aligned with industry and training package requirements for units of competency.

5. Key aspects of assessment

The key aspects of assessment that are reviewed through RTO's validation processes are:

6. Independent opinion and feedback

Independent validation of assessment is undertaken by individuals or agencies that are independent of RTO. It typically involves experts in education and assessment, but may also involve industry representatives, other registered training organisations and specialist assessors.

The benefits of an independent process for assessment validation include:

- Maintain a compliant validation plan
- Assessment does address all requirements of the training product
- Assessment does gather sufficient valid assessment when conducted in a workplace
- Adequate exposure to workplace conditions, including appropriate simulated environments
- Assessment activities conducted using required resources
- Using practical assessment
- Issues relating to authenticity of assessment, particularly in distance and online delivery are resolved.

7. Validation Plan

RTO has implemented a Validation Plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on RTO's scope of registration:

- When assessment validation will occur;
- Which training products will be the focus of the validation;
- Who will lead and participate in validation activities; and
- How the outcomes of these activities will be documented and acted upon.

Each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five-year cycle, considering the relative risks of all the training products on RTO's scope of registration, including those risks identified by ASQA.

ASQA may from time to time determine specific training products that must have attention paid. This advice is published to www.asqa.gov.au

RTO's validation schedule reflects its current scope of registration always, with the validation schedule adjusted each time a new training product is added.

Steps involved in RTO's validation plan: (Refer Standard 1, Clause 1.9, 1.10 and 1.11)

a. Complete validation schedule

b. Scheduled validation day

c. Validation of assessment records

d. Validation recommendation and action Implementation

Procedures

	Procedure Steps	Responsibility	Reference
Table 1: Steps for Planning the Validation Process			
1	Establish five years assessment validation schedule	Compliance Manager with trainers and assessors	The schedule should be developed for five years period and based on a 'risk assessment' approach.
2	Identify independent parties to be involved in the process	Management, Assessors, Compliance Manager	Selection would depend on what units/qualification are being validated. Internal and independent parties *must* be involved and listed in the schedule. This may involve students, trainers/assessors, industry representatives, professional association representatives, assessor networks, small and

			large businesses or other relevant independent parties.
3	Plan the validation activities	Compliance Manager	Ensure it includes random selection of evidence for validation.
4	Inform relevant independent parties of validation requirements	Compliance Manager	This involves invitations being extended to all relevant independent parties. Include an explanation about their roles and responsibilities.
5	Review information already on file that has been gathered by others over time.	Compliance Manager	This is information provided by independent parties that have answered the questions in an ongoing/systematic way.
6	Ensure activities are undertaken and documented	Compliance Manager with trainers and assessors	Documentation must be completed, signed and dated by all in attendance using the organisational templates supplied
7	Review process and outcomes	Compliance Manager with trainers and assessors	Undertaken with lead person (chair or independent participants)

8	Ensure recommendations are reviewed and implemented where appropriate	Compliance Manager with trainers and assessors	Completed templates have a follow up section which must be completed and checked to ensure there is a responsible person
9	Review schedule	Compliance Manager with trainers and assessors	
Table 2: **Steps for conducting/participating in validation activities**			
1	Review plan developed from schedule and confirm appropriateness of planned activity	Internal and independent participants	Completed before the validation activity is conducted to ensure relevance.

2	Book venue and/or electronic equipment, arrange resources. Identify lead chairperson for the validation activity	Compliance Manager with trainers and assessors	Involves some participants meeting face-to-face, whilst others use technology for the same activity. Resources must include training package, AQF levels, relevant legislation/regulations that may impact, all assessment documentation, all assessment evidence.
3	Review assessment documentation Sample size will be calculated by Compliance Manager according to ASQA fact sheet on validation.	Compliance Manager with trainers and assessors	
4	Ensure independent parties are briefed about their role	Lead person (chair)	The lead person's role is to ensure the activity remains on track and everyone has input into the discussion. Review roles and responsibilities of all participants. Ensure Code of Practice and/or Confidentiality agreement is in place

5	Ensure all documentation is available	Lead person (chair), Compliance Manager	This includes training package, AQF levels, relevant legislation/regulations, workplace documents, all assessment tasks and tools (validation). This also should include information gathered in answer to questions(ongoing/systematic)
6	Participate in Validation activities	Internal and independent participants	This includes group agreement on how to work together (see attachment for further assistance) and clarifying roles of participants
7	Complete documentation as required	Lead person (chair), Compliance Manager	Documentation must be completed, signed and dated by all in attendance using the organisational templates supplied.
8	Undertake modifications as directed	Nominated person	Follow RTO's continuous improvement procedure

	Table 3: Steps for reviewing validation activity		
1	Collect feedback from participants regarding activities	Lead person/chair and Compliance Manager	Open discussion on how participants felt about the activity What was learnt from the activity
2	Discuss how the next validation may be streamlined or improved	Internal and independent participants	Documented as part of the RTOs processes
3	Review results	Internal and independent participants	Open discussion
4	Provide feedback to RTO	Lead person/chair	Using RTOs documentation and processes

Continuous Improvement

This procedure is designed to ensure that validation plan policy and should be on place and the delivery of our courses across RTO and qualifications and is to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually, and Compliance Manager will be the responsible person for this;

No.4.1.13: Assessment Principles Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 8.9.1; Standards for RTOs 2015 – Standard: 1.7; 1.8; 1.9; 1.11; 1.25; 2.2(b); 5.2(d); 5.2(e)ii;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The RTO is a training organisation with best practice as its main benchmark.

The purpose of this policy is to:

- Comply with the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency) when preparing for and conducting assessment of students.
- All assessments must comply with the Assessment Guidelines included in the applicable nationally endorsed training packages or the assessment requirements specified in accredited courses. Ensure consistent, best practice in education, training and assessment.
- Ensure training and assessment at RTO is in accordance with the principles and parameters of the Australian Qualifications Framework (AQF).
- Ensure all assessments comply with the Assessment Guidelines in applicable nationally endorsed Training Packages and/or State accredited curricula.
- Ensure qualifications, skill sets and statements of attainment are issued in accordance with the requirements of the AQF and qualification requirements specified in national training packages and/or State accredited curricula.

- Ensure compliance with the requirements of the Australian Skills Quality Authority (ASQA) and Department of Education and Training Guidelines for Registered Training Organisations (RTO).
- Ensure compliance with the audit requirements of the Australian Skills Quality Authority (ASQA) and Department of Education and Training to promote continuous improvement in education, training and assessment practice.
- All assessments of accredited training will lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course.

Objective

The objective of this Policy and Procedure for RTO is to ensure that RTO:

- has suitable and appropriate assessment management system in place
- policy framework to comply with the assessment guidelines
- personnel know their responsibilities and obligations

For the purposes of this policy, the term "RTO" refers to the registered training organisation.

Scope

This policy will apply to

- All current, prospective and previous students,
- All Staff
- Other RTO stakeholders.

Policy Statement

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- *Ensure that all relevant staff have access to the policy*
- *Ensure staff know their obligations and responsibilities*
- *Ensure RTO has suitable and appropriate assessment systems and processes*
- *Ensure RTO has a compliant policy framework to support the assessment systems and principles*
- *Ensure staff know their limitations*

General Process

Items	Processes	Roles
Process	The assessor establishes the context and purpose of the assessment by identifying the relevant competency standards, assessment guidelines and qualification framework, identifies the support materials that have been purchased and developed to facilitate the learning and assessment process. Each unit in Vocational Education & Training refers to assessment conditions reflecting that of a simulated work environment. As such, the assessor is to ensure a simulated work environment is developed and maintained in which each assessment is to take place. A simulated workplace environment refers to: (a) Aligning the context of the assessment to reflect vocational circumstances (i.e. – the assessor role plays the role of the Lead trainer or Manager (Compliance) where appropriate) (b) Ensuring the environment reflects the workplace (c) In some circumstances, the assessor may be able to use real life vocational scenarios (i.e. – working with real customers or real businesses) (d) Teamwork may be utilised in a simulated workplace, however the assessor must ensure each candidate is assessed individually on each aspect of the relevant unit of competency (and not be carried by other students) Prepare the candidate	

	The assessor discusses with candidate to: (a) Explain the context and purpose of the assessment and the assessment process. (b) Explain the Competency Standards to be assessed and the evidence to be collected. (c) Advise on self-assessment including processes and criteria. (d) Outline the assessment procedure, the preparation which the candidate should undertake, and answer any questions. (e) Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies. (f) Remind the candidate of the RTO rules on Plagiarism and Cheating (g) Seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process. (h) Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment (i) Implement the assessment. Plan and prepare the evidence gathering process The assessor must: (a) Use the correct assessment tools to gather sufficient and quality evidence about the candidate's performance to make the assessment decision.	

	(b) Organise equipment or resources required to support the evidence gathering process. (c) Coordinate and brief other personnel involved in the evidence gathering process. Collect the evidence and make the assessment decision The assessor must: (a) Establish and oversee the evidence gathering process to ensure the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency) are satisfied. (b) Collect appropriate evidence and assess this against the Elements, Performance Criteria, Range Statement and Evidence Guide in the relevant Units of Competency. (c) Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies. (d) Evaluate the evidence in terms of the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency). (e) Consult and work with other staff in the assessment process. (f) Record details of evidence collected. (g) Make a judgement about competency based on the evidence and the relevant Unit[s] of Competency.	

Provide feedback on the assessment	The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with: (a) Clear and constructive feedback on the assessment decision. (b) Information on ways of overcoming any identified gaps in competency revealed by the assessment the opportunity to discuss the assessment process and outcome information on reassessment and the appeals processes. (c) An opportunity for reassessment if appropriate or requested by the candidate.	
Record and report the result	The assessor must: (a) Record the assessment outcome. (b) Maintain records of the assessment procedure, evidence collected and the outcome. (c) Provide signed and dated assessment outcomes to the Administrative assistant competencies are achieved for each unit. (d) Maintain the confidentiality of the assessment outcome.	
Review the assessment process	On completion of the assessment process, the assessor must: (a) Review the assessment process. (b) Make suggestions (if necessary) on improving the assessment procedures to the Course Coordinator.	
Participate in the	The assessor must:	

reassessment and appeals process	(a) Provide feedback to the candidate, if required, regarding the assessment outcome including guidance on further options. (b) Provide the candidate with information on the reassessment and appeals process. (c) Report any assessment decision that is disputed by the candidate to the Course Coordinator. (d) Participate in the reassessment or appeal according to our policies and procedures.	
Writing Assessment Tools – Points to be considered in development	Assessment must comply with the Assessment Guidelines included in the applicable nationally endorsed training packages or the assessment requirements specified in accredited courses. Assessment Tools must satisfy the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency). Assessment tools must focus on the application of knowledge and skills to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills. Involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained.	
Validation & Moderation	See the Validation and Moderation Policies and Procedures Assessment Information **What is competency?**	

	Competency involves the specification of skills and knowledge and their application to a standard of performance required in the workplace. Aspects of work performance included in this concept involve: (a) Performance at an acceptable level of technical skill; (b) Organising one's tasks; (c) Responding and reacting appropriately when things go wrong; and (d) Transferring skills and knowledge to new situations and contexts. **What are standards?** Standards are statements of the required workplace levels of performance **What is Assessment?** Assessment is the process of collecting evidence and making judgements on the extent and nature of performance and other requirements, as described in a set of standards, or learning outcomes, resulting in a judgement of whether or not competency has been demonstrated. Effective and objective assessment is key to the successful implementation of competency standards in the workplace and in education. This is the judgement of performance and knowledge against the relevant industry competency standards. Assessment is carried out by the comparison of a candidate's evidence of skills and knowledge, against the requirements of the Standards.	

What are the principles of assessment?	**VALIDITY** The assessments actually assess what they claim to assess and what they have been designed to assess. Validity of assessment is achieved when: • Assessors are fully aware of what is to be assessed, as indicated by the standards of competence, including clearly defined performance criteria • Appropriate evidence is collected from activities that can be clearly related to the units of competency. **RELIABILITY** The evidence collected is authentic that is, it is actually derived from valid sources and is directly attributable to the individual. Reliable assessment uses methods and procedures that ensure that the competency standards are interpreted and applied consistently from person to person and from context to context. The following are important to ensure that assessment produces consistent outcomes: • Clear, unambiguous, well documented assessment procedures and competency standards; • Clear, consistent and specific assessment criteria; • Effectively trained, briefed and monitored assessors;	

	• Adequate assessors across industries and a hierarchy of assessment which ensures a quality outcome; and • Assessment is carried out within a system flexible enough to cope with multiple and diverse forms of evidence. **FLEXIBILITY** Every portfolio or set of candidate evidence is unique. Each candidate will identify and develop his or her own specific set of evidence to prove competency against the standards. This set will be based on the workplace experience of the candidate and will comprise diverse types and forms of relevant and appropriate evidence. Assessors must be capable of taking a flexible approach to the assessment of evidence. Clearly, this approach must always take time and cost into account both to ensure the best use of assessor time and from the viewpoint of the candidate and his or her employer. An assessment system must evaluate the scope of knowledge and skills covered by the criteria both performance (skill) and underpinning knowledge and understanding. **FAIRNESS** An assessment system and its processes must not disadvantage any person or organisation. All eligible candidates must be guaranteed access to assessment, which does not discriminate on any basis. Assessment guidelines must include an approach for working with candidates who have special needs.	

	To achieve these principles, the assessment system must exhibit the following characteristics: The standards, assessment processes and all associated information are straight forward and understandable; The characteristics of potential candidates are identified, to enable all potential assessment issues to be identified and catered for; The chosen processes and materials within the system of assessment do not disadvantage candidates; An appropriate and effective review and dispute resolution mechanism is in place to investigate, examine and redress any issue of unfairness or disadvantage identified, involving access, assessment, certification or any other related issue; and Where potential disadvantages are identified, the system is amended to avoid or counter them, or appropriate steps taken to overcome them including reassessment if required. **What are the rules of evidence?** **CURRENCY** Under an effective system, assessment evaluates whether or not the individual's skills and knowledge are current and can be applied in today's workplace. As a general rule, competencies that have not been demonstrated within the past 3 years are not usually accepted as "current". However, an assessor, under some circumstances may make exceptions to the specified period.	

	There may be specific situations where individual skills have not been directly applied for a longer period, but these skills are in fact still current for the individual. In cases such as this, evidence from earlier periods may be admissible, and assessed for currency, within an appropriately flexible assessment system. **SUFFICIENCY** Evidence of competency should be sufficient to cover all the elements, performance criteria and required range of variables in the standards against which assessment is to be carried out. A tendency of many candidates is to provide more (or less) evidence than is actually required to prove competency against the standards. An effective assessment system ensures that candidates are clearly advised regarding the amount and form of evidence, which is sufficient to prove competency. This should avoid the situation where masses of evidence are provided, requiring assessors to spend more time than necessary per candidate, or too little evidence, making it difficult to judge competence **VALIDITY** The assessment system must ensure that evidence collected and provided for judgement is consistent across the range, without undue reliance on any small number of select workplace contexts or projects. **AUTHENTICITY** The evidence collected is authentic that is, it is actually derived from valid sources and is directly attributable to the individual.	

	What is the role of an Assessor? i) The role of an assessor is to objectively assess and judge a candidate's evidence against a set of standards. In order to do this effectively, an assessor must have a sound knowledge of, and be skilled in, the relevant industry area. In addition, the assessor must have acknowledged competency in assessment itself and hold an appropriate Workplace Assessor qualification or equivalent. ii) An assessor must: Interpret and understand the criteria; Ensure that evidence meets the standards; Ensure that evidence is valid, authentic, reliable, consistent, current and sufficient; and Use expertise to make fair and objective judgements. i) The training and ongoing professional development of assessors must include such areas as: • Roles, responsibilities and ethics; • Procedural and administrative duties. • Performance and knowledge evidence gathering and presentation. • Interpretation and usage of standards. • Selecting and using appropriate methods of assessment and • Requirements regarding processing and recording of results, progress and feedback.	

	It is crucial that assessors always understand and practise fair, objective, unbiased and flexible assessment processes.	
What is classed as evidence?	In general, basic forms of skills evidence include: Direct performance evidence current or from an acceptable past period from: • Extracted examples within the workplace; • Natural observation in the workplace; and • Simulations, including competency and skills tests, projects, assignments Supplementary evidence, from: o Oral and written questioning; o Personal reports; and o Witness testimony. Appropriate and valid forms of assessment utilised for both skills and knowledge may include: • Evaluation of direct products of work; • Natural observation; • Skill tests, simulations and projects; • Evaluation of underpinning knowledge and understanding; • Questioning and discussion; and • Evidence from prior achievement and activity.	

What about clients with special needs?	i) One fundamental principle of an assessment system is that each candidate must have access to fair and open assessment. Candidates with special needs should be offered the same opportunities as any other candidate. ii) As special needs extend to more than identify physical or learning difficulties, an assessor will also need to consider the best approach when dealing with candidates with needs such as low literacy, lack of confidence or non-English speaking background. iii) An assessor must take special needs into consideration from the planning stage onwards and adopt particular assessment methods as appropriate. Depending on any specification given in the standards, the assessor may be able to accept alternative evidence from a candidate with special needs. iv) If there is uncertainty, the assessor should call on other assessors or a verifier for assistance and guidance, as required. In such a case, the situation must be fully documented, with appropriate feedback being provided to the candidate at all stages. Feedback Where students are assessed as not competent they will be provided with additional feedback on their assessment outcome to assist in achieving the required performance standard on reassessment.	
Reassessments	Students are provided with two re-attempts after the student is deemed not-yet-competent. (If assessment/unit requirements don't contradict explicitly)	

	Students who are dissatisfied with their assessment outcome may apply for reassessment by contacting their trainer or assessor.	
Special Needs Guidelines	Please refer to Policies: (a.) Access and equity policy (b.) Training and assessment policy (c.) Disability support and reasonable adjustment policy	

Procedures

Procedures are provided with the general process.

Continuous Improvement

A summary of all assessments related matters and concerns will be presented as a part of the Continuous Improvement policy and procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review Process

This policy and procedure will be reviewed annually by the Compliance Manager .

No.4.1.14: Qualification Development and AQF Pathway Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 8.9.1; Standards for RTOs 2015 – Standard: 1.11; 1.11(a)i; 1.11(b)1; 1.25; 1.26; 1.5; 1.6; 1.7; 1.8; 1.9; 2.2(b); 3.1; 5.2(d); 5.2(e)ii;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy and the related procedures detail how RTO examines the development and maintenance of industry-defined qualifications.

The RTO examines the approach to the development and maintenance of industry-defined qualifications and units of competency to ensure:

- industry has avenues to contribute to the development of the qualifications;
- feedback from employers is considered in the development process;
- qualifications retain their national character and offer maximum benefit for qualification holders in pursuing their career objectives;
- that qualifications meet relevant quality standards; and
- the process represents value for money for VET stakeholders and governments through streamlined processes.

Objective

The objective of this Policy and Procedure for RTO is to ensure that RTO:

- has suitable and appropriate mechanisms in place for the development and maintenance of industry-defined qualifications and units of competency

- policy framework supports the development and maintenance of industry-defined qualifications and units of competency
- personnel know their responsibilities and obligations
- RTO follows "Policy on creating Training and Assessment Strategies" to ensure systematic and structured processes for developing training and assessment strategies for existing and newly added qualifications;
- when an existing qualification is offered to a new client group, RTO will endeavour to determine the specific needs of the group and design a program of study to suit their needs.
- where an existing qualification has transitioned to a new version, RTO will implement its transition to training packages policy. For more Information, please refer to the Transition and Teach out Policy.
- academic standards are met for all courses offered by the RTO.
- ensure that proposals for new qualifications, and new and changed courses receive early scrutiny by senior management with full consideration given to implications for the RTO.
- ensure that new and changed courses, whether initiated from within RTO or externally, are fully considered, integrated and approved prior to promotion and students being enrolled.
- ensure that consistency is maintained in the provision of academic information.
- ensure all developed qualifications, course structure and training and assessment strategies are compliant with the VET Quality Framework (VQF) and, also meet the requirements of the industry.

For the purposes of this policy, the term "RTO" refers to the registered training organisation.

Scope

- The CEO of The RTO are responsible for the management of this policy in conjunction with the, Compliance Manager .
- All members of staff are responsible for the effective operation and implementation of this policy and procedure.

Policy Statement: Our Commitment

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- Ensure that all relevant staff have access to the policy
- Ensure staff know their obligations and responsibilities
- Ensure RTO has suitable and appropriate mechanisms in place for the development and maintenance of industry-defined qualifications
- Ensure RTO's policy framework support the development and maintenance of industry-defined qualifications

- Ensure RTO's personnel know their responsibilities and obligations for the development of the qualifications
- Ensure staff know their limitations

General Processes

Policy aspect	**RTO Implementation**
Development of new qualifications	Proposals for potential new qualifications will be identified in a variety of ways e.g.: • Market intelligence provided by RTO staff • Individual Industry Skills Councils/ Skills Service Organisations (SSOs) and Industry Reference Committees (IRCs) • Suggestions received through RTO's management and other stakeholders • Suggestions by the RTO's Management • Request from the Industry • External curriculum development groups and meetings • External strategic and partnership groups and meetings • Changes to the training packages
Compliance, monitoring and review	Continuing registration as an RTO and approval and delivery of VET qualifications and training products requires RTO to continuously meet ASQA requirements and nationally endorsed quality standards, including those endorsed by the management committee and documented in national training packages. Management committee and its sub-committees are responsible for approving RTO VET qualifications and training products and any subsequent amendments to RTO's scope of registration.

	Management committee and its sub-committees are responsible for managing the academic governance of VET qualifications and training products and establishing quality assurance mechanisms to ensure compliance with national vocational education and training legislation, ASQA requirements and nationally endorsed quality standards for vocational education and training.

Procedures

PLAN A COURSE			
	Step	**Responsibility**	Required documentation
1.	**Refer** to the relevant Training Package and Purchasing Guide.	Compliance Manager	Training Packages (available from www.Training.gov.au or RTO's website) Purchasing Guide
2.	**Plan** industry engagement strategy	Compliance Manager	Industry engagement strategy and consultation Register
3.	**Refer** to core Units of Competency and electives. Note: selection has already occurred to register the course.	Compliance Manager	Training Packages Purchasing Guide
4.	**Refer** to the *Training and Assessment Strategy [TAS]* course set up forms. Typically, the RTO's Training and Assessment Strategy (TAS) includes sections drawn from the following:	Compliance Manager	*Training and Assessment Strategy [TAS]* *Fees information*

	a. The qualification code and name. b. Program name, if different from qualification name. c. AQF requirements. d. Program aims and outcomes. e. The characteristics of client or target group. f. Purpose of the training and assessment. g. Relevant units of competency (core and elective). h. Duration of the program. i. Any specific entry requirements (may include age, pre and/or co-requisites). j. Summary of the rules for packaging units (for a qualification). k. Learning and assessment pathways. l. Structure and sequence of the learning and assessment. m. Modes, methodologies and materials to be used for training and assessment.		

	n. Who is qualified to provide training and assessment in the program? o. Mapping of trainer and assessor vocational experience to units of competency in the program. p. Other resource requirements Language Literacy and Numeracy (LLN) considerations for entry into and completion of the program. q. Where learners may enter and exit the program. r. Processes for validation and moderation of the quality of the training and assessment. s. How industry consultation has been used in development of the training and assessment strategy. t. Mapping of the units of competency to the assessment tools. Development of the training and assessment strategy is time consuming and detailed work, and must be undertaken with extreme care.		

