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POLICIES & PROCEDURES HANDBOOK

Version 4.0 August 2022

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INTRODUCTION

We wish to welcome you to our college. Your decision to study with us is an important one and we look forward to supporting you throughout your course with us. Our Student Support Staff are available to answer your questions and guide you to support services within the college and externally.

Logic Entity Australia Pty Ltd trading as Abbey College Australia has been delivering quality training to local and international students since 2005. We are one of the leading education providers in Sydney and we would be delighted to have you join us at our campus in the heart of Sydney's CBD.

Abbey College Australia has a Training and Assessment system that ensures:
- all trainers and assessors hold appropriate qualifications and relevant industry experience to deliver services to students.
- all trainers and assessors are thoroughly familiarized with the procedures for Training and Assessment.

Abbey College Australia will not advertise any course as accredited unless it is approved under the ASQA Scope of Registration and/or CRICOS approval. We aim to promote our services in a clear and ethical manner.

The staff at Abbey College Australia have many years of collective experience in training within the VET sector. Our staff has built a reputation for the delivery of quality learning programs based on national standards. With our highly qualified instructors and well-structured programs, we aim to empower learners to contribute to their educational growth and equip with the best practical skills in the competitive corporate landscape.

ORGANISATIONAL CHARTS

Relationship between the staff at Abbey College Australia

Tony Tang
Chief Executive Officer

Patrick Hayeck
Principal Executive Officer

Yang Lei
Academic Manager

Devendra Threstha
Student Services & Admission Manager

Ivory Wang
Finance & HR Manager

Tony Tang
Marketing Director

Benson Shi
IT Manager

Sukie Cao
Course Coordinator

Charles Luo
Academic Assistant

Student Services Officers

Carol Wan
Account receivable

Marketing Managers
& Regional contacts

Grin Rhothjirathanin
Digital Marketing Officer

IT Assistant

Trainers

THE OPERATIONAL FRAMEWORK

The service provided

ACA aims to realise the potential to provide quality business and information technology training through the development of a highly skilled workforce able to meet the current needs of the business and the industry.

It aims to provide an innovative, quality skills development and learning platform that will provide nationally-recognised training and career advancement for employees of the company and the wider industry.

ACA delivers the following nationally recognised qualifications:
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- ICT40418 Certificate IV in Information Technology Networking
- ICT51015 Diploma of Telecommunications Engineering
- ICT60615 Advanced Diploma of Telecommunications Network Engineering
- PSP60816 Advanced Diploma of Translating

ACA provides training at a high standard through on-the-job delivery by industry experienced trainers ensuring that skills developed will meet current industry needs.

ACA is committed to ensuring all students have access to equal opportunities in their training regardless of situation or location.

Code of practice

ACA agrees to undertake and adhere to the following Code of Practice:

1. ACA will maintain high professional standards in all areas of training and will comply with all requirements of the VET Quality Framework.

2. ACA will take all reasonable steps to safeguard the interest and welfare of its students and employees whilst they are on ACA premises.

3. ACA adopts an anti-discrimination policy that allows an environment that is conducive to optimum learning for all students.

4. ACA reserves the right to adjust and/or modify timetables, units of competency and trainers delivering training at its own discretion.

5. ACA will undertake to review and evaluate the teaching curriculum and delivery of the curriculum on a regular basis to ensure that it complies with the VET Quality Framework and National Training Package requirements.

6. The RTO will undertake to review, validate and moderate assessments with its trainers and stakeholders on a regular basis.

7. ACA has adopted a refund policy for fee-paying students that is fair and equitable.

8. All grievances and concerns of students will be dealt with in a fair and equitable manner.

9. The RTO does not and has not represented to students that the RTO is responsible for providing employment or a promotion as a result of enrolment and completion of a course.

10. The RTO will properly document their contractual and/or financial relationships with students and provide students with copies of this documentation.

Rights and responsibilities

RTO responsibilities

ACA has a commitment to all students to.

- Provide supportive, stimulating and effective learning environments that inspire and enable students to reach their full potential and be the best they can be.

- Provide consistent, high quality learning experiences while maintaining good quality learning and teaching practices

- Provide the physical learning environment and facilities that are focused to support all students to succeed in their training

- Provide accurate , timely and useful information to all students in regards to their applications, enrolments, studies and enquiries for policies and services available

- Provide an environment free from discrimination and harassment in accordance with Commonwealth and State legislation and RTO Policy

- Provide constructive feedback to all students on their assessment results and course progress in a timely and confidential manner, ensuring also that this is recognised and acknowledged as a valuable part of the learning process

- Provide fair, transparent, confidential and effective procedures for complaints, grievances and appeals

- Provide a clear statement of acceptable academic behaviour by students

- Treat personal information confidentially and ensure information is only used with the students's consent or when it is legally required

- Ensure all staff will act ethically at all times and will uphold ACA values of honesty, trust, fairness, respect and responsibility

- Support the students and acknowledge their contributions to their training and to the RTO

- Respect individual students needs and abilities including recognition of current and previous learning experiences

- Provide an environment that will allow equal benefits and opportunities to all students

- Provide an environment that is inclusive, non-judgmental and free from religious intolerance

- Provide equal opportunity for all students to gain access to any available government financial support and assistance.

Students responsibilities

ACA expects that students will:

- Be fully committed to their own training and learning including taking responsibility for monitoring their own progress
- Respect the differences of all students and staff and support an environment free from discrimination and harassment in accordance with the RTO policies and Commonwealth and state legislation
- Acknowledge that being a students at ACA requires commitment to the values of honesty, trust, fairness and to the responsibility of treating other students with respect
- Respect all RTO staff, property and facilities
- Provide ACA with honest and constructive feedback about their learning programs as required
- Read the policies and procedures of the RTO as set out in the Students Handbook
- Adhere to the rules and regulations of ACA as they apply to students.
- Complete all assessment tasks, learning activities and assignments honestly and without plagiarism.
- Prepare appropriately for all assessment tasks, visits and training sessions

Students rights

- All students have the right to:
- Be treated fairly and with respect by all students and staff.
- Not be harassed, victimised or discriminated against on any basis.
- Learn in a supportive environment which is free from harassment, discrimination and victimisation.
- Learn in a healthy and safe environment where the risks to personal health and safety are managed and minimised.
- Have their personal details and records kept private and secure according to our Privacy and Personal Information Policy.
- Access the information ACA holds about them.
- Have their complaints dealt with fairly, promptly, confidentially and without retribution.
- Make appeals about procedural and assessment decisions.
- Receive training, assessment and support services that meet their individual needs.
- Be given clear and accurate information about their course, training and assessment arrangements and their progress.
- Access the support they need to effectively participate in their training program.
- Provide feedback to ACA on the client services, training, assessment and support services they receive.

QUALITY

Purpose

The purpose of this policy is to confirm that ACA has a strong commitment to meeting the high quality standards expected by students in the delivery of the training and assessment services that we supply to them. The key objectives are:

- To provide quality training and assessment services within our scope of registration
- To ensure continuous improvement of our training and assessment systems and customer service requirements
- To fully comply with all relevant Commonwealth and state legislative and regulatory requirements for the operation of Registered Training Organisations.

Policy

The ACA quality management system is documented in the form of this manual and the associated operational forms and is based on the requirements of the VET Quality Framework which comprises:

- The Standards for Registered Training Organisations (RTOs) 2015 (the Standards)
- The Australian Qualifications Framework (AQF)
- The Data Provision Requirements
- The Fit and Proper Person Requirements, and
- The Financial Viability Risk Assessment Requirements.

ACA will ensure the highest possible standards in the selection of staff and the planning and delivery of courses and training.

ACA will ensure that trainers and assessors are suitably qualified and have relevant industry experience.

ACA will maintain a learning environment that is conducive to the success of students and clients and ensure adequate facilities and the use of methods and materials appropriate to the requirements and levels at which courses are offered.

ACA will monitor their training to ensure effective delivery and continued relevance.

ACA will engage in continuous improvement of its training and assessment systems and meeting customer service requirements.

ACA will monitor its training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

As a Registered Training organisation (RTO) ACA is registered by Australian Skills Quality Authority (ASQA). ASQA has been conferred authority under the National Vocational Education and Training Regulator Act 2011 to register RTOs that operate across Australia. As part of this registration ACA maintains compliance and improves the quality of its programs in accordance with the Standards. The RTO is authorised to issue nationally accredited qualifications recognised within the Australian Qualifications Framework (AQF). The objectives of the Standards are to ensure nationally consistent, high-quality training and assessment services for the clients of Australia's Vocational Education and Training (VET) system.

Compliance with the Standards is a condition for all NVR registered training organisations.

ACCESS AND EQUITY

Purpose

The purpose of this policy is to confirm that Abbey College Australia has a strong commitment to access and equity and to ensuring equal opportunity to employees and students.

Policy

Abbey College Australia is committed to the goals of equal opportunity and affirmative action in vocational education, training and employment. This is supported by all staff employed by the college. Abbey College fosters a culture that is free from unlawful discrimination, harassment and vilification as determined by legislation.

Towards the fulfilment of this commitment Abbey College:

- Fosters a culture that values and responds to diversity.
- Provides equal employment opportunity by identifying and removing barriers to participation and progression in education, training and employment for all employees.
- Offers programs and employment opportunities that aim to overcome past disadvantage for members of staff, employee and course students equity groups.
- Promotes clear and accountable management policies and practices to enhance trust between all parties.
- Enhances the quality of student learning and employment satisfaction for all students through the provision of culturally, socially and gender inclusive education and training in areas such as curricula, teaching methods, assessment and review processes, teaching materials and support services.
- Ensures that its staff, employees and course students are aware of their rights and their responsibilities.

To achieve these goals, the college depends on the continual co-operation of all staff, trainers and students.

Currently the grounds of unlawful discrimination are:

- Age
- Compulsory retirement from employment
- Disability (physical, intellectual, psychiatric, sensory, neurological, and learning disabilities (physical, intellectual, psychiatric, sensory, neurological, and learning disabilities including physical disfigurement, the presence in the body of an organism capable of causing disease and current, past, future, or imputed disability)
- Marital status (single, or with reference to a person of the opposite sex, married, separated, divorced, widowed or in a de facto relationship)
- Pregnancy or potential pregnancy
- Race (including colour, nationality, descent, ethnic, ethno-religious or national origin, and immigration)
- Religious or political affiliation, views, or beliefs
- Sex, sexual harassment
- Homosexuality (male or female, actual or presumed)

- Transgender or trans-sexuality (anyone who lives, has lived, or wants to live as a member of the opposite gender to their birth gender including people who are assumed to transgender)
- Actual or imputed characteristics on any of the attributes listed above
- Termination of employment on any of the grounds listed above and on the grounds of family responsibilities, social origin, temporary absence from work because of injury or illness, union membership, participation in union activities, non-membership of a union and absence from work during maternity or other parental leave.

The grounds of unlawful vilification are:
- HIV/AIDS, home
- Race; and
- Transgender (trans-sexuality)

Regarding discrimination and vilification, Abbey College is compliant with the following statutory requirements:

- The NSW Anti-Discrimination Board and the Federal Disability, Racial, Sex Discrimination, Workplace Relations Act and Anti-Discrimination (Carer's Responsibilities) Bill 2000.
- The NSW Charter of Principles for a Culturally Diverse Society in 1993 and reaffirmed in 1995 by the NSW Government.
- For staff, in compliance with Part IXA of the NSW Anti-Discrimination Act 1977 and the Federal New Equal Opportunity for Women in the Workplace Act (1999).

The equity groups identified in these Acts are:

- Aboriginal and Torres Strait Islander people; people with disabilities; people of non-English speaking background; and women.
- For students, in compliance with Federal Government policy as outlined in A Fair Chance for All, AGPS, 1990 and subsequent amendments as outlined by DEST.

The identified equity groups are:
- Aboriginal and Torres Strait Islander people; people with disabilities, from socio-economically disadvantaged backgrounds, from rural and isolated areas and of non-English speaking background and women in non-traditional areas of study.

GOVERNANCE & MANAGEMENT

QUALITY ASSURANCE

Purpose

The purpose of this Policy and Procedures is to enable Abbey College Australia to implement an effective quality management system, and to identify opportunities for improvement.

Scope

The RTO Manager will ensure that internal audits and continuous improvement activities conducted by Abbey College are against the VET Quality Framework as applicable and will apply to all of the RTO's training and assessment delivery within its scope of registration.

Policy

ACA will conduct internal audits from time to time. Internal auditors, appointed by the RTO Manager will follow the general principles of auditing in assuming nothing, being independent of the site being audited and remaining objective at all times. The RTO Manager will ensure that the staff and consultants responsible for carrying out audits, are conversant with the policies for conducting internal audits across the RTO's scale of operations, policies and procedure.

Abbey College is committed to the process of constantly improving the way in which its operations occur and its continuous compliance with the AQF 2013, NVR2011/ Standards for Registered Training Organisations (RTOs) 2015, the ESOS Act 2000 and the National Code of Practice 2007. Through this process the college will achieve further quality customer service and stay attuned to the current and future demands of the vocational education sector.

Abbey College will progressively and actively seek out and eliminate all potential problems and acts upon all opportunities in a way that results in the continual improvement of its training and assessment system and customer service standards. The college's approach to quality encompasses all its operations including training and assessment services, student services, financial operations, facilities, staff development and occupational health and safety.

Abbey College's quality system is based on adherence to the following guiding principles:

- A commitment by all staff to continuous improvement/Quality Assurance of operational processes, training and assessment products and services.
- Input and involvement of all staff and students in identifying and assisting in the implementing of quality improvements.
- Systematic use of qualitative and quantitative feedback as the basis for identifying and prioritising improvement opportunities

To achieve the process of continuous improvement/Quality Assurance Abbey College acknowledges that Opportunities for continuous improvement/Quality Assurance can be identified from varied sources including:
- Formal and ad hoc feedback from students, staff and stakeholders
- Complaints from student, staff and other stakeholders such as Education Agents and Practical Placement employers;

- Undertaking self-assessment (internal) audits against the AQF 2013, NVR2011/Standards for Registered Training Organisations (RTOs) 2015, the ESOS Act 2000 and National Code 2018;
- Undertaking internal Assessment Validation sessions;
- Attending internal and external professional development workshops
- Engaging in consultation with students, employers and other stakeholders to seek feedback on the services provided by the RTO in order to achieve quality outcomes.
- Conducting reviews of its management system on a regular basis and will engage staff and other stakeholders in the process.

Abbey College Australia will review and modify policies and procedures where required. Staff will be informed and students will be notified of any changes that could affect the whilst delivering training and assessments.

Procedures

Internal audit

- The Chief Executive Officer or delegate will conduct an internal audit on regular basis (a minimum of once each year).

- The CEO or delegate will appoint an internal auditor and advise all staff by email or memo of the schedule and scale of the audit.

- The CEO or delegate will ensure that all internal audits conducted by the RTO staff or consultants result in a full report of any non-compliance issues and that they will be presented and acted upon at the next management meeting.

- The CEO or delegate will review and address all non-compliance issues within 28 days following internal audits and enter them into current action / work plans. The management meeting will review the minutes from previous meetings to determine any inaction.

- The CEO or delegate will date and file a copy of the record of Internal Audit and the full report of non-compliance in the Abbey College Audit File.

- Abbey College will complete an annual self-assessment on compliance against the Standards.

Stakeholder feedback

- All stakeholders are encouraged to offer suggestions for the improvement of best practice methods within Abbey College. If a stakeholder who recognises an improvement opportunity is unable to attend the management meeting, a nominated proxy may make the presentation on the stakeholder's behalf.

- Abbey College will distribute customer feedback questionnaires to students and their employers following completion of training and assessment delivery.

- Abbey College will distribute questionnaires to supervisors, staff, and other stakeholders on a six-monthly basis to seek feedback on services provided by the RTO.

- Unsolicited feedback and completed questionnaires will be analysed by Administration and Student Services Representative and entered into the Continuous Improvement Register by the RTO Manager.

- Any complaints from students and staff will be analysed by the RTO Manager and entered into the Continuous Improvement Register and addressed.

- Feedback and completed questionnaires will be reviewed during the monthly staff meeting attended by the RTO Manager and assessors, and if required, by at the quarterly management meeting and acted upon where required.

- Hard copies of the questionnaires and other feedback will be filed and required actions documented in the register by the RTO Manager. The RTO Manager will review the register periodically to ensure that required actions have been closed out.

Maintaining currency and compliance

The RTO Manager or delegate will also on a regular basis:

- review the VET Quality Framework, the Standards, and all other appropriate legislative requirements.

- source the National VET Regulator for updates of compliance requirements.

- review all relevant State and Commonwealth legislation and its availability to all Abbey College staff and advise staff accordingly of any changes required.

- conduct reviews of its management system on a regular basis and engage staff and other stakeholders in the process.

- attend professional development and workshops by the National VET Regulator

- The RTO Manager will review and modify policies and procedures where required in response to feedback or internal audits. Students and staff will be notified of any changes that could affect them through internal mail and email to candidates.

- Abbey College will conduct scheduled meetings with staff, employers and other stakeholders on a regular basis in accordance with the RTO calendar of activities and will document and action outcomes of meetings in minutes and the Continuous Improvement Register.

Abbey College encourages the coming together of assessors involved in VET assessments to develop and extend their professional practice. Through the exchanging of ideas about the meaning of specific competency standards, the evidence requirements, the ways of gathering evidence and the basis on which assessment decisions are made. Where applicable, industry representatives will participate in validation activities.

Documents

- *Continuous Improvement Register*

- *Audit file*

- *Students and Employer feedback questionnaires*

DATA PROVISION REQUIREMENTS

Purpose

The purpose of these policies and procedures is to meet the data provision requirements for registered training organisations to capture and provide data to the Australian Skills Quality Authority (ASQA).

Scope

These Policies and Procedures relate to compliance with the Data Provision Requirements of the National Vocational Education and Training Regulator Act 2012.

The data required relates to registration and performance information, including quality indicator data and information derived from the Australian Vocational Education and Training Management of Information Statistical Standard (AVETMISS).

Personal information (including the personal information contained on our enrolment form) may be used or disclosed by Abbey College Australia for statistical, administrative, regulatory and research purposes. Abbey College Australia may disclose your personal information for these purposes to Commonwealth and State or Territory government departments and authorised agencies; and NCVER.

Policy

Abbey College will ensure that the Data Provision Requirements are met by using an adequate, AVETMISS compliant students management system to capture and report on data.

Returns on students enrolments and completions will be submitted to ASQA on an annual basis or as requested.

Each students will have a unique student identifier (USI) in accordance with AVETMISS requirements under the Student Identifier Bill 2014.

Quality Indicators (employer and candidate feedback, completions) will be provided to ASQA on an annual basis or as requested.

The Quality Indicators are:
- **Employer satisfaction** (including satisfaction with competency development and the quality of training and assessment). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of training and assessment.
- **Learner engagement** (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in the types of activity that are likely to promote high-quality skills, as well as on learners' perceptions of the quality of their competency development and the support they receive from the RTO.
- **Competency completion rate** This will be calculated for qualifications and units of competency delivered, based on data provided by RTOs about:
  - The number of enrolments in the previous calendar year, and
  - The number of qualifications completed and/or units of competency awarded in the previous calendar year.

Procedures

- Students enrolments and completions are entered onto the student management system (VETtrak) on a regular basis by the Administration and Student Services Representative.

- Students feedback will be collected using the *students feedback questionnaire* at the end of each term and on completion of the course.

- Employer feedback will be collected via the *employer feedback questionnaire* on a regular basis and following students work experience.

- Quality Indicators (summary of employer and candidate feedback, completions) will be provided to ASQA by the RTO Manager by 30 June each year or as requested.

- Other data will be collected and provided to ASQA on request.

Documents

- *Employer Feedback Questionnaire*
- *Students Feedback Questionnaire*

FINANCIAL MANAGEMENT

Purpose

The purpose of this policy and procedures is to ensure that Abbey College Australia manages its finances to work within organisational budgets and meets the financial viability requirements for registered training organisations.