5.	**Existing Qualifications** RTO will consider the needs of its client groups to determine the following: a. The units to be delivered. b. The packaging rules to be followed. c. AQF pathways into and out of the qualification. d. RPL and CT opportunities. e. A rationale for unit selection. f. Vocational needs of the client group – e.g. If they need any Business or IT units. g. Reasonable adjustments required. h. Special requirements of clients. i. Accessibility requirements of clients.	Compliance Manager	*Training and Assessment Strategy [TAS]* *Fees information*
6.	**Transitioning qualifications** Upon release of the revised Training Package qualification – RTO will prepare a report on the transition arrangements. This report will include:	Compliance Manager	*Training and Assessment Strategy [TAS]* *Fees information*

	a. Equivalence of new qualification. b. Equivalence of units of competency. c. Status of participants with RTO. d. Purchasing guide information (as available). e. Planned industry consultation. f. Timeline for the redevelopment of courseware. g. AQF pathways into and out of the qualification. h. RPL and CT opportunities.		
7.	**New qualification** Prior to the development of any qualification being undertaken, a Qualification Summary Document is developed. This document will include, at a minimum: a. The units to be delivered. b. The packaging rules to be followed. c. A rationale for unit selection. d. The delivery methodology to be followed, e.g. classroom, distance.	Compliance Manager	*Training and Assessment Strategy [TAS]* *Fees information*

	e. The target group for the qualification f. AQF pathways into and out of the qualification g. RPL and CT opportunities h. The specific points of difference between RTO proposed delivery and those being undertaken in the marketplace currently. i. This document will go through initial consultation with industry and feedback will be sought. This feedback will be used to inform development of the qualification.		
8.	RTO must demonstrate that all components of the training package (or VET accredited course) are addressed when planning assessment and designing assessment tools. They include: a. Assessment guidelines	Compliance Manager	*Training and Assessment Strategy [TAS]* *Fees information*

	b. Employability skills or key competencies c. Units of competency, including d. Elements e. Performance criteria f. Range statement g. Evidence guide		
9.	**Prepare** a unit delivery folder, confirming requirements using the *Course document checklist.*	Compliance Manager	Unit Delivery Folder
10.	**Develop** or review course resources using RTO standardised proformas and forms.	Compliance Manager	*Student Assessment pack* *Assessor Pack* *Mapping*
11.	**Initial validation** Following the development of the Training and Assessment Strategy initial validation will be undertaken as described in the validation policy. The results of this validation will be considered and incorporated into the Training and Assessment Strategy. This will involve considering the feedback, proposing changes which	Compliance Manager	*Validation forms*

	can be made to assessment tools, learning tools or the training and assessment strategy, and working out how best to incorporate those changes. This will be undertaken by a team including both trainers and management. Any changes made because of this process will be recorded.		
12.	**External validation** Following completion of the initial validation, the first external validation will be conducted as described in the validation policy. The results of this validation will be considered and incorporated into the Training and Assessment Strategy. This will involve considering the feedback, proposing changes which can be made to assessment tools, learning tools or the Training and Assessment Strategy, and working out how best to incorporate those changes. This will be undertaken by a team including both trainers and management.	Compliance Manager	*Validation forms*

	Any changes made because of this process will be recorded.		
13.	**Upload** electronic documents to relevant location.	Compliance Manager	
14.	**To finalise** ASQA application provide all documents for units of competency as requested. *If an application for extension to scope is required it will be made at this stage, following initial validation.*	Compliance Manager	
15.	**Complete** timetables.	Compliance Manager	*Timetable*
16.	**Coordinate** staffing with qualified trainers and assessors where possible.	Compliance Manager	
17.	**Verify** trainer and assessor competence and documentation in the TAS.	Compliance Manager	*Training and Assessment Strategy [TAS]* *Trainer and Assessor Register*
18.	**Implement** and document direct **supervision** arrangements for trainers who do not yet have the required qualifications.	Compliance Manager	*Training and Assessment Strategy [TAS]* Sign-off required on assessment feedback
19.	**Organise** room bookings for delivery.	Compliance Manager	

20.	Confirm course set up via return email.	Compliance Manager	*Email Template*
21.	If the course is being delivered by a Partner Provider: **Refer** to the Partner Provider Procedure	Compliance Manager	*N/A*
22.	**Plan** promotion and marketing: • **Review** previous marketing plans. • **Complete** a new marketing plan in consultation with the Marketing Department. • **Ensure** that the information on the public website is accurate. • **Ensure** printed information is accurate. • **Discuss** additional marketing and promotion requirements with the marketing department. • **Promote** the course including course information sessions.	Compliance Manager	Course brochures *Fees information*
23.	**Source** Vendor learning resources where possible At this stage RTO will ensure that all resources required by the Training and Assessment Strategy are	Compliance Manager	Text books, workbooks, videos, podcasts, graphics etc.

	retained. This includes, but is not limited to: a. Learning resources such as textbooks or online products. b. Assessment resources. c. Access to appropriate facilities. d. Access to required equipment, tools and plant. e. Appropriate training and assessment staff. f. Access to simulated work environments if they are to be used.		
24.	**Upload** the training and assessment strategy to staff portal and provide one copy to trainer/assessor and relevant RTO staff.	Compliance Manager	Staff portal

Continuous Improvement

A summary of all quality planning and management related matters and concerns will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting

Confidentiality and Privacy Statement

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Publication

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This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review Process

This policy and procedure will be reviewed annually by the Compliance Manager .

Policies and procedures:	**Mapping**		**Comments**
Policy 5.1.1: Issuance of Statement of Results and Award Policy and Procedure	SRTOs 2015	1.26(b); Schedule 5	
	ESOS National Code 2018		
Policy 5.1.2: Certification Issuance and Recognition Policy and Procedure	SRTOs 2015	1.26(b); Schedule 5	
	ESOS National Code 2018		
Policy 5.1.3: USI Policy and Procedure	SRTOs 2015	3.6; Schedule 5.3; 5.7;	
	ESOS National Code 2018		

No.5.1.1: Issuance of Statement of Results and Award Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.26(b); Schedule 5
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed and implemented to ensure that that students and staff of the RTO is provided with guidelines on how the RTO issues Statements of Result, Awards and Statements of Attainment and to ensure that:

- Graduates receive the certification documentation to which they are entitled
- AQF qualifications are correctly identified in certification documentation
- The RTO certification documents are protected against fraudulent issuance
- A clear distinction can be made between AQF and non-AQF qualifications
- RTO only issue the AQF certification documents who is meeting the training package requirements specified in the relevant training package.

Objective

The RTO will ensure that the issuing of Qualification (Statements of Attainment and/or Award) complies with Australian Qualifications Framework, VET Quality Framework and relevant standards.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Guidelines

- All participants who complete a full qualification that result in an AQF qualification will receive:
    - A Testamur and
    - A Record of Results.
- Candidates, who complete part, but not all the qualification, will receive a Statement of Attainment listing the units completed as part of their learning and assessment, credit transfer or recognition of prior learning pathways.
- Candidates, who successfully complete units other than those required for completing the qualification, will be issued a separate Statement of Attainment for those units.
- Candidates, completing non-accredited courses will be issued the following documents:
    1. Completion Certificate
    2. Partial Completion Certificate
    3. Completion Transcript
    4. Partial completion Transcript
- The RTO will provide credit for prior studies.
- Qualification is issued in a timely manner (AQF certification documentation must be issued within 30 calendar days of the learner's final assessment being completed or their exiting their course, providing all fees have been paid), so our learners can provide proof of their competence to employers (or potential employers) and obtain any industry licences or accreditation.
- The RTO will issue AQF certification documentation directly to the learner, not to another party, such as an employer.
- Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.
- The RTO will ensure learners can access records of certification issued to them.
- The RTO must collect and verify every participant's Unique Student Identifier (USI) before a testamur or a Statement of Attainment can be conferred.
- The RTO will collect the USI from the Participant on enrolment.

- If they do not yet have a USI, they must apply for a USI and supply it to RTO prior to issuance of certification.
- After the student provides their USI, the RTO will verify the USI by one of the following methods:
    1. through the USI website
    2. through USI integrated software
    3. Through Student Management System
- The RTO, however, must not include the learner's USI on any of the certification documentation as per the Student Identifiers Act 2014.
- Certification documents are to be issued to the student within 30 calendar days of the student being assessed as completing their studies, providing all fees the student owes have been fully paid, and the USI has been provided to the RTO. If a student has outstanding fees, their results may be withheld.
- The RTO will retain evidence that students are issued with all documents they are entitled to.

Additional Guidelines

1. The RTO must issue to persons to whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment as appropriate that:
    - meets the Australian Qualifications Framework (AQF) requirements;
    - identifies the RTO by its national provider number from the National Register and;
    - includes the NRT logo in accordance with current conditions of use and service
    - includes the AQF logo in accordance with current conditions of use and service.

2. A learner who has successfully completed all of the required units of competency or modules (as specified in the Training Package qualification or accredited course) is entitled to receive the following certification documentation on award of the qualification:
    - A testamur, and
    - A record of results
3. A testamur is defined by the AQF as 'an official certification document that confirms that qualification has been awarded to an individual'. References to 'testamurs' on this policy and procedures refer only to official documents that confirm that an AQF qualification has been awarded to an individual.

4. A record of results will be provided in addition to the testamur.

5. RTO will not issue a testamur until students have completed their enrolled course.
6. Students will receive an award if they have satisfied the requirements for the enrolled course. That is, if they are enrolled in a Diploma, they will only receive their testamur after they have fulfilled the requirements for the Diploma.

7. RTO will issue a Statement of Attainment upon a student's request when a student has completed

    - One or more units from a VET qualification or an accredited short course;
    - a Training Package identified skill set which meets a licence or regulatory requirements; or
    - a Training Package identified skill set which meets a defined industry need.

    i. A Statement of Attainment will list all units which students have attained during their enrolment at RTO

    ii. The issuance of Statement of Attainment recognises that students do not always study a whole AQF qualification. They may choose to complete only a unit or units of competence or study from an accredited qualification or an accredited short course.

    iii. The Statement of Attainment must be in a form that ensures it cannot be mistaken for a testamur for a full qualification. It must include the statement "A statement of Attainment is issued when an individual has completed one or more accredited units".

8. A Statement of Result (transcript) is a statement that records the cumulative units that students have attained for the entire duration of enrolment at RTO. If needed, the Statement of Result can be used as sufficient proof of the completed units until a Testamur or Statement of Attainment is available.

9. Logo Use –Nationally Recognised Training (NRT) The NRT logo must be depicted on all AQF qualifications, Statements of Attainment and certificates relating to courses meeting the requirements of the AQTF. These can only be issued by an RTO when the training delivered is covered by the RTO's scope of registration.

    i. All testamurs must include the NRT logo and the AQF logo in accordance with current conditions of use and service.
    ii. All Statement of Attainment must include the NRT logo in accordance with current conditions of use and service.

iii. All record of results must NOT include the NRT logo and the AQF logo in accordance with current conditions of use and service.

10. Sufficient information must be provided on certification documents to ensure that the documentation is able to be authenticated and to reduce fraudulent use.

i. The testamur must contain below information to identify correctly:

- RTO code and logo
- The full name of the graduate entitled to receive the testamur
- the code and full title of the awarded AQF qualification
- Date of issue
- Authorised signature
- The NRT logo
- The AQF logo
- Authenticity of the document, including a unique certification number and/or RTO's official seal.

ii. The Statement of Attainment must contain below information to identify correctly:

- RTO code and logo.
- The full name of the person entitled to receive the Statement of Attainment
- A list of units of competency (or modules where no units of competency exist) showing the full title and the national code for each unit of competency;
- Date of issue
- Authorised signature
- The NRT logo
- Authenticity of the document, including a unique statement number
- the words "A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)"
- the words "These competencies form part of [code and title of qualification(s)/course(s)]" (if applicable)"
- the words "These competencies were attained in completion of [code] Course in [full title]" (if applicable; this is only for accredited courses titled 'Course in …')

iii. All templates for certificates and Statements of Attainment must be checked against the AQF template and approved by Compliance Manager before printing. Both

signatures must be on the final version of templates approved before they are printed. Templates will be created in the student management system.

11. The RTO will maintain and retain a register of all AQF qualification and Statement of statement issued and authorised to issue. All student records of qualification and Statement of Attainment are to be kept in the secured network folder for a period of 30 years. This information will be provided to relevant regulator on a regular basis as determined by the regulator.

12. Certification documents may be forfeited or required to be surrendered in the following circumstances:
    - where it is shown that an award has been improperly obtained;
    - where an application is made for a replacement document due to damage or legal name change
    - where an award has been erroneously presented by RTO

13. Any request for replacement of certification documents will incur extra charges. A reissuance authentication and verification process is in place for any reissuance of the replacement of certification documents

14. This policy must be read in conjunction with AQF Qualifications Issuance Policy: Application of the AQF Qualifications Issuance Policy within the VET sector available at https://www.aqf.edu.au/sites/aqf/files/aqf_issuance_jan2013.pdf

Procedures

	Description	**Responsibility**
1.	**Procedure** • Completed students must be assessed when meeting trainers, receiving/checking paperwork, doing data entry, and running extensive SMS reports. • Audit file: Student files must be audited ASAP (strictly follow the below steps) and Certificate	PEO Student support officer

	must be issued within 5 working days of the audit. • Update SMS: change the Enrolment status to Completed • Print Certificate/Statement of Attainment: ensure appropriate Certificate/SOA template is used. • Send Certificate to Student • Archive the file: follow the Archiving Procedure If there are any queries regarding the student file, they are referred to the PEO.	
2	**Completion Audit (competent assessment)** **Preparation** 1. Ensure the student file has a student file checklist attached from SMS. 2. Check enrolment documents (Enrolment form, declaration form, welcome letter, LL&N, IDs, etc) against Student Enrolment checklist 3. Ensure all there is no outstanding payment. If there is payment outstanding, follow up with the agent/Finance Department before issuing Certificate/SOA. 4. Print the client enrolment report with comments **Audit** 1. Audit the student paperwork in the file (training plan, assessments, logbook (If relevant), and workplace observations (If relevant). Check each checklist item against SMS report. All dates and paperwork recorded on VT must be matching with the evidence in the student's file. 2. Check the training package to identify the minimum required core and elective units are	PEO Student support officer

	complete and identify if there are any extra units above the qualification requirement. 3. Audit the evidence of training within the file to the data entry provided on the client enrolment report **Update SMS** 1. Once the file has been audited add notes to SMS regarding the outcome of the audit. (If further evidence is required e-mail the trainer) 2. Change the end date on the enrolment to the last date provided on the training plan 3. Create the award using SMS 4. Where there are more than the minimum required units left click the + next to the award and right click over the awarded enrolment below and 'Link and unlink units from this enrolment' unlink the extra units which are not counted toward the qualification. 5. Where there are extra units create the statement of attainment 6. Print the Certificate 7. If a student is withdrawn and Statement of Attainment is to be issued, Credit Transfer units should NOT be included in the Statement 8. Print the statement of attainment (select the statement of attainment applicable to the number of units to be added) enter the client code – select the appropriate award – select 'select units' tick the required units. 9. Print the Client enrolment report If the student has no other active Enrolment on SMS, make the student inactive (Right click Personal – Edit Client – right click the box left of client is inactive)	

	10. Place both the client enrolment report and the certificate in the certificate tray located in the administration office. **Archive** Once the Certificate has been signed and photocopied post the original to the student and place the photo copy in the student file. Archive the file	
3	**Reissuance certification documents authentication and verification process** • All requests for reissuance certification document must be in writing outlining the reissue providing supporting evidence (For e.g. a police report if the document was stolen, statutory declaration if the document was lost etc.) The request must be accompanied by formal ID and signature (passport, driver's licence). If possible, the original/certified copy of the certification document or the certificate number must be attached. • Payment of related charges must be made to the Accounts office prior to the request. • Student support officer will check SMS - AQF register and student file record to see if there is an original certification document has been issued that matches the reissuance request. If there is a record of original certification document, a duplicate copy can be produced.	Student Support Officer

Continuous Improvement

A summary of all SOA and Results Award related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and students. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	• USI Policy • Complaints and Appeals Policy • Fees, Charges and Refunds Policy
Forms or other organisational documents	• Student Handbook • Qualification Register • Student Records • Qualifications Issuance Checklist
Documents related to this policy	

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**

Documentation and communication: Describe how the policy decisions will be documented and communicated
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website

No.5.1.3: USI Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 3.6; Schedule 5.3; 5.7;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to ensure that RTO is committed to assisting the Federal authorities with allocation of Unique Student Identifiers (USIs). RTO captures and records the Unique Student Identifiers (USIs) of all students, and reports enrolment details and results to the Department to ensure compliance with the requirements set by the Student Identifiers Act 2014, and the Standards for Registered Training Organisations 2015.

Objectives

The objective of this policy and procedure for RTO is to ensure that;

- Appropriate and suitable mechanisms are in place for handling the Unique Student Identifiers (USIs) of students
- Management and staff of RTO are aware of their responsibilities and obligations in relation to USIs
- There is a policy framework for handling USIs.
- Compliance with the Privacy Act 1988 and Student Identifiers Act 2014 obligations and responsibilities

Scope

This policy and procedure applies to all RTO staff who are responsible for the collection, storage and reporting of Unique Student Identifier (USI) data. This policy and procedure applies to all students in nationally recognised training, except those students who are deemed to be exempt.

General Processes

The RTO meets the requirements of the Student Identifier scheme, including:

- verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
- ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014
- ensuring that where an exemption described in clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar
- ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

1. Providing USI information

The prospective student is provided with the USI information which outlines;

- USI definition
- Purpose
- Process
- Consent section in enrolment form

2. Consent for creating USI

Compliance Manager or an officer appointed by the Compliance Manager s hand over the completed and compliant enrolment form with relevant paperwork to the Administration staff. The Compliance Manager or an officer appointed by the Compliance Manager s ensures that the consent section on the enrolment form has been signed in order for the Administration staff to create a USI on the students' behalf, If the student

does not have a USI, one can be created providing that there is an attachment of the student's photo copied ID.

A list of relevant ID is listed from one of the eight Document Verification Service (DVS) documents listed below:

- Australian Passport
- non-Australian Passport (with Australian Visa)
- Australian birth certificate

  please note a Birth Certificate extract will not be accepted
- Australian Driver's Licence

if none of the documents listed above are available, applicants can also provide:

- Medicare Card
- Certificate of Registration By Descent
- Citizenship Certificate
- ImmiCard

Important:

If the student has not brought a DVS document with them or the check is unable to be completed on the day, the training organisation can proceed with its enrolment process and complete the USI creation process at a later stage, subject to the parameters of the System Management System.

3. Checking enrolment paperwork

The Enrolment/ Admissions Officer checks the enrolment paperwork against the eligibility component of student file checklist before accepting the Handover Record.

4. Check requirements of all enrolments for USI

If the student already has a valid USI, and this information has been filled into the enrolment form, then enrolment is processed as normal. If the student does not have USI, and consent has been provided to RTO to create a USI on learner's behalf, Administration staff will go through the next USI register process.

5. Register USI

- Administration staff registers USI based on the student's personal details and ID copies.
- Once the USI is created it is on the system and an email from the USI authority will be sent to the student automatically

6. USI Exemptions

Should a USI exemption apply, the student is made aware prior to enrolment or training that their training results will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the USI Registrar.

USI Exemptions apply according to the following criteria:

Exemption categories are:

- Students who complete all requirements for their VET Qualification or VET Statement of Attainment outside Australia.
- An individual who has completed all the requirements for the VET Qualification or VET Statement of Attainment before 1 January 2015.
- Students who demonstrate a genuine personal objection to being assigned a USI. This exemption can only be granted by the Student Identifiers Registrar.

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1	Providing USI Information	Student Support Officer	
2	Consent for creating USI	Student Support Officer	
3	Checking enrolment paperwork	Compliance Manager	
4	Check requirements of all enrolments for USI	Compliance Manager	

5	Register USI	Compliance Manager	

Continuous Improvement

A summary of all USI related matters and concerns will be presented the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Common threads relating to the compliance and quality assurance
- Repeat issues
- Any general adverse trends that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review process

The policy and procedure will be reviewed annually by the Compliance Manager .

Section 6: Regulatory Compliance and Governance Practice

Policies and procedures:	Mapping		Comments
Policy 6.1.1: Copyright Policy	SRTOs 2015	1.3(b); 1.7; 2.2(a);	
	ESOS National Code 2018		
Policy 6.1.2: Agent Appointment, Monitoring and Management Policy	SRTOs 2015	4.1; 7.3;	
	ESOS National Code 2018	3.4.1; 4.1; 4.2; 4.3; 4.4; 4.5; 4.6; 10.2.2;	
Policy 6.1.3: Staff Induction and PD Policy and Procedure	SRTOs 2015	1.3(b); 1.7; 2.2(a);	
	ESOS National Code 2018		
Policy 6.1.4: Communication Policy and Procedure	SRTOs 2015	4.1; 5.1; 5.2; 5.3; 5.4; 8.2;	
	ESOS National Code 2018	1.1; 1.2; 1.3; 1.4; 1.5; 2.1; 2.2; 2.3; 2.4; 2.5; 3.1; 3.2; 3.3; 3.4; 3.5; 3.6; 4.2.3; 5.2; 6.1; 6.2; 6.4; 6.5; 6.8; 6.9; 10.1;	
Policy 6.1.5: Continuous Improvement Policy and Procedure	SRTOs 2015	1.5; 1.6; 1.9; 1.11; 1.11(a)i; 1.11(b)i; 1.25; 2.1; 2.2; 2.2(b); 2.3; 2.4; 6;	
	ESOS National Code 2018	10;	
	SRTOs 2015	2.1; 2.2; 2.4;	

Policy 6.1.6: Version Control Policy and Procedure	ESOS National Code 2018		
Policy 6.1.7: Records Management Policy and Procedure	SRTOs 2015	3.4; 6.5; 8.1(f); Schedule 5.4(g); 5.4(h); 8(c);	
	ESOS National Code 2018	3.6; 5.3.5; 7.7;	
Policy 6.1.8: Privacy and Confidentiality Policy and Procedure	SRTOs 2015	3.4; 6.5; 8.1(f);	
	ESOS National Code 2018	3.3.6; 4.3.2;	
Policy 6.1.9: Management Substitution Policy and Procedure	SRTOs 2015	1.3; 2.1; 2.4; 7.1;	
	ESOS National Code 2018		
Policy 6.1.10: Compliance Insurance Policy and Procedure	SRTOs 2015	7.4;	
	ESOS National Code 2018	4.2.1;	
Policy 6.1.11: VET Governance Policy and Procedure	SRTOs 2015	7.1; 7.2; 7.3; 7.4; 7.5;	
	ESOS National Code 2018		
Policy 6.1.12: Work Health and Safety/Occupational Health and Safety	SRTOs 2015	2.1; 2.4; 7.4;	
	ESOS National Code 2018	6.9.1; 6.9.2; 6.9.3; 11.2.5;	
	SRTOs 2015	2.1; 2.4; 7.4;	

Policy 6.1.13: IT Policy and Procedure	ESOS National Code 2018	6.5; 6.7; 6.9.1; 6.9.2; 6.9.3; 11.2.5;	
Policy 6.1.14: Staff Recruitment and Appraisal Policy and Procedure	SRTOs 2015	1.3; 1.6(b); 1.13; 1.14; 1.15; 1.16; 1.22; 1.23; 6.1(a); 2.1;	
	ESOS National Code 2018	5.2.1; 6.5; 6.7; 6.9.1; 11.2.5; 11.2.6;	
Policy 6.1.15: Compliance and Communication with the Regulator and Compliance with Legislative Regulations Policy and Procedure	SRTOs 2015	2.1; 2.2; 2.3; 2.4; 7.1; 7.2; 7.3; 7.4; 7.5; 8.1; 8.2; 8.3; 8.4; 8.5; 8.6;	
	ESOS National Code 2018		
Policy 6.1.16: Agreements with other Organisations and RTO Policy	SRTOs 2015	2.3; 4.1(e); 4.1(f); 5.2(b)iv; 5.2(d)ii; 5.3; 5.4; 6.1(b); 6.2; 7.3; 8.2;	
	ESOS National Code 2018	1.2.1; 11.1.4;	

No.6.1.1: Agent Appointment, Monitoring and Management Policy

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code – Standard: 3.4.1; 4.1; 4.2; 4.3; 4.4; 4.5; 4.6; 10.2.2; Standards for RTOs 2015 – Standard: 4.1; 7.3;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The Institute's Education Agents represent and promote the Institute and often act as the first point of contact for prospective learners who are looking for studying at the Institute. The Institute and the Agent must be committed to providing quality student applicants for prospective training and assessment at the Institute rather than aiming for large quantity of prospective applicants. Therefore, the Institute is committed to ensuring its Agents act in an ethical, compliant and appropriate manner. The purpose of this policy is to ensure that all of the Institute's appointed Agents act in an ethical manner and comply with the Institute's obligations under the Education Services for Overseas Students(ESOS) Act 2000, National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018 (National Code) and the Migration Act 1958. This policy will also describe the procedure for approving prospective Agents and the monitoring of Agents that are appointed to represent the Institute.

Objective

The RTO will follow a firm practice in the recruiting monitoring and termination of education agents domestically and internationally to ensure honest and professional representation of RTO with the highest integrity.

Scope

This policy will apply to all agents, staff and other RTO stakeholders.

Policy

The Institute will enter into a written agreement (*Education Agent Agreement*) with each education agent it engages to formally represent it, and enter and maintain the education agent's details in PRISMS.

In becoming an education agent of the Institute, the education agent has to:

i) promote the Institute and its approved training products in accordance with the Institute's policy and procedures;

ii) ensure all applicants for training products are both Genuine Temporary Entrants and Genuine Students, in order to maintain the integrity of the Australian student visa program, and to ensure that the Institute only recruits high quality genuine and temporary students;

iii) provide prospective learners with all necessary information about the training products, Institute facilities and services and assistance in completing and submitting application forms to the Institute in accordance with all the requirements of the ESOS Act, The National Code 2018 and RTO Standards 2015.

The *Education Agent Agreement* will outline:

i) the responsibilities of the Institute, including that the Institute is responsible at all times for compliance with the ESOS Act 2000 and National Code 2018;

ii) the Institute requirements of the agent in representing the Institute as outlined in the policy;

iii) the Institute's processes for monitoring the activities of the education agent in representing the Institute, and ensuring the education agent is giving students accurate and up-to-date information on the Institute's services;

iv) the corrective action that may be taken by the Institute if the education agent does not comply with its obligations under the *Education Agent Agreement* including providing for corrective action outlined in the policy.

v) the Institute's grounds for termination of the Institute's *Education Agent Agreement* with the education agent, including providing for termination in the circumstances outlined in in the policy.

vi) the circumstances under which information about the education agent may be disclosed by the Institute and the Commonwealth or state or territory agencies.

The Institute will require its education agent to:

i) declare in writing and take reasonable steps to avoid conflicts of interests with its duties as an education agent of the Institute;

ii) observe appropriate levels of confidentiality and transparency in their dealings with international students or potential international learners;

iii) act honestly and in good faith, and in the best interests of potential learners and students;

iv) have appropriate knowledge and understanding of the international education system in Australia, including the Australian International Education and Training Agent Code of Ethics

The Institute reviews education agent activities and monitors education agents on an ongoing basis, in accordance with Procedure Section of this policy. The education agent must strictly adhere to the terms and conditions stipulated in the *Education Agent Agreement* at all times.

Where the Institute becomes aware that, or has reason to believe, the education agent or an employee or subcontractor of that education agent has not complied with the education agent's responsibilities under the policy, the Institute will take immediate corrective action.

Where the Institute becomes aware, or has reason to believe, that the education agent or an employee or subcontractor of the education agent is engaging in false or misleading recruitment practices, the Institute will immediately terminate its relationship with the education agent, or require the education agent to terminate its relationship with the employee or subcontractor who engaged in those practices.

The Institute will not accept students from an education agent if it knows or reasonably suspects the education agent to be:

i) providing migration advice, unless that education agent is authorised to do so under the Migration Act 1958;

ii) engaged in, or to have previously engaged in, dishonest recruitment practices, including the deliberate attempt to recruit a student where this clearly conflicts with the obligations of registered providers under National Code 2018 Standard 7 (Overseas student transfers);

iii) facilitating the enrolment of a student who the education agent believes will not comply with the conditions of his or her visa;

The Institute may terminate an education agent's appointment where it knows or has a reasonable suspicion that an education agent may have been engaged in unprofessional conduct or is in any way non-compliant with the ESOS Act 2000, National Code 2018 or the Institute's Policies and Procedures.

The Institute retains absolute the right to veto any education agent activity when the Institute's opinion is not compliant with:

i) Education Agent Agreement;

ii) Any Relevant Legislation; or

iii) Any information provided to the education agent by the Institute; and

iv) The purpose and intent of this policy.

Education agents are appointed for two years from the date of signing the *Education Agent Agreement*. At the expiry of the *Education Agent Agreement*, the Institute will review the performance of the education agent before, either renewing the *Education Agent Agreement* or terminating the Institute's relationship with the education agent.

The Institute publishes a list of all current appointed education agents on its website obtained from the *Education Agent Agreements Register*. The list can be accessed via institute website. As a minimum the list will include the education agency name, name of the principal agent, legal entity and street address.

The Institute ensures that education agents have access to up-to-date and accurate marketing information as set out in *National Code 2018 Standard 1* and in accordance with *Marketing and Advertising Policy and Procedure*.

The Institute does not allow education agents to access PRISMS or issue eCOEs on the Institute behalf.

The agent agreement will clearly state the responsibility of bearing the cost of advertisement and promotional activities.

Under this policy the Institute is free to negotiate a commission to be paid to agents and the basis on which such commission will be paid. The Agent commission:

i) will be clearly specified in the contract and paid accordingly;

ii) will be payable for each student recruited and enrolled into any of the training products provided by the Institute in any given time;

iii) will be payable for each student who:

a) Is recruited by the Agent; and

b) Is enrolled in training product; and

c) Has paid the training product fee to the Institute; and

d) Has commenced the training; and

e) Who has not, subsequent to commencing training, been fully refunded the fees.

iv) will be payable if the agent submits the student's application for enrolment, that application also bears the agent's name and eCOE has been issued after payment of fee.

v) will not paid where the student applies to enrol directly to the Institute or subsequent to the admission; agent was in breach of this agreement or engaged in the activities which are detrimental to the Institute;

vi) will not be paid unless the agent has submitted an invoice in a form approved by the Institute.

Procedures

Process new education agent application

Procedure	**Responsibility**
Provide information to potential education agents upon making contact with the Institute. ▪ Email or post potential education agents with the *Education Agent Information Kit* and *Education Agent Application Form* for completion.	PEO

Procedure	Responsibility
▪ Advise in a covering email or letter that the application process will take 4 – 6 weeks from receipt of the completed forms.	
Assess application from education agent ▪ Acknowledge receipt of application. ▪ Review application for completeness. ▪ Where the application is incomplete, inform the education agent of the additional information required and the requirement to provide this within 28 days or that otherwise the application will no longer be valid. ▪ Consider information in application and contact referees as required. ▪ Advice referees to complete the *Education Agent Reference Check Form* or complete the form if referees are contacted by phone. ▪ Assess application based on the responses from referees, the location that the education agent will recruit from, the demonstrated understanding of Australian laws in regard to student recruitment and agent experience in the recruitment of international students. ▪ Approve or refuse application and forward the application to CEO. ▪ If approved, compile and forward the draft *Education Agent Agreement* for endorsement.	PEO and CEO
Endorse application from education agent ▪ Endorse or refuse application and forward the decision to Marketing. ▪ If endorsed, approve the draft *MFM02 Education Agent Agreement*.	PEO
Notify agents in writing of the decision to approve or not approve the application and including reasons where the application is declined. If approved commence the confirm agreement stage.	PEO

Confirm agreement

Procedure	Responsibility
Confirm agreement with new Education Agent ▪ Send two copies of the *Education Agent Agreement* to the agent for signing with one to be returned. The agreement will be valid for two years for new applications. ▪ Following receipt of signed agreement, send certificate as evidence of registration with the Institute to be displayed in agents' offices to indicate to prospective students that they have a written agreement with the Institute. ▪ Add approved agent to *Education Agent Agreements Register*. ▪ Add approved agents to the Institute's list of approved Education Agents and publish on the Institute's web site. ▪ Enter details of education agent into PRISMS. Ensure details are maintained at all times in the event of changes. ▪ Update the agent information to ASQA	PEO
Renew existing agent agreements ▪ For existing Education Agents and subject to effective performance, provide copies of renewed agreements for signing. Existing agreements will generally be renewed for a further two years. ▪ Any updates to agent contact information should be processed using *Education Agent Information Update Form* ▪ Update *Education Agent Agreements Register*.	PEO

Implement agent agreement

Procedure	Responsibility
Induct new agents ▪ Provide an induction regarding the Institute's training products. ▪ Provide an overview of Institute's current marketing. ▪ Discuss student enrolment and selection process. ▪ Provide approved marketing materials and discuss process for updating any revised marketing materials. ▪ Discuss and clarify National Code 2018 requirements ▪ Confirm dates for review of Agreement and targets to be achieved.	PEO
Provide up to date information to agents ▪ Provide up to date information to agents through: o Email important information to agents if any legislative and organisational changes related to agent or as per need basis. Ensure each email includes most current documents/links, so that the agents are able to easily check they are using the most current up to date material available. o Emails, phone calls, text messages or other informal communications regarding specific student issues. o Publishing content on Institute's website and social media profiles	PEO
Provide up to date marketing information to agents	PEO

▪ Provide up to date marketing information to agents each time marketing information is updated. ▪ Send updated marketing information via email or post. ▪ Education agent information sessions held at the Institute (for onshore agents). ▪ Delivering seminars and marketing events with education agents when the Institute representatives are available in the education agent's region. ▪ Where the website is updated, email agents with a link to the updated website and provide a summary of changes. ▪ Check that emails have been received from all agents confirming that they are using new versions and have removed, taken down or destroyed previous versions. ▪ Follow up agents who have not sent this email confirmation to ensure they send it immediately.	

Monitoring Education Agents

Procedure	**Responsibility**
Implement monitoring procedures as per written agreement ▪ Documented face to face meetings and/or teleconferences with agents at least every six months. ▪ Analysis of quality and quantity of applications on behalf of prospective students.	PEO

▪ Analysis of conversion rates from lodging applications to studying at the Institute. ▪ Requirement for education agent to complete *Education Agent Annual Self-Assessment Form* documenting the agent's performance over the past year and *Education Agent Performance Review Form* completed by Marketing and Admissions Manager. ▪ Collect feedback from students relating to their education agent using *Student Satisfaction Survey on Education Agent* ▪ Documenting on the agent's file instances where students claim to have been misinformed about their studies at the Institute. ▪ Documenting on the agent's file instances where the agent has shown a lack of knowledge of student visa requirements or other matter relating to the student's stay in Australia. ▪ Surveying current and prospective learners about the information provided to them by the education agent and the level of assistance given to the student to assist them in travelling to Australia. ▪ Evaluation of number of students reported and cancelled to the Department of Home Affairs (DHA) for non-compliance. ▪ Evaluation of the education agent's advertising activities by reviewing the education agent's website and social media profiles. The Institute may request the Agent to provide advertising material that the Agent has used over the past year and review them for any false or misleading advertising or unscrupulous conduct. ▪ If at any time, monitoring procedures show that the agent is not meeting the terms as specified in the written agreement, investigate the issue as shown below.	

▪ Where an agent is meeting the terms as shown in the written agreement, provide written feedback to agent indicating such.	
Investigate agents who are not meeting the terms of their agreement ▪ If at any time the Institute believes that the education agent is not meeting the obligations of the *Education Agent Agreement* or the National Code 2018, is being negligent, careless or incompetent, or is engaged in false, misleading or unethical advertising and recruitment practices, the Marketing and Admissions Manager will follow the review process stated below: o Identify and gather information about the issue. o Contact the education agent to seek response on the issue. o Discuss the issue and the response from the education agent with PEO. ▪ PEO decide on action as follows: **i) No Breach** In this case the education agent is acknowledged in writing for the education agent's input and no further action is taken. **ii) Minor Breach** In this case the education agent is given a written warning advising the education agent that any further breach will result in the termination of their *Education Agent Agreement*. If necessary, the education agent will be provided with advice and/or training to ensure that the breach is not repeated. The Institute may decide to vary the *Education Agent Agreement* with additional conditions if required. **iii) Major Breach**	PEO CEO

In this case the education agent will be advised in writing that their *Education Agent Agreement* has been immediately terminated and that the Institute may advise authoritative bodies such as Department of Home Affairs, Migration Agents Registration Authority, PIER Online and/or the local Australian Embassy of the breach. ▪ Where an agent is required to implement corrective or preventative action, monitor agent to ensure that actions are implemented according to agreed timelines. If actions are not implemented, terminate the agreement as above. ▪ PEO is responsible of implementing the decision and keeping all documentation on education agent file.	

Continuous Improvement

A summary of all Agent appointment, monitoring and management related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and stakeholders. This policy has been developed to ensure that agent appointment, monitoring and management are managed according to the policy and procedure. Stakeholders can obtain more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Student support and welfare policy
Forms or other organisational documents	
Documents related to this policy	Agent agreement

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.6.1.2: Staff Induction and PD Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.3(b); 1.7; 2.2(a);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed to ensure that RTO will warrant that all teaching and training staff are inducted into their roles appropriately and are encouraged to undertake professional development activities, continue to maintain industry currency, understand their roles and obligations

Objective

RTO will ensure that all teaching and training staff is inducted into their roles as per regulatory requirements. RTO will also ensure that staff will complete professional development activities.

Scope

This policy will apply to all staff and other RTO stakeholders.

Procedures

	Description	**Responsibility**

1.	**Upon the appointment of the staff or trainer/assessor, the individual is provided with:** • RTO Orientation and Induction by Compliance Manager or representative. • Access to RTO's Policies and Procedure • Acknowledgement declaration; • Overview of RTO's Organisation Structure; • ASQA requirements; • CRICOS/ESOS requirements • National code 2018 requirements The general staff induction process also includes: • Site tour; • Staff introduction; • Mentor/buddy appointment • Staff login	PEO/Compliance Manager
2	New Trainer/assessor are also provided with: • Staff/Trainer Handbook • Position Description; • Training and Assessment Strategy; • Sample of Training Plan; • Sample of Timetable; Training & Assessment Guidelines and documentation	PEO Compliance Manager Student support officer

3	Induction and relevant paperwork have been reviewed by the new staff member or contractor. Acknowledgement of the induction and Induction Checklist is signed and dated by both the new staff and the inductor. The acknowledgement sign-off sheet is placed in their HR file. Reference: Induction Checklist	PEO Compliance Manager
4	Following the induction process, an experienced mentor is allocated to each new staff member to ensure an understanding of their job role and responsibilities. Position description and resume is placed in each staff's HR file or Training and Assessment Specialist's file. Each staff's HR file or Training and Assessment Specialist's file should include: • Certified copy or sighted original of relevant qualification(s); • Relevant license; • WWC check (if required); • Police check; • Emergency contact information; • Getting to know you form; • Superannuation form; • Tax declaration form.	PEO

8	Ongoing spot checks are undertaken to ensure procedures are followed. If an opportunity for improvement is identified, additional support is provided to the staff member. Ongoing induction training is provided as required.	PEO
9	Each year, staff and trainers are provided with updates in international education. Any further updates that occur during the year are provided as and when required.	PEO Compliance Manager
10	At the end of each year, Trainer/assessor will submit updated resume and Skills Matrix. The documents are saved in staff/ consultants' HR file or Training and Assessment Specialist's file.	PEO Compliance Manager
11	Ongoing Professional Development sessions are delivered throughout the year for all staff and trainers as per RTO's Professional Development Calendar. External Professional Development sessions/workshops are offered to staff and consultants regularly, relevant to their area of responsibilities. All trainer/assessor are required to complete Professional Development activities throughout a calendar year and maintain evidence of this Professional Development. The Professional Development activities could take the form of the following types of activities:	All staff/ Trainers

	• Attendance at formal training sessions • Membership of an industry body • Attendance at meetings held by Industry Bodies • Up-grading of qualifications • External consultation in relation to job specific information • Specific Training Package workshops • Government / Industry run workshops on training topics / compliance requirements • Webinars The Professional Development activities may be in relation to any activity where a Training and Assessment Specialist is increasing or gaining skills or knowledge related to their ability to deliver training & assessment.	
12	All Professional Development activities must be supported with evidence of the activity undertaken. This evidence may include: • Agenda's and minutes of a network meeting • Evidence of completion / enrolment of formal training • Summary of information received at industry specific meeting Evidence of attendance at informal training sessions / workshops / Seminars and content covered	Compliance Manager

13	External Professional Development activity is to be requested electronically. The recording of this information is to be completed and maintained on the HR file.	Compliance Manager
14	Professional Development sessions can be organised based on each department's request and upon the approval from management team. Professional Development session invitations are emailed to all staff/trainers.	Compliance Manager

Guidelines

The RTO ensures that each person employed or engaged by the RTO to provide services to its students is aware of all obligations under the ESOS act and the VQF.

Each person employed or engaged by the RTO is obliged to comply with the following, as applicable to their roles:

Nationally Recognised Qualification on the RTO's Scope of Registration

- Control and segregation of duties
- Record Keeping systems
- VSN
- USI
- Promotional material compliance

VQF Obligations

- Standards of NVR Registered Organisations 2012
- National Vocational Education and Training Regulator Act 2011
- Age Discrimination Act 2004
- Disability Act 2006
- Racial Discrimination Act 1975
- The Copyright Act 1968
- Public Records Act 1973 (Vic) (PR Act)
- The Privacy Act 1988
- The Victorian Equal Opportunity Act 2010 and the relevant Acts relating to discrimination in the various States in which the RTO delivers training.
- The Education and Training Reform Act 2006

- Working with Children Act 2005
- Education Services for Overseas Students (ESOS) Act 2000/The National Code of Practice for Providers of Education and Training to Overseas Students.

All RTO staff and contractors are required to and are given the opportunity to maintain and update skills and knowledge relating to delivery of training and assessment.

The professional development of Teaching, Training and Assessment staff ensures:

- continued development of knowledge and skills in their relevant industry sector and the VET sector.
- English Language teachers are kept up-to-date with current theory, knowledge and practice in the field.

Continuous Improvement

A summary of all Staff Induction and PD related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.

- (when viewed collectively) any general adverse trend that needs correcting.

Confidentiality and Privacy Statement

The RTO values and is committed to protecting the privacy of its staff and stakeholders. Stakeholders can get more information, by contacting us on our contact us email.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	• Staff recruitment policy • Compliance with legislation policy • Academic management policy
Forms or other organisational documents	
Documents related to this policy	• PD Calendar • PD forms • Staff handbook • Induction presentation

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit	

- The Policy is reviewed for grammatical errors
- The Policy is forwarded to all staff members via an email
- The Policy is uploaded to the website

No.6.1.3: Communication Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 1.1; 1.2; 1.3; 1.4; 1.5; 2.1; 2.2;, 2.3; 2.4; 2.5; 3.1; 3.2; 3.3; 3.4; 3.5; 3.6; 4.2.3; 5.2; 6.1; 6.2; 6.4; 6.5; 6.8; 6.9; 10.1; Standards for RTOs 2015 – Standard: 4.1; 5.1; 5.2; 5.3; 5.4; 8.2;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to outline the various types of communication that are relevant to RTO environment and to provide guidelines for the appropriate flow of that communication, or to direct stakeholders to the relevant protocols and procedures.

Effective communication is the key to good relationships and RTO seeks to establish excellent relationships with all of its stakeholders including students, staff, regulators and industry to work together effectively.

Objective

RTO will ensure that communication within RTO context is multi-faceted and all aspects are essential to the correct and compliant and effective operation of the RTO. Therefore, it is imperative that all internal and external communication is carried out in a professional manner.

Scope

This policy will apply to all current, prospective and previous students, staff and other RTO stakeholders.

Procedures

	Description	**Responsibility**
1.	**Types of Communication** A. Communication within and outside the RTO community can take many forms, including, but not limited to: i. The dissemination of information to RTO community and beyond via RTO website ii. other marketing collaterals such as marketing brochures, pamphlets, media releases, emails, notices to students iii. Social Media sites such as Facebook, Twitter, LinkedIn and Google Plus iv. Agent/student information sessions ● The registered provider must enter into a written agreement with each education agent it engages to formally represent it and enter and maintain the education agent's details in PRISMS. v. Induction for staff and students vi. RTO Reporting requirements vii. RTO Annual Report B. Communication required for administrative, legal or government purposes, such as: i. Notice of change of location	PEO Compliance Manager

	ii. Intention to report to Department of Human Affairs (DOHA) iii. Official notices related to fees, holiday periods, closures C. Communications during meetings, such as: i. Meeting notices ii. Meeting agendas iii. Papers and reports. D. Complaints or grievances (refer to the complaints and appeal Policy and Procedures) E. Upward and downward communication with the RTO Board F. Upward and downward communication with the PEO G. Communication with external organisations and bodies including: i. the media ii. government bodies, for example the police or other departments • the general public.	
2	**Dissemination of Information** It is crucial that information is provided to RTO community in a timely and punctual manner, and that it is accurate and exhibits a high level of professionalism. • RTO website is a public source of information about RTO. It is updated on a regular basis to ensure that all information is current and correct. All information included on the website must be checked and approved by an	PEO Compliance Manager RTO Staff

	authorised person. • Social Media sites – are also very public sources of information about RTO and are to be updated on a regular basis to ensure all information is current and correct. All information included on such sites must be checked and approved by an authorised person. • Marketing collaterals – need to be checked, approved by an authorised person. • Information days/evenings for agents and students —a variety of Information sessions are held throughout the year, such as open days, and the "Taste and See" days for students. All information disseminated through such open days, via speeches, power point presentations, flyers, posters, etc., must be checked and approved by an authorised person. • Induction of staff and students – these will be conducted whenever RTO has a new intake of students or when new trainers/teachers are hired. All information provided to staff and students during these sessions must be checked and approved by an authorised person. • All staff meetings, such as team meetings, department meetings, management meetings, board meetings must be planned, disseminated/ notified and recorded and	

	reported in writing, using appropriate documents such as agendas, minutes, notices, etc. • Student progress meetings or complaint resolution meetings must be recorded in reports. • Notices and other correspondence—all information that is sent out to stakeholders to advise them about excursions, visiting speakers, sports days, camps, competitions, change of classrooms, change of timetables, is to be sent in the approved format on RTO logo letterhead. These notices are to be approved and signed by SSO/CM before they can be reproduced and dispatched to stakeholders or displayed on the notice boards in hard copy and/or electronic version. • Advertisements, personal notices for rent/share accommodation or equipment needs to be checked and authorised by the RM before being displayed on notice boards. • All telephone greetings, voice mail messages and email signatures etc. must be checked and approved by an authorised person. • Advice to students/ staff regarding disciplinary matters—refer to the Disciplinary Policy and Procedures for details about the ways in which students and staff are advised of matters regarding complaints and disciplinary matters.	

	• Administrative, Legal & Government Communication must be in the form of written communication. Verbal advice is insufficient. • RTO Board will receive regular reports from the PEO of the RTO. Board members will also receive agendas, minutes of meetings and documents for perusal prior to meetings. • RTO Board/ PEO/ Management group's communication will be disseminated to staff and stakeholders in the form of Mission Statements, Vision, directives, instructions, etc. • All "official" correspondence to and from RTO is to be made via the PEO or their delegate. • All complaints must be in written format. • Generally, staff members are requested to observe a hierarchical procedure and lines of communication in addressing their requests	

	for information, apply for leave, or to seek a solution to a problem. • All staff members are required to ensure that all students in their care are able to address requests for information or concerns to the appropriate person or authority. • In the case of relational difficulties, either with other students or with staff members, the student should speak with their trainer/assessor or Compliance Manager who will provide assistance in this area. If the matter is not satisfactorily resolved, the student may elect to seek assistance from RTO SSO or another staff member. • There may be issues that need to be brought formally to the attention of the PEO for resolution or decision if the student is not satisfied with previous attempts. • All communication with the Media will be through PEO. Staff members are not permitted to make any comment whatsoever regarding the affairs of any student, employee or RTO related activity to a television, radio, print, internet or other media journalist without prior approval from PEO. Any public comment that is made on issues relating to education should be such that it cannot be construed as a negative criticism of the RTO or its students, staff and Board. • There will be many occasions during the execution of staff duties that staff members will have to make contact with external	

	organisations. At all times staff members need to speak and act in a professional and appropriate manner. Examples include: 1. Speaking to suppliers in order to garner relevant information for ordering educational teaching materials or supplies. 2. Making bookings for visiting speakers or excursions. It is imperative that the appropriate Section Head approval is sought before committing to any of these external providers. • RTO will only collect consensual personal information that is required and will only communicate and disclose information for the purposes for which it was collected. • Any person seeking information from the RTO must be directed to CEO or relevant authority that may require that a formal written *Freedom of Information* request be made. • Requests by police and/or other external government agencies for information and interviews must be directed to the CEO. • All staff, in consultation with the CEO, will comply with court subpoenas to provide information.	

3	**Recording/storage/archiving of information** • All information will be recorded in accordance with the Records Management Policy of RTO.	PEO Compliance Manager

Continuous Improvement

A summary of all communication related matters will be presented as a part of the *Continuous Improvement Policy and Procedure* at the Management Meeting for review. The purpose of this is to ensure that management becomes aware of:

- repeat issues
- common threads relating to the general management and or safety of the staff and students and the services being provided.
- (when viewed collectively) any general adverse trend that needs correcting.

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Publication

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This policy and procedure will form part of the information distributed and communicated during staff orientation.

Other related policies and procedures

Related policies	Disciplinary Policy and procedures, Complaints and appeal policy and procedures
Forms or other organisational documents	

Documents related to this policy	Student Handbook

Review processes

Policy review frequency: Annually	**Responsibility for review: Compliance Manager (CM)**
Documentation and communication: Describe how the policy decisions will be documented and communicated	
Version 5.0 • Major updates are made after an Internal audit • The Policy is reviewed for grammatical errors • The Policy is forwarded to all staff members via an email • The Policy is uploaded to the website	

No.6.1.4: Continuous Improvement Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 10; Standards for RTOs 2015 – Standard: 1.5; 1.6; 1.9; 1.11; 1.11(a)i; 1.11(b)i; 1.25; 2.1; 2.2; 2.2(b); 2.3; 2.4; 6;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this continuous improvement policy and the procedure is to systematically review and improve policies, procedures, products and services through analysis of relevant information, whilst providing feedback through the collection of data, to clients and other interested parties, including staff.

Continuous improvement across all business activities is vital for an organisation's continued success. The implementation of this continuous improvement policy also provides a framework for the organisation's Quality Management System, an integral part of RTO's operation.

Procedures supporting this policy must be outcome focused. They must encourage genuine and active feedback and must address key areas of our operation in a planned and ongoing process.

Objective

The objective of this Policy and Procedure document is to ensure that RTO:

- Works toward improving stakeholder satisfaction and business performance.

- Shows strong leadership by ensuring the active participation of all management staff in the continuous improvement process
- Conducts reviews of the Quality Management System to ensure its continuing stability and effectiveness, while recognising potential contributions of suppliers and partners.
- Uses this policy as part of the organisation's continuous improvement process when delivering business services and products.
- Continually monitors the effectiveness of the business system to identify and implement improvements.
- Ensures systematic continuous improvement of training and assessment.
- The collection of appropriate data to be used in the systematic continuous improvement of training and assessment and other areas of the organisation – AVETMISS, competency completions, enrolment trends, student destinations, staff retention.
- Uses appropriate methods for analysing data and feedback.
- Changes its training and assessment practices and strategies (i.e. TAS, industry engagement, resources, trainer/assessor competencies, assessment tools, validation, etc.) in response to the reflection and analysis of data
- Appoints a designated person or committee responsible for the collection and analysis of feedback from stakeholders.
- Has well-defined responsibilities within the organisation.
- Is organising the collection of feedback.

Scope

RTO has systems in place to plan for and provide quality training and assessment across all of its RTO operations. RTO has policies and procedures to ensure quality training and assessment within its scope of registration and scale of operations. RTO is committed to quality service and a focus on continuous improvement. RTO values feedback and incorporate it into future programs, policies and procedures.

This policy is applicable to the following RTO stakeholders:

- Staff
- Students

General Processes

1. Continuous Improvement

Note that continuous improvement processes refer to the continual enhancement of performance so that the changing needs of clients and industry continue to be met. Continuous improvement does not relate to actions to achieve compliance. Such actions are considered rectifications.

- Continuous improvement is a cycle that includes many sequential steps;
    - planning, including the identification of clients and issues that data needs to be collected for, so that performance can be evaluated.
    - collecting data from the identified clients about issues that affect the quality of the organisation's operations.
    - collating and analysing this data to identify improvement opportunities.
    - planning improvements and implementing them.
    - monitoring the improvements made to gauge how effective they are.
    - reviewing the improvements by collecting data, collating and analysing it.
    - reviewing continuous improvement processes to determine whether they were effective and productive.

- To systematically and continuously improve the quality of training and assessment practices, specific data sets will be regularly collected, analysed and acted upon. This data will be used to:
    - confirm good practice,
    - support learners' needs,
    - improve training and assessment practices,
    - enhance course completion rates (as per published KPIs),
    - compile RTO's Quality Indicators,
    - respond to changing industry needs,
    - identify professional development needs.

- Training and assessment practices will be systematically improved by:
    - responding appropriately to relevant data,

- ensuring strategies for training and assessment meet the requirements of Training Packages or Accredited Courses and are developed and refined in consultation with industry,
- meeting the requirements of Training Packages or Accredited Courses with respect to staff, facilities,
- better equipment, training and assessment,
- conducting training and assessment through competent staff and enacting assessment (including Recognition of Prior Learning) according to the principles of assessment and rules of evidence, workplace and relevant, regulatory requirements.