Scope

This applies to all financial management, practices and transactions related to the operation of the RTO.

It applies to all training and assessment delivered by the RTO including internal courses funded by the employer companies, those funded by government funding initiatives and fee-for-service courses.

Policy

Abbey College Australia (ACA) is committed to the application of sound financial management practices in the operation of its training and assessment services.

Abbey College Australia is a CRICOS provider delivering courses to overseas students. Our conditions of enrolment; collecting fees in advance; refunding fees and financial management comply with the conditions are outlined in the Tuition Protection Service (TPS) Act for CRICOS providers.

ACA has designated the RTO Manager to undertake all day-to-day financial management responsibilities under the direct supervision of the CEO

ACA has effective financial management procedures in place.

The RTO Manager, under direct supervision of the CEO will:

- Monitor and report on compliance with its financial management policies and procedures, for review and as a basis for improvement; and

- When requested, provide the national registering body that has registered it with a formal assurance that ACA has sound financial management standards for matters related to the RTO's scope of registration and scale of operations.

The RTO, if requested by the national registering body, must obtain, and make available a full audit report from a qualified independent accountant with membership of Certified Practising Accountants Australia, the Institute of Chartered Accountants of Australia or the National Institute of Accountants or otherwise registered as an auditor with the Australian Securities and Investment Commission.

ACA has fair and reasonable refund policies applicable to fee paying students. Abbey College Australia will pay a full refund to all students within 14 days after the default day, with a refund statement that explains how the refund amount has been calculated. Refunds for any monies received by Abbey College Australia on behalf of the student for services other than tuition fees must be requested from the companies delivering the services, and students will be subject to the respective companies' refund policies.

Procedures

- For short courses, each client will receive numbered tax invoices which must be paid in accordance with the Fees and Charges payment schedule.

- Payment may be made by cheque, cash or electronic funds transfer into the bank account nominated by ACA. A receipt will only be issued for cash payments.

- All monies received by ACA will be receipted and copies maintained for weekly accounts finalisation.

- All monies receipted will be entered into ACA's accounting software.

- All monies receipted will be banked on a weekly basis.

- On the receipt of the monthly bank account and following the monthly reconciliation, results will be recorded and reported to the General Manager.

- All monthly payments from ACA cheque ledger will be identified with ABN numbered receipts.

- The annual audited account will be maintained in readiness for review if requested by the national registering body.

- Any fees paid in advance and moneys received though government grants will be placed in the RTO trust account at the first banking opportunity.

- The RTO will refund fees in accordance with its refund policy.

- The CEO ensure that a Certified Practising Accountant certifies ACA's Annual record of accounts at least annually.

- The Finance Manager is responsible to ensure that all financial monitoring, accountability and compliance requests by appropriate authorities are first reported to the RTO Manager and then responded to in a prompt manner.

MARKETING AND ADVERTISING

Purpose

The purpose of this policy and procedures is to ensure that ACA ensures that its marketing is ethical and meets the requirements of the Standards for Registered Training Organisations (RTOs) 2015.

Standards.

Scope

This policy and procedures apply to training and courses which are offered by ACA to the public for a fee. It is Abbey College's policy to ensure that all marketing of training activities will be conducted with integrity, accuracy and professionalism, avoiding vague, misleading or ambiguous statements.

All marketing and advertising of college training delivery and assessment services is the responsibility of the Marketing Director. All information that is provided to prospective students is accurate, professional and in plain English. Emails, website and flyers are the predominant forms of advertising conducted by the Abbey College.

Policy

ACA will ensure its marketing and advertising of AQF and VET qualifications to prospective students is ethical, accurate and consistent with its scope of registration.

ACA will market its education and training services with integrity and accuracy, avoiding ambiguous descriptions of courses or the qualification or capacities required by students to undertake them.

ACA will provide students with accurate details of their fees and financial arrangements.

ACA will use the Nationally Recognised Training (NRT) logo only in accordance with its conditions of use.

ACA will ensure that its marketing does not guarantee that a learner will successfully complete a training product or obtain a particular employment outcome where this is outside the control of the RTO.

Procedures

ACA will take all reasonable steps to ensure that the information included in marketing materials is accurate. The PEO will ensure the following practices are adhered to by:

- Obtaining written permission before use of information about any individual or organisation in any marketing materials (This includes newspapers, magazines, brochures, flyers, radio and television advertising) and will BBI by any conditions that are place upon the use of that information
- At all times accurately represent all its training and assessment services to all prospective clients and stakeholders

- Ensuring that all individuals or organisations are provided with full details of any conditions in any contractual arrangements related to marketing and advertising
- AQF qualifications will only be advertised if ACA is registered with the scope to deliver those qualifications
- Clearly identifying nationally recognised training products (AQF qualifications) separately from courses recognised by other bodies (industry groups such as Work Cover) or without recognised status
- Only using the Nationally Recognised Training on relevant qualifications or awards when the students have satisfactorily completed all requirements and/or achieved the stated competencies
- Adhere to the guidelines and specifications of use in marketing and advertising materials of the Nationally Recognised Training logos
- Using the correct names of all training packages on the BBI scope of registration
- Ensuring that BBI's National Training Information Services provider number is displayed on all appropriate marketing and advertising materials
- Ensuring that the correct CRICOS course code and provider number will be used on all advertising aimed at the international student market.
- Ensuring all marketing or promotional literature and general media advertising will not:
    - Encourage unrealistic expectations about the level of qualifications attainable and the facilities and equipment provided; or
    - Make any claim to approval or recognition that is inaccurate or use misleading or false comparisons of courses with others provided by competitors; or
    - Make any misleading statements concerning the qualifications or experience of its staff; or
    - Make misleading or false statements about the prospects of employment following the completion of training.

All prospective advertising and marketing activities are discussed by the PEO and Marketing Director. This meeting will establish the need for the activities and the type of material to be produced. The Marketing Director will create the draft version of the marketing materials.

The draft version of the marketing material is then submitted to the PEO for review and comment. Once the review has taken place, the draft material is returned to the Marketing Director for adjustment and finalization

The final version of the marketing material is then resubmitted to the PEO for final approval. If further adjustments are required, the materials will be returned to the Marketing Director will the appropriate adjustments marked for adjustment.

If no further adjustments are required, the marketing material will then be reviewed and signed off by the PEO as per the requirements of the advertising and marketing checklist. The signoff version of the marketing materials and the completed advertising and marketing checklist will then be filed.

ADMINISTRATION & FINANCE

FEES AND CHARGES

Scope

This applies to fee-for-service courses, traineeships and government funded training offered by Abbey College Australia.

Policy

ACA will properly document their contractual and financial relationships with students and provide students with copies of this documentation.

ACA will safeguard funds paid by students in accordance the VET Quality Framework.

Students are entitled to a refund under the RTO Refund Policy.

Prior to enrolment and or payment of any fee, students are advised to read and understand the Enrolment Policy and Procedures for Students, as well as the Terms and Conditions of Enrolment. These are available from our recruitment team or authorised agents.

Tuition, other fees and charges are subject to review and/or change at Abbey College Australia's discretion. Abbey College Australia will advise the students of changes prior to enrolment.

Tuition fees

The fees below apply to fee-for-services courses and are confirmed exclusively for the 2022 enrolment period. Fees are subject to change without notice.

Field of Study	Course Name	Duration	Fee structure
Business	BSB40120 Certificate IV in Business (Operations)	52 weeks	$3,750/ term x 4 = $15,000
	BSB50120 Diploma of Business (Operations)	52 weeks	$3,750/ term x 4 = $15,000
	BSB60120 Advanced Diploma of Business	78 weeks	$3,750/ term x 6 = $22,500
IT	ICT40120 Certificate IV in IT (Networking and System Admin Support)	52 weeks	$2,500/ term x 4 = $10,000
	ICT50220 Diploma of IT (Cyber Security, System Administration, Database Management)	104 weeks	$2,250/ term x 8 = $18,000
	ICT60220 Advanced Diploma of IT (Telecommunications Network Engineering)	104 weeks	$4,500/ term x 8 = $36,000
Marketing	BSB40820 Certi.IV in Marketing & Communication	52 weeks	$2,250/ term x 4 = $9,000
	BSB50620 Diploma of Marketing & Communication	52 weeks	$2,250/ term x 4 = $9,000
	BSB60520 Adv.Diploma of Marketing & Communication	104 weeks	$1,750/ term x 8 = $15,000
PM	BSB50820 Diploma of Project Management	52 weeks	$2,000/ term x 4 = $8,000
	BSB60720 Adv.Diploma of Project Management	78 weeks	$2,500/ term x 6 = $15,000
Graduate Diploma	BSB80120 Graduate Diploma of Management (Learning)	78 weeks	$2,500/ term x 6 = $15,000
Translating	PSP60816 Advanced Diploma of Translating	50 weeks	$7,000/ term x 2 = $14,000

Included in fees is:

- Students workbooks
- Learning and assessment materials

Other costs for students

Further administrative fees include:

ITEM S	COSTS (AU$)
Course Material Fees (Business & IT)	$50.00
Course Material Fees (Translation)	$600.00
Enrolment Fees (non-refundable)	$200.00
Re-enrolment fee	$200.00
COE Issue Fee (non-refundable)	$50.00
Deferment/Suspension Fee	$250.00
Change of Course Fee	$200.00
Document re-issue Fee	$50.00
Re-assessment/Late submission Fee	$250.00
RPL Application Fee / unit	$450.00
Priority Processing Fee	$50.00
Late Payment Fee	$120.00
Student Card (new student)	$5.00
Student Card Replacement	$10.00
Photocopy Service/double side page (Black & White)	$0.15/page

OTHER FEES

	COSTS (AU$)
Airport Pick-up	$150.00 (one way)
Home Stay Placement Fee	$200.00 $250.00 (full board) $180.00 (Share room)
Overseas Student health Cover (OHSC), 2020	See https://www.studyaustralia.gov.au/english/live/insurance

Fees Disputes

Abbey College Australia's disputes resolution process does not circumscribe the student's rights to pursue other legal remedies, and students have the right to take further action under Australia's consumer protection laws. Please note the following:
- students are not permitted to transfer course fees to another student

- should it be necessary for the student to repeat a course the full amount will be charged; and
- students that fail to pay their fees will:
    - be issued with a warning letter which may result in cancellation of their enrolment and notification to the Department of Home Affairs.
    - will not have assessments or exams marked, nor will they be allowed to graduate.
    - may be refused to re-enrol.

Payment options for students

Enrolment deposit

All students are required to pay a **$500 enrolment deposit** when they receive their Letter of Enrolment. This is non-refundable and is deducted from the first fee instalment.

Course fees (for Australian students) only are as outlined above. All fees are to be paid in Australian dollars.

Prior to course commencement, full fees will be required to be paid. Payment by instalments is conditional and students who pay their instalments late will be charged AUD $120 penalty and not be allowed to enter and participate in classes. This may affect student vis status and lead to visa's being revoked.

Abbey College Australia reserves the right to cancel an instalment payment and make the remaining fees for the whole offer due immediately.

If a student applies to transfer to another provider, the instalment plan will be cancelled, and the outstanding balance of the invoice will be due immediately.

Payment may be through the following options:

1. Payment by electronic transfer

Account Name: Abbey College Australia

BSB Number: 062 033

Account Number: 1028 9591

Bank: Commonwealth Bank of Australia

SWIFT Code: CTBAAU25

Reference: Your name & Student Number

Note: Our college will not be responsible for any monies paid to agents and banks.

2. Payment by automatic debit

Payments can be made by Automatic Debit from a credit card.

3 Credit card or EFTPOS

Visa or Mastercard, 2% fee applies

Late payments

ACA does not allow students to attend the course unless all fees due are fully paid prior to commencement. All offer letters will have the due date for each instalment clearly written on the 2nd page. Once enrolment in a course has been confirmed, the fee for the first term plus all other fees (including learning material costs and other relevant fees) must be paid unless otherwise stated.

ACA expects fees for subsequent terms to be paid by 15:00 on the day of commencement of the relevant term.

ACA have the right to prohibit students from attending classes, sitting tests/examinations, submitting assessments and/or receiving results until outstanding fees are paid in full.

Should fees remain overdue for more than 1 week, Abbey College will inform the student of our intention to report the student for non-payment of fees to DHA via PRISMS.

ENROLMENT

Scope

This applies to internal training, fee-for-service courses and traineeships offered by ACA.

Policy

Before students enrol or enter into an agreement, ACA will inform them about the training, assessment and support services to be provided, and about their rights and responsibilities.

Candidates wishing to enrol at ACA must meet the Entry Requirements for the RTO, i.e.:

- Students must be 18 years of age or above.
- Applicants require English Language, Literacy and Numeracy skills sufficient to undertake this course of study.
- Students also require computer skills sufficient to undertake self-study and assessment.

Candidates must also meet any pre-requisite requirements of the qualification in which they wish to enrol.

From the 1st January 2015 it is a requirement that students must have a Unique Student Identifier (USI). ACA requires students to access their own USI and submit it with their enrolment.

Students may apply for Recognition of Prior Learning (RPL) or Credit Transfer from previous studies and related work experience. These are assessed and approved by ACA at their discretion. RPL applications will not be considered once the course has commenced.

The RTO reserves the right to refuse enrolment of any students at its discretion, and further correspondence will not be entered into.

On enrolment, the RTO will provide its fee-for-service clients with an agreement in which the services to be provided will be detailed.

On enrolment, the RTO will provide its employees / students with an agreement in which the services to be provided and obligations on both parts will be detailed.

On enrolment the students acknowledges receipt of and agrees to promptly, diligently and strictly observe the ACA rules set out in the Student Handbook which are intended to benefit the conduct and operation of the RTO and students undertaking the course.

Procedures

Enrolment procedures for employees

- Once employees have indicated their interest in undertaking a course which may result in a national VET qualification, they must undergo an interview with the RTO Manager and if accepted will be required to complete an enrolment form and enter into an agreement with the RTO / employer.

- Students must also provide a Unique Student Identifier (USI) to the RTO together with their enrolment. For information on how to get a USI, students should go to: http://www.usi.gov.au/Pages/default.aspx

- Once the RTO has received all the required application form, students details are checked against the entry requirements and then entered into the Student Management System (RTO MANAGER) and the Letter of Acceptance with a students number will be emailed to the students. Orientation details will be sent by email one month prior to the starting date.

- A contract of services is to be provided including obligations of the RTO/employer and employee/students, details on study periods is issued on enrolment and signed by both parties.

Enrolment procedures for fee paying students

Once the decision is made to study with ACA, students must attend a pre-enrolment interview with the relevant marketing manager.

- Once the RTO has received all the required application forms, students details are checked against the entry requirements, a Letter of Acceptance with a student number will be emailed to the students. Orientation details will be sent by email one month prior to the starting date.

- Students must also provide a Unique Student Identifier (USI) to the RTO together with their enrolment. For information on how to get a USI, students should go to: http://www.usi.gov.au/Pages/default.aspx

- A contract of services is to be provided including details on study periods and prepayments in line with the financial limitations is issued to the students on enrolment and signed by both parties.

- Under exceptional circumstances, and at the discretion of the RTO Manager, a students may be allowed to start a course up to two weeks after the published course start date, depending on the length of the course. Applicable course fees are still payable.

Documents

- *Enrolment Application form*
- *Letter of Acceptance*
- *Contract of Services*
- *Letter of Receipt*

DEFERMENT AND WITHDRAWAL OF STUDIES

Policy

A students may withdraw from his or her studies at any time.

Abbey College must be notified of a student's intention to discontinue studies. All requests for refunds will be assessed in accordance with the Institute's refund policy.

Fee paying students enrolling for short courses are permitted to defer commencement of studies prior to commencement at the discretion of the RTO.

Procedures

Deferment of studies

- Students must request to defer in writing by completing the Deferment Form
- Applications for deferment are accepted at the RTO's discretion. The maximum period of deferment is 1 term.
- If students apply to defer their studies at least 28 days before they start the course and their deferment is accepted, any fees paid will be transferred to the next term.
- A non-refundable application fee of $250 applies irrespective of outcome
- Students must pay all outstanding fees prior to approval of this application.
- Abbey College Australia may transfer you to a different classroom or a different intake group and may need to extend your electronic Course of Enrolment.
- If the reason for deferral includes any overseas travel, or medical reasons, proof of travel and medical certificates is required.

Withdrawal from studies

- Students on a student visa are not permitted to defer the commencement date of their course unless on grounds of medical illness.
- Students must apply to withdraw in writing and submit this document to the RTO by post or email.
- The students will be required to complete a *Withdrawal Form* and submit this, along with any training materials supplied to the RTO Manager.
- Students will not be permitted to withdraw until they provide proof of study (or otherwise applicable) at a different college.
- Students will not be considered withdrawn until this process has been completed and any property has been returned to the RTO. Students will be notified in writing when their application to withdraw has been approved.

Deferment may also be initiated by the college due to suspension (e.g. for misbehavior). Students have 20 days to lodge a complaint in this instance for any such decisions using Abbey College Australia's internal complaints process.

If necessary, the college will issue a new eCoE with a more appropriate end date as a result of the break, suspension or deferment in the course. Abbey College Australia must inform DHA through PRISMS. Breaks, suspensions or deferments may also affect the student's visa.

Documents

- *Withdrawal Form*
- *Deferment Form*

REFUND POLICY

Purpose

The purpose of this policy is to provide refund guidelines for all potential candidates enrolling for a fee-for-service course.

Scope

This policy applies to students enrolling in a fee-for-service or similar course for which fees are paid by the students.

This refund policy will be made available to students and persons seeking to enrol with ACA for a course by publication with their Letter of Offer.

Policy

This section is applicable to students who are fee paying and are not entitled to VET Fee-Help or other government assistance.

- If a students decides to withdraw from the course before course commencement, he or she must provide at least **28 days** written notice to receive a full refund of the course costs they have paid, less the non-refundable deposit of $500 or the 5% of total fees received (whichever is lesser).
- If the students provides **less than 28 days** written notice, he or she will be liable for the cost equivalent to the full fees of their course, in addition to their non-refundable deposit of 50%.
- If the students decides to withdraw from the course during the course, he or she is liable to ACA for all fees due for the course which they are currently studying,
- If the students provides a medical certificate for an ongoing or serious condition or is undergoing extreme personal hardship a pro rata refund may be given at the discretion of the RTO.
- If the students is terminated because of a failure to comply with ACA policy, bad behaviour, unsatisfactory progress or unsatisfactory attendance, then all fees for the course will remain payable.
- In case of a default by ACA, the RTO will refund all paid tuition fees on a pro-rata basis within two weeks of the date of default. A statement will be provided to the students that explains how the refund amount has been calculated. (A default means that the course not being provided in full to the students if numbers fall below viable levels).
- ACA's terms and conditions and refund policies do not remove the right of a students to take further action under Australia's consumer protection laws.

No refund will be made by Abbey College Australia:

- **Withdraw after commencement**: If a student withdraws from a course at any time after the commencement date of the course; the balance of any fees still owing will be invoiced.

- **Other fees**: For monies paid for OSHC, airport pickup, accommodation booking and board. Students must apply to the providers of these services for a refund and the refund policy of these organisations will apply.

- **False or misleading information**: No refunds will be given to the applicants or students who provide false or misleading information in their enrolment, withdraw and refund application to the college.

- **Suspension and Cancellation**: Where a student has had their enrolment cancelled by Abbey College Australia and where the appeal process has not been sought by the student or the appeals process has been unsuccessful, no refund will apply, and the remainder of the fees will be invoiced.

- **Early completion**: If a student completes the course early, the full tuition fees and additional fees must be paid before a qualification can be issued. If a student extends their course, they will be required to pay additional fees before the commencement of the extended course.