2. Compliance controls

- RTO is to ensure "Continuous Improvement" activities related to training and assessment are to be recorded using the "validation register and records"
- RTO is to ensure an annual review of "continuous improvement procedures" is conducted
- RTO is to ensure a clear and demonstrable sequence must be evident from; (1) collection of data, to; (2) evaluation of data, to; (3) continuous improvement records, to; (4) implementation of changes to monitoring the improvements made, to; (5) determining if the improvements were effective to; (6) making further changes where warranted.
- RTO is to administer all systems on a constant basis
- RTO is to ensure continuous improvement approach is systematic, logical and efficient.
- RTO is to ensure data on the quality of training and assessment services is collected.
- RTO is to ensure data is relevant and sufficient to make judgements about the quality of training and assessment across the RTO's scope of registration and operations.
- Compliance Manager (CM) is to ensure data is analysed and improvements to training and assessment are demonstrated.

- RTO's RM is to ensure RTO improves training and assessment arrangements in accordance with the data collected.
- RTO's RM is to ensure selection of suitable staff to meet the quality and compliance requirements of the VET division including development, delivery, assessment and administration.
- RTO's RM is to induct staff into the organisation. Induction includes explaining the issues of VQF, Risk Management and the RTO Quality & Compliance Program.
- RTO's RM must form systematic procedures to transform observations and findings into measurable indicators.
- RTO's RM is to ensure relevant and updated VQF information is maintained in printed and electronic form.
- RTO's RM is to ensure RTO's website is maintained with up to date Information.
- RTO's RM is to keep an electronic log of all relevant VQF activity.
- RTO's RM is to ensure "VQF" is a standard agenda item for all internal stakeholders' meetings.
- RTO's RM is to ensure actions or adjustments to the operation are disseminated to relevant persons internally and externally as required.
- RTO's RM is to attend relevant development sessions as required.
- RTO's RM is to ensure appropriate version controls are designated within the Quality System and new issues circulated, placed on the Intranet, and incorporated into staff development sessions where required.
- RTO's RM is to ensure the CEO and other relevant staff members are collecting, analysing and acting on relevant data for the continuous improvement of training and assessment.
- RTO's RM, in conjunction with CEO, is to ensure that the performance of RTO is continually enhanced and that all our procedures ensure that the changing needs of our clients, and the industry in which we serve, continue to be met.

3. Data collection

Data is collected systematically by:

- National tools for the collection of data for the Quality Indicators
- Obtaining written feedback from students at the completion of their qualification.
- Trainer/assessor feedback on training and assessment
- Training and Assessment industry consultation

- Internal Validation
- Student feedback at the completion of units

4. Feedback sources

Feedback is taken from, but not limited to:

- Training and assessment outcomes;
- Client feedback on training;
- Client feedback on assessment/Assessment validation;
- Workplace/Client Management feedback;
- RTO Management review;
- Candidate feedback (regarding Assessment);
- Client satisfaction surveys;
- Trainer feedback;
- Trainer and Assessor feedback;
- Staff feedback;
- RTO Auditing (internal and external);
- Customer complaints;
- Appeals;
- Induction of staff and contractors;
- Course reports;
- Legislative or regulatory changes;
- Feedback or liaison from stakeholders;
- Administrative processes/efficiencies;
- Performance Management/ Trainer Observations;
- Validation and Moderation;
- Changes to the Training Packages;
- Industry consultation and feedback;
- Networking activities;
- Staff Professional Development;
- Quality indicators data, under "Data Provision Requirements";
- Development of Learning and Assessment Strategies and Resources;
- VET Regulator/Industry updates;
- Review of marketing practices;
- Industry licensing/regulatory bodies;
- Industry Skills Councils (ISCs)/ SSOs;
- Annual Business planning;

- Business/Finance reviews.

5. AVETMISS Data

In line with data provision requirements, RTO collects and provides Australian Vocational Education and Training Management with statistical information (AVETMISS) regarding its performance and governance as consistent with requirements from time to time.

AVETMISS (Australian Vocational Education and Training Management Information Statistical Standard) for VET providers is a national data standard that ensures the consistent and accurate capture and reporting of VET information about students, providers, courses and training outcomes. The National Center for Vocation Education Research (NCVER) is the custodian of the standard, which forms the basis for collecting data for the national VET provider collection.

This information includes but not limited to:

- Student demographics;
- Previous study and employment history
- Language and cultural diversity
- Reason for study
- Commencement date
- Enrolment data
- Unique student identifier
- Unit and course outcome, etc

RTO uses AVETMISS data to gauge the performance and identify areas for improvements. RTO's Compliance Manager will generate the AVETMISS data every 12 months and discuss opportunities for continuous improvement in meetings with management.

6. Quality indicator data

In accordance with ASQA requirements (The Standards for Registered Training Organisations (RTOs) 2015 include updated data provision requirements, outlined in clause 7.5 that:

- RTO provides accurate and current information on its performance and governance consistent with the Data Provision Requirements as updated from time to time.

Also, RTO will collect data against national quality indicators using agreed instruments. The data is reported each year by the end of June for the previous calendar year. This is outlined in Clauses 8.1 and 8.2:

RTO cooperates with the VET Regulator:

- by providing accurate and truthful responses to information requests from the VET Regulator relevant to RTO's registration
- in the conduct of audits and the monitoring of its operations
- by providing quality/performance indicator data
- by providing information about substantial changes to its operations or any event that would significantly affect RTO's ability to comply with these standards within 90 calendar days of the change occurring
- by providing information about significant changes to its ownership within 90 calendar days of the change occurring
- in the retention, archiving, retrieval and transfer of records.

RTO ensures that any third-party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services
- in the conduct of audits and the monitoring of its operations

Three areas of reporting are required:

- Competency completion– these are statistics taken from the Student Management System. They will identify the number of enrolments each calendar year and the number of completions by year.
- Employer Satisfaction – Employer Questionnaire is to collect the data for the employer satisfaction quality indicators. This focus on the following aspects:
    - The relevance of learning competency to work and further training
    - The overall quality of the training and assessment
- Learner Engagement – this indicator focuses on the extent to which learners are engaged in activities likely to promote high-quality skill outcomes, and will include learner perceptions of the quality of their competency development and the support they receive or have received from registered training organisations (RTOs).

RTO will submit the quality indicator data reports in full to qidata@asqa.gov.au by close of business 30 June of every year. Quality Indicator data is required for previous calendar year (1 January to 31 December) for submission.

8. Continuous Improvement Cycle

Continuous improvement aims to improve organisational performance over time. The continuous improvement cycle on which the strategic continual improvement process is based, has four interrelated phases, often referred to as the Plan, Do, Check, Act cycle:

PLAN: Establish the goals and actions necessary to implement the actions needed to address the opportunity for improvement - Conduct a risk assessment on the planned actions to determine if the actions will result in an Acceptable Level of Risk

DO: Implement planned processes and allocate the appropriate resources

CHECK: Monitor, measure and report on the effectiveness of results - Conduct a risk assessment on the completed actions to determine if the actions resulted in an Acceptable Level of Risk

ACT: If there is an Acceptable Level of Risk, continue with improvements, if not, start again

Procedure

S.no.	Procedure Steps	Responsibility	Reference
(1)	When a continuous improvement opportunity is identified the following process should be followed: · Provide feedback, verbal or written, about the improvement recommendation to the RM. · The RM will then add this recommendation to meeting agenda.	Stakeholders, Team	

(2)	The management will consider the implications for other management systems and consult with relevant staff about the improvement.		
(3)	A risk analysis approach will be undertaken to determine the urgency of the improvement.	Management	
(4)	Management responsibility for further action will be allocated depending on the level of risk assigned to each report.	Management	
(5)	All staff are informed of the change by email and the changed policy, procedure, teaching and/or assessment resource is added to the website.	Management	
(6)	The improvement is trialled and reported back to the Senior Management Team within the agreed timeline	Management	
(7)	The trial outcome is reviewed for effectiveness and if necessary, the process is amended and re-trialled.	Management	

Continuous Improvement

This procedure is designed to ensure that the needs and feedback of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards. The policy and procedure is designed to ensure management become aware of:

- Common threats relating to the compliance and quality assurance.
- Repeat issues

- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.6.1.5: Version Control Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standards: 2.1; 2.2; 2.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to identify and manage the document control within the RTO system.

Objective

The objective of this Policy and Procedure is to ensure that RTO:

- has suitable and appropriate version control in place.
- the policy framework to comply with the version control Guidelines.
- personnel know their responsibilities and obligations.

Scope

This policy applies to all documents within the RTO Quality Management System

General Processes

1. Version control processes

Version control can be used to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). Version control

will be applied to all specified documents. The authority to approve amendments and revisions of documentation rests with the document stakeholder.

Process from:

- Creation
- Distribution
- Maintenance
- Retention
- The receipt

2. Policy Guidelines

RTO's version control policy and procedure outline processes for ensuring RTO staff has access to current, relevant and accurate documentation, and to ensure that any modifications made by staff are recorded. RTO ensures that all staff and its clients are informed of any changes to legislative and regulatory requirements that affect the services delivered. All documents used to define, and support RTO's business activities have a bearing on the quality of RTO's management system and it is, therefore, imperative such a procedure is applied. RTO is to apply version control to all specified documentation. The control process is to regulate and control the release and availability of documentation that are approved for use.

The authority to approve amendments and revisions of RTO documentation rests with the document owner. Any additional documents that affect RTO's continuous improvement system and the quality of education and training delivery should also be covered by version control procedures. The Version Control Policy and Procedure have been developed to ensure that staff are using the correct version of the documentation. Version Control is important to ensure the right version of the document, used by staff. The document owner information for policies and procedures and forms is in the Document Register.

3. Effective Document Control

Effective document control will be maintained by following good records management and meeting regulatory, legislative and policy guidelines.

4. Good records management

Information is a vital corporate resource. The implementation of best practice records management will support RTO's business in many ways and is significant for many reasons such as to

- Improve the conduct of business in an orderly, efficient and accountable manner;
- Support compliance with statutory obligations;
- Support and document policy and managerial decision-making;
- Protect the interests of RTO and the rights of students, staff, and stakeholders;
- Maintain a corporate memory for RTO; and
- Guarantee tangible savings in time and resources.

5. Document Authors and Authorisation

The author of a controlled document is responsible for:

- Using appropriate templates and or formats for document creation
- Providing an easily identifiable file name relevant to search criteria
- Providing appropriate version control information
- Correctly identifying the file type (e.g. Policy, Form, Resource etc.)
- Filing the document in the appropriate location, and advising staff of the change;
- Recording the document details in an electronic register where required; and
- Arranging for archival of old versions (According to records archival policy and procedure)

Approval for release and/or use of controlled documents rests with the Compliance Manager . This approval Authorisation may be delegated by Compliance Manager .

6. Document Edits and Archival

Edits and Deletions are managed using version control and retention of 'Archive' versions in electronic archive folders. Where the edit or deletion pertains to a document used by other persons across RTO, appropriate stakeholder consultation and communication is required prior to implementing changes or deletions.

7. Different types of documents for Version controlling

RTO Version control several different types of documents, including, but not limited to:

- Assessment Pack (Student assessments)
- Assessor Pack
- Mapping documents

- Learner guides
- Policies and procedures
- Forms
- Fact sheets
- Student documentation

8. Version Control Procedure

Documents and files will be:

- Issued and authorised through Compliance Manager or authorized staff member.
- Updated by the Compliance Manager or authorised staff member in line with external policies, procedures, directives, guidelines and administrative instructions
- Contain an index outlining reference numbers, title and version control e.g. date of issue
- Authorised individually and include reference numbers, titles and version/issue

A new document created by the Compliance Manager or authorised staff member of RTO must have the version of that document recorded as follows:

- Insert the date in the footer: effective date and review date
- The effective date will change the version of the new document
- Insert the page number in the footer: page_ of _
- Edit so the version (date) and the page number to appear on the first page
- Save in the designated / relevant (computer) folder and mention the location
- Include other details such as "Document type".

Superseded documents will be:

As documents are superseded, the following procedure applies:

- Create a 'Superseded' or 'archived/obsolete' folder within the designated / relevant area of the computer
- Move the old file into the Superseded folder

The intention is to have only current versions visible within any designated folder.

9. Controlled documents

All documents are tracked, and version controlled to ensure consistency and relevance of business processes across all aspects of RTO's operations.

Document control includes:

- Maintenance of a revision register
- Approval for use
- Availability of latest versions for relevant staff
- Correct identification of documents
- Up-to-date and relevant versions

Uncontrolled documents may include:

- Photocopies and printed copies of controlled documents
- All documents stamped or printed with 'Uncontrolled Copy' or 'uncontrolled copy when printed'
- All documents stamped or printed with 'DRAFT'
- Uncontrolled documents should be regularly checked to ensure currency

10. Maintenance and review of documentation

RTO ensures that it complies with the Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

The RTO provides an annual declaration on compliance with these Standards to the VET regulator and in particular whether it:

- currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF [Australian Qualifications Framework] certification documentation it has issued in the previous 12 months
- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

Duties of RTO's Compliance Manager or authorised staff member include assignment of each document appropriately according to business requirements and to ensure each document is maintained and updated. The approval process remains the same for all documents. It is the responsibility of the Compliance Manager to review proposed changes and ensure compliance with relevant legislative and regulatory requirements. The management team will review summary reports of significant changes to confirm there is

congruence between business requirements and support systems. This review will take place quarterly.

Reports will include:

- Documentation changes
- Changes to the document structure
- Reviews and changes to documentation approving authorities

11. Version control

- RTO documents are approved and stored on the appropriate electronic system:
- When the document is authorised, the document will be published and staff will be advised about the changes.

12. Document Footer

Version control information is to be prominently displayed in the header and footer of all RTO documentation. Exceptions to this requirement include correspondence, forms, surveys, registers and other operational documentation where the inclusion of these tables would be considered impractical. These documents must, however, have the appropriate notation in the document footer. The version number is to be updated after each amendment.

14. Document location and protection

All RTO documentation is to be recorded in one central file location and in the Commons folder and is to be managed by the Compliance Manager of RTO. The contents of this file should be accessible to all RTO representatives who are authorised to access.

Procedures

	Procedure Steps	**Responsibility**	**Reference**
1	Applying Version Control a.) Document dates The author of the document includes the date the document is created or revised into the footer of the document on every page in the format DD/MM/YYYY or MM/YYYY.	CEO Compliance Manager	
2	b.) Document author The author of the policy/ the individual making amendments includes their name in the "Prepared by" section of the policy.	Compliance Manager	
3	c.) Version numbers The author of the document includes the current version number in the footer of the document on every page.	Compliance Manager	

4	d.) Draft document version number The first draft of a document will be V0.1. Subsequent drafts will have an increase of "0.1" in the version number, e.g., V0.2, 0.3, 0.4…0.9, 0.10, 0.11….1.0, 1.1…..10.1	Compliance Manager	
5	e.) Final document version number and date The author will deem a document final after all reviewers have provided final comments and the comments have been addressed and the document agreed at committee level where appropriate. The first final version of a document will be Version 1.0 (i.e. V1.0). The date of when the document becomes final should be included. Subsequent final documents will have an increase of "1.0" in the version number (V2.0, V3.0, etc.).	Compliance Manager	
6	f.) Final documents undergoing revisions Final documents undergoing revisions will be Version X.1 for the first version of the revisions. While the document is under review, subsequent draft versions will increase by "0.1", e.g., VX1.1, X1.2, X1.3, etc. When the revised document is deemed final, the version will increase by "1.0" over the version being revised, e.g., the draft VX1.3 will become a final V2.0.	Compliance Manager	

7	g.) Documenting changes Changes to documents should be made in accordance with the above guidelines. A list of changes from the previous draft or version should be highlighted and submitted to committees during review and approval processes as appropriate.	Compliance Manager	
8	h.) Document without any version Any old document without any version should be considered as version 1.0. of the document.	Compliance Manager	

Continuous Improvement

This procedure is designed to ensure that the needs and feedback of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards. The policy and procedure is designed to ensure management become aware of:

- Common threats relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager

No.6.1.6: Records Management Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 3.6; 5.3.5; 7.7; Standards for RTOs 2015 – Standard: 3.4; 6.5; 8.1(f); Schedule 5.4(g); 5.4(h); 8(c);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to establish that:

- RTO is effectively and efficiently managing all RTO operations, especially records management;
- The integrity, accuracy and currency of Training records are maintained and upheld.
- A broad policy and governance framework is set for records management at RTO in accordance with the requirements of
    - Australian Skills Quality Authority
    - all other applicable regulatory bodies and legislative frameworks for the retention of student records.

It also ensures that appropriate information management and security systems are in place to enable the departments and the staff members to manage their records and documents using an authorised system that is planned, controlled, recorded and monitored.

Objective

The objective is to ensure that RTO:

- has suitable and appropriate records management in place
- policy framework complies with the records management guidelines
- personnel know their responsibilities and obligations and apply them consistently

Scope

This policy applies to all records, data and information related to the operations of RTO and all staff involved in the management of records.

Procedures

	Procedure Steps	**Responsibility**	**Reference**
1	Approval All records for approval are forwarded to the signing off authority	CEO (Signing off authority) Trainer Compliance Manager	
2	Review and updating All reviews and updating of records are completed by the accountable authority. RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf and uses these to ensure that the services delivered comply with the standards at all times.	Compliance Manager	
3	Version status Version status of records is updated according to the version control policy and processes	Compliance Manager	

4	Distribution of and access to documents All records (updated) are provided to all relevant stakeholders for feedback and comment in draft before the approval by the signing off authority Also RTO ensures that its staff and clients are informed of any legislative and regulatory requirements that affect the services delivered.	Compliance Manager	
5	Identification Identification of any errors/ feedback/ changes/ non-compliance RTO ensures the identification of compliance with standards at all times, including where services are being delivered on its behalf. This applies to all operations of RTO within its scope of registration.	Compliance Manager	
6	Storage All approved records are uploaded to a centralised location i.e. Moodle or SMS	Compliance Manager	
7	Protection Records are protected according to the Records Management Policy and Procedure	Compliance Manager	
8	Retrieval Retrieval of records is based upon the Records Management Policy and Procedure.	Compliance Manager	

9	Retention Retention of records are based upon the Records Management Policy and Procedure.	Compliance Manager	
10	Removal of records Removal of records is limited to the accountable authority or signing off authority	Compliance Manager CEO	

Continuous Improvement

This procedure is designed to ensure that the needs, and feedback, of customers, staff, partners, industry contacts and regulatory bodies are recognised and encompassed in regular review and improvement of our service standards and the delivery of our courses across RTO to ensure management become aware of:

- Common threads relating to the Records Management.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to the Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy and procedure are reviewed annually by the Compliance Manager .

No.6.1.7: Privacy and Confidentiality Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 3.3.6; 4.3.2; Standards for RTOs 2015 – Standard: 3.4; 6.5; 8.1(f);
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that RTO is committed to managing personal information in an open and understandable way. This policy and procedure provide guidance on how RTO adheres to the requirements of the Australian Privacy Principles (APPs) set out in the Privacy Act 1988 (Cth) as amended by the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

Objective

The objective of this policy and procedure is to ensure that RTO;

- Comply with all work practices as per the 13 Australian Privacy Principles (APPs) (previously the National Privacy Principles (NPPs) and Privacy Act 1988 (Commonwealth)
- Ensures that information collected from students and staff is managed and kept confidentially
- Information is used for its intended purpose and not provided to third parties except with the provider's authorization or as required by law or the regulator

Scope

This policy and procedure is applicable on the following stakeholders:

- RTO Staff
- RTO Students
- Other third parties

General Processes

As a component of our risk management practices, RTO has conducted a Privacy Impact Assessment for all operations. Mitigation actions from this risk assessment have been implemented for the management of privacy risks at each stage of the information lifecycle, including collection, use, disclosure, storage, destruction and de-identification.

1. Australian Privacy Principle 1 – Open and transparent management of personal information

Purposes of information collection, retention, use and disclosure.

RTO maintains a record of personal data from all individuals who engage in any form of business activity. RTO must acquire, preserve, use and disclose information from our clients and stakeholders for a series of purposes, including but not limited to:

- Presenting services to clients
- Managing employee and contractor teams
- Promoting products and services
- Conducting internal business tasks and functions
- Requirements of stakeholders

RTO is required to acquire, preserve, use and disclose a comprehensive scope of personal and sensitive information on engaged individuals in nationally recognised training programs. This information requirement is summarised in the National Vocational Education and Training Regulator Act 2011 and associated legislative instruments. The legislative instruments;

- Standards for Registered Training Organisations 2015 and
- Data Provision Requirements 2012.

It is recognised that RTO is also bound by several State Government Acts involving similar information collection, use and disclosure (particularly Education Act(s), Vocational Education & Training Act(s) and Traineeship and Apprenticeships Act(s) relevant to state jurisdictions of RTO operations).

It is further noted that, aligned with these legislative requirements, which also incorporate several information collection and disclosure requirements. Individuals are informed that due to these legal requirements, RTO discloses information stored on individuals for valid purposes to a series of entities including;

- Governments (Commonwealth, State or Local)
- Australian Apprenticeship Support Network
- Employers (and their representatives), Employment Service Providers, Schools, Guardians
- Service providers such as credit agencies and background check providers

2. Types of personal information collected and held

The following types of personal information are commonly collected, depending on the need for service delivery:

- Contact details
- Employment details
- Educational background
- Demographic Information
- Course progress and achievement information;
- Tax file number in keeping with the TFN guideline
- Financial billing information

The following types of confidential information may also be collected and held:

- Identity details and documentation
- Employee details and HR information
- Complaint or issue information
- Disability status and other individual needs
- Indigenous disclosure
- Background checks (such as National Criminal Checks or Working with Children checks).

Where RTO obtains personal data of a more vulnerable section of the community (for example, children), additional practices and procedures are also adhered to. Please refer to RTO's Working with Children Policy and Procedures for more information.

3. How personal information is collected

RTO's common approach to collecting personal information is to gather any necessary information directly from the individuals involved. This may incorporate the use of forms (such as registration forms, enrolment forms or service delivery records) and the use of web-based systems (such as online enquiry forms, web portals or internal operating systems).

RTO does receive solicited and unsolicited information from third party sources in commencing service delivery activities. This may include information from such entities as;

- Governments (Commonwealth, State or Local)
- Australian Apprenticeship Support Network
- Employers (and their representatives), Employment Service Providers, Schools, Guardian
- Service providers such as credit agencies and background check providers

4. How personal information is held

RTO's standard approach to retaining personal information involves reliable storage and security measures. Information on collection is:

- As soon as practical converted to electronic means;
- Saved in secure, password protected systems, such as financial system, learning management system and student management system; and
- Examined for appropriate authorised use.

Only authorised personnel are granted with login information to each system, with system access restricted to only those related to their specialised role. RTO ICT systems are accommodated internally with rigid internal security to physical server locations and server systems access. Virus protection, backup procedures and ongoing access monitoring systems are in place.

Destroying paper-based records occurs when practicable in every manner, utilising secure shredding and destruction services across all RTO sites.

Individual information maintained across systems is linked through an RTO allocated identification number.

5. Retention and Destruction of Information

RTO preserves a Retention and Disposal Schedule documenting the periods for which personal data records are preserved.

Specifically, for RTO records, in the occurrence of the organisation ceasing to operate the mandatory personal information on record for individuals engaging in nationally recognised training will be transferred to the Australian Skills Quality Authority, as mandated by law.

RTO cooperates with the VET regulator in the retention, archiving, retrieval and transfer of records.

6. Accessing and seeking correction of personal information

RTO establishes all individuals have a right to seek access to their personal information stored and to request its amendment at any time. To request access to personal records, individuals are to contact the Compliance Manager .

Many third parties, excluding the individual, may request access to an individual's personal information. Such third parties may consist of employers, parents or guardians, schools, Australian Apprenticeships Centres, Governments (Commonwealth, State or Local) and other stakeholders.

In all cases where access is requested, RTO will confirm that:

- Parties requesting access to personal information are identified and evaluated;
- Where legally feasible, the individual (whom the information relates to) will be contacted to provide consent (if consent not previously provided for the matter); and
- Only appropriately authorised parties, for lawful purposes, will be granted access to the information.
- Complaints about a violation of the APPs or a binding registered APP code

If a party suspects that RTO may have violated one of the APPs or a binding registered APP he/ she may refer to Privacy Complaints Procedure below for additional information.

7. Making our APP Privacy Policy available

RTO offers our APP Privacy Policy available free of charge, with all information being publicly available from the Privacy link on our website at www.rto.edu.au/. This website information is composed to be available as per web publishing accessibility guidelines, to guarantee access is available to individuals with special needs.

In addition, this APP Privacy Policy is:

- Noticeably displayed at each RTO's site;
- Included within our Student Handbook;

- Recognised within the text or instructions at all information collection details (such as informing individuals during a telephone call of how the policy may be accessed, in cases where information collection is occurring); and
- Available for distribution free of charge on request, as soon as possible after the request is received, including in any format requested by the individual as is reasonably practicable.

If, in the unlikely event the APP Privacy Policy is not able to be supplied in a format requested by an individual, we will clarify the circumstances around this issue with the requester and seek to make sure that an alternative appropriate approach is offered.

8. Review and Update of this APP Privacy Policy

RTO revises this APP Privacy Policy:

- On an ongoing basis, as suggestions or issues are introduced and addressed, or as government required changes are identified;
- Through the conduct of internal audit processes and the monitoring of operations on minimum a yearly basis;
- As a part of any external audit of our operations that may be conducted by various government agencies as a part of our registration as an RTO or in normal business activities; and
- As a component of each complaint investigation process where the complaint is related to a privacy matter.

Where this policy is revised, changes to the policy are broadly communicated to stakeholders via internal communications, meetings, training and documentation, and externally through publishing of the policy on RTO's website and other related documentation (such as our Student Handbook) for clients.

9. Australian Privacy Principle 2 – Anonymity and pseudonym

RTO presents individuals with the option of not naming themselves, or of using a pseudonym, when dealing with RTO in relation to a matter, where practical. This involves providing alternatives for anonymous dealings in cases of general course enquiries or other situations in which an individual's' information is not compulsory to carry out a request.

Individuals may communicate with us by using a name, phrase or descriptor that is different to the individual's real name where possible. This includes using nonspecific email address that does

not contain an individual's real name, or generic user names when individuals may access a public component of our website or enquiry forms.

RTO only collects and links pseudonyms to individual personal information in cases where this is needed for service delivery (such as system login information) or once the individual's consent has been obtained.

Individuals are informed of their opportunity to deal anonymously or by pseudonym with us where these alternatives are feasible.

10. Requiring identification

RTO call for and confirm identification however in-service delivery to individuals for nationally recognised course programs. We are permitted under Australian law to deal only with people who have correctly identified themselves. That is, it is a Condition of Registration for all RTOs under the National Vocational Education and Training Regulator Act 2011 that we recognise individuals and their specific individual requirements on onset of service delivery, and gather and disclose Australian Vocational Education and Training Management of Information Statistical Standard (AVETMISS) data on all individuals registered in nationally recognised training programs. Additional legal requirements, as noted earlier in this policy, also involve considerable identification arrangements.

There are also other occasions also within our service delivery where an individual may not have the option of dealing anonymously or by pseudonym, as identification is practically needed for us to effectively support an individual's request or need.

11. Australian Privacy Principle 3 — Collection of solicited personal information

RTO acquires personal information that is reasonably required for our business activities.

We only gather sensitive information in events where the individual consents to the sensitive information being collected, except in cases where we are required to collect this information by law, such as outlined earlier in this policy.

All information we acquire is collected through lawful and fair processes.

Solicited information is collected directly from the individual affected, unless it is unreasonable or impracticable for that information to only be collected in this way.

12. Australian Privacy Principle 4 – Dealing with unsolicited personal information

RTO may occasionally receive unsolicited personal information. Where this occurs a quick review of the information will be performed to determine whether it could have been collected using

other business activities. Where this is the case, we may retain, employ and disclose the information appropriately as per the practices summarised in this policy.

Where we could not have acquired this information (by law or for a valid business purpose) we destroy or de-identify the information without delay (unless it would be unlawful to do so).

13. Australian Privacy Principle 5 – Notification of the collection of personal information

Whenever RTO gathers personal information about an individual, we take practical measures to notify the individual of the details of the data collection or otherwise confirm the individual is aware of those matters. This notification occurs at or prior to collection, or as soon as possible afterwards.

Our notifications to individuals on data collection include:

- RTO's identity and contact details, including the position title, telephone number and email address of a contact who manages enquiries and requests regarding privacy matters;
- The facts and conditions of collection such as the date, time, place and method of collection, and whether the data was acquired from a third party, including the name of that party;
- If the collection is required or authorised by law, including the name of the Australian law or other legal agreement requiring the collection;
- The objective of collection, including any primary and secondary purposes;
- The consequences for the individual if all or some personal information is not gathered;
- Other organisations or persons to which the information is usually disclosed, including the names of those parties;
- Whether we are likely to disclose the personal information to overseas beneficiaries, and if so, the names of the recipients and the countries in which such recipients are located.
- A link to this APP Privacy Policy on our website or describe how it may be accessed; and
- Advice that this APP Privacy Policy includes information about how the individual may access and seek amendment of the personal information held by us; and how

to make a complaint about a violation of the APPs, or any registered APP code, and how we will manage a complaint.

Where realistic, RTO makes sure that the individual verifies their understanding of these finer details, such as through signed declarations, website form acceptance of details or in person through questioning.

Collection from third parties

Where RTO gathers personal information from another organisation, we:

1. Verify whether the other organisation has provided the appropriate notice above to the individual; or
2. Whether the individual was otherwise mindful of these details at the time of collection; and
3. If this has not occurred, we will carry out this notice to make sure the individual is entirely informed of the data collection.

14. Australian Privacy Principle 6 – Use or disclosure of personal information

RTO only uses or discloses personal information it retains about an individual for the specific primary reasons for which the information was gathered, or secondary purposes in cases where:

1. An individual agreed to a secondary use or disclosure;
2. An individual would practically expect the secondary use or disclosure, and that is directly connected to the primary objective of collection; or
3. Using or disclosing the information is commanded and authorised by law.

Requirement to compose a written note of use or disclosure for this secondary purpose

If RTO uses or discloses personal data in accordance with an 'enforcement related activity' we will create a written record of the use or disclosure, including the following details:

- The date of the use or disclosure;
- Details of the personal data that was used or disclosed;
- The enforcement body regulating the enforcement related activity;
- If the organisation employed the information, and how the data was employed by the organisation;

- The root for our reasonable belief that we were compelled to disclose the information.

15. Australian Privacy Principle 7 – Direct marketing

RTO does not apply or disclose the personal information that it retains about an individual for the objective of direct marketing, unless:

- The personal information has been collected directly from an individual, and the individual would reasonably expect their personal information to be used for the purpose of direct marketing; or
- The personal information has been collected from a third party, or from the individual directly, but the individual does not have a reasonable expectation that their personal information will be used for the purpose of direct marketing; and
- We present a simple method for the individual to request not to receive direct marketing communications (also known as 'opting out').

On each of our direct marketing communications, RTO provides a noteworthy statement that the individual may wish to opt out of future communications, and the process to do so. An individual may also request at any stage not to use or reveal their personal data for direct marketing, or to facilitate direct marketing by other organisations. We observe with any request by an individual straightaway and undertake any required actions without charge.

We also, on request, advise an individual of our supplier of their personal information used or disclosed for direct marketing unless it is unwarranted or impracticable to do so.

16. Australian Privacy Principle 8 – Cross-border disclosure of personal information

Before RTO reveals personal information about an individual to any overseas recipient, we undertake reasonable steps to guarantee that the recipient does not violate any privacy matters in relation to that information.

17. Australian Privacy Principle 9 – Adoption, use or disclosure of government related identifiers

RTO does not adopt, exercise or disclose a government related identifier linked to an individual except:

- In situations necessitated by Australian law or additional legal requirements;

- Where reasonably necessary to authenticate the identity of the individual;
- Where reasonably necessary to follow obligations to an agency or a State or Territory authority; or
- As prescribed by regulations.

18. Australian Privacy Principle 10 – Quality of personal information

RTO takes reasonable steps to guarantee that the personal information it gathers is appropriate, current and complete. We also take reasonable steps to certify that the personal information we use or disclose is, having regard to the purpose of the use or disclosure, appropriate, current, complete and accurate. This is imperative where:

- When we initially acquire the personal information; and
- When we use or disclose personal information.

We take measures to ensure personal information is factually accurate and truthful. In cases of an opinion, we ensure information take into account competing facts and views and composes an informed assessment, making it clear that it is an opinion. Information is confirmed current at the point in time to which the personal information relates.

Quality performance indicators established to maintain these requirements include:

- Internal systems and procedures to review, examine, identify and improve poor quality personal information (including training staff in these practices, procedures and systems);
- Protocols that validate that personal information is collected and documented in a consistent format, from a primary material source when feasible;
- Making sure updated or new personal information is punctually added to appropriate existing records;
- Providing individuals with a simple method to evaluate and revise their information on a regular basis through the online portal;
- Prompting individuals to review and refresh their personal information at important service delivery points (such as completion) when we engage with the individual;
- Contacting individuals to authenticate the quality of personal information where appropriate when it is about to applied or disclosed, especially if there has been a prolonged period since acquiring the data; and

- Verifying that a third party, from whom personal data is obtained, has implemented appropriate data quality systems and procedures.

19. Australian Privacy Principle 11 — Security of personal information

RTO takes effective measures to assess whether we can hold the personal information we possess, and also to guarantee the security of the personal information we retain. This includes practical steps to protect the information from exploitation, interference and loss, as well as unauthorised access, changes or disclosure.

Personal information is destroyed once the information is no longer required for any use for which the information may be legally used or disclosed.

Access to RTO offices and work areas is restricted to our employees only - visitors to our premises must be approved by relevant authorised personnel and are always accompanied. Regarding any information in a paper-based format, we preserve storage of records in an appropriately secure place to which only authorised individuals have access.

Systematic staff training and information bulletins are performed with RTO personnel on privacy subjects, and how the APPs apply to practices and procedures. Training is also incorporated in personnel induction practices.

We perform ongoing internal audits (at least once a year and as necessary) of the adequacy and currency of security and access procedures and systems employed.

Storage and security of personal information

RTO will guarantee:

- That the record is protected, by such security safeguards as it is rational in the circumstances to take, against loss, against unauthorised access, use, modification or disclosure, and against other misuse.
- That if it is required for the record to be given to a person in association with the provision of a service to the VET Provider, everything reasonably within the authority of the VET Provider will be done to prevent unauthorised use, misuse or disclosure of information included in the record.
- RTO sets out in its Records Management policy the retention period of personal data and then its subsequent secure data destruction (secure shredding).
- For data kept on electronic systems, access is regulated by protected sign on procedures for authorised administrative employees.

- RTO will not use the data without undertaking reasonable measures to guarantee that, having regard to the purpose for which the information is planned to be used, the information is precise, current and complete. RTO will not use the information apart from the purpose to which the information is related.

Photographs

- At times during attendance at RTO personnel and students may be involved and included in photographs taken either for identification or verifying events.
- At times, RTO may ask to use one or more of these photographs for publicity or advertising reasons.
- RTO will only use such material after the explicit written consent of the individual. This consent may be rescinded at any unspecified moment (but material already posted in the public domain may remain so).

20. Australian Privacy Principle 12 — Access to personal information

Where RTO retains personal information about an individual, RTO can arrange for that individual to access to the information on their demand. In processing requests, RTO:

- Makes sure through confirmation of identity that the request is made by the individual involved, or by another person who is authorised to produce a request on their behalf;
- Acknowledges access requests:

Within 14 calendar days, when informing our refusal to grant access, including presenting grounds for refusal in writing, and the complaint procedures accessible to the individual; or

Within 30 calendar days, by granting access to the personal information that is desired in the way it was requested, provide access without any charge.

21. Australian Privacy Principle 13 – Correction of personal information

RTO takes reasonable steps to correct personal information we possess, to confirm it is relevant, current, complete, genuine and not misleading, having consideration to the purpose for which it is held.

Individual Requests

On an individual's request, RTO:

- Revises and corrects personal information held; and

- Alerts any third parties of amendments made to personal data, only if this information was formerly supplied to these parties.

In circumstances where RTO refuses to update personal information, RTO:

- Provides a written notice to the individual, containing the reasons for rejection and the complaint procedures accessible to the individual;
- Upon request by the individual whose correction request has been rejected, undertakes practical steps to link a statement with the personal information that the individual considers to be incorrect, outdated, incomplete, irrelevant or misleading;
- Answers within 14 calendar days to these requests; and
- Carries out all actions without charge.

22. Correcting at RTO's initiative

RTO undertakes reasonable measures to amend personal information we possess in circumstances where we are satisfied that the personal data retained is incorrect, outdated, incomplete, irrelevant or misleading. This knowledge may arise through the acquiring of updated information, in notice from third parties or through other channels.

'Request for Records Access' Procedure

Individuals or third parties may at any period request retrieve records held by RTO relating to their personal information. The following procedure is adhered to on individual requests for access:

1. A request for access is provided by the requester, with appropriate information provided to be able to:
    a. Identify the individual affected;
    b. Verify their identity; and
    c. Identify the particular information that they are requesting access to.

    This request may be in any format, or preferably using RTO's Records Access or Update Request Form.

2. Upon receiving a request for access, RTO then:
    a. Verifies the identity of the party requesting access;

b. Confirms that this party is correctly authorised to obtain the information requested;

c. Searches the records that we hold or control to assess whether the requested personal information is included in those records; and

d. Pulls together any personal data retrieved ready for access to be provided.

23. Confirming identity

RTO personnel must be convinced that a request for personal information is made by the individual directly affected, or by another party who is authorised to process a request on their behalf. The bare minimum of personal information needed to determine an individual's identity is required, which is normally the individual's name, date of birth, most recently known address and signature.

When consulting the requesting party personally, identification may be viewed.

If verifying details over a telephone conversation, questions involving the individual's name, date of birth, last known address or service details may be established before information is granted.

3. Once identity and access authorisation is verified, and personal information is collected, access is provided to the requester within 30 calendar days of acknowledgement of the original request.

RTO will grant access to personal information in the precise manner or format requested by the party, wherever it is practical to do so, without charge.

Where the requested format is not reasonable, RTO will check with the requester to make sure a format is provided that meets the requester's requirements.

4. If the identity or authorisation access cannot be verified;
5. or there is an additional reasonable basis why RTO is unable to deliver the personal information, refusal to provide access to records will be presented to the requester, in writing. The notification will include reason(s) for the refusal, and the complaint procedures accessible to the individual. Such notifications are given to the requester within 30 calendar days of receiving of the original request.

24. 'Request for Records Update' Procedure

Parties may at any point request that their records held by RTO relating to their personal information be amended. The following procedure is adhered to on each request for records updates:

1. A request for records update is given by the requester, with appropriate information provided to be able to:

a. Identify the individual involved;

b. Verify their identity; and

c. Identify the information that they are requesting be updated on their records.

This request may be in any form, or preferably using RTO's Records Access or Update Request Form.

2. Upon receiving a request for records update, RTO then:

a. Approves the identity of the party to whom the record concerns;

b. Searches the records that RTO has or controls to assess whether the requested personal information is covered in those records; and

c. Assesses the information already on record, and the requested update, to decide whether the requested update should advance.

25. Assessing Update

RTO personnel assess the relevant personal information possessed, and the requested updated information, to ascertain which version of the information is considered correct, current, complete, appropriate and not misleading, relating to the purpose for which it is held.

This may include examining information in contrast to other records stored by RTO, or within government databases, to carry out an assessment of the accurate version of the information to be used.

3. Once identity and information assessment is verified, personal information is:

a. Updated, without charge, within 14 calendar days of receiving the original request; and

b. Informed any third parties of amendments made to personal information, only if this information was formerly provided to these parties.

4. If the identity of the individual cannot be verified, or there is another reasonable basis why RTO is incapable of updating the personal information, refusal to update records will be given to the requester in writing, without charge, within 14 calendar days.

The notification will contain the details for the refusal and the complaint procedures accessible to the party.

5. Upon request by the individual whose correction request has been rejected, RTO will also take reasonable steps to associate a 'statement' with the personal information that the individual believes it to be incorrect, outdated, inadequate, irrelevant or misleading. This statement will be applied, without charge, to all personal information relevant across RTO systems within 30 calendar days of receiving the statement request.

26. Privacy Complaints Procedure

If individual feels that RTO has breached its obligations in the processing, use or disclosure of their personal information, they may lodge a complaint. RTO supports individuals to review the situation with their RTO representative in the first instance, prior to processing a complaint.

The complaints handling process is as follows:

1. The individual should make the complaint incorporating with explicit details about the matter as possible, in writing to RTO:

Compliance Manager /CEO

2. RTO will examine the circumstances contained within the complaint and reply to the individual once possible, within 30 calendar days, concerning its findings and actions following this investigation.

3. Should after studying this response, the party is still not pleased, they may raise their complaint directly to the Information Commissioner for further investigation:

Office of the Australian Information Commissioner

www.oaic.gov.au

Phone: 1300 363 992

When examining a complaint, the OAIC will firstly try to conciliate the complaint, before considering the application of other complaint resolution powers.

4. Alternatively, if the complaint correlates to a non-privacy matter, or should parties prefer to do so, a complaint may also be lodged with the ASQA complaints handing service for complaints against RTOs:

Australian Skills Quality Authority

www.asqa.gov.au

Phone: 1300 701 801

Or

Dissatisfied students with RTO' complaints process can also contact the relevant State/Territory Training Authority, the Australian National Training Authority or the Australian Government Department of Education, Science and Training National Training Complaints Hotline on 1800 000 674.

Procedures

	Procedure Steps	**Responsibility**	**Reference**

1	Australian Privacy Principle 1 – Open and transparent management of personal information Types of personal information collected and held How personal information is collected How personal information is held Retention and Destruction of Information Accessing and seeking correction of personal information Making APP Privacy Policy available Review and Update of this APP Privacy Policy	Compliance Manager and RTO administration	
2	Australian Privacy Principle 2 – Anonymity and pseudonymity Requiring identification	Compliance Manager and RTO administration	
3	Australian Privacy Principle 3 — Collection of solicited personal information	Compliance Manager and RTO administration	
4	Australian Privacy Principle 4 – Dealing with unsolicited personal information	Compliance Manager and RTO administration	
5	Australian Privacy Principle 5 – Notification of the collection of personal information	Compliance Manager and RTO administration	

6	Australian Privacy Principle 6 – Use or disclosure of personal information	Compliance Manager and RTO administration	
7	Australian Privacy Principle 7 – Direct marketing	Compliance Manager and RTO administration	
8	Australian Privacy Principle 8 – Cross-border disclosure of personal information	Compliance Manager and RTO administration	
9	Australian Privacy Principle 9 – Adoption, use or disclosure of government related identifiers	Compliance Manager and RTO administration	
10	Australian Privacy Principle 10 – Quality of personal information	Compliance Manager and RTO administration	
11	Australian Privacy Principle 11 — Security of personal information	Compliance Manager and RTO administration	
12	Australian Privacy Principle 12 — Access to personal information	Compliance Manager and RTO administration	
13	Australian Privacy Principle 13 – Correction of personal information Correcting at RTO's initiative 'Request for Records Access' Procedure Confirming identity 'Request for Records Update' Procedure Assessing Update	Compliance Manager and RTO administration	

	Privacy Complaints Procedure		

Continuous Improvement

A summary of all privacy and personal information related matters and concerns will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- Common threads relating to the compliance and quality assurance.
- Repeat issues
- Any general adverse trend that needs correcting

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

This policy will be reviewed annually by the Compliance Manager .

No.6.1.8: Management Substitution Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.3; 2.1; 2.4; 7.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy and the related procedures detail how absenteeism of key staff members within RTO are handled to ensure the smooth running of RTO's operations and minimum disruption to the everyday processes.

The purpose of this policy is to define;

- RTO has strong policies framework to handle such situations effectively and efficiently
- Person responsible in the event of these absences

Objectives

The objective of this policy and procedure is to ensure that RTO;

- Has suitable and appropriate mechanisms in place in case of planned and unplanned absences
- Policy framework supports the planned and unplanned absences
- Personnel are aware of their responsibilities and obligations in case of planned and unplanned absences

Scope

This policy and procedure covers all members of training and assessment and management staff at RTO. All members of staff are responsible for the effective operation and implementation of this policy and procedure.

General Processes

RTO ensures that its executive officers or high managerial agent/s:

- Are vested with sufficient authority to ensure that RTO complies with the RTO Standards at all times.
- Meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

1. Planned absences

- Planned absences relate to annual leave and/or business trips or for marketing activities overseas. These absences will typically be for a week or more and the arrangements outlined below can be agreed ahead of time.
- The CEO of RTO is responsible for overall management of RTO including policy and strategic direction, ratification of day-to-day decisions and the smooth operation of RTO in the provision of quality education services.
- The Compliance Manager will support the CEO in the day to day operational management of RTO and is responsible for compliance and quality assurance across all campuses.
- The lead trainer is responsible for the quality and timely delivery of training and assessment for their subject area. They will be supported by one or more trainers or teachers, one of which who will be given the role of second in command.
- In the event of the absence of one or more of these role holders the following will take place;
    - The role holder will arrange for specific substitution in line with the information provided below.

- Should there be a situation that means this cannot be enacted then it is the role holder's responsibility to ensure adequate coverage prior to their planned absence.
- The stand in staff member should keep a log of issues handled in the role holder's absence to ensure that the role holder is brought up to date on his/her return.
- The role holder should notify any staff likely to be impacted by their absence of the stand in's plans, prior to their absence. Each of the role holders should ensure that person(s) designated as stand in is aware of that role and what it will entail. When the stand in is asked to assume the role, they should already be familiar with what is expected of them.
- If the CEO of RTO is not available, then the Compliance Manager will be asked to act as stand in.

- New policy directions, strategic decisions or actions that will have a long-term effect on RTO should not be decided upon unless they are forced e.g. as result of emergency or critical incident. If this situation occurs, then every effort should be made to contact the CEO of RTO for advice/direction.
- If the Compliance Manager is available, then the Compliance Manager will become acting CEO of RTO. If the Compliance Manager is not available then the lead trainer/ assessor will be asked to act as a stand ins. Decisions should only be made in relation to immediate requirements and no long-term policy decisions made, nor documentation signed which binds RTO. The nominated trainer/assessor will stand in for the checking, approval and signature on all Certificates and Statements of Attainment whilst the CEO of RTO and Compliance Manager are absent.

2. Role Holder

There will be times when a role holder will need to be absent from the campus. This can be either planned or unplanned.

3. Unplanned absences

- Unplanned absences cover any event that forces the role holder to be absent – this will typically be through illness or some other emergency that prevents the person attending RTO offices
- This policy should not be confused with the critical Incident Policy and Procedure that covers the process in the event of a critical incident occurring
- If, because of an emergency or medical requirement, a role holder is unable to attend RTO then they should make every effort to notify RTO or have someone notify RTO of their non-attendance
- In the event of this non-attendance the planned stand in (as listed above) should be contacted by the most senior person available (or Reception in extreme circumstances) and be asked to assume the stand in functions
- As soon as practical, the stand in should make themselves available to RTO to assume their position. Once any immediate decisions have been made the stand in should try to ascertain the reason and nature of the absence – e.g. short term (mild illness) or e.g. longer term (accident or other emergency) and then plan the continuing stand in role as appropriate
- For any situation that is likely to persist for more than one week, the stand in should inform staff of the situation and how they propose to manage short term issues in the interim
- Except for a stand in undertaking the CEO of RTO, the CEO should be notified immediately of the situation so that appropriate actions can be taken to ensure the continued smooth running of RTO

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1	Planned absences	Compliance Manager	
2	Unplanned absences	CEO	

Continuous Improvement

A summary of all planned and unplanned absences, related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of;

- Any general adverse trend that needs correcting
- Common threads relating to the compliance and quality assurance
- Repeat issues

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually by the Compliance Manager .

No.6.1.9: Compliance Insurance Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 4.2.1; Standards for RTOs 2015 – Standard: 7.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy is to ensure that RTO;

- Ensure all insurance policies required to carry out its business including work safe insurance are held
- Is committed to holding adequate public liability insurance, worker compensation insurance and professional indemnity insurance throughout its registration period

Objectives

The objective of this policy and procedure for RTO is to ensure that;

- A policy framework is in place for Worksafe insurance
- Suitable and appropriate mechanisms are in place to hold adequate insurance related to public liability, workers and professional indemnity
- Personnel are aware of their responsibilities and obligations in relation to their related insurance

Scope

This policy and procedure apply to all operations of RTO.

General Processes

1. Roles and responsibilities

RTO holds public liability insurance that covers the scope of its operations throughout its registration period

All insurance schedules are retained on file and include information such as relevant coverage, insurance categories amount payable, proof of payment and renewal dates.

The written agreement must outline the responsibilities of the registered provider, including that the registered provider is responsible at all times for compliance with the ESOS Act and National Code 2018.

2. Renewal of required policies

The CEO and Compliance Manager must review the required policies annually, prior to renewal dates of the existing insurance policies. This is to ensure through consultation with Insurance Brokers and Accountants that appropriate insurances are adequate for training and assessment activities of RTO.

3. Events related to insurance issues

The CEO is kept aware of all events which have the potential to give rise to a claim or insurance issues.

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1	All insurance schedules are retained on file setting out relevant coverage, insurance categories, amounts payable, proof of payment and renewal dates.	CEO	Certificates of currency

2	CEO is kept aware of all events which have the potential to give rise to a claim or insurance issues.	CEO	
3	The CEO and Compliance Manager must review the required policies annually, prior to renewal dates of the existing insurance policies. This is to ensure through consultation with Insurance Brokers and Accountants that appropriate insurances are adequate for training and assessment activities of RTO.	Compliance Manager /CEO	
4	If a policy of insurance is cancelled or modified, all appropriate authorities including Department of Education and Training Victoria are notified.	Compliance Manager	

Continuous Improvement

A summary of all compliance insurance related matters and concerns will be presented at the Management Meeting for review. The purpose of this is to ensure management become aware of

- Any general adverse trend that needs correcting
- Common threads relating to the compliance and quality assurance
- Repeat issue

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy and procedure will be reviewed annually by the he Compliance Manager .

No.6.1.10: VET Governance Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 7.1; 7.2; 7.3; 7.4; 7.5;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The purpose of this policy and procedure is to ensure that;

- This policy and procedure outlines RTO's strategic approach to quality management and continual improvement, which is guided by its Mission and Vision with a strong commitment to quality and excellence in the VET sector.
- RTO has a current, valid copy of the legislation and regulations available
- The CEO of RTO has appropriate information and access to the legislative processes required to meet applicable standards
- The CEO of RTO has appropriate support from all the RTO staff and committee members to perform and meet applicable standards

- The CEO of RTO has appropriate support from the staff responsible for the administration of RTO
- The CEO of RTO is responsible for the RTO management. This includes the management of operations ensuring suitability of policies to monitor and manage compliance with legislation and regulations; identify issues and develop appropriate responses.
- The CEO of RTO is to ensure that the staff members have delegated responsibilities for the management and operations, and that they have enough authority to meet their responsibilities daily.
- The RTO staff are aware of, have access to, and understand their responsibilities to meet applicable standards.

Objectives

The objective of this policy and procedure for RTO is to ensure that:

- RTO personnel are aware of their responsibilities and obligations
- RTO has suitable and appropriate VET Governance system in place
- RTO has proper policy framework to comply with the VET Governance Guidelines

Scope

RTO VET Governance Policy and Procedure supports the development of a quality culture in which all staff assume responsibility for quality and engage in quality management at all levels and areas of RTO.