Enrolment fee	Non-Refundable
COE fee	Non-Refundable
Visa refused prior to course commencement	Full refund less administration fee of $500 or 5% of course fee received (whichever is the lesser amount)
Visa refused after course commencement	Refund of unused tuition fees
Withdrawal at least 28 days (prior to agreed start date)	70% refund of tuition fees
Withdrawal less than 28 days (prior to agreed start date)	50% refund of tuition fees
Withdrawal after the agreed start date	No Refund
Visa cancelled due to actions of the student	No Refund
Does not commence	No Refund
(i.e. Does not arrive, or has not arranged with us for a later start because of health or compassionate reason)	
Visa extension is refused	Refund of unused tuition fees
Withdrawal from study - current students (of the following term/s) *	Refund of unused tuition fees
Compulsory Health Insurance (Student visa holders only)	Refer to OSHC provider
Airport Pick-up (prior to flight arrival)	Full Refund if service cancelled

*Deferment, Suspension or Cancellation of Enrolment Application Form must be received at least 28 days prior to the commencement of the following term/s. For deferment, no refund will applicable unless visa has not been granted.

Note: Cooling off period does not apply.

Procedures

- Students seeking a refund must apply in writing to the Administration and Student Services Representative.

- All applications must include a completed Change / Defer/ Withdraw Form and any other relevant and supporting documents.

- Applications will only be reviewed and processed once all paperwork is received

- Refunds will only be granted according to the Refund Policy

- The RTO Manager will review all applications and will interview the students before approving or considering the application.

- The RTO Manager will then make a record of findings and recommendation and then pass to the General Manager for the final decision.

- If the students refund is approved, the RTO Manager will cancel the students's enrolment and fees will be refunded in accordance with this policy and the circumstances involved

- Fees will be paid directly to the person who initially paid the fees.

- If the students refund is not approved, the student will have the option to lodge a formal Complaints, Grievance and Appeal against the decision within 28 days after receiving the notification of non-approval.

- The application for deferral or withdrawal and supporting documents are returned to the RTO Manager, and the outcomes are recorded in the students's personal file and in the student management system (RTO Manager).

- The outcomes are communicated in writing to the ACA Administration and Student Services Representative who enters it into the students's account file.

- Students unhappy about the refund outcome they have received from ACA must try to resolve the matter with the RTO in order to try to work out an agreeable outcome for both parties.

- All students have access to ACA's Complaints, Grievance and Appeals resolution process and all students will be given equal opportunity with their case.

Documents

- *Change / Defer/ Withdraw form*
- *Request for Refund form*

RECORDS MANAGEMENT

Purpose

The aim of this policy and procedures to ensure that the records management of the RTO facilitates records that are accurate and compliant with legislative, regulatory and other external reporting requirements.

Policy

ACA is committed to implementing best practice in its records management practices and systems. All staff employed by the RTO will be required to apply themselves to the following written procedures and safeguard confidential and personal information according to the Privacy and Protection of Personal Information Act 1998. These Acts imposes obligations regarding the collection, storage, use and disclosure of your personal information.

Designated staff shall ensure that all student records are maintained in an accurate manner providing for the safekeeping of all student assessment results for a term no less than 5 years. The CEO will be provided with at least one week's written notice before any records are destroyed.

ACA are obliged to tell you the purpose of collecting personal information, who receives this information and where it is held. We must also provide for your ongoing rights to access this information about yourself and make corrections if necessary.

ACA are obliged to protect your personal and private information and not disclose it without your knowledge and approval. Information we ask you to provide will only be that which is necessary for the purposes of your course enrolment, learning and study records.

Scope

These guidelines apply to all ACA records as defined by the Public Records Act 1973, the Evidence Act 1958 and the Australian Standard on Records Management, regardless of the medium used (paper, computer disks, computer tape, CD ROM).

This applies to all students/employees engaged in a training program or traineeship.

Procedures

- Upon enrolment each candidate's personal details will be filed in the designated candidate file or filing cabinet (lockable) and retained in the terminal which is accessible by authorised staff.

- Administration staff will record any students fee payments and details of refunds paid.

- Students' personal details and records shall be maintained in a current condition, and updating of records will be actioned upon receipt of advice of changes.

- On enrolment, each students will be given a unique national student identifier (USI) in accordance with the Standards for Registered Training Organisations (RTOs) 2015, Standard 3.6

- The RTO will maintain up-to-date records of the verified training and/or assessment and vocational competencies of all staff and persons working on behalf of ACA.

- Students records will be backed up electronically at least weekly and a copy of all records removed from the premises for safe keeping in a location agreed to by the CEO.

- The RTO Manager will spot check files against RTO Manager to ensure correct information inputted and consistent with each other, every 6 months.

- Documents and materials that relate to the ACA's scope of registration (including Training Packages, and learning/assessment materials) will be managed in accordance with the RTO version control procedures.

Financial records

All financial documents are kept at the RTO's Head Office for one financial year after the annual financial audit is completed. They are sent to an offsite storage facility and kept for seven years, and then destroyed. The CEO is responsible for this function.

Students records

It is the responsibility of the Administration and Student Services Representative to implement procedures to assure the integrity, accuracy and currency of records.

Upon receipt of documentation from students (this includes enrolment applications and any supporting documents submitted by the students for the RTO's consideration) the Administration and Student Services Representative must ensure that they are scanned and saved on the RTO's network for future reference.

These soft copies of documents are backed up as part of the network backup process on a daily basis automatically. The back-up tapes are kept in an offsite secure storage. Hard copies of documentations are sent to an offsite storage facility on a regular basis to free up the RTO's site. Every 2 weeks the tapes are reused although they are maintained on the live system. Every 6 months a copy of all documents held on the network is made.

The RTO's network is backed up on a regular basis by the Administration and Student Services Representative. The back-up tapes are kept in an onsite secure storage for two years (4 terms) and then sent off to an offsite storage facility and kept for 28 years. This is the responsibility of the CEO or delegate.

Students/employee records retained by the RTO must include the following information as a minimum:

- Students/employee's current residential address and contact details
- Current enrolment status
- Course / qualification
- Course commencement date
- Duration of course
- Course fees paid (whether it was full or partial payment)
- Balance of payments receivable
- Unit titles and codes completed to date
- Unit results and date of completion
- Copies of any written agreements between the RTO and the students
- Whether consent has been given to disclose information to third parties

The Administration and Student Services Representative must ensure that all students records are entered into RTO Manager and hard copies of documentation are kept on site for 2 years after which they are scanned and saved electronically. All records of students' attainment of units of competency and qualifications (both soft and hard copies) must be kept safely for 30 years in total.

Hard copies of students records and documents such as those related to complaints will be maintained at the ACA Head Office.

Retrieval of records

Where retrieval of records is required a written request must be made to the Administration and Student Services Representative stating the reason e.g. re-issue of qualification or statement of attainment, 2 weeks prior to the required date. The Administration and Student Services Representative must ensure that all retrieved records are kept on the RTO's premises at all times and then sent back to the offsite storage facility within two working days of completion of usage.

In the event of closure of ACA RTO, the RTO Manager must ensure that transfer of records is consistent with state or territory registering body requirements.

The RTO Manager must also ensure that retention, archiving, retrieval and transfer of all other records is consistent with contractual and legal requirements and the requirements of the national registering body.

Attendance records

Regular and punctual attendance at workshops, training sessions or classes is required for successful completion of the courses at ACA. Students are required to attend a minimum of 80% of required classes to achieve their certificate. Refer to Attendance Policy.

Trainers are required to maintain an Attendance Register for each class or training session. Both the trainer and the students must sign off this form as a proof of attendance. Attendance Forms are then submitted to the Administration and Student Services Representative to be entered into RTO manager on a weekly basis. The RTO Manager will review the Attendance Register every fortnight.

Assessment records

Trainers are required to keep an accurate record of assessments for each student for each unit of competency.

After each unit of competency has been completed, trainers are to submit students' results on the *Class Results Sheet* to Administration to be entered into RTO Manager.

At the completion of each unit of competence, the trainer signs off the Final Results Summary sheet for each individual students, and once the students have seen and signed it, files it in the students' personal file and submits a copy with the completed assessments to the RTO Manager at the end of each study period for review and storage or to Administration to be entered into RTO manager.

The RTO Manager is responsible for checking RTO Manager and students files every 14 days to ensure that records have been entered and to identify any students who are not maintaining satisfactory academic progress.

Document retention schedule

Item	Minimum Period to Archive	Notes
Students assessments Interim results, documents which form part of a final result e.g. work books, practicum reports, completed assessment papers, assessable works, assignments	Keep for 2 years onsite following conclusion of administrative use. Then feedback & result forms scanned & stored with personal information	May be required for audit in the year following collection
Students results Record of AQF Qualifications and Statements of Attainment, summary form of final results to be awarded to students for each component of study	30 years	May be required for audit by ASQA or by students at any time. RTO Manager to oversee
Financial records	7 years	Financial Controller
Records consistent with ASQA contractual and legal requirements Record of attendance, enrolment forms, roll books, correspondence regarding attendance/ nonattendance, medical certificates, withdrawal forms, completed assessment tasks, moderation and validation records	**Temporary** Destroy 2 years after the students ceases to be a students	Note: State funding contractual arrangements may differ.
Policy and planning documents	Review every year, then archive for a period of 5 years.	CEO to oversee

Security of records

All students personal and academic records and files are securely electronically at all times; files are safely kept and managed by the RTO Manager at Head Office.

- Keys to the files are kept by the RTO Manager and the CEO and training staff have access to these files via the RTO Manager.
- The computer system operates with dedicated drives and separate folders for training, individual students and staff members.
- The students academic records including results are kept in the training drive and all trainers are given IT training and access to view these.

Archiving files

Completed hard copy files are separated from current files and archived alphabetically for a period of 2 years.

After 2 years they are destroyed by shredding and disposed of in an appropriate manner.

Records retained for audit

The following records shall be kept and maintained for each registration period and are subject to audit by ASQA:

Policies and Procedures

- Training and Assessment strategies
- Rolls, attendance sheets and attendance records
- Assessment policies, tools and records
- All RPL records
- Complaints and Appeals and their outcomes
- Evidence of continuous improvement
- Samples of completed assessments
- Learning materials
- Evidence of staff internal professional development
- Staff matrix, staff files and evidence of staff continuous development
- Records of assessment validation and moderation
- Evidence of students participation as per contractual and prescribed requirements
- Job descriptions
- Students and employer feedback and questionnaires
- Meeting agendas and minutes

DOCUMENT VERSION CONTROL

Policy

All staff at ACA who develop or review documents must comply with the RTO version control conventions.

Procedures

All staff involved in development or review of RTO documents must ensure that version control procedures are in place and materials are reviewed for currency on an ongoing basis, and that the Version Control Register is updated for the following information:

- Document name
- Issue date
- Version number
- Document owner
- Document location

There are 2 Version Control Registers:

- Learning and assessment materials
- Management and policy

Only the RTO Manager can change course materials, assessment materials on electronic files.

Policies and procedures, students handbooks, forms and other policy documents are the responsibility of the RTO Manager and can only be changed his /her authority.

Documentation which includes materials such as learning materials, assessment tools are accessible by all staff and may be changed, but must go through the RTO Manager for authorisation and entering onto electronic files and the Version Control Register.

Hard copies of files are kept in the locked filing cabinet at the head office and the individual trainers' office.

All staff members have ready access to materials relevant to their positions. It is the RTO Manager's responsibility to check the materials before they are filed and to keep the document filing cabinet up-to-date, and ensure that all persons required to perform any function under the RTO's scope of registration have ready access to all necessary current materials.

All reviewed documents must have a date and new version number entered in the footer as per ACA's conventions below:

Document: Students Complaints, Grievance and Appeals Policy & Procedure		
Approved by:	Version 1	Date: 19 November 2014

Details of revised documents and version number are entered in the Version Control Register.

Old versions of documents will be disposed of if obsolete or retained in the Archive folder on the ACA Portal if necessary to demonstrate continuous improvement.

Documents

- *Version Control Register*

PRIVACY AND ACCESS TO INFORMATION

Purpose

This policy is to ensure compliance of ACA with the Information on Privacy Principles set out in the Commonwealth Privacy Act 1988 (Amendment) and Privacy Principles, and with the VET Quality Framework.

The policy is also intended to ensure that everyone dealing with the RTO is treated respectfully and professionally.

Scope

This policy deals with the collection, use, disclosure, storage, security and access to personal information being held at ACA.

It applies to all teaching and non-teaching staff and to all current students and prospective students who have provided personal information to the RTO.

The policy is to be included in the Students Handbook, marketing materials and Staff Manual.

Policy

ACA is committed to the privacy of the students and staff and works diligently to ensure that everyone is treated respectfully and professionally.

ACA will respect the privacy of all individuals with whom it communicates.

Personal information is collected by ACA solely for the purpose of operating as a Registered Training Organisation under the VET Quality Framework and which is administered by the Australian Quality Standards Authority, who is the registering authority.

ACA also collects students information to continually improve the services they offer to all students.

The requirements of the registering authority may mean the release of students' personal information for the purposes of audit, or for collection of data by Commonwealth and State Government departments and agencies.

Access to students records may be provided where an officer of the law require the RTO to do so. ACA staff will comply with all external reporting responsibilities where required to do so.

The RTO Manager will maintain up-to-date records of the employment history and qualifications of all staff employed by the RTO.

ACA will ensure that all personal information given to the RTO by employees and students is held securely and safely.

Only staff directly involved with students welfare and or students results will have access to personal students details.

Trainers and the RTO administrative staff will provide students with access to their own files and personal information held by the RTO upon request according to procedures, including

access to their participation and progress, and they may request corrections to information that is incorrect or out of date.

Upon receipt of written consent by a students, the RTO staff will provide a third party with students's personal details.

Collection of information

The RTO requests information from students as part of the pre enrolment, enrolment and any re enrolment processes.

ACA staff will not collect personal information at any time by unlawful or unfair means.

The RTO will always take reasonable measures to ensure that the individual is made aware of why personal information is being collected and what it could be used for.

ACA will only collect students' personal information for the following purposes:
- For the essential communication for the students's safety and comfort during their studies
- When it is necessary for the RTO to make contact with a students's nominated family member in the case of emergency or accident.

Selected students details are also collected and used for:
- Processing enrolments
- Enquiries regarding courses available and sending out course information
- Communicating accurately with students
- Assisting students with courses they may be interested in
- Assisting students with RPL applications
- Students account details
- Assessing an individual students's entitlements for government funded areas.

The RTO will ensure that when personal information is collected it will not intrude to an unreasonable extent into the personal affairs of the prospective students / employee and that the information is up to date and complete.

Disclosure of information

Privacy and confidentiality is paramount within ACA and policies and procedures will be observed by all staff.

Personal information will not be released without the consent of the students or staff member.

Even though ACA is part of an employer group, it does not release personal details of students to employers or employees.

ACA does not release or sell students' personal details to any external companies for the purposes of marketing.

The RTO may from time to time be required to provide personal information to external organisations including the Australian Government and other designated authorities in order to provide specific services as required by law. These may include but are not limited to:
- Commonwealth Department of Education

- Australian Standards Quality Authority (ASQA)
- Department of Immigration and Border Control (DIABP)

If there is a serious health-related issue and some information may be provided to the RTO during a consultation with a practitioner, then this information may be accessed by the RTO staff for the purposes of providing further helpful services to the students.

No other parties will gain access to the information at any time, other than those listed above without the written consent of the individual students concerned.

Procedures

Ensuring the data quality

- Consistent with the Australian Privacy Principles, ACA is committed to ensuring that personal information collected by ACA remains accurate, complete and up to date.

- ACA relies on its students and staff to advise the RTO of changes that may occur in personal information in order to keep all records up to date and of good quality.

- ACA will ensure that the students' records are kept updated by making the changes in the students personal files, in the students management system and in the students soft copy register as soon as they are provided by the students.

- ACA will destroy records relating to personal information when such information is no longer necessary to be retained within the RTO's records. Personal information will be destroyed by shredding or other secure process.

Access to data and making corrections

- All students, clients and staff have the right to inspect their own personal information and files held by ACA.

- Prospective students are informed that upon giving the RTO their personal contact details, the RTO will use these details to process their enquiry and send them course information.

- Upon reasonable request and 5 working days' notice, the RTO administrative staff will provide a students with access to their personal records and if required, reissue statements of attainment or qualifications achieved. The RTO will not allow this to take place without an appointment being made and without the correct documentation filled out.

- Students's personal records cannot be released to parents, partners or any external party without the written consent of the students.

- When a record is found to be incorrect, this will be corrected; when a students requests that a record be corrected because it is not accurate or correct, the details of the request for amendment with the evidence supplied for change will be noted on the records.

Complaints

Any complaints regarding a privacy matter will be handled in accordance with the ACA Complaints, Grievance and Appeals Policy and Procedures.

Should complaints not be resolved by the RTO, students may also address their complaints to the Federal Privacy Commissioner at:

Office of the Federal Privacy Commissioner
GPO BOX 5218
Sydney NSW 1042
www.privacy.gov.au

Any policy and the availability of complaints and appeals processes within the RTO, does not remove the right of the students to take action under Australia's consumer protection laws.

Legislation

- *Commonwealth Privacy Act 1988 (Amendment)*
- *Australian Privacy Principles*
- *Privacy Amendment (Private Sector) Act 2000*

Documents

- *Request to Access Personal Information*

STUDENTS ACCESS TO RECORDS OF PARTICIPATION AND PROGRESS

Policy

Students have timely access to current and accurate records of their participation and progress including attendance records and course results.

Students may ask their trainer at any time during a course of unit of competency to see attendance records or assessment outcomes.

If the unit of competency has been completed and the results have already been entered into the Student Management System, they may ask to see their records from the Administration and Student Services Officer.

If students believe that any information in their records is not accurate, they may ask to have it reviewed in accordance with the Complaints, Grievances and Appeals Process.

Procedures

Procedure to access personal records by a students

- To access personal information the students must complete a Request to Access Personal Information form with 5 working days' notice. The form is available from the RTO office from the Administration and Student Services Representative or the RTO website.

- This form once completed and signed must be handed to the RTO Manager.

- The RTO Manager will ensure an appointment is made for the students to view their files through appropriate communication methods.

- The RTO Manager must also ensure a copy of the request form is stored in the students's personal file as a record.

- Once a students has reviewed the files and requested corrections, the RTO Manager will make the changes if approved, and sign and date the changes.

Procedure for students access to records of participation and course progress

- Students may ask their trainer at any time during a course to see their personal attendance records or assessment results. The trainer must provide this information on request or at the earliest convenience.

- If the unit of competency has been completed and the results have already been entered into the Student Management System, students may ask to see their records from the Administration and Student Services Representative. The Administration and Student Services Representative must show the results for that students only. This may involve printing a report.

- If students believe that any information in their records is not accurate, they may ask to have it reviewed in accordance with the Complaints, Grievances and Appeals Process.

ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

Policy

ACA issues AQF qualifications and Statements of Attainment that meet the requirements of the AQF Implementation Handbook and the endorsed Training Packages within the scope of its registration.

ACA will only issue AQF qualifications and Statements of Attainment to persons whom it has assessed as competent in accordance with the requirements of the Training Package and that certify the achievement of qualifications or competency standards that are within its scope of registration.

ACA will issue, record and report AQF qualifications and Statements of Attainment that:

- Meet the requirements in the current AQF Implementation Handbook, including use of the national codes and title
- Identify the units of competency from the qualification that the client has attained
- Meet the requirements for certification as specified by the National VET Regulator.

Scope

To be adopted by trainers and administrative staff at the RTO.

Procedures

- Following successful achievement of all competencies required for completion of a qualification, students will be issued with a testamur and transcript.
- Students failing to complete the required units of competency for a qualification are entitled to receive a Statement of Attainment for the units they have achieved on request.
- Certificates or Statements of Attainment will be issued within 30 days of completion of the course or request for certificate or Statement of Attainment.
- There is no charge for the certificate or Statement of Attainment.
- Students requesting replacement certificates will be charged a fee of $50.
- The RTO Manager will ensure that testamurs and Statements of Attainment comply with the requirements of the AQF and National VET Regulator.
- Students must pay in full any outstanding fees 20 days from the notification date before being issued with a Statemen of Attainment

STUDENTS SERVICES

IDENTIFYING LEARNER NEEDS

Purpose

ACA aims to provide equal access to training and delivery for all students and to meet the special needs of individual students where possible.

Policy

ACA will make all possible efforts to determine each student's individual learning requirements.

Learning need may relate but are not limited to:

- Special needs or disabilities

- Learning style

- Language, literacy and numeracy

- English spoken or written language

Learning needs will be identified where possible prior to enrolment, but where students are overseas or have not self-identified, they will be interviewed and monitored during enrolment and in the first week of the course delivery.

Where special needs are determined all efforts will be made to provide the appropriate support to enable the student to successfully complete the course.

Where the student is identified as not capable of successfully completing the course, and where the college does not have the facilities to provide the necessary support, referral will be made to another college or professional support. This may include additional English Language classes prior to continuation of the course, or additional English Language coaching. It may also involve professional counselling. Referral will be free of charge although support services will attract extra support.

Procedures

- Each student is interviewed by the Administration and Student Services Representative prior to course commencement to discuss the course generally and to question the students on his/her learning needs as well as any factors that may affect the students' progress through the course.

- The Enrolment Application form requires potential students to self-assess their English language skills and any special needs relating to the undertaking of the course (e.g. visual impairment, hearing problems) so that the RTO can make any necessary adjustments to the individual's training and assessment strategies.

- Following identification of special learning needs by the students and/or class teacher, learner support will be organised as appropriate by the Administration and Student Services Representative, RTO Manager, and trainer.

- If a student is struggling with content in class, Abbey College supports and encourages them to reach out to their trainers to organise a 'Bootcamp' class. This

class is conducted on a Friday and the College will supply a teacher for the whole day, to help tutor the student on unfamiliar content.

Documents

- *Enrolment Application form*

STUDENTS SUPPORT SERVICES

Policy

ACA is committed to providing high quality support services to students including the maintenance of sufficient support staff to meet the needs of all students enrolled with ACA.

ACA will ensure that all students are given appropriate orientation at the commencement of their training and are given reliable and up-to-date advice on course requirements and support services.

ACA will demonstrate regard for the cultural, social and special needs of disabled students and those from different backgrounds.

ACA will monitor the progress of students and ensure individual support and counselling for those having difficulties with a course.

ACA provides equal access to training and assessment for all students.

Where possible, ACA conducts flexible training to meet specific needs of individual students.

Students will be provided with reasonable adjustment where required. For example, delivery and assessment material or evidence gathering methods may be modified to suit individual learning needs and to incorporate the diverse range of students. This is undertaken by the trainers in association with the Academic Manager.

Students with learning difficulties beyond the RTO's areas of expertise are referred to external specialist agencies, with no cost to the students for the referral; however, these agencies may charge a fee for service.

Students with language, literacy or numeracy requirements will be provided with support according to the ACA Language, Literacy and Numeracy Policy.

Learner support will be provided where appropriate including:

- Pre-teaching technical terminology
- Demonstrating procedures
- Providing opportunities for "hands-on" experience proactively
- Providing individual support and advice to students
- Encouraging students to work at their own pace
- Providing oral or written learning material and illustrations as appropriate to reinforce the learning
- Where necessary, inviting students to record face-to-face training sessions on an audio-tape

Procedures

- Trainers are responsible for ensuring that all students are aware they can contact their trainer or staff members if they are experiencing difficulties with any aspect of their studies. Staff will ensure students have access to the full resources of ACA to assist them in achieving the required level of competency in all nationally recognised qualifications.

- Students can access support services from the Administration and Student Services Representative or from their trainer.

- If a student is experiencing personal difficulties, training staff will encourage the students to contact the RTO Manager who will provide discreet, personalised and confidential assistance in accordance with the nature of the difficulties.

- Support offered by ACA may consist of:
    - Coaching or one-to-one training
    - Counselling
    - Computer and technology support
    - Referral to external support services

- Should students require additional support services or welfare services outside the scope of the RTO or place of employment, they may be referred to an appropriate external agency through the Administration and Student Services Representative, trainer or Academic Manager.

Documents

- *Students Handbook*

List of external counselling services and assistance

Problem	Website	Phone no.
Alcoholism	www.aa.org.au	938 777 88
Anxiety (including phobias & obsessive-compulsive disorder)	www.ada.mentalhealth.asn.au	9879 5351
Anxiety	www.serenitynsw.com.au/	9740 9539
Asthma	www.asthmansw.org.au/	1800 645 130
Consumer credit and debt	www.cclcnsw.org.au/	1800 808 488
Crime stoppers (report crime anonymously)		1800 333 000
Crisis counselling (Wesley Mission)	www.lifelinesydney.org/	9951 5522 13 11 14
Depression	www.depressiondoctor.com/	
Depression (National Initiative)	http://www.beyondblue.org.au/	1300 22 4636
Disabilities	www.ideas.org.au/	1800 029 904
Domestic violence		8745 6999 1800 656 463
Drug addiction: Narcotics Anonymous	www.na.org.au	1300 652 820
Drug addiction (Christian help)	www.naranon.com.au/	9418 8728
Drugs and mental health	www.thewaysidechapel.com/	9358 6577
Families & friends with mental illness	www.arafmi.org/	9805 1883
Eating disorders	www.edf.org.au/	9412 4499
Eczema	www.eczema.org.au/	1300 300 182
Emergency services (police, fire, ambulance)		000
Epilepsy	www.epilepsy.org.au/	9856 7090
Family planning information	www.fpahealth.org.au/	1300 658 886
Gambling Counselling (Wesley)	www.wesleymission.org.au	9951 5566
G-Line (gambling)		1800 633 635
Gay & lesbian counselling line	www.glccs.org.au/	8564 9596
Grief support		9489 6644

Problem	Website	Phone no.
Grief support	www.solace.org.au/	9519 2820
Hepatitis C	www.hepatitisc.org.au/	9332 1599
HIV/AIDS	www.sesiahs.health.nsw.gov.au/	9332 9700
Telephone Interpreter Service		131 450
Legal information and advice	www.lawaccess.nsw.gov.au/	1300 888 529
Mental health advice	www.mentalhealth.asn.au/	9816 5688
Poison Information Centre		131 126
Police Assistance Line (non-emergency)		131 444
Pregnancy counselling	www.pregnancysupport.com.au/	1300 737 732
Rape Crisis Centre	www.nswrapecrisis.com.au/	1800 424 017
Relationship counselling	www.interrelate.org.au/	9745 5544
Schizophrenia	www.sfnsw.org.au/	9879 2600
Serious illness (sufferers & families)	www.can-survive.org/	1300 364 673
Smoking - Quitline		13 18 48
Suicide Prevention	www.suicideprevention.com.au/	1300 360 980
Victims of crime support		9374 3000
Women's refuge referral service		9560 1605

LANGUAGE, LITERACY AND NUMERACY

Policy

Students whose first language is not English and who do not meet the language standard will be advised as to what support and assistance they can receive. This advice will be provided by the Administration and Student Services Representative or trainer.

Special attention is given to applicants from a non-English speaking background in relation to Language, Literacy and Numeracy.

English language

Courses at ACA are conducted in English and all course materials and students' manuals are produced in English.

Scope

This Policy and Procedure applies to all students.

Procedures

- Students are given the opportunity to identify any learning needs including Language, Literacy and Numeracy requirements on the enrolment form.

- If there is any doubt about the Language, Literacy or Numeracy skills or the English language skills of the students experienced by the Administration Officer during the enrolment interview or by the trainer on commencement of the course, the RTO will ask the applicant to undertake a language, literacy, and numeracy test to ascertain the applicant's ability to undertake the course.

- Should students require assistance, the trainer will organise additional Language, Literacy and Numeracy support if required on a fee-per-service basis or may recommend that the students complete another course prior to commencing a course at ACA.

Documents

- *Enrolment Application form*

ATTENDANCE

Policy

It is expected that aall students attend a minimum of 80% of all scheduled, face-to-face training sessions in order to complete the requirements of their course.

This policy applies to all students.

It is the student's responsibility to ensure that they meet course attendance requirements.

Students will be informed of this policy and its consequences through:

- Inclusion of information about attendance in the Student Handbook issued for enrolment
- Orientation during the first day of the course
- Advising trainers to remind students of attendance policy so it can be reinforced during training.

Students who do not display regular attendance at their training sessions may be required to attend a disciplinary meeting.

In the event of extended absence due to ill health or personal reasons, students will need to discuss their position with the Academic Manager.

Procedures

- If students are not able to attend training or workshops, they must inform the RTO no later than the starting time on that day.
- Students can either call the RTO directly on the RTO number and leave a voice message, or email notifying us of their absence for the day.
- Upon returning to training after illness, the student must report to their trainer and make plans to complete the missed assessment. This is the responsibility of the student.
- Failure to report and make these arrangements may result in the deeming of non-competence in the unit of competency.
- Attendance is the responsibility of all students.
- Making up of time for missed training sessions is the responsibility of the students although in the case of illness, ACA will provide opportunities for the students to catch up.

MONITORING ATTENDANCE AND RECORD KEEPING

Policy

In order to comply with the Data Requirements and AVETMISS compliance requirements under the VET Quality Framework, ACA will keep accurate records of participation and attendance.

Procedures

- Students are required to sign in on the Attendance Register at the time of attendance and sign out at the end of the day with a daily confirmatory signature by the trainer. Trainers are to record students' actual arrival and departure times on the roll.

- Roll call is taken in each face-to-face training session

- Trainers are responsible for entering daily attendance onto the students Weekly Attendance Summary Sheet. Completed summary sheets are to be sent to the Administration and Student Services Representative by Friday close of business each week. Data will be entered into RTO Manager by the Administration and Student Services Representative. .

- Students who have been absent for more than 2 weeks will be phoned and/or sent an email by their supervisor and asked when they will be returning. If contact cannot be made via telephone a letter will be sent to the current address in the students' file.

- If a student falls below the required 80% attendance, the Academic Manager will arrange a meeting with the students to discuss a plan of action to restore their lost work and time.

MONITORING STUDENT COURSE PROGRESS

Policy

Upon enrolment, a study plan will be provided to students with a detail study period date and assessment submission dates.

On week 7 and week 13 of each study period, the Academic Manager will conduct a review of the academic progress for each student to determine whether the student's course progress has been satisfactory. Unsatisfactory course progress is defined as failing more than 50% of the units delivered within that study period.

If a student is at risk of not achieving satisfactory course progress for the study period, the Academic Manager will review the student's academic results with a view to activate the intervention strategy by sending warning letters.

Procedure

First Warning letter applies for the student who is at risk of failing for the first time or the 1st subject/unit of the term.
- First warning letters require students to contact the Course Coordinator/ Academic Manager to discuss strategies to avoid further academic warning letters. Students are encouraged to maintain satisfactory course progress. It is the student's responsibility to check emails regularly and attend the required meeting.

First Intervention letter applies for the student who has made unsatisfactory progress in the same term after 1st Warning.
- If student has failed more than 50% of units in a study period, they will be sent an intervention letter. This letter requires them to contact the Course Coordinator/Academic Manager to discuss strategies to help them achieve satisfactory course progress. Suggested strategies/interventions may include trainer support, English support, additional tutoring, increased monitoring, personal counselling, mentoring, placement in a more appropriate class, and/or reduction in study load.

Second Warning letter applies for the student who is at risk of failure in the following terms after 1st Intervention.
- If the student does not respond, and no contact has been made or information received about the students during the study period or if the student continue to fail more than 50% of the units they attempted in the second teaching term, they will be warned by email notifying that the student will be offered the intervention strategy program again.

If after the implementation of the intervention strategy, the student is identified as having unsatisfactory course progress in two consecutive study periods, the Academic Manager will send the student an "Intention to Report" warning letter notifying the student of the Institute's intention to report the student to DHA for unsatisfactory course progress.

Students will be provided with a formal opportunity to 'appeal the intention to report' within 20 working days. The appeal will be assessed in accordance with the Institute's student complaints and appeals policy and procedures.

If the appeal shows that there was an error in calculation, and the student made satisfactory course progress (successfully completed 50% or more of the course requirements for that study period), Abbey College Australia will not report the student and there is no requirement for intervention.

If the appeals process shows that the student has not made satisfactory progress, but there are compassionate or compelling reasons for the lack of progress, ongoing support will be provided to the student through the college's intervention strategy. Abbey College Australia will not report the student.

Where the student's appeal is successful, the outcome may vary according to the findings of the appeals process. If the appeal is successful, students will be advised in writing of the decision not to report them to DHA.

If the appeal is NOT successful, students will be advised in writing of the to report them to DHA. This will usually result in the cancellation of their student visa. This is in line with the 'DEEWR – DIAC Course Progress Policy and Procedures for CRICOS Providers of VET Courses

Documents
- *Student Course Progress Intervention*
- *Student Appeal Form*

COMPLAINTS, GRIEVANCES AND APPEALS

Purpose

The ACA Complaints, Grievances and Appeals Policy and Procedures aims to ensure that the RTO responds effectively to all complaints, grievances and appeals in an effective, timely, fair and equitable manner.

Scope

This policy relates to all students including those who are, or would be, entitled to government financial support.

This Policy and Procedures applies to both academic and non-academic matters.

A grievance can be defined as a person's expression of dissatisfaction with any aspect of ACA's services and activities.

In relation to non-academic grievances, the term "students" or "complainant" applies to both current students of the RTO and persons seeking to enroll with the RTO.

Non-academic matters may include:
- Operational matters
- Administrative matters
- The enrolment, Orientation/orientation process
- The quality of education and training provided
- Handling of personal information and access to personal records
- The way someone has been treated
- Discrimination and harassment issues e.g. sexual harassment, racial or sexual discrimination, physical or verbal abuse.

Grievances of an academic nature include:
- Issues related to students progress
- Assessment and assessment results
- Curriculum
- Awards in a course of study.

The complaints, grievances and appeals procedure will be made available to students regardless of the location where the grievance has arisen, the mode in which they study or their place of residence.

This Policy and Procedures will be made available to students and persons seeking to enroll with ACA through publication in the Student Handbook, on the RTO's website and during students orientation.

For the purposes of communicating to and training staff, the Policy and Procedures will be included in the Staff Handbook and form part of the staff Orientation process (which will be facilitated by the RTO Manager).

Policy

ACA will ensure that any grievances are resolved promptly, objectively and with sensitivity.

All complaints, grievances, appeals and outcomes are treated as confidential (unless they involve breaches of the law) and records will be dealt with in accordance with ACA's Policy and Procedures on Privacy and Access to Information.

ACA will ensure that the views of each complainant and respondent are respected and that any party to a grievance is not discriminated against nor victimised.

Each complaint, grievance or appeal and outcome is recorded in writing. A written explanation for decisions and actions taken during the process will be given to all parties if requested.

ACA's Complaints, Grievance and Appeals process is a staged process:

1. As soon as the complaint or issue arises, it will be dealt initially by discussion with all mentioned parties involved and an agreeable solution will be worked towards for all parties in an impartial and professional manner.

2. If the grievance or issue is not resolved informally, students may then use ACA's formal Complaints, Grievance and Appeals process.

3. If the complainant is dissatisfied with the outcome of the formal grievance he or she may lodge an appeal with the CEO.

4. If parties still remain in conflict they may agree to appoint an external mediator to help resolve the grievance. Each complainant has an opportunity to formally present his or her case and be heard by an independent person or panel and is entitled to seek outside support at any time if he or she desires.

Where the internal or external grievance handling or appeal process results in a decision that supports the complainant, the RTO will immediately implement any decision and/or corrective and preventative action required and advise the complainant of the outcome

Students who have ceased to study with ACA will be given a further 12 months after they have ceased their enrolment to use this Complaints, Grievance and Appeals Policy and Procedures.

There is no cost to students utilising this Complaints, Grievance and Appeals process.

Feedback from students regarding the RTO, courses, staff and other services is always encouraged and this feedback is not considered as a grievance, until and unless this is stated as such and specific actions or outcomes are requested.

A written record of all grievances handled under this procedure and their outcomes shall be maintained for a period of at least 5 years to allow all parties to the grievance appropriate access to these records, upon written request to the General Manager. These records will be maintained at 60 Phillip Street, Sydney, NSW, 2000 Australia.

All records relating to grievances will be treated as confidential and will be covered by the RTO's Privacy and Personal Information Procedures.

Procedures

Stage 1: Before an issue becomes a formal grievance

In cases where students, trainers or staff may feel they have been treated unreasonably or unfairly or where they feel they have been disadvantaged or feel distressed, and they wish to make a complaint about this, they are encouraged to initially talk to the person concerned directly and personally in an informal and confidential manner in an attempt to resolve the issues.

To resolve concerns or difficulties informally with the person(s) concerned:

- The students should contact the trainer who will endeavour to resolve the problem in the first instance without the need for a formal complaint.

- If the complaint is of a general nature, the students may fill out a complaint form and submit it to their trainer or the Administration and Student Services Representative or seek an appointment with the RTO Manager for an informal discussion. This may be via email, teleconference or Skype where a face-to-face meeting is not possible.

- If the problem is of a personal nature that may need professional help, the trainer or Administration and Student Services Representative may help the students to find an appropriate professional person in their local area.

Stage 2: Formal complaint or grievance

If the complaint or appeal is not able to be resolved through informal discussion with the parties involved, then a formal complaint should be made.

The person making the complaint is required to complete a *Complaints Form* available from the Students Forms folder located on the ACA website.

Formal grievances must be submitted in writing marked to the attention of the Administration and Student Services Representative.The students must include any supporting documentation to assist the staff member in understanding the grievance.

When the completed form is received by Administration it is entered by the Administration and Student Services Representative into the Student Records Management System. It will then be assessed by a relevant staff member, who may be RTO Manager or their delegated nominee dependant on the nature of the grievance.

The students will be issued with a written confirmation of receipt of the grievance within five working days.

The relevant staff member will investigate the grievance and interview key people where necessary (which may include the students). The formal grievance handling process will commence within 10 days of the receipt of the formal complaint, and all reasonable measures will be taken to finalise the process as soon as practicable.

The students will usually receive a written response within 10 working days of their grievance being lodged outlining the outcome and rationale for the decision. The students will be notified of any delays which may occur during the process.

The report will also advise the complainant of their right to access the internal appeals process if they are not satisfied with the outcome of their formal grievance.

Completed documents are reviewed by the RTO Manager and entered into the complaints folder as a record.

At all meetings minutes are taken and outcomes recorded by the Administration and Student Services Representative on behalf of the RTO Manager.

All parties will receive a written copy of the minutes.

Stage 3: Internal appeal

If the complainant is dissatisfied with the outcome of the formal grievance, he or she may lodge an appeal with the CEO within 20 working days of receiving notification of the outcome of their formal grievance.

The CEO will consult with the complainant and other relevant parties within 10 working days of the appeal being lodged.

Each case can be heard by the CEO, independent person or a panel and always with two persons present.

Where possible such consultations should take the form of face-to-face interviews. The complainant or the respondent may ask another person to accompany them to these interviews. Should a face-to-face interview not be possible, then it may be conducted via a teleconference or Skype.

Following the consultation, the CEO will provide a written report within 10 working days to the complainant advising the further steps taken to address the grievance, including the reasons for the decision. The report will also advise the complainant of their right to access the external appeals process if they are not satisfied with the outcome of their internal appeal.

Stage 4: External appeal

If the complainant is dissatisfied with the outcome of their appeal, he or she can seek to exercise their rights to a better resolution or an appeal from other outside parties and legal sources should that be necessary.

If the complaint cannot be resolved by this stage, then an independent person can be brought in, for example:

- Private conciliators or dispute resolution counselors
- Representatives of state or territory government departments
- Commonwealth and State or Territory offices of the Ombudsman
- The Anti Discrimination Board
- The Office of Fair Trading.

ACA will work with the complainant to arrange an external arbiter to ensure that all matters are handled professionally so that a suitable outcome is reached for both parties.

ACA will bear the costs of the arbiter if this becomes necessary.