This policy has been aligned with Australian and New Zealand Standard AS/NZS ISO 9001:2008 (Quality Management Systems) and AS/NZS ISO 9004:2009 (A Quality Management Approach).

The Management Committee of RTO will review these protocols from time to time and protocols will be changed as the committee considers appropriate.

General Processes

1. Policy alignment

RTO will explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its Training Consultants (Trainers and Assessors).

The RTO ensures that its Executive Officers or High Managerial Agent:

- are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times
- meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

2. RTO's Plan, Implement, Review, and Improve (PIRI) Framework

The PIRI principles are implemented through a cyclical process of:

- Planning, including setting a new strategic direction or a key improvement to current practice, based on internal and/or external reviews
- Implementing the plan and monitoring the results against agreed performance measures
- Reviewing performance against the data reported and then re-planning
- Improvement based on review as well as sustaining those areas of good practice identified as working well during implementation

3. Compliance and Governance Checks

RTO ensures it complies with RTO Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

RTO will achieve this policy by;

a) A current and valid legislation and regulations register

Responsibility: RTO has a current, valid copy of the legislation and regulations register available. This register is maintained by the Compliance Manager and reviewed in three-month intervals.

Location: Google Drive

b) CEO is aware of legislative processes

Responsibility: The CEO of RTO participates in all RTO's committees and groups and contributes in a number of VET sector conferences and gatherings. RTO's CEO also reviews the Legislation and Regulations Register on an ongoing basis and therefore has appropriate information and access to the legislative processes required to meet applicable standards.

Frequency: Ongoing basis

c) Support from RTO Staff, Compliance Manager , management and stakeholders

Responsibility: CEO, Compliance Manager .

Frequency: Ongoing basis

4. RTO's Governance Framework for Boards, committees and groups

- Leadership
- Competence
- Values
- Integrity
- Transparency
- Accountability
- Respect
- Commitment
- Fairness

5. RTO Trainers Meetings (RTO TM)

RTO's Trainers/ assessors meet on a regular basis throughout the year, providing a forum for VET stakeholders to discuss issues of common concern and share valued experience and knowledge.

The functions of the committee are to;

- Ensure that all courses and academic materials meet all regulatory, compliance and quality requirements
- Validate student assessment outcomes to ensure these meet performance criteria
- Ensure that the Training & Assessment Strategy (TAS) meets all regulatory requirements and is compliant
- Examine the suitability of content and structures to ensure programs are consistent with required capabilities and are meeting the developmental and skill/knowledge needs
- Advise on methods of delivery that are most appropriate for course content

Members:

- CEO
- Compliance Manager /PEO
- VET Trainers/ assessors

6. Yearly Planner for RTO

RTO provides an annual declaration on compliance with these Standards to the VET [Vocational Education and Training] regulator and in particular whether it:

- currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF [Australian Qualifications Framework] certification documentation it has issued in the previous 12 months
- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

RTO follows its yearly planner for the following activities**;**

- Uploading and downloading VSN
- Continuous Improvement
- Validation and moderation sessions
- VET meetings
- Standards review
- Meeting and sharing "Compliance requirements and changes"
- Staff management

Procedures

Sr.No	Procedure Steps	Responsibility	Reference
1		Trainer, Compliance Manager	

2	Corrective actions should be taken regarding the matters discussed in this policy	Compliance Manager	

Continuous Improvement

A summary of all VET Governance related matters and concerns will be presented at the Management Meeting for review.

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.6.1.12: Work Health and Safety/Occupational Health and Safety Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.9.1; 6.9.2; 6.9.3; 11.2.5; Standards for RTOs 2015 – Standard: 2.1; 2.4; 7.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

It is the policy of RTO that all activities are undertaken with all reasonably practicable measures implemented to avoid or minimise risks to Health and Safety of all employees, students and any other person who may be affected.

The Work Health and Safety Act 2011 outline the requirements of an RTO in establishing and maintaining workplace health and safety standards. The requirements of an RTO as specified in the Act above are to:

• Secure the health, safety and welfare of employees and other persons at work

• Eliminate, at the source, risks to health, safety or welfare of employees and other persons at work

• Ensure that the health and safety of members of the public is not placed at risk by the conduct or undertakings by employers and self-employed persons

• Provide for the involvement of employees, employers, and organisations

• Representing those persons, in the formulation and implementation of health, safety and welfare standards.

The purpose of this policy is therefore to establish that:

• RTO is committed of providing a healthy and safe environment for work and study in accordance with the Occupational Health and Safety Act Victoria (2004) and with standards AS/NZS 4801:2001 Occupational Health & Safety Management Systems – Specification with guidance for use and OHSAS 18001:2007 Occupational Health and Safety Management Systems – Requirements.

• RTO's commitment of providing a duty of care that protects persons from harm, injury, illness or abuse

• RTO's commitment of developing and administering WHS risk management systems

• RTO's commitment of auditing WHS procedures and practices

• RTO's commitment of consulting with all stakeholders when reviewing WHS policies

• RTO's commitment of maintaining and storing WHS documentation and records in accordance with Occupational Health and Safety Act Victoria (2004) and The Work Health and Safety Act 2011.

• RTO's commitment of providing educators with WHS professional development and training

• RTO's commitment of developing policies as WHS legislation changes

• RTO's commitment that all employees, contractors, students or other authorised personnel are required to cooperate by becoming familiar with and complying with this policy.

• All RTO employees, contractors, students or other authorised personnel are required to follow Safe Work Practices and to ensure that their own work, as far as is practicable, is carried out without risk to themselves or others.

• Failure to comply with this policy may result in termination or immediate review of any service or contract. RTO reserve the right to cease delivering services to participants who breach their WHS duty of care without refund.

This policy will be prominently displayed and will be brought to the attention of all stakeholders, including RTO employees, contractors, students or other authorised personnel and visitors.

Scope

This policy and procedure applies to all RTO staff and students.

Procedures

Occupational Health and Safety/Work Health and Safety Policy

OHS/WHS Commitment

The management of RTO is committed to providing a safe working culture amongst employees. RTO recognises the importance of maintaining a safe and healthy work environment for staff, employees, and students and other stakeholders.

The CEO at RTO is committed to establishing and maintaining the best possible standard of OHS/WHS for all employees and for those persons visiting RTO workplaces. In addition, the Manager Compliance of RTO is committed to injury management aimed at the early and safe return to work of injured workers.

The management of RTO shall ensure that regulatory requirements pertaining to health and safety matters under the OHS Act 2004 are complied with, communicated to staff and that appropriate training is provided as required.

Ultimately RTO strives to ensure that our staff and employees are provided with a work environment that is safe and healthy and protects our staff and employees from injuries and illnesses.

Legal Compliance

To achieve this, the Management Team will ensure that RTO complies with all relevant OHS/WHS legislation, Accident Compensation Acts, Compliance Codes, Codes of Practice, and also client requirements.

Consultation

Management recognises that the best way to ensure a safe and healthy workplace is for management and employees to work together to identify and solve OHS/WHS problems, and also to consult with students, employees and their representatives in matters relating to workplace safety.

Management

The senior managers of RTO acknowledge that they have a primary responsibility for the OHS/WHS of those who work under their direction.

The Manager Compliance of RTO will ensure that OHS responsibilities are appropriately defined and that managers and supervisors receive the training and resources they need to competently carry out their OHS responsibilities.

All managers and supervisors have a duty to provide and maintain, so far as is reasonably practicable, a working environment and working conditions that are safe and without risks to health.

Managers and Supervisors of RTO will:

Planning

To give expression to this commitment and these obligations, Compliance Manager and CEO will:

- Integrate OHS and injury management into all existing and future management systems used in RTO, with the aim of preventing or minimizing workplace risks.

- Develop a strategic OHS plan and performance measures to achieve the aims of this policy, and regularly monitor OHS and injury management practices and improve them wherever possible.

Implementation

To meet the OHS planning objectives, Compliance Manager will have systems in place and will delegate responsibilities to senior managers to:

- Ensure that all workplaces managed or controlled by RTO are suitably equipped and maintained to provide for the health and safety of all employees while they are at work.
- Identify and assess all current and foreseeable workplace hazards (including the potential for workplace violence or aggression), and develop strategies to eliminate or control the risks associated with them.
- Maintain an appropriate workplace incident and injury reporting system
- Encourage employees to report any suspected workplace hazard, work related injury or illness affecting themselves or others, at the earliest opportunity without prejudice to any employee.

Employees

All employees while at work, regardless of the position they hold, will:

- Comply with their obligations under the OHS Act 2004 and this OHS policy.
- Take reasonable care to ensure the health and safety of themselves, and others who may be under their supervision at work, including ensuring that employees are not bullied or subjected to violence.
- Participate in any training or in-service seminars arranged by RTO to support the objectives of this OHS policy.
- Engage with RTO in consultation on any OHS issues or information.
- Co-operate with any return to work plan developed for injured workers.

RTO First Aid Policy

First aid is the emergency care of the sick or injured. RTO will ensure that, as far as reasonably practicable, the provisions of any relevant Regulation, Compliance Code, or Code of Practice for First Aid in the workplace are implemented.

RTO will also use the risk assessment approach to determine appropriate provision for a first aid service in its workplace, including the number of First Aiders require and the level of training, and

the number of First Aid kits and their contents. The appropriate level of first aid services will be reviewed on a yearly basis, or sooner if thought necessary.

RTO will ensure that persons designated as First Aiders receive an appropriate level of training for their role, and will also supply all First Aid kits and ensure the contents are relevant to the level of training received by First Aiders. Each First Aider will have care of a First Aid kit and each First Aider will be responsible for suitably maintaining the contents of the First Aid kit in their care, and ensuring their First Aid qualifications remain current.

The principles of safe first aid/universal precautions must be practiced by all First Aiders. All First Aiders are encouraged to be immunised against Hepatitis B on a voluntary basis. The cost of this will be met by RTO. Analgesic tablets such as Panadol will neither be possessed nor distributed by a First Aider.

The relevant company First Aiders for RTO workplaces will have their names and locations posted on each of the RTO's notice boards.

First Aiders are required to record in writing the basic details of all injuries resulting in the request for first aid treatment. Also, all first aid treatments will be recorded by the relevant First Aider, and confidentiality of personal information regarding first aid treatment will be maintained by the First Aiders. If a person is wearing a "medi-shield" or like bracelet then it is permissible for the First Aider to seek to access this information.

Whenever a First Aider judges that the injured person requires further medical attention the First Aider will notify their immediate supervisor. If necessary, transportation (not meaning ambulance) for medical treatment will be provided by RTO at its expense.

The legal liability for the actions of First Aiders, intended in good faith – and without malicious and vindictive intention, is with RTO.

RTO Fitness for Work Policy

Preamble

In accordance with the OHS Act 2004 RTO has a duty of care to ensure the health, safety and welfare of all employees at work. Employees also have a responsibility under relevant OHS Acts to follow instructions and co-operate with RTO whilst at work, and not put themselves or others at risk. The Fitness for Work Policy seeks to ensure that an employee is in a state (physical, mental, and emotional), which enables them to perform assigned tasks competently and in a manner, which does not threaten the health and safety of themselves or others. This policy covers only those situations in which an employee is having observable difficulty performing his/her work duties in a manner that is safe for the employee and/or for his/her co-workers. Possible issues

include substance abuse (drugs or alcohol), effects of prescribed medication, fatigue, psychological impairment ("stress"), and emotional effects of personal issues.

Employee obligation to present for work fit for duty

As a condition of their employment employees are obliged to present for work in a fit state, including appropriate behaviour, so that in carrying out normal work activities they do not:(i) subject themselves or their co-workers to unnecessary risks to health and safety; (ii) inhibit their ability to fulfil the requirements of their position; or (iii) inhibit the ability of their co-workers to fulfil the requirements of their positions.

Supervisor and employee obligations

All Compliance Manager s/Supervisors are responsible for ensuring that no employee commences or continues duty, if that employee appears to be affected by alcohol, illegal drugs, medication or other substances which may reasonably be considered to lead to a safety risk or an inability to fulfil the requirements of the position. Where an employee presents for duty and appears to the Manager/Supervisor to not be in a fit state to carry out their normal duties, then RTO reserves the right to (i) stand down the employee; (ii) remove the employee from the work site; and (iii) seek advice from a medial practitioner on the employee's fitness for duty.

Prescribed drugs and medications

Prior to the commencement of work employees are required to notify their Manager/Supervisor of consumption of alcohol or prescribed or over-the-counter medications that may impair their ability to perform the work. The employee should obtain and provide advice for the Manager/Supervisor from a doctor or pharmacist as to any effects the prescribed drug may have on work performance.

Use of RTO and/or equipment

It is the responsibility of both Managers/Supervisors and employees to ensure that an employee who appears to be influenced by alcohol, illegal drugs or other prescribed or over-the-counter medication is not placed in control of plant or equipment.

Procedures for Managerial Employees

Where a Manager/Supervisor considers, on the work performance and/or behavioural evidence before them, that an employee appears to exhibit signs of possible impairment at work then the Manager/Supervisor will intervene. The Manager/Supervisor will: (i) speak to the employee away from the hearing of other employees, and advise them that their appearance, work performance and/or behaviour is causing concern and that the Manager/Supervisor considers that they appear to be unfit for work; (ii) seek clarification or explanation from the employee to ascertain the

reasons for their appearance, unsatisfactory work performance and/or behaviour; (iii) if the Manager/Supervisor is satisfied with the explanation given by the employee and believes that the employee is able to continue work safely and without causing risk to others, the Manager/Supervisor will so advise the employee; (iv) if the Manager/Supervisor is still of the opinion that the employee is unfit for work to the extent that they cannot work safely and without causing risk to others, the situation will be immediately referred to the Manager Compliance of RTO for advice and action.

Where the General Compliance of RTO meets with the employee, the employee will be advised that they are entitled to have their nominated observer in attendance if they so require. Where fatigue, psychological stress, or prescribed medication is the identified factor the employee will be stood down and offered transport home (e.g., taxi) to the employee. RTO will meet reasonable travel costs. The outcome will be an agreement reached with the employee to ensure the employee can perform future assigned work competently. If the General Compliance of RTO observes behaviour which would lead them to consider the employee is under the influence of alcohol or another substance, then RTO reserves the right to: (i) refer the employee to a medical practitioner for assessment of the employee's fitness for duty; (ii) suspend the employee with pay while the situation is investigated; (iii) offer transport home (e.g., taxi) to the employee. RTO will meet reasonable travel costs. The employee is to be advised in writing that, on the next day or as soon after the event as practicable, the incident will be discussed with themselves, their Manager/Supervisor, and the Manager Compliance of RTO. A nominated observer may attend if requested by the employee. The outcome will be an agreement reached with the employee to ensure the employee can perform future assigned work competently.

Breach of Policy

Any Manager/Supervisor who knowingly permits employees to work whilst under the influence of drugs or alcohol may be subject to disciplinary action. A breach of this policy by an employee may lead to disciplinary action being taken against that employee. Failure of an employee to comply with a directive to stand down from work will result in disciplinary action. Failure of an employee to work in accordance with any resulting work performance agreement may result in termination of employment.

Employee Assistance

RTO recognises drug or alcohol dependency as a treatable condition. Employees who suspect they have an alcohol or drug dependency is encouraged to seek advice, and to follow appropriate treatment promptly before it results in job performance problems. RTO Management provides advice and assist in securing appropriate treatment. Strict confidentiality will be maintained and Employee Assistance costs, for the first 2 counselling visits, will be met by RTO. No employee with

drug or alcohol dependency will be terminated due to the request for help in overcoming that dependency or because of involvement in a rehabilitation effort.

RTO Occupational Bullying and Violence

Workplace bullying and violence are unacceptable, and both are against the law.

RTO is committed to ensuring that workplace bullying and violence does not occur amongst our employees. Whilst the environment that employees work within might expose them to a potentially violent situation RTO will take all steps possible, through our risk management approach to safety, to ensure that this is minimised.

Bullying is considered to be repeated, unreasonable behaviour directed toward an employee, or group of employees, that creates a risk to health and safety. Generally, the following types of behaviour, where repeated or occurring as part of a pattern of behaviour could be considered to be workplace bullying:

- Verbal abuse;
- Excluding or isolating workers;
- Psychological harassment;
- Assigning meaningless tasks unrelated to the job;
- Giving workers impossible assignments;
- Deliberately changing work rosters to inconvenience a particular worker/s;
- Deliberately withholding information that is vital for effective work performance.

Other types of behaviour may also constitute bullying.

"Unreasonable behaviour" means behaviour that a reasonable person, having regard to all the circumstances, would expect to victimise, humiliate, undermine or threaten the other person.

"Behaviour" includes actions of individuals or a group, and may involve using a system of work as a means of victimising, humiliating, undermining, punishing or threatening.

"Risk to health and safety" includes risk to the mental or physical health of the employee.

Workplace bullying can occur between a worker and a manager or supervisor, or between co-workers.

Occupational violence is any incident where a person is physically attacked or threatened in the workplace, whether by a co-worker, sub-contractor or client. Generally, it includes:

- Throwing objects;
- Yelling, swearing, name calling
- Standing over someone

Bullying and occupational violence as described above will not be tolerated. Bullying may also be unlawful if it is linked to, or based on, one of the protected attributes covered by anti-discrimination legislation. Since violence is a criminal act, the matter will be referred to with the State/Federal Police.

Bullying does not cover situations where an employee has a grievance about legitimate and reasonable:

- Performance management processes;
- Disciplinary action;
- Allocation of work in compliance with systems.

Responsibility for implementation of this policy lies with Manager Compliance of RTO, and all employees are to be made aware of this policy. Management will work in conjunction with employees to review and update this, and other, policies and procedures.

A breach of this policy may initiate appropriate action such as loss of employment.

RTO OHS Issue Resolution Procedure

Scope and Purpose

This procedure describes the system for enabling all RTO employees to effectively resolve all health and safety issues – related to RTO – as they arise.

The procedure intends to ensure that all valid risk issues are suitably addressed through discussion between employees and management.

The OHS issue resolution process within RTO will meet all relevant OHS legislative requirements.

Issue Resolution Steps

Whenever it is possible for an affected employee to rectify the risk issue or situation the affected employee will take the appropriate immediate actions, they are able in order to rectify the situation.

If the matter is not able to be resolved independently the affected employee will raise the issue with their immediate Supervisor. The Supervisor will ensure that all employees who are affected by the issue are identified and that the issue is discussed with them.

If the issue is not resolved the discussion of the issue will continue between the affected employees, the Supervisor, and the Manager (or representative nominated by him/her).

Decision Feedback

Any issue referred to a Supervisor will require that he/she ensure that either a progress report or a decision on the issue is communicated to the affected employee(s), within 7 working days of the issue being first discussed.

Any issue involving the participation of (or requirement to be referred to) the Manager will require that Manager (or representative nominated by him/her) to ensure that either a progress report or a decision on the issue is communicated to the relevant Supervisor within 7 working days of the issue first being discussed between the Supervisor and affected employee(s).

Any issue referred to a Supervisor will have a decision finalised by the Supervisor and/or Manager (or representative nominated by him/her) within two months of the issue first being raised.

Employee Appeal

An employee who raises an OHS issue can appeal against the decision made. The ground for any appeal is the justified belief by the affected employee that the issue has not been suitably understood by either the Supervisor or Manager (or his/her nominated representative) in their decision.

Once the Supervisor or Manager (or his/her nominated representative) has communicated their decision to the affected employee(s) the employee who raised the issue must appeal the decision within 7 days. An affected employee will not be able to appeal against a particular issue more than once.

RTO Fire, Evacuation, and Emergency Preparedness

Purpose

The purpose of this procedure is to plan for processes to be followed in the event of an Emergency Evacuation or Fire Emergency.

Scope

This procedure covers employees, contractors, and members of the public on-site.

Definitions

Emergency Preparedness Plan – is a plan that is in place and can be actioned in an emergency.

Actions

As a part of the induction process, all employees shall be informed of specific fire, evacuation and emergency procedures at the workplace.

1. Fire

The risk of fire breaking out in the workplace and spreading will depend upon the materials being used and stored, the standard of housekeeping, work practices, the construction and layout of the premises and the training of employees.

The risk to people after a fire has started depends upon the adequacy and maintenance of a means of escape, the fire alarm system and the training of the personnel in fire and evacuation procedures.

2. Evacuation

Employees should follow any instructions given to them by designated fire wardens and/or emergency services representatives in the event of an evacuation.

Employees must evacuate a worksite when:

- A fire alarm or an evacuation alarm is activated;
- It is hazardous to life to remain;
- instructed to evacuate by a member of an emergency service (such as fire brigade, police, state emergency services) which could be as the result of an emergency in the near vicinity and not your actual building;
- instructed to evacuate by a member of the emergency response team (e.g., Building Emergency Fire Warden) as indicated on the Evacuation Plan.

The following instructions must be followed when evacuating a site:

RTO First Aid Procedure

Purpose

The purpose of this procedure is to describe the first aid system that is in place for all RTO employees.

Scope

This procedure applies to all worksites where RTO employees work.

Actions

RTO shall ensure that all employees are provided with appropriate access to First Aid facilities, services and supplies.

RTO Housekeeping Procedure

Introduction

Good housekeeping is a basic part of accident and fire prevention. Effective housekeeping can eliminate some workplace hazards and help get a job done safely. Poor housekeeping can contribute to accidents by hiding hazards that cause injuries. Housekeeping is not just cleanliness. It includes keeping any work areas neat and orderly. The office environment is more than simply furniture placement. The environment of an office includes issues such as cleanliness, order, and maintenance. Effective housekeeping in any workplace is an ongoing operation.

Application

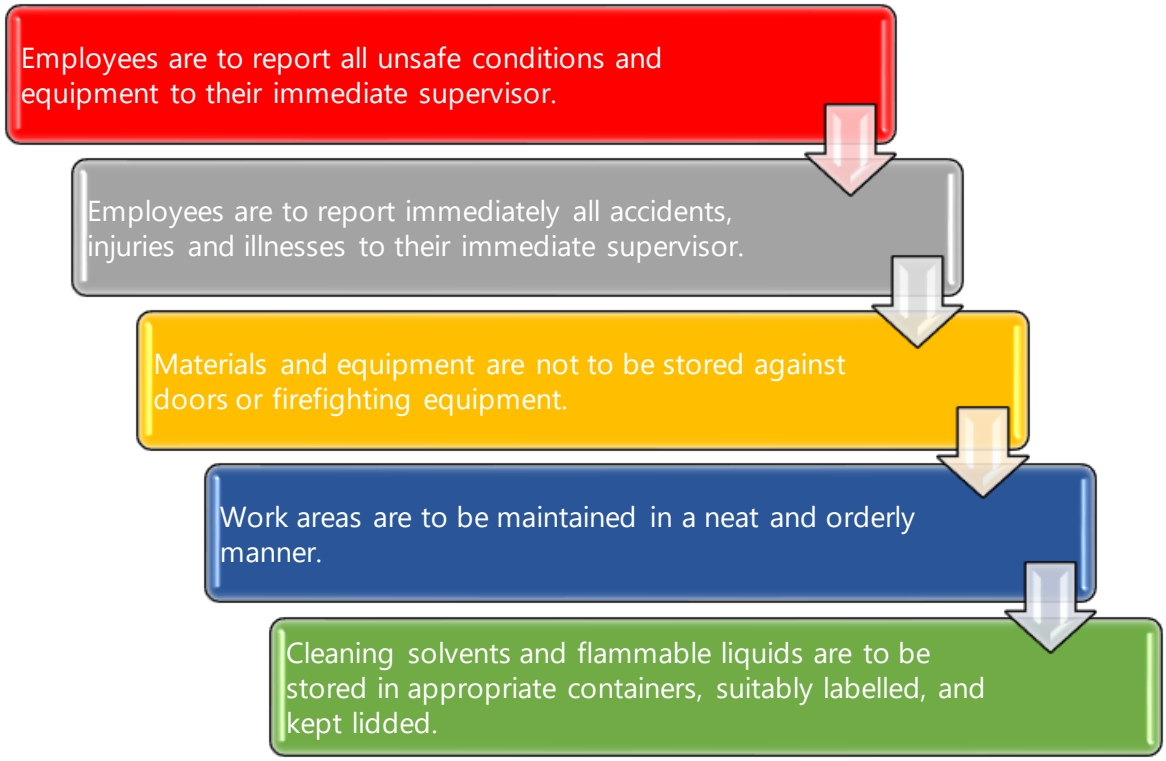
The following housekeeping standards are required in any workplace under the management or control of RTO:

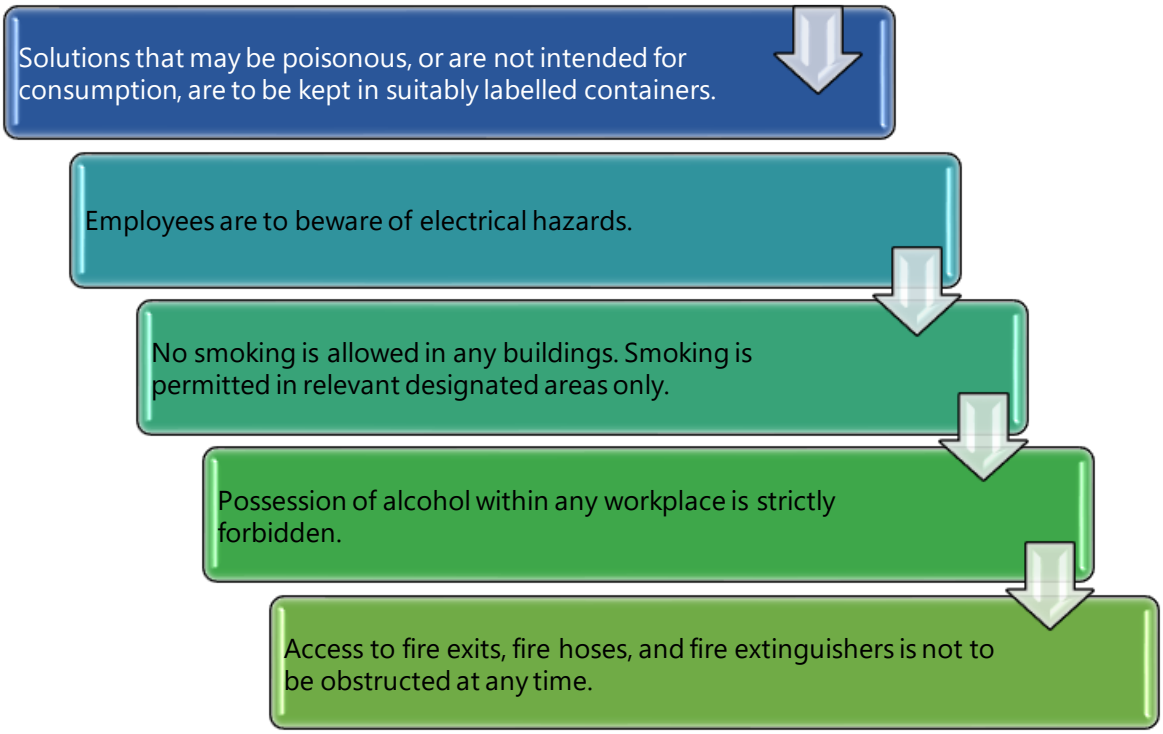
- Work and storage areas are to be kept neat and tidy.
- Walkways and access areas are to be kept free of obstructions.
- Electrical cords are not to be placed in areas where they may be subjected to damage or cause a trip hazard.
- Ensure all rubbish is cleared away as soon as possible and placed in correct bins.
- Areas shall only be used for purposes for which they are intended.
- Material stored in open areas shall be stored in a tidy manner and in appropriate containers.
- Vehicles shall be parked only in authorised parking places.
- Aisles, walkways, corridors, staircases, doorways, entrance halls, foyers, and exits shall be unobstructed, and free from slipping or tripping hazards, and combustible materials.
- Access to safety and firefighting equipment shall be unobstructed.
- There shall be arrangements for routine cleaning, tidying, and inspection of all areas in a workplace, including amenities.

- Removal of rubbish, scrap, or unwanted material to a designated place shall be an integrated part of all tasks.
- Exit signs and other relevant safety signs must be visible from any defined walkway.
- Sufficient, lidded trash receptacles are to be located in kitchens, staff lounges, break rooms, and other locations where food is consumed.
- The contents of refrigerators and cupboards are to be checked each week and defunct food items removed.
- Toilets are to be cleaned each day they are used. Tissue, soap, and paper towels are to be available in adequate supplies.
- Cleaning supplies shall be clearly marked and stored in spill-proof containers.

RTO Workplace Health and Safety Rules

The following rules are applicable in all RTO workplaces:





RTO Incident Reporting and Investigation Procedure

See-it

Hear-it

Report-it

Purpose

The purpose of this procedure is to describe the process for incident reporting and incident investigation with respect to employees of RTO.

Scope

This procedure applies to all accidents, injuries and/or incidents that occur on worksites in relation to the role of RTO employees.

Definitions

Within the scope of OHS legislation the following terms and definitions are generally used:

Incident - a negative sequence of events which results in injury to a person.

Dangerous occurrence – is a negative sequence of events which exposes a person in the immediate vicinity to risk of injury.

Australian OHS legislation generally prescribes both notifiable injuries and notifiable dangerous occurrences.

Actions

1. Accident Reporting and Investigation - Internal

All injuries and dangerous occurrences must be notified to the Supervisor/Manager immediately. RTO shall investigate injuries and dangerous occurrences as appropriate, through the use of the Accident Investigation Report Form. This investigation shall include the classification of injuries, the recording of the incident and investigation to facilitate a satisfactory outcome.

An Accident Investigation Report Form shall be completed by the Supervisor/Manager in consultation with the employee involved. The Manager Compliance of RTO is also to be notified as soon as is feasible by the relevant Manager.

Records of actions taken shall be maintained and recorded on the Accident Investigation Report Form.

Where an injury/dangerous occurrence have occurred at a client's worksite, then the client shall be notified as soon as practical.

EMERGENCY RESPONSE PROCEDURES

RTO WORKPLACES

Remember:

a. Once an emergency has been identified the priority is the protection of life.
b. This involves warning people at risk and ensuring their safety.
c. No employee is to put them self at risk during the course of an emergency situation.

If you discover a:	FIRE CHEMICAL SPILL
If you receive a:	BOMB THREAT
If you encounter a:	SUSPICIOUS PERSON
If you experience a:	MEDICAL EMERGENCY

TELEPHONE: [.....] or [.....] or NOTIFY [.....].

If no response or unable to locate [.....] then contact [.....] or Ph. [.....].

EMERGENCY EVACUATION PROCEDURES

When instructed to Evacuate by your Supervisor or the Site Emergency Warden:

- Use the nearest safe exit to walk to your designated Emergency Assembly Area.
- Remain at your Emergency Assembly Area until instructed otherwise by your Supervisor or Site Emergency Warden.
- Supervisors are to conduct a head-count of employees under their control at the Emergency Assembly Area.

- DO NOT TELEPHONE [.....] or [.....] TO INQUIRE REGARDING THE PROGRESS OF AN EMERGENCY SITUATION.

EMERGENCY TELEPHONE NUMBERS – EXTERNAL SERVICES (VICTORIA)

FIRE BRIGADE – AMBULANCE – POLICE – STATE EMERGENCY SERVICE 000

ENVIRONMENT PROTECTION AUTHORITY 1300 372 842 (24 Hours)

Monitoring, evaluation and review

The Compliance Department must monitor, evaluate and review this policy and relevant procedures on an ongoing basis and suggest relevant changes to RTO Management.

Continuous Improvement

A summary of all VET Governance related matters and concerns will be presented at the Management Meeting for review.

Confidentiality and Privacy Statement

For more Information, please refer to our Privacy and Confidentiality Policy.

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review processes

The policy will be reviewed annually by the Compliance Manager .

No.6.1.11: Information Technology Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 6.5; 6.7; 6.9.1; 6.9.2; 6.9.3; 11.2.5; Standards for RTOs 2015 – Standard: 2.1; 2.4; 7.4;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The RTO is a training organisation with best practice as its main benchmark.

RTO retain student, management and employee information in accordance with applicable federal and state legislation and regulations. This information must be protected against unauthorised exposure, tampering, loss and destruction, RTO's contractual obligations, must be met as well as the privacy rights of any individual whose information is collected. Achieving this objective requires that:

- The information's sensitivity level must be defined to convey what level of protection is expected to all employees/agents who are authorized to access the information.
- The individuals who should have access to sensitive information must be identified, either by role or by name

The purpose of this policy is therefore to:

- Ensure that RTO resources and data are used for appropriate purposes
- Inform users about the applicability of policies to computing resources and data, and ensure they are used in compliance with RTO policies
- Establish policy on confidentiality, integrity, availability and privacy in computing resources and data

- Prevent disruptions to and misuse of institution computing resources, services
- Ensure user is aware of their responsibilities
- Promote the appropriate use of IT for the protection of all members of RTO.

Failure to comply with this policy may subject staff and students to disciplinary measures. For RTO employees, failure to comply could result in termination.

Objective

The objective of this Policy and Procedure for RTO is to ensure that RTO:

- has suitable and appropriate IT infrastructure, IT resources and equipment, and best policy and procedures to use these resources
- policy framework supports the confidentiality, integrity, availability and privacy in computing resources and data
- personnel know their responsibilities and obligations

For the purposes of this policy, the term "RTO" refers to the registered training organisation.

Policy Statement: Our Commitment

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- Ensure that all relevant staff have access to the policy
- Ensure staff know their obligations and responsibilities
- Ensure RTO has suitable and appropriate IT infrastructure, IT resources and equipment, and best policy and procedures to use these resources
- Ensure RTO has a compliant policy framework to support the confidentiality, integrity, availability and privacy in computing resources and data
- Ensure staff know their limitations

General Processes

Items	**Processes**	**Roles**
Appropriate and responsible use	Appropriate and responsible use of the computing, Internet and networking facilities is defined as use that is consistent with the training, learning, research and administrative objectives of and with the specific objectives of the project	

	or task for which such use was authorised. All uses inconsistent with these objectives are inappropriate use.	
Responsibility	This policy is the responsibility of the IT Manager, Compliance Manager /RTO's CEO/RTO's Any breach of this policy will be dealt with by the – IT Manager /RTO's CEO and may result in disciplinary action or expulsion for serious breach.	
Purpose of use	It is the policy of RTO that it's computing, and networking facilities are intended for use for teaching, learning, research and administration only. Although recognising the increasing importance of these facilities to the activities of staff and students, RTO reserves the right to limit, restrict, or extend access to them.	
Accountability	All persons using the computing and networking facilities shall be responsible for the appropriate use of the facilities provided as specified in this policy and shall observe conditions and times of usage as published by the – IT Manager /RTO's CEO.	

Commercial purpose	It is the policy of RTO that its computing and associated network facilities are not to be used for commercial purposes or unrelated activities without written authorisation from RTO. In any dispute as to whether work carried out on the computing and networking facilities is internal work, the decision of the CEO, RTO is final.	
Integrity, Confidentiality and privacy	• The user will not record or process information which knowingly infringes any patent or breaches any copyright. • RTO will endeavour to protect the confidentiality of information and material furnished by the user and will instruct all computing personnel to protect the confidentiality of such information and material, but RTO shall be under no liability in the event of any improper disclosure. • RTO will endeavour to safeguard the possibility of loss of information within RTO's computing and networking facilities but will not be liable to the user in the event of any such loss. The user must take all reasonable measures to further safeguard against any loss of information within RTO's computing and networking facilities. • If a loss of information within the system can be shown to be due to negligence on the part of the computing	

	or network personnel employed by RTO, or to any hardware or software failure which is beyond the user's means to avoid or control, then the RTO's IT team will endeavour to help restore the information and will not charge the user for computer time spent in such restoration. • The use of the computing and networking facilities is permitted by RTO on the condition that it will not involve the infringement of any patent or the breach of any copyright and the user agrees to indemnify and keep indemnified RTO and each member and every member of its staff against all actions, claims, and demands for infringement of patent and or breach of copyright which may be brought or made against RTO or any member of its staff arising out of or in connection with the use of the computing and networking facilities.	
RTO users	• Users of the computing and networking facilities recognise that when they cease to be formally associated with RTO (e.g. no longer an employee, enrolled student or visitor to RTO), their information may be removed from the computing and networking facilities without notice. Users must remove their information or decide for its retention prior to leaving RTO.	

	• RTO reserves the right to limit permanently or restrict any user's usage of the computing and networking facilities; to copy, remove, or otherwise alter any information or system that may undermine the authorised use of the computing and networking facilities; and to do so with or without notice to the user in order to protect the integrity of the computing and networking facilities against unauthorised or improper use, and to protect authorised users from the effects of unauthorised or improper usage. • RTO, through authorised individuals, reserves the right to periodically check and monitor the computing and networking facilities, and reserves any other rights necessary to protect them. • RTO disclaims responsibility and will not be responsible for loss or disclosure of user information or interference with user information resulting from its efforts to maintain the privacy, security and integrity of the computing and networking facilities and information. • RTO reserves the right to take emergency action to safeguard the integrity and security of the computing and networking facilities. This includes but is not limited to the termination of a program, job, or on-line session, or the temporary alteration of user account names and passwords. The taking of emergency action does not waive the rights of RTO to take additional actions under this policy.	

	• Users of the computing and networking facilities do so subject to applicable Federal and State laws and RTO policies.	
Administration	The IT Manager, CEO, RTO may suspend any person from using the computing, Internet and networking facilities if after appropriate investigation that person is found to be; • responsible for wilful physical damage to any of the computing and networking facilities; • in possession of confidential information obtained improperly; • In position of, or seen to be accessing material of an inappropriate or pornographic nature (this may require reporting to police); • responsible for wilful destruction of information; • responsible for deliberate interruption of normal services provided by the Computing Centre; • responsible for the infringement of any patent or the breach of any copyright; • gaining or attempting to gain unauthorised access to accounts and passwords; • gaining or attempting to gain access to restricted areas without the permission;	

	• responsible for inappropriate use of the facilities.	

Procedures

Procedures are provided with the general processes.

Continuous Improvement

A summary of all IT educational resources and facilities related matters and concerns will be presented as a part of the Continuous Improvement Policy and Procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting.

Review Process

The policy will be reviewed annually by the Compliance Manager .

No.6.1.12: Staff Recruitment and Appraisal Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard : 5.2.1; 6.5; 6.7; 6.9.1; 11.2.5; 11.2.6; Standards for RTOs 2015 – Standard: 1.3; 1.6(b); 1.13; 1.14; 1.15; 1.16; 1.22; 1.23; 6.1(a); 2.1;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The RTO provides transparent, consistent and accountable guidelines for the selection of staff who are involved in training, assessment or client services.

The purpose of this policy is to establish:

• Requirements for recruitment, job-advertisement, induction, professional development and monitoring of staff performance at RTO.

• RTO has transparent, consistent, undiscriminating and effective procedures of staff selection, recruitment and appraisals.

Objective

The objective of this Policy and Procedure is to ensure that RTO:

- has suitable and appropriate mechanisms in place to recruit, induct and professionally develop staff members

- the policy framework supports the recruitment, job-advertisement, induction, professional development and monitoring of staff performance
- personnel know their responsibilities and obligations in terms of having a compliant, transparent, consistent, undiscriminating and effective procedures of staff selection, recruitment and appraisals.

For the purposes of this policy, the term "RTO" refers to the registered training organisation

Scope

This policy will apply to

- All Staff
- Other RTO stakeholders.

Policy Statement: Our Commitment

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- Ensure that all relevant staff have access to the policy
- Ensure staff know their obligations and responsibilities in terms of recruitment, job-advertisement, induction, professional development and monitoring of staff performance
- Ensure staff know their limitations

General Processes

Policy aspect	RTO Implementation

Procedures for recruitment of staff		**Procedure Steps**	**Responsibility**	**Reference**
	(1)	**Recruitment of staff:** A position description including roles, responsibilities, qualifications and experience required is prepared by the CEO or their nominee.	CEO or their nominee	
	(2)	The position is advertised both internally and externally.	CEO or their nominee	Seek Intranet
	(3)	All applications are reviewed in line with the selection criteria, a short list of applicants is compiled, and interviews scheduled.	CEO or their nominee	
	(4)	Interviews are to be scheduled and conducted soon after closing date for applications.	Receptionist	Interview Appointment Schedule
	(5)	Candidates are interviewed. Qualifications and references are verified.	CEO and or their nominee	Trainer Matrix – for training staff References
	(6)	Referees are contacted, and their comments are documented with the name of the referee their comments and a date.	CEO or their nominee	
	(7)	The successful candidate is notified by telephone and in writing, a starting date and employment terms are agreed.	CEO or their nominee	
	(8)	The unsuccessful candidates are notified by telephone or in writing of the acceptance of the position by the successful candidate.	Receptionist	

Procedures for professional development of staff		**Procedure**	**Responsibility**	**Reference**
	(1)	Upon the appointment of the staff or consultant, the individual is provided with: • RTO Orientation and Induction Manual (which has been developed, reviewed and maintained by the senior management team); • Staff/ Training and Assessment Specialist contract (includes Confidentiality agreement); • Acknowledgement declaration; • Overview of RTO Organisation Structure; • ASQA requirements; The general staff induction process also includes: • Site tour; • Staff introduction; • Mentor/buddy appointment • Staff login (refer to Policy and Procedure: Login Protocol)	Senior Management team	- RTO Orientation and Induction Manual - Staff contract - Training and Assessment Specialist contract - Acknowledgement declaration - SRTOs 2015 - National code 2018 - RTO Organisation Chart
	(2)	**New trainer/assessors** are also provided with:	Compliance Manager	SMS Help and User Manual

		• Training and Assessment Specialist Position Description; • Training and Assessment Strategy; • Sample of Timetable; • Sample of report from SMS; • Training & Assessment Guidelines		
	(3)	**New Administration staff and Lead Trainers** are also provided with: • Information regarding training and compliance expectations at RTO • SMS Help and User Manual; • Sample of Enrolment package; • Sample of Marketing materials; • Sample of Timetable;	Compliance Manager	- Victorian VET Student Statistical Collection Guidelines - Claims Guide - SMS Help and User Manual
	(4)	New Training and Administration staff are required to refer to the model student files developed and updated by Lead Trainer.	Compliance Manager Lead Trainer	
	(5)	Induction and relevant paperwork have been reviewed by the new staff member. Acknowledgement of the induction and Induction Checklist is signed and dated by both the new staff and the inductor. The acknowledgement	New staff and inductor	Induction Checklist

		signs off sheet is placed in their HR file.		
	(7)	Following the induction process, an experienced mentor is allocated to each new staff member to ensure an understanding of their job role and responsibilities. Position description and resume is placed in each staff's HR file or Training and Assessment Specialist's file. Each staff's HR file or Training and Assessment Specialist's file should include: • Certified copy or sighted original of relevant qualification(s); • Relevant license; • WWC check; • Police check; • Emergency contact information; • Getting to know you form; • Superannuation form; • Tax declaration form.	Responsible personnel of each department	RTO Organisation Chart
	(8)	Ongoing spot checks are undertaken to ensure procedures are followed. If opportunity for improvement is identified, additional support is provided to the staff member. Ongoing induction training is provided as required.	Responsible personnel of each department	RTO Organisation Chart

	(9)	Ongoing Professional Development sessions are delivered throughout the year for all staff and consultants. External Professional Development sessions/workshops are offered to staff and consultants regularly, relevant to their area of responsibilities. All Training and Assessment Specialist are required to complete Professional Development activities throughout a calendar year and maintain evidence of this Professional Development. The Professional Development activities could take the form of the following types of activities: • Attendance at formal training sessions • Membership of an industry body • Attendance at meetings held by Industry Bodies • Up-grading of qualifications • External consultation in relation to job specific information • Specific Training Package workshops • Government / Industry run workshops on training topics /	All staff/ Training and Assessment Specialists	

		compliance requirements • Webinars The Professional Development activities may be in relation to any activity where a Training and Assessment Specialist is increasing or gaining skills or knowledge related to their ability to deliver training & assessment.		
	(12)	All Professional Development activities must be supported with evidence of the activity undertaken. This evidence may include: • Agenda's and minutes of a network meeting • Evidence of completion / enrolment of formal training • Summary of information received at industry specific meeting • Evidence of attendance at informal training sessions / workshops / Seminars and content covered	Compliance Manager	
	(13)	External Professional Development activity is to be requested electronically. The recording of this information is to be completed and maintained on the HR file. Professional Development Calendar is to be monitored		

		regularly by the CEO to ensure all staff is completing these Professional Development activities as required. The Professional Development Calendar is to be monitored to ensure relevant activities are being planned and undertaken.		
	(14)	Professional Development sessions can be organized based on each department's request and upon the approval from management team. Professional Development session invitations are emailed to all staff/consultants.	Responsible personnel of each department and Operations department	
RTO Professional Development Department (RPDD)	RTO Professional Development Department provides many professional development sessions for RTO professionals. Library of videos/webinars contain: • Provision of presentation to Trainer/Assessors to support for compliance with RTO registration and Trainer/Assessor staff matrix and ASQA requirements • Moderation and Validation of Assessments • How to Understand Recognition of Prior Learning (RPL) • Maintaining Your Trainer and Assessor Currency • Australian Skills Quality Authority (ASQA) Guidelines & Importance to the VET Sector • Training and assessment competencies to be held by Trainers • How to Unpack a Streamlined Training Package			

	• How to Prepare for an Internal Audit • Continuous Improvement in VET – a set of resources

Procedures

	Procedure Steps	Responsibility	Reference
1	Procedures for recruitment of staff	CEO	
2	Procedures for professional development of staff	CM	
3	RTO Professional Development Department (RPDD)	CEO /CM	

Continuous Improvement

A summary of all staff recruitment and appraisals related matters and concerns will be presented as a part of the Continuous Improvement policy and procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting

Review Processes

This policy and procedure will be reviewed annually by the Compliance Manager .

No.6.1.114: Compliance and Communication with the Regulator and Compliance with Legislative Regulations Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 2.1; 2.2; 2.3; 2.4; 7.1; 7.2; 7.3; 7.4; 7.5; 8.1; 8.2; 8.3; 8.4; 8.5; 8.6;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The RTO upholds its compliance standards across a range of statutory bodies, including national regulator of VET sector, Australian Skills Quality Authority (ASQA).

RTO is required to comply with the requirements of the RTO Standards from the VET Quality Framework as well as other VET regulations and Commonwealth, State and Territory legislation.

RTO meets legislative and regulative procedures with quality systems, using rigorous internal auditing and regular external audits. All necessary procedures and manuals are maintained, including:

- codes of practice
- copyright
- legislation

- occupational health and safety
- privacy
- quality systems and The Australian Qualifications Framework (AQF).

The Registration Authority for RTO is the national regulator Australian Skills Quality Authority (ASQA).

The VET Quality Framework (VQF) which contains the Standards for Registered Training Organisations (RTOs), assures a nationally consistent approach to the registration of training organisations seeking to deliver training, assess competency outcomes, and issue Australian Qualifications Framework qualifications and/or Statements of Attainment.

The VQF also ensures the recognition of training providers and the Australian Qualifications Framework qualifications and Statements of Attainment they issue, across Australia.

This policy and procedure outlines RTO's approach to ensuring compliance. This policy and procedure ensure compliance with Standard 8 of the RTO Standards and relates to Schedule 5.

Objective

The objective of this Policy and Procedure for RTO is to ensure that RTO:

- has suitable and appropriate mechanisms in place for meeting compliance and communication requirements with regulator
- has a policy framework which supports the compliance with legislative regulations policy
- has personnel who know their responsibilities and obligations

For the purposes of this policy, the term "RTO" refers to the registered training organisation.

Scope

As a registered RTO, there are several areas that RTO must demonstrate compliance with:

- The National Regulator (ASQA)
- The Department of Education and Training
- the Licensing bodies (if any) in relation to qualifications on scope of registration (Refer to Point 15)

Policy Statement: Our Commitment

RTO is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- Ensure that all relevant staff have access to this policy
- Ensure staff know their obligations and responsibilities
- Ensure RTO has suitable and appropriate mechanisms in place for meeting compliance and communication requirements with the regulator
- Ensure RTO's policy framework support the compliance with legislative regulations policy
- Ensure staff know their limitations

General Processes

<table>
<tr><td>Policy aspect</td><td colspan="2">RTO Implementation</td></tr>
<tr><td rowspan="2">Standards for Registered Training Organisations, 2015

a.) Quality Indicator and Total VET Activity Reporting (Refer Standard 7 –</td><td>Procedure</td><td>Responsibility</td></tr>
<tr><td>i. Learner Engagement and Employer Satisfaction Data (Quality Indicators)

ii. Collect Learner Engagement and Employer Satisfaction surveys in line with RTO's Quality Management Procedures on Feedback.

iii. Collate surveys, analyse findings and prepare a summary report for ASQA using ASQA's Quality Indicator Annual Summary Report which can be</td><td>Compliance Manager</td></tr>
</table>

Clause 7.5; Standard 8 – Clause 8.1)	downloaded from here **http://www.asqa.gov.au/forms.html.** Submit it to ASQA by 30 June each year by emailing **qidata@asqa.gov.au**. iv. Keep a copy of the report/s and the date on which they were submitted to ASQA on file. For further information refer to ASQA's website http://www.asqa.gov.au/vet-registration/meet-data-provision-requirements/quality-indicator-reporting.html	
	b.) Total VET Activity Data i. AVETMISS-compliant records for all students are collected through the Enrolment Form. ii. Competency enrolments and outcomes are recorded in RTO's AVETMISS-compliant student management system, SMS. iii. As RTO reports AVETMISS-compliant data with Department of Education and Training, Victoria, total VET Activity Data is reported through this and no additional actions are required.	Compliance Manager

	For further information refer to ASQA's website http://www.asqa.gov.au/vet-registration/meet-data-provision-requirements/total-vet-activity-reporting.html	
	c. Notifying ASQA of changes to the RTO (Refer Standard 5 – Clause 5.4, Standard 8 – Clause 8.1, 8.2 and 8.3.)	
	i. Material changes or significant events ii. The need to report material changes and significant events will be monitored during management meetings. iii. If there is a material change or significant event that may significantly affect the RTO's ability to comply with the VET Quality Framework, advise ASQA within 90 calendar days. This may be a change to one of the following: iv. Chief Executive Officer, or High Managerial Agent v. Fit and Proper Person Requirements vi. Financial Administration Status vii. Legal name or legal entity	CEO, RTO

	viii.	Organisation type	
	ix.	Sale of business	
	x.	Ownership and/or control	
	xi.	Significant or unexpected turnover of staff	
	xii.	Another change not specified elsewhere	
	xiii.	Use ASQA's Material Change or Event form to describe the changes. Additional attachments may be required as outlined on the form.	
	xiv.	Send the completed form to ASQA within 90 calendar days of the change occurring.	
	xv.	Keep a record of the completed form on file.	
		Students will be advised in writing of any changes in ownership to the RTO.	
	xvi.	Commencing or ending agreements with third parties	CEO, RTO
	xvii.	The need to report changes to third party agreements will be monitored using the Third-Party Agreement	