All meetings and outcomes will be recorded in writing and all parties will be given a copy of this.

OR

Complainants may lodge an external appeal to the Australian Skills Quality Authority.

Students must first follow the ACA RTO Internal Appeals Process. If after, a complainant still believes ACA is breaching or has breached its legal requirements, they can submit a complaint to ASQA by completing the *Complaint about a training organisation operating under ASQA's jurisdiction* form.

Except in exceptional circumstances, students must attach evidence to the complaint form showing:

- that they have followed the RTO's formal grievance procedure and;
- the RTO's response.

ASQA's processes require students to identify themselves as a complainant; however students may request to keep their identity confidential throughout the investigation.

If students need further help with the Complaints, Grievances and Appeals process or if they are unsure whether ASQA can help with the complaint, they can call the ASQA Info line on 1300 701 801 or email complaintsteam@asqa.gov.au for further information.

ACA will act accordingly when an outcome is reached and will ensure that all parties are treated fairly and without bias.

While the complaint, grievance and appeal process is in motion, ACA will maintain the student's enrolment throughout the ongoing matter until it is resolved.

CRITICAL INCIDENTS

Policy

In the event of a critical incident of a student or employee ACA will follow the listed procedures on behalf of the students.

Scope

This Policy and Procedures applies to all students.

A critical incident is:

- An incident or accident of emergency and highly serious nature
- An incident that could include serious injury or death
- A serious accident leading to a critically ill students
- A serious incident that has led to a student's being hospitalised, possibly in a coma or in a high dependency ward care.

Procedures

If such an incident occurs for a students

On site:

- If the incident happens while the students is on site, the RTO Manager or organisation Supervisor and then the appropriate emergency services are called (ambulance etc.)
- The Campus Manager will contact the stated emergency contact person on their enrolment form.

Off site:

- If the critical incident occurs whilst the students is outdoors or at home and which affects the students's training program, the Campus Manager once informed of the incident will:
  - ensure all relevant persons are informed of the incident also
  - make appropriate arrangements for deferral or discontinuation of the training program.

Recording of the critical incident

- All critical incidents will be fully reported on the *Critical Incident form*.
- All completed forms will be filed in the students personal file and in ACA's *Critical Incidents Register.*
- All relevant education staff will be confidentially informed of the critical incident and kept informed of the students's progress by the Campus Manager.

Documents

- *Critical Incident form*
- *Critical Incidents Register*

TRAINING & ASSESSMENT

THE ASSESSMENT SYSTEM

Purpose

The purpose of this policy is to ensure that compliant and consistent assessments and assessment practices are carried out throughout ACA.

Scope

These Policies and Procedures are part of the assessment system which is a coordinated set of documents including assessment materials and tools to ensure that assessments are consistent and based on the Principles of Assessment and Rules of Evidence.

Definition: Assessment is the process of collecting evidence and making judgement on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

Assessment Methods employed by ACA include both formative, summative and recognition of prior learning (RPL) and include practical assessments, written questions and tests, projects and assignments and third-party reports (workplace).

All assessors are to follow the assessment policies and procedures set out in the Assessment Tools and RPL kits.

Policy

In order to facilitate a flexible approach to both learning and assessment, the evidence gathering is both formative and summative.

- Formative evaluation is ongoing throughout the delivery of the learning sequence at times mutually agreed upon between the assessor and students.
- The form and timing of summative assessment is determined prior to the course commencing and students will be informed at the beginning of the course or each new unit of competency.

Assessment will be compliant with the 'Principles of Assessment':

- **Valid** – it will cover the broad range of skills and knowledge that are essential to competent performance and is aligned to the unit of competence
- **Reliable** - it will provide consistent results in given contexts
- **Fair** - it will not disadvantage any individual and allows the individual to appeal the result
- **Flexible** - it can be adapted to meet different workplace contexts or special needs of individuals

Evidence collected will be compliant with the 'Rules of Evidence':

- **Valid** – will ensure that the evidence provided by the candidate directly covers the unit(s) of competency for which they are seeking recognition
- **Current** - appropriate evidence is available or is obtained to show that the candidate is currently able to use the skills and knowledge for which recognition is sought

- **Sufficient** - assessor will ensure that the candidate has provided enough evidence to make a confident judgment that competence has been achieved
- **Authenticity** – the assessor will be assured that the evidence presented for assessment is the learner's own work.

Note: The full version of the Principles of Assessment and Rules of Evidence are in the Standards for Registered Training Organisations (RTOs) 2015.

The trainer or assessor will provide information on the assessment process to students prior to commencing the unit.

The assessor will provide feedback to the students about the outcomes of the assessment using the appropriate assessment tools.

The Academic Manager will be responsible for the implementation and maintenance of the Assessment Policy.

Adequate facilities, equipment and training materials will be provided to ensure the learning environment is conducive to the success of the learners.

Assessment tools will be validated and moderated on a regular basis according to ACA's Assessment Validation and Moderation Policy.

Records of assessments and AQF qualifications and Statements of Attainment issued will be accurately recorded in ACA's Student Records Management System.

Students will be advised of their responsibilities in the assessment processes.

ACA's assessment processes will:
- Meet the requirements of the Training Package within the scope of its registration
- Be equitable for all persons, taking account of cultural and linguistic needs; and provide for reassessment on appeal
- Provide for students to be informed of the context and purpose of the assessment and the assessment process
- Where relevant, 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.

Assessment outcomes

Assessment is competency based. That means that the evidence is assessed against the Elements, Performance Criteria and Skills and Knowledge Requirements of the units of competency. Students are required to demonstrate satisfactory performance overall against all assessment criteria in each assessment.

There are two outcomes of assessments: S = Satisfactory and NS = Not Satisfactory (requires more training and experience).

Students will be awarded C = Competent on completion of the unit when the assessor is satisfied that they have completed all assessments and have provided the appropriate evidence required to meet all criteria.

If the students fails to meet this requirement, he/she will receive the result NYC = Not Yet Competent and will be eligible to be re-assessed.

Assessment methods

In order to facilitate a flexible approach to both learning and assessment, assessment is both formative and summative. Formative evaluation is ongoing throughout the delivery of the learning sequence at times mutually agreed upon between the assessor and students.

A range of assessment and evidence gathering methods are used including 2 - 4 methods for each unit of competency.

Assessment and evidence gathering methods employed by ACA include:

- practical demonstration
- projects and assignments and research tasks
- written questions and tests
- case studies
- role plays, simulations and presentations

The form and timing of assessments will be discussed with the students at the beginning of each new unit.

All students may apply for Recognition of Prior Learning (RPL) for units of competence where they have demonstrated competency.

Absence

Students will be given adequate notice of all practical assessments and must ensure they are present for them.

If a students is unable to attend a practical assessment, adequate notice in writing must be given to the RTO.

A medical certificate must be presented by all students if they miss an assessment due to illness.

If a students has missed an assessment due to medical reasons, an opportunity to be re-assessed will be arranged.

Procedures

Reassessment

- Students will be allowed to submit up to two further attempts at an assessment item or question for which the outcome is Not Satisfactory within the timeframe of a course (unit of competency). Where it is a fee for service course, no additional fees will be charged.

- Should students require further time for medical reasons, they must request it in writing to their trainer or the Administration and Student Services Representative.

- Students will be advised of their rights before and after the assessments including the right to appeal the result under ACA's Complaints and Appeals Policy.

Failing the first attempt and absence during the resit assessment:

- Students who fail their first attempt at an assessment event for any unit, can submit a second attempt.

- If a students does not submit this assessment and fails to produce a doctor's certificate for that date, the results are deemed Not Satisfactory.

- Students whose results are deemed Not Satisfactory due to failure to produce a doctor's certificate for their second attempt will then be required to submit for a third and final assessment at a nominated re-sit fee.

Responsibilities of the assessor

- All assessors must have and maintain appropriate qualifications and experience and maintain their competencies and currencies to conduct the assessment relevant to the qualifications offered.

- All staff employed to undertake assessments must comply with the requirements of the VET Quality Framework, and will undertake valid, reliable, fair and flexible assessment activities to ensure that all students are offered the opportunity to demonstrate their competence against the prescribed competency standards (including Recognition of Prior Learning).

- Assessors will provide to students all relevant information relating to the assessments prior to commencement

- Assessors will inform students prior to the assessment process being undertaken, of the appeals procedure that can be utilised if the students wishes to appeal against the assessment outcome or make a complaint.

- Assessors will document the results of the assessment process for individual students in line with the documented guidelines implemented by ACA.

- Students will be informed of the outcome of their assessment no later than **14 days** from the date the assessment was submitted. Prompt feedback is offered to the students on the outcome of the assessment.

- Feedback is delivered in written and verbal form to the candidate.

- Feedback on formative assessment includes specific examples to illustrate the nature of performance, and suggestions for improvement or gap training if relevant are offered by the assessor.

- Assessors will demonstrate integrity and professionalism by respecting the confidential nature of assessment and the communication and records storage

procedures established by ACA to protect the privacy of students, their history, their records and related documentation.

- Assessors are committed to the Principles of Access and Equity and will make Reasonable Adjustments in the assessment process should students suffer from any disability or disadvantage, providing it does not conflict with the Entry Requirements.

Responsibilities of the student

- All students are responsible for clearly indicating to their assessor any concerns or requests that could potentially disadvantage them in their efforts to demonstrate their competence during the assessment process and be willing to negotiate a strategy /outcome that will meet their needs and is acceptable to ACA.

- All written assessments are compulsory and students must submit them by the due date; after 7 days, unless there is a medical certificate or the student has previously requested an extension, the assessment will be deemed Not Completed and the result for that unit will be Not Yet Competent.

- Assignment Cover Sheets must be attached to all assignments and major projects.

- Assignments must reflect students's own work and any material used must be correctly referenced. Plagiarism and cheating will not be tolerated by the RTO.

- If a student is found to have copied, or cheated in any way, they may be at risk of being terminated as a student of the RTO.

Role of the workplace supervisor in assessment

It is expected that workplace supervisors will contribute to the assessment of students undertaking training and assessment through ACA.

This may occur in three ways:

1. Becoming an assessor
2. Participating in an assessment panel
3. Providing a third party report

1. Becoming an assessor

Supervisors and managers who possess the necessary competencies and experience in the areas in which they are supervising and/or training and who hold the TAE10 Assessor Skill Set or are able to demonstrate equivalence of competencies may become an assessor.

2. Assessment panels

Supervisors and managers who possess the relevant vocational competencies and experience in the areas in which they are supervising and/or training or who are subject experts but do not have the appropriate assessor competencies, may participate on an assessment panel.

This involves a 'co-assessment' arrangement, in which the person who holds the relevant vocational competencies works with an assessor in the assessment process. The judgement about whether competency has been achieved is made by **both parties** together.

Certification

Final qualifications or Statements of Attainment will be issued to the students within 28 days of successful completion of all required assessments.

TRAINING

Purpose

The purpose of this policy is to ensure that compliant and consistent training and skills development is carried out throughout ACA.

Scope

ACA provides services for a range of clients, including existing and new employees, fee-for-service courses, government funded programs and traineeships.

Currently ACA offers students nationally recognised training in the following qualifications:
- BSB40215 Certificate IV in Business
- BSB50215 Diploma of Business
- BSB60215 Advanced Diploma of Business
- BSB50820 Diploma of Project Management
- BSB60720 Advanced Diploma of Program Management
- BSB80120 Graduate Diploma Of Management (Learning)
- BSB40820 Certificate IV in Marketing and Communication
- BSB50620 Diploma of Marketing and Communication
- BSB60520 Advanced Diploma of Marketing and Communication
- ICT40418 Certificate IV in Information Technology Networking
- ICT51015 Diploma of Telecommunications Engineering
- ICT60615 Advanced Diploma of Telecommunications Network Engineering
- PSP60816 Advanced Diploma of Translating
- RII60520 Advanced Diploma of Civil Construction Design

Policy

ACA is committed to providing high quality, industry-current training to students and staff.

Delivery of ACA courses will be through a flexible, blended delivery model which can be adjusted according to individual or group needs.

Trainers may be under various employment arrangements including traineeships or full or part-time employment plus training.

Skills and knowledge will be developed through an integrated and practical array of activities, tasks and projects. Programs are designed as blended, self-paced programs, combining a mixture of classroom-based face-to-face training, on-the-job training and assessment, and individual learning activities and assessments.

Trainers are required to attend a series of workshops or training sessions for practical training and assessment activities followed by workplace-based projects.

Theory components will be delivered online or via email through workbooks and other suitable materials.

Where students do not have access to computers or email, hard copies will be provided.

Hours for face-to-face delivery for each individual unit are flexible and may vary due to the needs of each individual student, the nature of the training and holistic delivery where appropriate.

Students are required to complete several hours in self-based study to support on-the-job training.

Procedures

- All trainers must have and maintain appropriate qualifications and experience and maintain their competencies and currencies to conduct training relevant to the qualifications offered.

- Trainers who do not hold the required qualifications in training will work under supervision of qualified trainers.

- All trainers will be provided with the necessary information and required delivery materials prior to delivering training

- Trainers are committed to the principles of Access and Equity and will make Reasonable Adjustments in the training delivery process should students suffer from any disability or disadvantage, providing it does not conflict with the Entry Requirements of the course.

QUALIFICATIONS OF VET TRAINERS AND ASSESSORS

Policy

All trainers and assessors at ACA must be able to provide evidence that they hold the minimum qualifications set down in the Standards for Registered Training Organisations (RTOs) 2015 (the Standards) and the Training Package that they are training.

Trainers and Assessors

ACA will ensure that training and assessment is delivered only by persons who have:

- the TAE40116 Certificate IV in Training and Assessment or its successor; or

- a diploma or higher level qualification in adult education, and:

(a) vocational competencies at least to the level being delivered and assessed;

(b) current industry skills directly relevant to the training and assessment being provided; and

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

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Training staff with particular industry expertise who do not have the full qualifications required by the Standards may be appointed to teach under "direct supervision" of the RTO Manager or a qualified trainer, however they are not able to determine assessment outcomes. Arrangements will be set up and noted in the personnel file and staff matrix. This is managed by the Academic Manager.

Anyone working under supervision of a trainer must:

(a) hold the skill set listed in Schedule 1, Item 4 of the Standards

(b) have vocational competencies at least to the level being delivered and assessed; and

(c) have current industry skills directly relevant to the training and assessment being provided.

Qualifications and experience of trainers and assessors will be verified prior to appointment.

ACA will ensure that all trainers and assessors to maintain their vocational expertise and currency and undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

Trainers/assessors are required to advise the Academic Manager in writing of any changes to their CV or qualifications including activities undertaken to develop their vocational knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

as well as their industry currency and trainer/assessor competence.

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.

Procedures

Professional VET staff must take responsibility for maintenance of professional qualifications and industry currency and advise the RTO of any updates or continued developments.

The RTO will maintain current files of staff qualifications and experience and of activities undertaken by VET staff to continue to develop their skills and knowledge and practice of vocational training, learning and assessment including competency based training and assessment as well as their industry currency and trainer/assessor competence.

All trainers/assessors are required to bring original certificates when they go for their interview to be a trainer or assessor. All original qualifications presented by candidates will be sighted and verified and noted on the photocopies. Copies of qualifications must be verified by a Justice of the Peace or other authorised person.

Where an individual who does not have the full qualifications required is engaged to deliver training under supervision, ACA will:

- put in place the level of the supervision required and any requirements, restrictions considered necessary; and

- ensure that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

RECOGNITION OF PRIOR LEARNING (RPL) AND CREDIT TRANSFER

Policy

ACA recognises that competencies can be achieved through formal training and/or relevant knowledge and experience gained through work or life experience.

ACA recognises Australian Qualifications Framework (AQF) qualifications and statements of attainment granted by other Registered Training Organisations.

Current or potential students at ACA may apply and be eligible for Recognition of Prior Learning (RPL) or Credit Transfer for any unit of competency that is in the RTO scope and relevant to business and information technology skills

Students may be awarded course credits (Credit Transfer) based on formal training / education and relevant qualifications they have gained at a previous time with another Registered Training Organisation.

Students may be awarded RPL based on satisfactory evidence of previous experience and formal or informal learning to be determined through a formal RPL assessment process.

Credit transfer

'Credit Transfer' is defined in the AQF Handbook as 'a process that provides students with agreed and consistent credit outcomes for components of a qualification based on identified equivalence in contact and learning outcomes between matched qualifications.'

Credit transfer is an automatic recognition, not requiring the students to go through the RPL process.

ACA recognises AQF qualifications and statements of attainment granted by other Registered Training Organisations.

- If students have completed courses from a Registered Training Organisation that delivers AQF qualifications or units of competency that are nationally accredited, then these courses or units will be automatically recognised by ACA providing they are the same as those offered by the RTO.

- Units of competency with different codes or titles but which are equivalent to those offered by ACA (as determined by the Training Package developer) may be recognised providing they have been completed within the last 5 years.

ACA retains the right to verify the documents and paperwork presented to determine they are true and correct, and to also verify that the competences presented are current.

A student may present other evidence of courses and study they have completed previously within two weeks of their starting term.

Recognition of prior learning

Recognition of Prior Learning is the formal process by which the skills and knowledge gained through work and life experience and outside formal training arrangements are formally recognised.

This process allows competency to be determined without the students being required to complete formal assessment tasks. When recognition is gained for a unit this means it will not be required to be included in the students's course of study.

The assessment must be conducted by a qualified assessor who has the relevant assessment and vocational competencies. A non-refundable administration fee of $450 for each unit or module will be charged for assessing your portfolio.

ACA offers this process for students who want to gain recognition for an individual unit or the complete qualification. All applications are to be submitted to the Administration and Student Services Representative on enrolment.

RPL Assessments undertaken by the RTO are done in accordance with ACA's Policies and Procedures on Assessment.

Scope

Applications for RPL and Credit Transfer are available to all new and prospective students.

Procedures for an RPL and Credit Transfer are clearly outlined in the Student Handbook and pre enrolment materials.

Procedures

The application process for RPL and credit transfer

- RPL and Credit Transfer Application forms are available to students from ACA upon request
- All RPL and credit transfer must be accompanied with supporting documentation which could include:
    - Academic transcripts
    - Statement of attainment
    - Testamur
    - Reports
    - Resumes or CVs
    - References from relevant workplaces.
- All documentation must be in the form of original documents presented at pre-enrolment interviews where photocopies of documents can be taken and held in the students file as evidence of prior learning
- If original documents are not available, photocopies of original documents will only be accepted if they have been sighted and certified by a Justice of the Peace or Solicitor.
- Unsigned photocopies of any documents will not be accepted as evidence for RPL by ACA.
- All qualifications presented as evidence will be verified with the issuing body.
- Qualifications must be current, which means they must have been gained within the last 3 years.
- If a qualification was gained more than 3 years ago, evidence of work experience within the industry is also required.

- Skills must be current, which means the applicant must have evidence to show skills development in the workplace since gaining their qualification.

- If evidence of currency cannot be proved, then RPL application will not be considered by ACA.

- All RPL and Course Credit applications must be submitted before the course commences.

- RPL and Course Credit applications after course commencement may be considered under some circumstances, but this is at the discretion of the Academic Manager.

- Assessors have the right to contact applicants directly for clarification of evidence and may contact persons used as referees in their evidence to verify it. Such contact will be recorded in the appropriate individual students file.

- All documents, evidence and certificates must be retained in the students files

- The award of RPL or Credit Transfer for each students must be recorded in students records on VETtrak against each unit.

- RPL applications may incur a fee for each unit of competency regardless of whether the application for RPL is successful of not.

Credit transfer

- If students have completed courses from a Registered Training Organisation that delivers AQF qualifications or units of competency that are nationally accredited, then these courses or units will be automatically recognised by ACA providing they are the same as those offered by the RTO.

- All documents, certificates, statements of attainment etc. will be verified with the issuing body by the RTO to ascertain their authenticity.

- Once verified, copies of certificates must be retained in the students' files.

Recognition of prior learning (RPL)

- Students complete the Request for RPL Application Kit from the RTO through either the RTO Manager or the Administration and Student Services Representative.

- The RPL Kit is sent to students following request.

- Students gather all of their paperwork, transcripts, reference letters etc.

- Students check their skills against the competences they have achieved against the units of competency that are contained within the specific course they are interested in

- Students list all their evidence materials and types next to each unit as they work through the application form.

- Students present their evidence along with their application form to the RTO Manager.

- The Academic Manager or delegate (qualified assessor) will cross check all of the application and supporting documents and assess whether they support the awarding of Competent for each of the units of competency in the course.

- Students will be asked to participate in an interview to clarify and confirm the evidence of competence.

- Students may be asked to do a skills test on specific areas if required to confirm their competence. Students must be given a full written report of the requirements for this

assessment which must be signed by students and placed in the students' personal file.

- The RTO will calculate the exemptions (if any) and then work out the total course length.
- Credit will be awarded for those units for which students have demonstrated and received recognition of competency.

Steps in the RPL process

Once candidates have received information about the RPL process, they will review the RPL Kit and determine which qualification and/or competencies they are competent in.

There are six key steps:

1. Self-assessment against the competency standards in the RPL Kit for the qualification candidates are applying for, application and gathering of evidence of their skills such as any certificates, references, workplace documents, log books, pay slips

2. Interview with assessor, written test, written tasks and determining the job tasks and any clustering of competencies appropriate for the job role

3. Direct observation of performance in the workplace and assessment against competency standards relevant to their job role

4. Review of evidence of the candidates' competence, including documentation and assessments, and validation and verification of evidence

5. Reference checks, mapping of units achieved against qualification requirements

6. Informing candidates of overall outcome, provision of feedback and identification of any gaps and/or training needs, or application for certificate.

Outcomes

Following the RPL process, two outcomes are possible:

- The RPL is successful and candidates may receive credit for the unit/s achieved
- The RPL assessment is not successful, and students will be required to undertake training and assessment for the unit/s.

Documenting the RPL process

All documentation of each candidate's participation in assessment, the feedback offered to the students by the assessor and outcome of the assessment must be retained according to the requirements of the VET Quality Framework. This documentation includes:

- Record of results (recorded as C or NYC)
- Copies of written comments on organisational forms; including candidate self-assessment
- Feedback sheets and assessment tools as feedback on progress or assessment outcomes for individual candidates.
- Copies of all supporting evidence

Documents

- *Request for RPL Application Kit Form*
- *RPL Application Kit*
- *RPL and Credit Transfer Application*

VALIDATION AND MODERATION OF ASSESSMENTS

Policy

Assessment tools are validated on a regular basis including immediately after development or review and at the end of each term

Following review or development, all assessment tools are trialled, and feedback is provided and addressed to ensure that assessments meet the requirements of the Training Package, Rules of Evidence and Principles of Assessment.

Formal assessment validation meetings are held every six months and will involve review of assessment tools by trainers and assessors using appropriate validation methods and documents.

Assessments are moderated on a regular basis.

Moderation meetings are attended by all qualified trainers and assessors to confirm that the evidence gathering techniques meet the Assessment Guidelines of the Training Package and that the assessment tools and decisions meet the requirements of validity, reliability, consistency, fairness, flexibility, and reasonable adjustment.

Students and employer feedback on assessments is sought regularly using survey questionnaires and general feedback documents and is taken into account during validation and moderation.

Scope

To be adopted by all assessment and training staff at ACA.

Procedures

The procedures used to validate and moderate assessment activity at ACA are:

- Assessment validation meetings are held to conduct review and/or validation of assessment tools by trainers and assessors involved in the delivery and assessment at the end of each training period or six months as appropriate and following development and/or review.
- Assessment validation meetings are held initially with trainers and assessors following the development of new assessment tools. The meetings will confirm that the tools, assessment methods and processes adhere to the requirements of the Training Package and the Standards for Registered Training Organisations (RTOs) 2005, and are therefore ready for operation.
- ACA will implement a plan for ongoing systematic validation of assessment practices and judgements in accordance with the RTO Schedule of Activities that includes:
  a) when assessment validation will occur
  b) which training products (assessment tools, learning materials) will be the focus of validation
  c) who will lead and participate in the validation activities; and
  d) how the outcomes of these activities will be documented and acted upon

- Each training product will be validated at least **once every five years**, with at least **50% of products validated within the first three years** of each five year cycle, taking into account the relative risks of all the training products on scope.

- Systematic validation of assessment practices and judgements will be 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:

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

  b) Current knowledge and skills in vocational teaching and learning; and

  c) The training and assessment qualifications or Assessor Skill Set in item 1 or 3 of Schedule 1

- Industry experts will be invited to participate in validation to ensure there is the combination of expertise required.

- Trainers and assessors will provide feedback and administer and collect students surveys on an on-going basis.

- Moderation meetings with assessors and the ACA Academic Manager are held regularly to review industry and trainer feedback to check that the performance standards achieved in the assessments are consistent and meet industry practice.

- Supervisors and managers within the ACA network are consulted and feedback sought on an ongoing basis.

- The Academic Manager convenes moderation and validation meetings and documents the validation process using the RTO validation and moderation forms.

- Assessments selected for moderation will constitute a 10% sample of those conducted for that period.

- Practical assessments where of significance in a unit of competency, will be moderated by random sampling via assessment by two trainers and assessors cooperatively, wherever possible.

- Assessment methods and tools will be reviewed as required as the result of moderation and/or validation procedures.

Documents

- *Assessment Validation records*

- *Moderation records*

- *Assessment and Moderation register*

- *Assessment and Moderation schedule*

- *RTO Schedule of Activities*

TRANSITION TO REVIEWED TRAINING PACKAGES

Purpose

To ensure all training materials are updated to reflect a new or revised Training Package and to ensure the Training Package and associated revised materials are available to all staff within ACA.

Policy

The Academic Manager and CEO will be responsible for transitioning to any reviewed Training Packages within 12 months of their publication on www.training.gov.au. In accordance with the Standards for Registered Training Organisations (RTOs) 2005 when there are changes to the Training Package, there will be an internal review of all training and assessment strategies, materials and associated documentation as appropriate.

Procedures

The review will include as appropriate:

- The Academic Manager will attend a Training Package seminar with the Industry Skills Council, if applicable.

- All relevant RTO staff will be informed of new or revised Training Package and consultation with industry personnel and trainers undertaken to ensure relevance of changes to learning and assessment materials.

- Current qualifications and units will be examined and compared with the new units to determine changes.

- Existing assessment tools will be revised and upgraded to reflect the requirements of the revised qualification or units of competency.

- Existing learning materials will be revised and upgraded to the requirements of the revised qualification or units of competency.

- Any new resource materials will be created or purchased as required.

- Testamurs, transcripts will be changed to reflect the new Training Package.

- All marketing materials and website will be upgraded to reflect the new Training Package requirements.

- All reviewed documents will be recorded on Training Package Transition Register.

- Training and Assessment Strategy will be re-written to reflect changes.

- Trainers and assessors will be trained and/or up-skilled into the requirements of the reviewed qualification or units of competency.

- Trainer assessor matrix will be updated against the reviewed units of competency and/or qualifications.

- Changes will be documented in the *Continuous Improvement Register* as appropriate

Documents

- *Continuous Improvement Register*

HUMAN RESOURCES

STAFFING

Policy

Each member of ACA's staff who is involved in training, assessment or client service is competent for the functions they perform according to the Standards for Registered Training Organisations (RTOs) 2015 and Training Package requirements, the RTO's Recruitment Policy and Procedures and relevant Duty Statements.

ACA has developed and implemented written procedures for the recruitment, Orientation, and ongoing development of each member of its staff who is involved in training, assessment or client service; encourage and provide relevant opportunities for their professional development; and monitor their performance.

ACA's Orientation program and materials for new staff contain information relevant to their job role, the RTO's policies and procedures, assessment and training, the appropriate Training Package and relevant vocational education and training (VET) and legislative/regulatory requirements.

The RTO is committed to providing professional development (PD) opportunities to all employed staff and will provide regular information and bulletins to staff on relevant training and workshop opportunities.

The RTO will conduct regular reviews of staff performance and will conduct appraisal interviews on a yearly basis.

The CEO and HR Manager are responsible for providing a safe work environment within the RTO premises.

Scope

This policy applies to all staff and management of ACA.

Procedures

- The Academic management will ensure that training and assessment staff employed meet the Training Package, VET Quality Framework and RTO recruitment requirements as per position descriptions.

- The RTO management will provide all staff with clear and correct position descriptions.

- The RTO management will conduct regular staff reviews and annual appraisals for staff and propose appropriate professional development opportunities.

- The RTO management will ensure that professional development events are communicated to staff.

- The RTO management will ensure that all staff are provided with current information about VET, legislative and regulatory requirements.

- ACA will hold regular staff and management meetings to inform staff and enable input into the management and provision of services.

RECRUITMENT

Policy

All staff and contracted trainers / assessors at ACA must comply with the requirements of the Staff Handbook and ACA Policies and Procedures.

ACA is an Equal Opportunity employer. The RTO adheres to a policy of making employment decisions without regard to race, colour, religion, sex, sexual orientation, national origin, citizenship, age or disability. ACA will not accept sexual harassment, discrimination, illicit drug use or any other workplace activity that may bring discredit to the company.

Each member of the ACA staff who is involved in training, assessment or client service is competent for the functions they perform.

ACA will comply with all relevant legislation and regulations and vocational, education and training (VET) system requirements.

This Policy is communicated to and understood by all staff.

ACA abides by all State and Federal employment laws in dealings with staff and contractors.

Scope

This procedure covers all aspects of the recruitment process followed by the RTO staff in acquiring new temporary contract or permanent staff, including advertising, selection criteria, interviewing and engaging.

Procedures

- The CEO and Human Resources Manager are responsible for the identification of human resources needed and will advertise on the ACA website and other media as required.

- All candidates interested in applying for positions at ACA will be sent the following items by the Human Resource Manager:

  - Information regarding the position to be filled (including but not limited to essential and desirable selection criteria, position description and remuneration information).
  - Application form

- All completed forms are returned to the Human Resource Manager for processing.

- The Human Resource Manager assesses each application and makes confirmatory calls or general enquiries to confirm the validity and accuracy of the submitted documents and the skills level and experience of the applicant.

- For academic staff, the Academic Manager in consultation with the Human Resource Manager and CEO determines whether the applicant has the required qualifications as listed on the application form by discussion with the referees.

- The Human Resource Manager must ensure that all trainers/ assessors:
  - have appropriate qualifications as specified in the selection criteria document
  - have appropriate vocational experience
- All applicants are interviewed by the Human Resource Manager and/or delegate. If an appointment is to proceed, the following is forwarded to the applicant by the Human Resource Manager advising they are successful and detailing commencement details and:
  - an Employment Agreement
  - relevant position description.
- Photocopies of the following documents are taken by the Human Resource Manager:
  - Resume
  - Qualifications
  - References
  - Confidentiality agreement
  - Trainer Competency Mapping form
- All staff are required to bring original qualifications when they go for their interview. All original qualifications presented by candidates must be sighted and photocopies verified by a Justice of the Peace or other authorised person and noted.
- If candidates are unable to produce original documents, the RTO must not consider the particular qualification while evaluating the suitability of the applicant for the intended position.
- These records are kept current with updated copies provided as required and stored securely for the required period.
- The Human Resource Manager and/or CEO will deal with all human resources management matters involving dismissal or official warnings.
- ACA conducts police checks on all staff employed and does not employ staff or trainers who have a criminal conviction, or for violence or sexual assault.
- In cases of gross misconduct, ACA reserves the right to dismiss a staff member or contractor immediately without notice. Such circumstances may include such things as:
  - Theft
  - Refusal or neglect of duty
  - Immoral conduct or indecency
  - Sexual harassment
  - Possession, or under the influence of alcohol or drugs
  - Fighting or possession of offensive weapons
  - Abuse of the RTO personnel, property, plant or equipment
  - Issue of threats
  - Sexual misconduct / misadventure with candidates.

STAFF ORIENTATION

Policy

Each member of ACA staff who is employed in training, assessment or client service will undergo an Orientation program.

ACA's Orientation program and materials for new staff contains information, where relevant to their job role, on each of the following:

- Letter of employment offer
- Duty Statement / Position Description
- Copy of ACA Policies and Procedures including Staffing and Professional Development Policies
- Information on relevant legislation and the rights and responsibilities of trainers and students (WHS; workplace harassment; victimisation; equal opportunity; racial vilification; disability discrimination; RTO requirements, Privacy)
- Staff Manual
- Code of Practice

Access and Equity Policy

- Assessment tools
- RPL kit
- Relevant Training Packages and training materials
- the Standards for Registered Training Organisations (RTOs) 2015
- Information on reporting, students records, privacy
- Questionnaires, feedback and continuous improvement Procedures
- Meeting schedules
- Emergency Procedures and meeting points
- Staff Orientation receipt form

Scope

This policy applies to all staff and management of the RTO.

Procedures

- Upon appointment, the Human Resource Manager oversees the Orientation of the new staff member as prescribed in this Staff Orientation Policy, issues a copy of these Policies and Procedures and other documents as listed on the Staff Handbook.

- The Human Resource/ Academic Manager will conduct an Orientation program for all new staff.

- The Orientation program will consist of a welcome interview with the Human Resource Manager and an introduction to other staff members.

- The new staff member will be shown around the facilities, where applicable, by the Human Resource Manager or other existing staff member and provided with orientation information such as desk, computer access, transport, catering and access to supporting information.

- Staff will be issued with the documents as listed on the Staff Orientation Checklist and a Staff Manual by the Human Resource Manager or Administration and Campus Manager, and will be required to read and sign an Orientation Receipt which will be kept in the staff file.

- The Human Resource Manager or delegated staff member will explain the job role, duties and responsibilities including participation in staff and/or management and assessment moderation meetings and will provide the opportunity to ask questions.

- The Human Resource Manager or delegated staff member will explain the key areas of ACA's policies and procedures including the Professional Code of Conduct, compliance with regulatory and legislative requirements and continuous improvement policy.

- A signed copy of the completed Staff Orientation Checklist and Receipt is sent to the Human Resource Manager and attached to the trainer's personal file.

Documents

- *Staff Orientation Checklist / Receipt*
- *Educators' Evaluation Form*
- *Staff Manual*

PROFESSIONAL DEVELOPMENT

Policy

ACA is committed to providing appropriate professional development (PD) opportunities to all employed staff.

The Human Resource Manager will develop a professional development program in conjunction with the Academic and Campus Managers and trainers on a yearly basis.

The Human Resource Management will provide regular information and bulletins to all staff regarding relevant training workshops and short courses.

ACA staff will undergo an annual performance appraisal, and appropriate professional development and/or training will be identified, discussed and agreed on.

Where appropriate, the RTO may accept financial liability for the cost of such training.

Scope

This policy applies to all staff and management of ACA.

Procedures

- Human Resource Manager will ensure that PD events are communicated among staff.
- ACA management will provide opportunities in regular staff reviews and annual appraisals for staff to propose PD opportunities.
- ACA management will provide a percentage of its annual operating budget to support the professional development of its staff.
- PD attendances will be recorded by the Administration and Student Services Representative
- PD activities will be recorded by the RTO Manager on the staff matrix against individual staff members, and CVs must be updated by individual staff
- Individual staff will be advised that it is their responsibility to inform ACA of PD and other relevant activities undertaken to maintain their currency in professional and VET competencies.

LEGISLATION

Policy

ACA ensures that compliance with Commonwealth, State/Territory legislation and regulatory requirements relevant to its operations is integrated into its policies and procedures and that compliance is maintained.

The RTO is committed to ensuring compliance with all regulatory and legislative requirements relevant to its assessment and training services and operation within the VET sector.

Scope

ACA adheres to the following Acts and Regulations:

- *Work Health and Safety Act 2011 (Commonwealth)*
- *Commonwealth Racial Discrimination Act 1975*
- *Commonwealth Racial Hatred Act 1995*
- *Commonwealth Sex Discrimination Act 1984*
- *Anti-Discrimination Act 2004*
- *Disability Discrimination Act (Commonwealth) 1993*
- *Workers Compensation Act*
- *Equal Opportunity Act*
- *Human rights and Equal Opportunity Commission (HREOC) Act 1996*
- *Racial Discrimination Act 1975*
- *Sex Discrimination Act 1984*
- *Commonwealth Industrial Relations Act (1998)*
- *Commonwealth Industrial Relations Reform Act (1993)*
- *Commonwealth Affirmative Action (Equal Employment for Women) Act (1986)*
- *the Standards for Registered Training Organisations (RTOs) 2015*
- *National Vocational Education and Training Regulator Act 2011.*
- *Australian Qualifications Framework, and;*
- *Others as required by the VET Act*
- *Privacy Act 1998 (Commonwealth)*
- *Privacy Amendment (Private Sector) Act 2000*
- *Privacy and Personal Information Protection Act 1998*
- *Australian Privacy Principles (March 2014*
- *Copyright Act 1968*
- *State and Territory Public Health Regulations*
- *State and Territory Trade Practices Acts*
- *State and Territory Protection of the Environment Operations Acts*
- *Australian Consumer Law 2011*

- *Fair Work Act 2009*

- *National Employment Standards*

- *State and Territory Liquor legislation*

Staff are provided with information about current legislation and regulatory requirements that significantly affect their duties through Orientation programs and in the Staff Orientation, Staff Manual, the Training and Assessment Strategies and ACA website.

Students are provided with information about current legislation and regulatory requirements that significantly affect their participation in vocational education and training through the Orientation program, the Student Handbook, the ACA website and through specific advice provided by trainers.

ACA will ensure that it has all the insurance cover necessary to carry out its business, including insurance for public liability and WorkCover.

Copies of the Acts and regulations are available to both staff and students from the Campus Manager and relevant legislation is addressed in this manual, staff and students handbooks and Orientation programs.

Procedures

- A list of applicable legislation and regulations is to be included and maintained in Training and Assessment Strategies and the Staff Manual

- Relevant legislative requirements are included in the students handbook and on the ACA website

- Applicable legislative requirements are raised and addressed during staff Orientation and students orientation.

- Relevant legislation, regulations and codes are addressed through training and assessment and training and assessment materials as applicable.

- Compliance with legislative and regulatory requirements is to be monitored by all staff including trainers, managers and administrative officers.

- The CEO and Human Resource Manager will maintain current knowledge of legislative and regulatory changes including that pertaining to VET as well as other applicable legislation.

- The Human Resource Manager will ensure that applicable legislative and regulatory changes are addressed in relevant documentation.

EQUAL OPPORTUNITY

Scope

This Equal Opportunity Policy and Procedure will be made available to students and persons seeking to undertake training with the RTO through publication in the Students Handbook, the Staff Manual and on ACA's website

Policy

ACA applies access and equity principles through all its policies and procedures to promote full and equal participation of all students in its courses, to foster an environment free of discrimination and harassment, and to assist students to identify and achieve their desired outcomes.

ACA is committed to a policy of equal opportunity and freedom from all forms of discrimination as determined by both Commonwealth and state/territory legislation. This policy is issued on the basis that it is fair and just and contributes to the vision and values of the RTO.

In fulfilling this policy, ACA aims to:

- Promote the development of an RTO culture supportive of equity principles

- Ensure that all of its management and educational policies and practices reflect and respect the social and cultural diversity contained within the RTO and the community which it serves

- Ensure that the appointment and advancement of staff and admission and progression of students within the RTO are determined on the basis of merit only

- Provide equal employment and educational opportunities within the RTO and identify and remove barriers to participation and progression in employment and education

- Eliminate unlawful discrimination against staff and students on any race, religion, sex, health or social grounds

- Comply with Commonwealth and state/territory legislation on discrimination, equal opportunity and binding international human rights instrument.

The Human Resource Manager and the management of ACA are responsible for the implementation of this policy. ACA expects all staff, students and members of the RTO community to act in accordance with this policy.