		Checklists and through management meetings.	
	xviii.	If RTO enters into an agreement with a third party to deliver Services on RTO's behalf, notify ASQA within either of the following timelines, whichever is first:	
	xix.	within 30 calendar days of the agreement being entered in	
	xx.	or prior to the obligations under the agreement taking effect	
	xxi.	Use ASQA's Material Change or Event Form to advise ASQA. Keep a copy of the completed form on file.	
	xxii.	If RTO's agreement with a third party to provide services on its behalf comes to an end, advise ASQA within 30 calendar days using ASQAs Material Change or Event Form. Keep a copy of the completed form on file. Students notified in writing if there is any change to existing third parties that affect them.	
	xxiii.	Changes to RTO's details	CEO, RTO

	xxiv.	If there is a change to any of following details of RTO: 01. Trading name 02. Web address 03. Head office details 04. Contact details for the Chief Executive 05. Contact people to be listed on training.gov.au 06. Delivery sites 07. Delivery locations 08. Offshore delivery	
	xxv.	Fill in ASQA's Notification of Change of Provider Details Form and sent it to ASQA within 90 calendar days of the change occurring. Keep a copy of the completed form on file.	
	d.) Responding to requests from ASQA (Refer Standard 8 – Clause 8.1)		

	i. Respond to requests from ASQA ii. ASQA may contact RTO to request information about any of its operations. A due date for the information to be provided may be given by ASQA. iii. Cooperate with ASQA in providing this information and respond truthfully and on time. Keep a copy of the information provided.	Compliance Manager , CEO
	iv. Participating in ASQA audits v. ASQA will audit RTO's operations from time to time. Usually upon initial registration, 12 months (or close to) after initial registration and prior to re-registration. Audits may also occur to monitor compliance for other reasons such as in response to a complaint, because RTO presents a risk, or because new courses have been requested to be added to scope. Cooperate in the conduct of audits by providing ASQA auditors with access to the information and facilities	CEO, / All relevant staff Compliance Manager

	required. ASQA audits may require access to delivery sites, equipment, staff, materials, student files and other records.	
	e.) Internal audits (Refer standard 8 – Clause 8.4 and 8.5)	
	i. Schedule audits ii. Schedule audits annually or more frequently where required, by adding them to the Internal Audit Schedule and setting dates. The auditing schedule should include audits against: iii. The RTO Standards iv. Legislation impacting on RTO v. Staff files vi. Student files to ensure students receive the Services detailed in their agreement vii. Any funding contracts, as applicable. viii. Ensure the internal audit against the standards is scheduled for a date prior to the due date of the Annual Declaration of Compliance – refer to point 4 below.	Compliance Manager

		Assign the responsibility of each internal audit and advise person accordingly.	
	ix. x. xi. xii. xiii. xiv.	Conduct and record audits Conduct audits as scheduled with internal or external support. A qualified external consultant may conduct audits if required. Complete the relevant internal audit report template. Summarise findings and actions required to maintain compliance. Internal audit reports should be signed and dated by the person conducting the audit and kept on file. Identify opportunities for improvement. Report findings to CEO, RTO.	Compliance Manager or other staff as assigned.
	xv. xvi.	Act on outcomes of audits Allocate tasks to be actioned as outcome of audit to relevant staff with set timeframes.	Compliance Manager

	xvii. Monitor action plans and report outcomes at the management meetings. Any recommendations for improvement made during the audit should be recorded on the Continuous Improvement Register and acted upon accordingly.	
	f.) Annual declaration of compliance (Refer Standard 8 – Clause 8.4)	
	i. Prepare declaration of compliance ii. Refer to ASQA's website to find out the due date for the annual declaration of compliance each year. Mark this date in calendar. iii. Review internal audit report to determine whether RTO is compliant. iv. Download ASQA's Declaration of Compliance template and submission details which are available at **http://www.asqa.gov.au.** v. Complete the form and provide to CEO for signing.	Compliance Manager

	Submit on or before the due date. Keep a copy of the completed form on file.	
	g.) Compliance with legislation & VET regulations (Refer Standard 8 – Clause 8.5 and 8.6)	
	i. Identify legislation and VET regulations ii. RTO maintains a Legislation & Regulations Register and a Legislations Guide that outlines legislation and regulations applicable to its operations and scope of registration. iii. This register is developed, maintained and updated by using online resources such as the ComLaw website at www.comlaw.gov.au and the legislation website relevant to each state and territory the RTO operates within. The websites are as follows: Vic: **www.legislation.vic.gov.au** SA: **www.legislation.sa.gov.au** Qld: **www.legislation.qld.gov.au** NSW: **www.legislation.wa.gov.au** NT: **www.legislation.nt.gov.au**	Compliance Manager

	WA: **www.legislation.wa.gov.au** ACT: **www.legislation.act.gov.au** TAS: **www.legislation.tas.gov.au** iv. The Register reviewed annually to identify any changes and updated accordingly. Regulation changes may be notified by ASQA and these will be recorded on the Register.	
	v. Comply with legislation and VET regulations vi. RTO will monitor legislation by ensuring that at least annually it conducts a review of applicable legislation and regulations, identifies any changes in legislation and addresses how changes impact the business. vii. The review will be recorded on the Legislation & Regulations Register. Any required changes are to be made in the Student Handbook, other student documents as relevant and	Compliance Manager

	relevant staff documents such as the induction plan.	
	viii. Inform staff and students of legislative requirements and changes ix. All staff are informed of the legislative requirements that impact on their role with RTO during their induction. x. Where there are changes in legislative requirements, staff will be notified through emails, newsletters, LEO (Learning Environment Online) and at staff meetings. xi. All students are informed of the legislative requirements that impact their participation in education and training with RTO during their course induction and in the Student Handbook. Where there are changes in legislative requirements, students will be notified through student newsletters or by written notice.	Compliance Manager
	h.) Student record retention and transfer of records (Refer to Standard 8 – Clause 8.1f)	

	i. Retention of student assessment items In line with ASQA's requirements, completed assessment items relating to each unit or module will be securely retained in the students file for at least 6 months from the date of decision of competence. Refer also to RTO's Training and Assessment Policy & Procedures.	Compliance Manager and Assessors
	ii. If withdrawing registration as an RTO iii. Apply to withdraw registration with ASQA. iv. Once application to withdraw registration has been approved by ASQA: 01. Return certificate of registration to ASQA within 10 days of the day of withdrawal 02. Provide copies of student records to ASQA within 30 days of the day of withdrawal (refer below). Pay any outstanding ASQA fees within 30 days of invoice.	CEO, RTO

	v. Transferring student records to ASQA upon cessation vi. RTO will meet the following obligations if the RTO's registration: 01. Is voluntarily withdrawn 02. Has lapsed 03. Is not renewed 04. Is cancelled by ASQA vii. Within 30 days of the RTO's end of registration date, provide to ASQA an electronic copy of the records for each student who was enrolled in a course during the period of registration. viii. As per the information at http://asqa.gov.au/vet-registration/withdraw-registration/provide-student-records-to-asqa.html student records must include the following for each student: 01. Family name, first name 02. Residential post code 03. Date of birth	CEO, RTO

		04. Student ID number (if applicable) 05. Enrolment and commencement dates 06. Code and title of qualification, course or program student enrolled in 07. Codes and titles of units of competency completed and results (if applicable) 08. Date the certificate or Statement of Attainment was issued (if applicable) ix. Send this information to studentenquiries@asqa.gov.au.	
		x. Transferring records to another provider RTO does not need to provide records to ASQA as per the point above if it is closing down but is providing records to another provider that the student is transferring to. Records can be	CEO, RTO

	transferred to the new provider with consent from the student.	
	i.) Retention of records relating to the issuance of AQF qualifications and statements of attainment (Refer to Standard 3 – Clause 3.4, Schedule 5 and Standard 8 – Clause 8.1f).	
	i. Records of statements of attainment and AQF qualifications ii. In line with ASQA's requirements, a register is kept on the student management system of all AQF qualifications and statements of attainment it is authorised to issue and those issued. iii. In line with requirements, records of qualifications and statements of attainment issued will be retained in AVETMISS data for 30 years, such that a qualification or statement can be re-issued at any time during this 30-year period (while RTO is still an RTO). iv. AVETMISS data for each year will be backed up securely by the Institute's IT Department.	CEO, RTO

	v. In line with requirements, records of qualifications issued will be reported to ASQA on a regular basis as required. Learners can access their records following our Privacy Policy and Procedures.	
Data Provision Requirements (VQF Requirements)	RTO undertakes to provide a range of accurate and complete data about their business and operations in a timely manner when requested or because of its requirements for Data Provision Requirements - part of VET Quality Framework (VQF). This is to include the Annual Quality Indicators data that is submitted in accordance with the National Regulator's instructions. Other data that may be requested is: • business registration records • documents demonstrating the organisation's financial viability • information demonstrating how relevant people associated with the organisation satisfy the Fit and Proper Person Requirements • information on strategies, facilities and other materials used to conduct training and assessment • documents demonstrating trainers' credentials • information about delivery operations (e.g. modes, venues, funding, student types, activity conducted) • evidence to demonstrate appropriate records management systems	

	• public liability insurance coverage • the names of current or past students, who may be surveyed about satisfaction levels. **Registration Currency** RTO will, having already been registered, keep its registration up to date and submit renewal applications in sufficient time to keep its registration current and provide all the necessary information the VET Quality Framework and Funding Contract, as applicable, requested. **Course Registration** In applying to register a full-time course at a location, a provider must seek approval from the ESOS agency, including through the relevant designated State authority if the provider is a school, for the following: • the course duration, including holiday breaks • modes of study, including online, distance or work-based training • number of overseas students enrolled at the provider, within the limit or maximum number approved by the ESOS agency for each location • arrangements with other education providers, including partners, in delivering a course or courses to overseas students. In seeking approval for registering a full-time course, the provider must demonstrate any matters requested by the ESOS agency, including through the designated State authority if the provider is a school, which may include but are not limited to the following:

	• the expected duration of the course does not exceed the time required to complete the course on the basis of full-time study – for VET courses, this is a minimum of 20 scheduled course contact hours per week unless specified by an accrediting authority • the expected duration of the course includes any holiday periods or any work-based training • any work-based training to be undertaken as part of the course is necessary for the student to gain the qualification and there are appropriate arrangements for the supervision and assessment of students • the course is not to be delivered entirely by online or distance learning • the provider and any partner they engage to deliver a course or courses to overseas students has adequate staff and education resources, including facilities, equipment, learning and library resources and premises as are needed to deliver the course to the overseas students enrolled with the provider • the maximum number of overseas students proposed by the provider for the location reflects the appropriateness of the staff, resources and facilities for the delivery of the course. The registered provider must submit to its ESOS agency for approval, including through the relevant designated State authority if the provider is a school, information on any proposed changes to the provider's registration for a course as outlined above at least 30 days prior to the time at which those changes are proposed to take effect. Registered providers who are self-accrediting must undertake an independent external audit during their period of CRICOS registration, within 18 months prior to renewal of that registration to inform the re-registration of the provider.

	In addition to the RTO registration, RTO will keep the National Regulator up to date with all proposed courses it intends to deliver, subject to approval. The information provided will include Course Duration, any Work Based Training requirements and Mode and Place of Study. In addition, any arrangements with other providers will be registered with the National Regulator – this may cover RTO acting as the Course Owner and their sub-contracting the delivery. Full partnership details, including the quality management and continuous improvement management will be covered in the partnership agreement. **Retention, archiving, retrieval and transfer of records** RTO undertakes to retain, archive, access and transfer records in line with the National VET Regulator's requirements. All records are managed at RTO in line with the Records Management Policy and Procedure. **Compliance with Legislation and regulatory requirements** RTO actively monitors all legislation and regulations (and licensing requirements, if any) in line with its scope of registration. The scope of the legislation is contained in the Legislation Register which also identifies an overall owner with responsibility for ensuring that the requirements are implemented. In addition to the legislative, regulatory and licensing requirements that pertain to qualifications on scope. It is the responsibility of the CEO of RTO and her team developing and delivering the qualification to ensure legislations currency.

	RTO will ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training. **Register of Legislation** RTO keeps a register of current legislation that is updated either because of a bi-annual review or by being notified of a change. (See QMS – Legislation and regulations Register). **Requirements /Process** RTO has a duty to keep itself compliant with the regulations and to ensure that knowledge in relation to Legislation, Regulations and Funding Requirements that affect business operations are up to date. RTO is regulated by the National Regulator and it must remain compliant with the VET Quality Framework which includes • The Standards for National VET Regulator (NVR) Registered Training Organisations • The Fit and Proper Person Requirements • The Financial Viability Risk Assessment Requirements • The Data Provision Requirements, and • The Australian Qualifications Framework. The CEO of RTO and other category C Level managers such as the (Compliance Manager) of RTO will submit a fit and proper declaration annually or as required to RTO.

	In addition, each qualification on scope may have specific legislation or license or regulatory requirements that are taught – this is the responsibility of the subject matter experts who are the lead trainer and the relevant training team. RTO will inform staff and students about relevant legislation, and regulations and ensure updates are acting upon. **Legislation and Regulation Method** RTO is registered on the automatic email notification services for changes to • Commonwealth legislation and regulations (http://www.comlaw.gov.au/) • Victorian legislation and regulations (http://www.dms.dpc.vic.gov.au/) • Australian Skills and Quality Authority: (http://www.asqa.gov.au) • Australian Qualifications Framework: (http://www.aqf.edu.au/) • Relevant Industry Skills Councils • National Vocational Education and Training Regulator Act 2011: (http://www.comlaw.gov.au/Details/C2011A00012) • Environmentally Hazardous Chemicals Act 1985: (http://www.austlii.edu.au/au/legis/nsw/consol_act/ehca1985373/) • Fair Work Act 2009 (http://www.austlii.edu.au/au/legis/cth/consol_act/fwa2009114/)

	In addition to any notifications received (and acted upon) the CEO of RTO (or her delegate), Compliance Manager will, every 3 months at minimum, check for updates and changes to all relevant Commonwealth and State legislations and regulations and record any such changes in the Legislation Register. Details of the links are contained in the Legislation Register/ Legislation Guide. **Reviewing and Actioning** • Actions following change in legislation or regulations • Any changes identified will be notified to the CEO of RTO, and Compliance Manager . Compliance Manager will review what the changes are and formulate a plan to ensure that RTO adjusts whatever is necessary to ensure continued compliance. This may take the form of amendments to: • Policies and Procedures • Documentation • Publicity / Marketing Materials • Training and Assessment Material. • Financial Process • IT Processes • Funding contracts, as applicable

	• Development of an action plan Dependent on the scale of the change an action plan will be developed to: • Quantify the requirements • Identify an owner/implementer • Steps to be taken with owner and timescale • Communication plan to staff/trainers/students/management as appropriate • Develop PD if required • Review points to ensure progress against plan • Management sign off • Review plan on effectiveness of the change For changes that relate to information or requirements for qualifications create a continuous improvement notice and pass to the Compliance Manager who will own the action plan.

Procedures

	Procedure Steps	Responsibility	Reference
1	(Standards for Registered Training Organisations, 2015)		

		Compliance Manager	
2	Data Provision Requirements (VQF Requirements)	Compliance Manager	

Continuous Improvement

A summary of all compliance and communication with the regulator and compliance with legislative regulations policy related matters and concerns will be presented as a part of the Continuous Improvement policy and procedure at the Management Meeting for review. The purpose of this is to ensure management become aware of:

- repeat issues
- common threads relating to the compliance and quality assurance.
- (when viewed collectively) any general adverse trend that needs correcting

Review Processes

This policy and procedure will be reviewed annually by the Compliance Manager .

No.6.1.16: Agreements with other Organisations and RTO Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS National Code 2018 – Standard: 1.2.1; 11.1.4; Standards for RTOs 2015 – Standard: 2.3; 4.1(e); 4.1(f); 5.2(b)iv; 5.2(d)ii; 5.3; 5.4; 6.1(b); 6.2; 7.3; 8.2;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

RTO does not subcontract to other suppliers in the delivery of services under government funded contracts. Specifically, RTO does not sub-contract the recruitment and selection of participants into its training programs. RTO does not have any partnership arrangements with any other RTOs.

The purpose of this policy is to establish:

- What constitutes a "third party agreement" and that RTO must have a written agreement where a third party provides services on RTO's behalf;
- All agreements are scrutinised on an ongoing basis to ensure RTO is compliant with ASQA and other regulatory compliance and legislative requirements;
- Maintains a register of all "agreements with other organisations"

RTO acknowledges that we are accountable for the quality of training and assessment provided on our behalf. We therefore ensure that any partnership arrangements are underpinned by a clearly articulated agreement that fully expresses the roles and responsibilities of each party and that the arrangements are monitored.

The level of documentation and monitoring will be appropriate to the level of complexity of the arrangements with our partners and the level of risk to the quality of training and assessment outcomes for students.

The definition of third parties does not include:

- contract arrangements with trainers and/or assessors,
- a workplace supervisor who contributes to evidence collection or training, or
- government-appointed intermediaries

Scope

This policy applies to RTO's management and training staff.

Policy Detail

Third party providing training and assessment services on RTO's behalf.

RTO written agreement with a third-party providing training and assessment services on RTO's behalf must include the following information:

Yes/No	Information on the written agreement
	the name of RTO and the third party.
	the start and end date of the agreement.
	details of the RTO's operations, including all delivery locations in Australia or elsewhere
	clauses detailing RTO's obligations under the agreement—for example, setting out which party will issue qualifications and statements of attainment; which party will provide pre-enrolment information; and which party will collect learner fees and enrolment information
	clauses detailing the obligations of the third party—for example, setting out which party will provide the training and assessment materials, resources and facilities

	the mechanisms through which your RTO will systematically monitor the third party (e.g. if the third party is providing the training and assessment materials, resources and facilities and developing marketing initiatives, set out how RTO will review these prior to use for all delivery sites and how RTO will ensure that trainers and assessors provided by the third party meet the requirements of the Standards)
	record-keeping procedures for student enrolment information and completed student assessments.
	clauses relating to which party will validate completed student assessments
	any of RTO's obligations, or the third party's obligations, relating to government-funded subsidies or other financial support, if applicable, and
	clauses requiring the third party to cooperate with ASQA and to provide accurate responses to requests about delivery of services

Third party providing recruitment services on RTO's behalf.

RTO written agreement with a third-party providing recruitment services on RTO's behalf might include the following information:

Yes/No	Information on the written agreement
	the name of RTO and the third party
	the start and end date of the agreement.
	clauses detailing RTO's obligations under the agreement—for example, might stipulate that RTO will review all marketing initiatives, provide current and accurate pre-enrolment information, and ensure that all information provided to a learner meets the requirements specified in Clauses 4.1, 5.1, 5.2, 5.3, and 5.4 of the Standards. Stipulate that the RTO will ensure that all materials in languages other than English will be translated by the RTO to ensure it meets the requirements.

	clauses detailing the obligations of the third party—for example, might stipulate that the third party will provide RTO with all marketing material before publishing, provide learner enrolment information and learner fees to the RTO, and train the third party's staff to be able to assist with training package and enrolment enquiries.
	any of RTO's obligations, or the third party's obligations, relating to government-funded subsidies or other financial support, if applicable
	detail of arrangements for commission or fees to be retained by the third party
	the mechanisms through which RTO will systematically monitor the third party, and
	clauses requiring the third party to cooperate with ASQA and to provide accurate responses to requests about provision of services.

Compliance with ASQA Guidelines

RTO currently doesn't have any partnership or third-party arrangements. When it will establish any arrangement, RTO will provide more Information to comply with below clauses.

Clause 2.4

'The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf and use these to ensure that the services delivered comply with these Standards at all times.'

When developing a strategy to monitor your agreements, you can consider:

- Timeframes for monitoring—when and how often?
- Procedures for monitoring—who will conduct the review and how will outcomes of the review be acted upon?
- How RTO will monitor student assessments, pre-enrolment information given to students, training and assessment resources, facilities and equipment, trainer/assessor competencies and qualifications, marketing/advertising information, issuance of qualifications/statements of attainment and records management practices?
- How RTO will implement strategies for two-way feedback between RTO and the third party.

Clause 4.1

'Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

a.) accurately represents the services it provides and the training products on its scope of registration;

b.) includes its RTO Code;

c.) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;

d.) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;

e.) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;

f.) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;

g.) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;

h.) includes the code and title of any training product, as published on the National Register, referred to in that information;

i.) only advertises or markets a non-current training product while it remains on the RTO's scope of registration;

j.) only advertise or market that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;

k.) includes details about any government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and

Not guarantee that:

m.) a learner will successfully complete a training product on its scope of registration; or

i. a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or

ii. a learner will obtain a particular employment outcome where this is outside the control of the RTO.'

RTO will ensure that all recruitment activities comply with the Standards, regardless of whether they are undertaken by RTO or by another party.

What constitutes activities related to third-party recruitment?

Recruitment involves direct two-way communication with a prospective learner. These activities may include:

- making direct approaches to individuals to encourage them to enrol in specific training and/or assessment, (e.g. door to door sales)
- having conversations with individuals to encourage them to enrol in specific training and assessment (e.g. manning a booth at a trade show)
- responding to direct enquiries from individual prospective learners about enrolling in specific training and assessment (e.g. responding to enquiry forms on a website)
- receiving enrolment information from learners which is then passed onto an RTO, and
- receiving submissions as part of a process involving analysis of evidence intended to lead a prospective learner enrolling with an RTO for an RPL process.

What does not constitute activities related to third-party recruitment?

Activities involving one-way communication with a prospective learner—where responses are directed back to the RTO—are not considered to be third-party recruitment. These activities may include:

- advertising, e.g. newspaper, radio, television, Yellow Pages
- mass email messages to prospective learners where any responses are submitted to the RTO, and
- website advertising that provides a link to an RTO's website for enquiries and enrolment.

It is important to remember that, regardless of who carries out the activities, the RTO is still responsible for ensuring they comply with the Standards.

Meeting the third-party requirements of the NVR Act

The National Vocational Education and Training Regulator Amendment Act 2015, which came into effect in April 2015, has amended the requirements in the National Vocational Education and Training Regulator Act 2011 (NVR Act) relating to advertising training products.

The NVR Act now stipulates that any person publishing an advertisement, representing or providing a VET training product must include the name and registration code of the RTO that will issue the VET qualification or statement of attainment.

Failure to do so is an offence under Section 123A of the NVR Act, and attracts a civil penalty (as specified in Section 123B of the NVR Act).

Clause 5.1

'Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.'

The Standards for RTOs 2015 have a strengthened focus on meeting the skilling needs of industry and of individual learners, which is clearly articulated in Clauses 1.2 and 5.1.

The Standards make clear that each individual learner must be assessed with regard to their existing skills, knowledge and experience prior to commencement. While the extent of this assessment could vary greatly between training products and between individual learners, RTOs are responsible for:

- determining what the most suitable training product is from the perspective of meeting the training needs of the individual learner, and
- providing relevant advice to the learner.

To properly administer such assessment, a person must have strong knowledge of relevant training products, the skills to assess the learner's characteristics and the ability to identify a suitable training product. The Standards do not prescribe any requirements for who might undertake this assessment and therefore do not mandate any qualification, skill or knowledge requirements. However, RTOs are advised to ensure that any people undertaking these tasks—including third parties—have suitable skills, knowledge and experience to administer such assessment.

Clause 5.2

'Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

- the training and assessment, and related educational and support services the RTO will provide to the learner including the:

- name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and
- the learner's rights, including:
- if RTO, or a third-party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in.'

Prior to enrolment or commencement, RTO must ensure that learners are told about any third parties who are involved in the training, assessment and/or related services. Learners must also be provided with the contact details of the third party.

RTO must ensure that learners are notified of the procedure which will be followed if a third-party delivering training and assessment on its behalf is unable to fulfil its obligations in providing that training and assessment.

Clause 5.3

'Where RTO collects fees from the individual learner, either directly or through a third party, RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- all relevant fee information including:
- fees that must be paid to the RTO; and
- payment terms and conditions including deposits and refunds'

Pre-enrolment information must clearly specify all the fees which must be paid to the RTO and/or to the third party. The fee information in pre-enrolment information also needs to be consistent with the fee arrangements specified in the agreement between RTO and third party.

Clause 5.4

'Where there are any changes to agreed services, RTO advises the learner 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.'

If there are any changes to third-party arrangements, RTO must communicate these changes to the learner.

Clause 6.1

'RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a third-party providing services on the RTO's behalf, its trainers, assessors or other staff'

Clause 6.2

'RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

RTO has a complaints and appeals policy. These include information about how learners can submit complaints and appeals about any third parties delivering services on its behalf.

Clause 7.3

'Where RTO requires, either directly or through a third party, a prospective or current learner to prepay fees in excess of a total of $1500 (being the threshold prepaid fee amount), the RTO must meet the requirements set out in the Requirements for Fee Protection in Schedule 6.'

Requirements for protection of pre-paid fees from learners also apply to pre-paid fees collected by third parties.

Where RTO does not collect more than $1500 in pre-paid fees from any learner, they are not required to have protection measures in place.

Clause 8.2

RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

- by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and
- in the conduct of audits and the monitoring of its operations.

Written agreements with any third parties must specify that the third party will cooperate with ASQA by providing information where requested and in the conduct of audits.

While ASQA does not regulate third parties, it can require third parties delivering services on behalf of RTOs to provide information, or participate in audit activity, for the purpose of determining whether an RTO complies with all requirements under the Standards for Registered Training Organisations 2015.

Clause 8.3

'The RTO notifies the Regulator:

- Of any written agreement entered into under Clause 2.3 for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and

- Within 30 calendar days of the agreement coming to an end.'

RTO must notify ASQA whenever RTO starts or ends a third-party agreement. To notify ASQA:

- Log on to ASQAnet.
- Go to the 'Notifications' tab and select 'Third-party service arrangements'

RTO can now create and submit the notification online. There is no fee payable for such notifications.

Procedure

Process	**Responsibility**	**Comments**
Information on the written agreement:	RM	
Compliance with ASQA and other regulatory body and legislative instruments	RM	
Liaise with the third-party	CEO	
Liaise with the regulatory body	CEO	
Review and audit third-party agreements and services	RM	

Publication

This policy once approved, will be available to all students and staff by accessing RTO Intranet or on request. This policy will also be available through RTO's website as well.

This policy and procedure will form part of the information distributed and communicated during staff orientation.

Review

Compliance Department must monitor, evaluate and review this policy and relevant procedures on an ongoing basis and suggest relevant changes to the RTO management.

Review Process

This policy and procedure will be reviewed annually by the Compliance Manager .