Pre-enrolment information

ACA will ensure that prior to enrolment prospective students receive adequate information regarding the course, training, assessment, services and any Commonwealth or state/territory assistance provided by the RTO to enable them to make an informed decision about the suitability of the course and the RTO for their individual needs.

ACA will provide clear information to each students, prior to enrolment in regards to:

- Students selection, enrolment and orientation procedures
- Course information, including educational and vocational outcomes
- Fees and charges, including refund policy
- Provision for language, literacy and numeracy assistance
- Students support services
- Welfare and guidance services
- Flexible learning and assessment procedures
- Appeals and complaints procedures
- Disciplinary procedures
- Recognition of prior learning (RPL) arrangements and credit transfer.

Fair treatment

ACA will treat fairly:

- Employees and all other students seeking to enrol with ACA in a VET unit of competency or qualification
- Persons who are, or would be, entitled to government assistance and who seek to enrol with the RTO in a VET unit of study.

Equal benefits and opportunities

ACA will have open, fair and transparent procedures that are based on merit for making decisions about:

- Selection from among employees and all other students seeking to enrol with ACA in a VET unit of competency or qualification
- Selection of employees and other persons who are, or would be, entitled to government assistance and who seek to enrol with the RTO in a VET unit of study.

The above undertakings do not prevent ACA from making decisions about the selection and treatment of students, any educational disadvantages that a student has experienced.

Students selection

Students will be selected on merit based on the published criteria. ACA will ensure that throughout the process of selection and admission, applicants are treated fairly, courteously and expeditiously.

Entry criteria and application procedures are published in marketing materials and on ACA's website for the information of students and persons seeking to enrol with ACA.

Government assistance

The opportunities and benefits of any applicable Commonwealth and State/Territory assistance will be made equally available to all eligible students upon enrolment.

Legislation

- *Anti-Discrimination Act 2004 (Commonwealth)*
- *Disability Discrimination Act 1993 (Commonwealth)*
- *Workers Compensation Act*
- *Equal Opportunity Act*
- *Human rights and Equal Opportunity Commission (HREOC) Act 1996*

ANTI DISCRIMINATION AND HUMAN RIGHTS

Purpose

ACA aims to ensure that all students and staff members are treated fairly and equitably and that everyone on the RTO's premises complies with the Commonwealth Anti-Discrimination Act 2004 and the relevant state/territory anti-discrimination and Equal Opportunity legislation.

Policy

At ACA no one will be discriminated against or treated unfairly because of race, colour, religion, sex, sexual orientation, national origin, citizenship, age or disability, or because they belong to a particular social group.

ACA will not accept any form of harassment or bullying whether verbal or physical, intentional or unintentional.

ACA will not accept any unwelcome, unsolicited and non-reciprocated behaviour based on an inappropriate assumption of power.

ACA recognises that as in any area of human interaction, the boundaries of what constitutes harassment victimisation and bullying may vary from person to person. Employees and students of the RTO will recognise and respect the boundaries set by the RTO and others.

Victimisation is unacceptable and will not be tolerated. No person making a complaint or assisting in the investigation of a complaint will be victimised.

All people associated with ACA may expect the same rights:
- The right to learn, train or carry out their duties
- The right to be treated fairly and with respect
- The right to be safe in the workplace
- The right to inform management of any harassment
- The right to have all reports of harassment to be treated seriously, impartially and sensitively.

Students have the responsibility to:
- Allow others to learn
- Make the RTO a safe place to study by not threatening, bullying, or hurting others in any way
- Make the training environment safe by obeying instructions.

It is expected that all staff will:

- When acting in the course of their employment, comply with all applicable Australian laws

- Maintain appropriate confidentiality

- Disclose, and take reasonable steps to avoid any conflict of interest in connection with their employment and not use status, power or authority, in order to gain, or seek to gain a benefit or advantage for the employee or for any other person.

- Treat all reports of harassment seriously, impartially and sensitively

Sexual harassment

A person sexually harasses another person if the person:
- Makes an unwelcome sexual advance, or an unwelcome request for sexual favours, to the person harassed or
- Engages in other unwelcome conduct of a sexual nature in relation to the person harassed.

Conduct of a sexual nature includes making a statement of a sexual nature to a person, or in the presence of a person, whether the statement is made orally or in writing. This kind of behaviour will not be tolerated.

Discrimination

Discrimination is broadly defined as treating one person unfairly over another based on factors that are unrelated to their ability or potential. Commonwealth and state/territory legislation protects people at work and in education from discrimination on the basis of certain attributes and from being treated unfairly because they have complained about discrimination.

Under the Fair Work Act 2009, discrimination is disadvantaging someone in the workplace or education because of their:
- Race and/or colour
- Sex
- Sexual preference
- Age
- Physical or mental disability
- Marital status
- Family or carer's responsibilities
- Pregnancy
- Religion
- Political opinion.

Procedures

If students or staff believe that they are experiencing harassment or discrimination they should refer the matter to the Campus Manager immediately, or in the absence of the Campus Manager, they should contact the CEO.

Legislation

- *Commonwealth Racial Discrimination Act 1975*
- *Commonwealth Racial Hatred Act 1995*
- *Commonwealth Sex Discrimination Act 1984*
- *Anti-Discrimination Act 2004*
- *Disability Discrimination Act (Commonwealth) 1993*
- *Workers Compensation Act*
- *Equal Opportunity Act*
- *Human Rights and Equal Opportunity Commission (HREOC) Act 1996*

WORK HEALTH AND SAFETY

Purpose

ACA aims to achieve the highest attainable level of work health and safety (WHS) for its employees, students and other persons throughout all areas of its activities.

Scope

These Policy and Procedures apply to RTO employees working within the ACA Head Office or designated training premises.

Trainers and assessors working in premises owned by MAL and/or AVEO are subject to the MAL and/or AVEO workplace WHS system.

Students employed in premises owned by MAL and/or AVEO are subject to the MAL and/or AVEO workplace WHS system.

Students attending training on a fee-for-service basis at ACA premises are subject to the ACA WHS system and Policies and Procedures and MAL's WHS requirements.

Policy

ACA will achieve this by strict attention to all aspects of occupational health and safety in areas consistent with the scope of its operations by:

- A clear statement and delegation of WH&S responsibilities
- The provision of an adequate, responsible financial budget for the function
- Sound workplace planning, design and operation
- A positive and consistent example at all levels of administration and supervision
- Training based on standard proven work methods and written operational and maintenance procedure
- Education, counselling and where necessary, rehabilitation of those involved in its activities
- The enforcement of statutory and RTO safety regulations and procedures.

ACA's Human Resource Manager will be responsible for the implementation and maintenance of the policy.

It is the responsibility of all RTO personnel to ensure the implementation of safety systems appropriate to their operational responsibility and in accordance with current technology.

It is the responsibility of supervisory staff at every level to ensure that safe working procedures are clearly understood and consistently observed.

Administration staff and trainers shall ensure that all equipment in use is in safe working order and that workplace conditions are maintained at a high standard.

All members of ACA have a duty of care for their personal welfare and the welfare of their fellows. To meet this commitment each person must follow safe working procedures at all times, and take all reasonable care to prevent personal injury or injury to others and damage to equipment.

All members of ACA will participate in annual WHS audits as arranged by their particular worksite.

Procedures

ACA employees

To facilitate employee compliance with this policy ACA:

- Establishes and maintains workplace health and safety Procedures
- Establishes and monitors rules for safe students behaviour
- Trains staff and students in the safe use, handling and storage of equipment and materials.
- Provides adequate information regarding any hazards and risks within the RTO premises.
- Ensures that training premises are of adequate size and have adequate heating, ventilation, cooling and lighting.
- Develops and displays fire and emergency evacuation procedures.
- Undertakes a yearly WHS audit.

Students

Students whilst under the employment of MAL or AVEO are subject to the WHS system of their particular worksite.

Students attending training on a fee-for-service basis at ACA premises are subject to the ACA WHS system. This includes the following rules:

- Students must not run at any time in the workplace or RTO premises or engage in behaviour that is risky to self and others.
- Students must ensure that any spills are cleaned up immediately.
- All chemicals are to be stored in correctly labelled containers, and disposed of according to manufacturer instructions.
- Each students is responsible for the safety of themselves and others.
- The premises must be kept clean and hygienic at all times.
- Students must keep themselves and their clothing clean and have no exposed cuts, abrasions and/or wounds.
- Passage-ways and traffic areas are to be kept free from obstacles.

Health and safety legislation

Each students is responsible for ensuring the safety and health of her/his environment by:

- Co-operating with management so that employees of ACA may carry out their duties as required under the Work Health and Safety Act 2011.
- Making themselves aware of and complying with the relevant workplace policies, procedures and instructions.
- Taking reasonable care of themselves and others in the workplace.

- Reporting all known or observed hazards, incidents and injuries.

Designated health and safety officers

Students and trainers must refer to the relevant workplace WHS Policy and Procedures for information about Workplace Health and Safety Officers.

On ACA premises, employees and students are to refer to the Human Resource Manager in relation to WHS matters and/or the Campus Manager.

Fire/emergency and evacuation procedure

All ACA students will as part of their orientation will be taken through a full fire drill and evacuation by the relevant manager or designated person within their workplace.

Students, whilst employed by MAL or AVEO are subject to the compulsory safety procedures of the workplace including Fire/Emergency and Evacuation Procedures.

ACA employees, whilst on RTO premises are subject to the ACA procedures.

Whilst on ACA premises, in the event of a fire the following procedure is to be followed:

1. The person first sighting the fire should alert others in the immediate area.

2. The fire brigade should be notified by dialling 000.

3. The person calling should clearly state to the Operator the address of the workplace. If possible, advise the nature of the fire, i.e. electrical, etc.

4. The designated fire wardens must be notified immediately after the fire brigade is called.

5. Any attempt to extinguish the fire should ONLY be made if it can be done WITHOUT danger.

6. In the event of an evacuation, all staff and students must calmly proceed out of the building to the evacuation assembly area. WALK - DON'T RUN.

7. No staff or students of the RTO is to leave the evacuation assembly area until told to do so by a designated fire warden. A roll call will be taken at the evacuation point to ensure all are accounted for.

8. Under no circumstances must any staff/students member attempt to return to the building for any reason once an evacuation has been ordered.

9. Designated fire wardens must ensure that all staff and students including any visitors are accounted for according to a checklist.

10. Upon arrival of the fire brigade the designated fire warden should advise the officer in charge the result of the headcount and the exact location of the fire in the building.

The fire brigade has total authority once called to a fire emergency and all staff and students must follow any instructions issued by the fire officers.

Designated fire wardens

Students and trainers must refer to the relevant workplace Fire Wardens.

On ACA premises, employees and students are to refer to designated Fire Warden.

Legislation

- *Work Health and Safety Act 2011 (Commonwealth)*

RTO OPERATIONS

STUDENTS ORIENTATION

Policy

All students at ACA undergo Orientation to ensure that they are fully informed of all relevant information prior to commencing the course.

All students will participate in an orientation session to familiarise them with the training environment and surrounding area.

All students will be informed of their rights and obligations as students of ACA.

Procedures

- All trainers must participate in an Orientation session prior to commencing training.
- Students must be provided with all information according to the Student Orientation Checklist.
- Staff and students must sign the checklist to confirm that they have received the relevant materials and information

Students Orientation checklist

- Orientation to the RTO or workplace site and surrounding area
- Requirements to receive a qualification
- How skills and knowledge will be assessed
- Recognition of prior learning or recognition of current competency
- Assessment processes and how students can appeal if they don't agree with their assessment outcome
- How students can make a complaint if they are not satisfied with any part of the course
- How students can get extra help with their learning
- Course timetable and attendance
- Students ID Cards (photograph to be taken)
- Students name tags, lockers
- Uniforms
- Grooming standards
- Concession cards, paperwork – first aid certificate, emergency contact and medical form
- Student Handbook
- Key Policies and Procedures e.g. Attendance, Refunds, Complaints and Appeals
- Students obligations as a students at ACA including Students Code of Conduct
- Applicable legislative requirements e.g. Equal Opportunity, Work Health and Safety
- Introduction to staff and other students
- Emergency evacuation procedure and meeting point

- Fire drill
- Fees policy where applicable
- General questions / information

Documents

- *Students Orientation checklist / receipt*

STUDENTS CONDUCT

Policy

Students are expected to comply with the ACA Students Code of Conduct, the ACA Rules and Regulations and any other requirements as outlined in these Policies and Procedures.

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

Students are informed of all expectations regarding their participation in RTO activities and appropriate behaviour prior to enrolment through the website and at Orientation.

Students who attend the RTO or training environment at anytime must behave in a manner that is appropriate at all times.

Misconduct of a general or academic nature will be dealt with according to the nature and the extent of the misconduct under the ACA Disciplinary Procedures.

Students will have the opportunity to appeal suspensions, expulsions or penalties as a result of general or academic misconduct. For more information refer to Complaints, Grievances and Appeals section of this document.

Whilst in the workplace, students are expected to comply with the company grooming and appearance standards.

Staff are expected to comply with the company grooming & appearance standards as well as to meet the general students responsibilities.

Students code of conduct
1. Students will be willing to maintain high standards of behaviour and appearance in all areas and strive to maintain the good reputation of the RTO.
2. Students will not engage in any form of physical or verbal abuse towards staff members, other students or members of the public.
3. Students will not engage in aggressive behaviour at any time, be it verbal, physical or via social media
4. Students will behave in a safe manner and comply with the ACA and workplace WHS standards.
5. Students will not practise any form of discrimination.
6. Students will not engage in bullying or harassment of another students either on either ACA or company premises, off premises or via social media
7. Students will not engage in disruptive behaviour that prevents other students from learning
8. Students will not cheat, plagiarise or engage in any form of academic misbehaviour.
9. Students will adhere to their own workplace standards and regulations.

Any breach of this Code may result in disciplinary action or dismissal.

Students may be asked to leave the room if a trainer feels the students has displayed inappropriate behaviour.

Any form of physical or verbal abuse towards staff members, other students or members of the public will result in immediate dismissal from the RTO.

If a student is found cheating, it will result in immediate termination of their contract and expulsion from the course. The agreement signed with the RTO specifies that no refunds will be issued.

ACA rules and regulations

General misconduct

ACA will not tolerate any general misconduct. General Misconduct is that which:

- Contravenes any legislation or regulations
- Prejudices the good name or reputation of ACA
- Acts dishonestly in relation to admissions to the RTO or fails to comply with conditions agreed to in the contract
- Fails to comply with any penalty imposed for breach of discipline
- Obstructs any member of staff in the performance of their duties
- Alters any documents or records
- Harasses or intimidates another students, a member of staff, a visitor to the rto or any other person while the students is engaged in study or other activity because of race, ethnic or national origin, sex, marital status, sexual preference, disability, age, political conviction, religious belief or for any other reason
- Misuses any facility in a manner which is illegal or which is or will be detrimental to the rights or property of others including the misuse in any way, of any computing, communications or other RTO equipment
- Steals, destroys or damages a facility or property of ACA
- Is guilty of any improper conduct.

Academic dishonesty

All students are expected to maintain high standards of academic honesty and integrity.

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 advantage by unfair means or facilitate dishonesty such as:

- Cheating or intentionally using or attempting to use unauthorised materials, information or study aids
- Fabrication or intentional falsification or invention of any information or citation
- Plagiarism i.e. intentionally or knowingly representing the words or ideas of another as one's own.

ACA may impose serious academic sanctions as a result of academic dishonesty up to and including suspension and expulsion from the RTO.

Mobile phones

- No mobile phones are allowed during training sessions at any time. These are to be switched off and placed in the student's bags.

- If students need to be contacted whilst on ACA premises, the Administration & Student Services Representative will pass on any important messages to students while in class

Taking photos

- Students are not permitted to take photos in ACA premises or training rooms or of fellow students without the permission of the person concerned.

- At no time are students allowed to publish any photos on web sites or social media pages as this may conflict with our privacy laws and those of our company and of fellow students.

Alcohol/drugs

Any students found under the influence of drugs or alcohol will be immediately expelled. Lunch time breaks are not the time to be drinking; no students will be allowed to attend training if it is detected that they have had an alcoholic drink with their lunch.

Smoking

- Abbey college is a smoke, drug and alcohol-free zone.

- You are not permitted to smoke inside the buildings, including lifts and bathrooms.

- For students attending training at ACA premises, should any person choose to smoke during a break, must not exceed the break time allocated.

- Smoke must not be detected on any students at any time and suitable precautions must be taken e.g. oral hygiene to avoid the detection of cigarette smell. If a students comes to training session with the smell of cigarette on them, they may be asked to leave that lesson, and may even be asked to leave the RTO for that day.

Grooming & appearance standards

Students are expected to comply with the ACA grooming and appearance standards when on ACA premises or undertaking any mandatory work experience. High standards of grooming and appearance are considered important by ACA since students are working or intending to work in a health or hospitality environment. This includes:

- All students are required to dress in a non-offensive, neat and well-groomed manner and are always expected to present themselves in a professional and business-like image

- All staff shall present themselves in clothing that is in good repair, clean, pressed, and to a standard that is acceptable to ACA e.g. no T shirts or thongs.

- All students are expected to practise high standards of personal hygiene including:
  - clean, short or tied back hair
  - daily shower and use of deodorant
  - clean, short nails
  - clean teeth and fresh breath.
- Any cuts or open wounds must be covered.

Cheating and Plagiarism

PLAGIARISM, CHEATING AND REFERENCING

Policy

In Australian education, cheating and plagiarism are considered to be the same as theft. Copying another student's work is not acceptable under any circumstances.

Abbey College Australia is committed to upholding standards of student integrity and honesty in regards to the assessment of their work and places value in the declarations of authenticity made by students.

- Student plagiarism and cheating in any form are unacceptable and will be treated seriously by Abbey College
- When students are writing the answer to questions or a project, they must write in their own words. If they look up resource material to help them find the answers, they must correctly cite their work, using the Harvard system.
- Students must work independently and only in groups as required by the Assessment Instructions for group work in an assignment. and which can be found in the description of the Assessment task.

Definitions:

Cheating – seeking to obtain an unfair advantage in the assessment of any piece of work.

Plagiarism – to take and use the ideas and/or expressions and/or wording of another person or organisation and pass them off as one's own by failing to give appropriate acknowledgement. This includes material from any source such as staff, students, texts, resources and the internet, whether published or unpublished.

Copying – using another student's work and submitting it as your own.

COPYING

- Students must not copy the work of other students. Students submitting the same work will be penalised by having those submissions automatically fail.
- Students must not, for any reason, purchase or use assignments that they have found on the internet, such as from 'course hero', or 'homework market'. If you do, this is cheating, and you will be penalised.

HOW TO CITE WORK:

When students use sources such as a book or website, they must reference the source in their work.

1. Write the name of the resource in brackets after they quote or paraphrase (summarise) information they have used. For example:

   (Student Learning Guide, p6),

   OR

   (Wikipedia: https://en.wikipedia.org/wiki/Maslow%27s_hierarchy_of_needs)

   OR

   (The Very Well Mind: https://www.verywellmind.com/what-is-maslows-hierarchy-of-needs-4136760 P1)

   OR

(Bloggs B. 2018, p50)

2. Write a list at the end of the assignment or questions with the list of the resources they have used, including the names, author (if known) and date of publication, or website, headed **'Sources'.**

3. Students are permitted to copy and paste a small section of something that they have found that helps them to answer the question, however they must put it in inverted commas and follow it with the name of the source, or the website in brackets.

Procedures

Detecting cheating and plagiarism

- Assessors must check student work and be aware of potential plagiarism or copying e.g. compare it to other work the same student has submitted, or to other students' work.
- If it appears that it may be plagiarised, use the *Grammarly* software program to check.
- You must also do a random check of students' typed assignment work by applying *Turnitin* to **10% of students' work.**

Responding to cheating and plagiarism

- If students are suspected of cheating, or have been to be plagiarizing, assessors must give them an opportunity to respond to allegations. Do not speak to them about it in front of others. Ask them to attend an interview with you and ask them to explain their work and how they found the information.
- If students are found to have plagiarised, you must first explain to them what they have done and how to correctly reference their work. You must then ask them to re-submit the work.
- Student results should be withheld until the work has been re-submitted. Assessors may ask them to submit a gap assessment task or give them an oral test to assess a written question.
- Write clear notes in the student file on the student management system about the communication with the student in relation to cheating and plagiarism.
- If students are found to have plagiarised on more than one occasion, you need to speak with the Academic Manager who will meet with the student and may issue them with a Warning Letter.
- If students have plagiarised on multiple occasions, they may have their enrolment cancelled.

Abbey College strives to create a plagiarism-free environment. To do this we must ensure that staff explain to students at the beginning of each course, the importance of referencing their sources of information. If necessary, give them a reminder on how to do this correctly. Ensure that student results sheets are dated and signed and confirm that students have signed the Assessment Cover sheet when submitting written assignments, including the Declaration.

Remember, that in many cultures, plagiarism is not regarded as seriously as in Australia. Students may not understand what plagiarism is or not know how to correctly reference sources. Also, many students feel desperate and will go to the first available source of information to help with their assessments. It is particularly difficult for international students in the early stages of their course. You must ensure that all your students are aware of Abbey College policy and procedures on plagiarism and cheating and assist them correctly cite their sources of information. If you feel that the student does not have the necessary language skills to undertake the course, report this to the academic manager.

INTERNET USE AND SOCIAL MEDIA

Purpose

Social media allows for the easy sharing of information, expanding the tools for education and research training available to ACA and its students. Social media has become an important tool for students engagement and learning.

The RTO embraces the use of social media by students to connect with staff, researchers, peers, clubs, societies and alumni.

Given the public and external nature of social media, it is important that students who use social media understand the RTO's expectations. Students should be aware that the same standards that apply for interacting within and outside the ACA community in real life also apply online. The same respect, courtesy and professionalism expected in real life interactions should be displayed online. The consequences that apply to a breach of RTO rules by students apply also to breaches of rules for online conduct.

These procedures set out the RTO's expectations for the use of social media by students for educational purposes and for personal use purposes where they can be identified as ACA students.

Scope

Personal use of social media by a students, in a way that does not associate the user with ACA and is therefore not "identifiable personal use" as defined above, is not covered by these Procedures.

ACA will respond where a students makes identifiable personal use of social media that has the potential to impact on ACA's reputation and other interests, directly or indirectly. Accordingly, students who engage in "identifiable personal use" on any social media are required to be aware of, and comply with, these Procedures and Policies.

Policy

Students use social media in their learning and researching consequent to the RTO's encouragement of teaching staff and students to use new technology in innovative ways to enhance students learning and engagement. Any such use must also comply with these procedures.

Procedures

Rules for use of social media

When using social media in the context of education or research, and when making identifiable personal use of social media, students must:

- Only disclose and discuss information about ACA or its activities that is not confidential and is publicly available

- Take reasonable steps to ensure that content published is accurately and not misleading

- Ensure that the use, including content published, complies with all relevant rules of the RTO

- When making a statement on a matter of public interest, expressly state that the views expressed are those of the students and not those of the RTO (unless they are officially authorised by the RTO)

- Be respectful and courteous in communications

- Adhere to the Terms of Use of the relevant social media provider; and

- Comply with the law, including laws about copyright, privacy, defamation, contempt of court, discrimination and harassment.

Specific prohibitions

When using social media in the context of education or research training, and when making identifiable personal use of social media, students must not:

- Make any comment or post material that is, or might be construed to be, racial or sexual harassment, offensive, obscene (including pornography), defamatory, discriminatory towards any person, or inciting hate

- Make any comment or post material that creates, or might be construed to create, a risk to the health or safety of a students, contractor, staff member or other person, including material that amounts to bullying, psychological or emotional violence, coercion, harassment, sexual harassment, aggressive or abusive comments or behaviour, and/or unreasonable demands or undue pressure

- Make any comment or post material that infringes copyright, is fraudulent, breaches intellectual property rights, constitutes a contempt of court, constitutes stalking, breaches a court order, or is otherwise unlawful

- Imply that they are authorised to speak as a representative of ACA, or give the impression that the views they express are those of the RTO (unless they are officially authorised by the RTO)

- Use the identity or likeness of another students, contractor, staff member or other stakeholder of the RTO

- Use or disclose any ACA confidential information obtained as a students of the RTO

- Sell, purchase or offer to write assignments or other assessable work, or to request help with such work. Furthermore, students are required to take steps to minimise opportunities for others to cheat by, for example, not saving work to a shared network drive that is accessible by others and not sharing work on social media sites

- Make any comment or post material that might otherwise cause damage to the RTO's reputation or bring it into disrepute; and

- Use ACA's logo without permission or use ACA's name in a manner that is likely to be misleading or bring the RTO into disrepute.

Using images and video

In most cases, prior permission (i.e. a release) must be obtained to post, share or distribute images of individuals whose images are identifiable. Students should not post content that might be embarrassing to an individual or that could be construed as placing an individual in a negative or false light.

Students should not post content that might cause someone to believe that his/her name, image, likeness or other identifying aspect of his/her identity is being used, without permission, for commercial purposes.

Breach

A students who does not comply with the expectations of the RTO as set out in these Procedures may face disciplinary action, which in serious cases can result in exclusion from the RTO.

Any person concerned that the conduct of a students using social media contravenes these Procedures may report their concern to ACA. Reports will be reviewed to determine whether the matter requires investigation or action under the appropriate RTO rules (as per the definition above) and/or a response on behalf of the RTO.

Where required by ACA, a students is expected to remove, and cooperate with all attempts to remove, any comment, post or other online content where the RTO forms the view that it is in breach of these Procedures or any other RTO rules. A students who fails to act on such a requirement will be in breach of these Procedures, and the breach may be referred to the appropriate RTO process for further action.

DISCIPLINARY PROCEDURES

Policy

ACA will ensure all students receive fair and equal treatment.

Students who do not comply with the ACA Code of Conduct, Rules and Regulations and Grooming and Appearance Standards or engages in general or academic misconduct will be subject to disciplinary procedures.

If a students is unable to abide by the ACA Code of Conduct and Rules and Regulations he or she may be requested to leave RTO or training premises and not return until further action is taken by the CEO.

General and academic misconduct will be dealt with according to the nature and extent of the misconduct and may include reporting any criminal behaviour.

Students are also subject to individual workplace policies and procedures on discipline and behaviour.

Penalties imposed will take into account the nature and the extent of the misconduct.

Procedures

- Students will be issued with a Cause for Concern form if they are found to have:
    - Failed to comply with ACA Rules and Regulations
    - Breached Grooming and Appearance Standards

- The trainer will discuss the reason for cause for concern with the students and issue a warning to the students. Both parties will then sign the form and details will be filed and recorded in our students management system.

- If a second Cause for Concern form is issued, a meeting will be scheduled with the trainer, RTO Manager and students. The students will be asked to sign a record of the meeting and the concluded outcome. The signature acknowledges that the record of the discussion is accurate.

- If the students continues with their behaviour a third and final meeting will be scheduled with the General Manager. The students will asked why their enrolment should be continued. Details are documented in the students file and recorded in the students management system. For fee –paying students, no refund will be given if suspension or expulsion is the final outcome.

- The students has the right to appeal. If the students is unhappy with the outcome, he or she may use the RTO's Complaints, Grievance and Appeals procedures.

Penalties for misconduct

If the students admits to the alleged and continued misconduct, the General Manager may impose one or more of the following:

- A charge for the cost of damage to facilities and equipment

- Expulsion from ACA

- Reporting to the police in the case of breach of law or criminal behaviour.

Documents

- *Cause for Concern Form (CFC)*

COUNSELLING

Purpose

The purpose of this policy is to ensure that students have access to counselling when required and to ensure that proper procedures are followed during counselling.

Scope

These Policy and Procedures apply to students counselling in situations related to:
- students support
- breach of RTO rules and regulations or dress code
- discipline matters
- personal problems
- poor attendance
- lack of academic progress
- critical incidents

Policy

If a students has an issue of a personal nature they may consult the trainer or the Campus Manager.

The Campus Manager will have contact numbers for various external counselling groups if needed.

Support is offered and made available to all students.

Students wellbeing is a high priority within ACA.

While RTO staff are not trained counsellors, they are expected to be good listeners and to support students throughout their training with the ACA.

If students are in need of professional assistance, ACA staff will be able to help by contacting the appropriate support professionals.

Procedures

For students experiencing a problem, the following steps will apply:
1. Students should consult first with the class trainer
2. The trainer, Campus Manager and students will discuss the issue
3. The trainer, Campus Manager and students will decide on the best course of action i.e. solution plan or referral to a more specialist professional.

Where face-to-face counselling is not possible, consultation and counselling may be held via email, teleconference or Skype.

All counselling/private information will remain confidential at all times.

Any notes, records and referrals made during discussions with the RTO Manager will be dealt with in accordance with the General Privacy Statement set out in this manual.

SUSPENSION OR EXPULSION FROM THE RTO

Policy

ACA endeavours to assist all students and to treat all students as individuals and in a fair and equal manner at all times.

All students are required to comply with the RTO policies and regulations

If a students finds difficulty in following the policies and regulations of the RTO, they may be asked to withdraw from training for a specified time as stated by the CEO.

ACA reserves the right to suspend students who do not or cannot comply to the regulations and policies as set out here and as explained at orientation

The RTO reserves the right to suspend or expel a students for:
- Theft of any kind
- Non-payment of fees
- Non attendance
- Continued disruptive behaviour, rudeness to staff and fellow students
- Violence and bad language
- Attending the RTO under the influence of drugs or alcohol
- Not complying with the ACA code of conduct, regulations and policies
- Racist behaviour or comments
- Bullying or harassment
- Academic or general misconduct.

A students will be suspended for varying lengths of time depending on the severity of the incident and at the discretion of the RTO Manager.

No refunds are given to students who have been suspended or expelled from the RTO.

Procedures

- An initial meeting is held with the students and the Academic Manager, a verbal warning is given and documented in writing. The students is required to sign the warning document and it is placed in the students file

- If the behaviour has not improved, then a second meeting is held and students receives a formal warning which is also documented. The students then signs the document and it is placed in the students file.

- The students at this point is also advised that they have one final warning remaining before expulsion or suspension will occur.

- If the behaviour still has not improved, then the students is given a written letter stating all of the facts and events that have led to this point. The students is asked for his or her opinion on their behaviour and on the content of the letter. This response is noted in writing and placed in the students file.

- This serves as the expulsion or suspension letter and the students will be asked to leave the RTO immediately.

After the students has left the RTO or training program

- The outcome is formally sent to the students in writing. The students is informed of their status (suspended or expelled)

- The students can appeal if dissatisfied with the outcome.

- The students can request an external party to formally present their case (in this case ACA will supply a written report of the case to the third party).

- All events and steps recorded in the incident report by the Academic Manager are kept in the students file.

- If the complaint is lingering, the General Manager can mediate if the students agrees, and if it is still ongoing it can be referred to an external arbiter. The RTO will pay for this service.

Documents

- *Cause for Concern Form (CFC)*
- *Students Disciplinary Action Form*
- *Complaints and Appeals Form*

STUDENT SURVEYS

Policy

As part of ACA's continuous improvement policy, students will be surveyed from time to time to seek feedback on the services provided by ACA. In addition to ACA's own surveys, ACA is required to distribute NCVER surveys as part of their Data Submission requirements. Students may also be surveyed by the national regulator, the Australian Quality Standards Authority.

Procedures

ACA surveys

Students surveys will be distributed at the end of each training period (course or six months whichever is shorter).

Participating in the surveys is voluntary. However, students are encouraged to complete them as they help provide information about the training and assessment services delivered by ACA and will lead to improvements as appropriate.

All information provided and survey responses will remain confidential. The information provided will not be used for any other purpose. Names are not required to be included in survey responses.

NCVER surveys

The aim of the NCVER survey is to improve the economic and social outcomes of students who undertake vocational education and training (VET). This is achieved by providing the VET sector with information on the:

- Outcomes from training (e.g. Employment and further study outcomes)
- Relevance of the training
- Benefits of the training
- Satisfaction with the training
- Reasons for not continuing the training (where applicable).

The information is used by national and state/territory bodies, along with local training providers, to ensure vocational training is of high quality and relevant to Australian workplaces. The survey highlights both the positive and negative outcomes from training and monitors the effectiveness of the VET system. The information collected assists in administering, planning, and evaluating the VET system.

The National Centre for Vocational Education Research (NCVER) is a not-for-profit company owned by the State, Territory and Federal ministers responsible for vocational education and training. NCVER, under contract to the Commonwealth Department Education, collects information and provides research on vocational education and training in Australia to governments, the training sector, industry and the community.

The survey is to be completed and submitted by the end of July each year.

Information provided and survey responses will remain confidential. The information provided will not be used for any other purpose.

Participating in the survey is voluntary. However, the answers are important as they help improve future vocational training.

AGENTS AND THIRD PARTIES

Policy

ACA wants to recruit full time overseas students to study at Abbey College Australia.

The *Education Services for Overseas Students Act 2000* ("the ESOS Act") imposes certain obligations and requirements on the providers of education and training courses to overseas students and those providers' agents, including the obligations set out in the national code established under the ESOS Act and the National Code 2007.

ACA is registered on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) as part of the ESOS Act requirements under CRICOS Code 02658G.

The Agent provides services of recruiting suitable prospective students for enrolment and study in Australia.

ACA wants to engage the Agent as its representative in the Territory.

The Agent is aware of the requirements of the ESOS Act and the National Code and has agreed to comply with those requirements

ACA is not required to accept any prospective student referred by the Agent.

ACA will immediately take corrective action or terminate the agreement with the Agent if it becomes aware the Agent is being negligent or engaging in unethical and misleading advertising and recruiting.

Procedure

The agent must promote ACA and the Programs in the Territory
- In accordance with ACA policy and procedures recruit and assist in the recruitment of prospective students to undertake the Programs.
- Provide prospective students with all necessary information about the Programs, Abbey College Australia facilities and services and assistance in completing
- Arrange for English language testing of prospective students under the relevant Australian migration regulations and perform any other services and provide any reports or information requested by Abbey College Australia or required by this Agreement.

The Agent will be willing to participate in feedback surveys and monitoring activities run by the college.

Abbey College Australia must give the Agent enough information to enable the Agent to undertake the services:
- Provide up-to-date and accurate marketing information to Agent to enable the Agent to undertake the Services.
- Enable agent's access to up-to-date and accurate marketing information on ACA website or obtain from the Marketing staff at ACA, however notifications will be sent out to Agents for any up-to-date marketing information.
- Ensure the Australian Quality Standards Authority and ACA website are constantly updated with accurate and relevant information

- Assess completed applications from prospective students within a reasonable time of receipt.

TERMS AND DEFINITIONS

TERMS AND DEFINITIONS

Registered Training Organisation (RTO)

An RTO is a Training Organisation, which is registered by a State or Territory recognition authority to issue Australian Qualifications Framework qualifications and statements of attainment

Only Registered Training Organisations (RTO's):

- Can issue qualifications and statements of attainment that are recognised nationally

- Can use the AQF logo and NRT logos

- Are listed on the national training information service (www.training.gov.au) database

- Can be approved to provide courses to overseas trainees studying in Australia and listed on the commonwealth register of institutions and courses for overseas trainees (CRICOS)

- Are eligible to tender for public funding for vocational education and training.

An organisation that is not registered may offer training or assessment services, but it cannot issue nationally recognised qualifications. However, it could form a partnership with an RTO, which could issue the qualifications on its behalf.

Scope of registration

Scope of registration' refers to the products and services that a training organisation is registered to provide. RTO's provide:

- Either training and assessment products and services or assessment products and services only

- Products and services up to a specified qualification level that are based on training packages and/or accredited vocational education and training courses where there are no relevant training packages

Students

For the purpose of these Policies and Procedures, students may be students, trainees or employees who are participating in training or undertaking assessment through recognition of prior learning.

Employees

'Employees' refers to those employed in a full time or part time position with either MAL or AVEO.

ASQA

The Australian Skills Quality Authority (ASQA) is the national regulator for Australia's vocational education and training sector.

ASQA regulates courses and training providers to ensure nationally approved quality standards are met. See http://www.asqa.gov.au/about-asqa/about-asqa.html

Competency standards

'Competency standards' means the specification of industry knowledge and skill and the application of that knowledge and skill to the standard of performance expected in the workplace.

Training packages

A Training Package encompasses endorsed components which include units of competency (competency standards); assessment requirements; qualifications; and credit arrangements.

Training Packages also consist of non-endorsed, quality assured companion volumes which contain industry advice to RTOs on different aspects of implementation.

Training and assessment conducted by an RTO must be based on and linked closely to the Training Package/s in their scope of registration.

VET

VET stands for vocational education and training – that is, study and/or practical training that develop the skills and knowledge that people need for employment.

The VET sector

The VET sector is the part of the education system that provides courses and training programs related to employment. The other components of the education system are the RTOs sector, the Higher Education sector and the Adult and Community Education sector. There are connections between the qualifications in the different sectors, and it is possible for a person to have what they learned in one sector recognised in another sector.

The VET sector includes the TAFE (technical and further education) system and private RTOs and institutions, and can also include businesses that provide on-the-job training for their employees. As well as the VET providers, it includes organisations such as those whose role is to ensure that the needs of industry and government are addressed, design courses or training programs, conduct assessments, or manage apprenticeships and traineeships.

The VET Quality Framework (VQF)

The VET Quality Framework (VQF) is the legislative framework that governs a registered training organisation (RTO) and ensures the integrity of nationally recognised qualifications. It is comprised of:

- The Standards for Registered Training Organisations (RTOs) 2015
- The Fit and Proper Person Requirements
- The Financial Viability Risk Assessment Requirements
- The Data Provision Requirements, and
- The Australian Qualifications Framework.

National guidelines and handbooks to be used by registering bodies in all states and territories are readily accessible on the national training website at: http://www.asqa.gov.au/about-asqa/national-vet-regulation/vet-quality-framework.html

Standards for Registered Training Organisations (RTOs) 2015

The Standards for Registered Training Organisations (RTOs) 2015 are the national standards against which RTOs are assessed.

The Standards are used by ASQA as an instrument in protecting the interests of all students undertaking vocational education and training in Australia.

The Standards form part of the VET Quality Framework and guide nationally consistent, high-quality training and assessment services in the vocational education and training system.

The Australian Qualifications Framework (AQF)

The Australian Qualifications Framework (AQF) is the national policy for regulated qualifications in Australian education and training. It incorporates the qualifications from each education and training sector into a single comprehensive national qualifications framework. It covers all qualifications in post-compulsory education and training in Australia. The AQF was introduced throughout Australia in January 1995 and reviewed in 2011.

There are 14 qualifications ranging from Certificate 1 to Doctoral Degree. For more information about the AQF see: http://www.aqf.edu.au/

Competency Based Training and Assessment

Competency based Training and Assessment involves strategies designed to maximise the potential for a trainee to demonstrate that they can perform all workplace related tasks as outlined in the competency units. Consequently the delivery and assessment strategies used should also maximise trainee ability to perform these tasks.

Assessment

Assessment means 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.

Recognition of prior learning (RPL)

Recognition of prior learning (RPL) means an assessment process that assesses an individual's formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of, a VET qualification.

Unique Student Identifier (USI)

A USI is an online database that contains all of a student's training records and results (transcripts) completed from 1 January 2015 onwards. All students enrolling after 1 January 2015 must provide a USI to the RTO.

STANDARDS FOR REGISTERED TRAINING ORGANISATIONS (RTOs) 2015

Standards for Registered Training Organisations (RTOs) 2015

made under subsection 185(1) and subsection 186(1) of the *National Vocational Education and Training Regulator Act 2011* (the Act).

Compilation No.3

Compilation date: 1 July 2019

Includes amendments up to: Standards for Registered Training Organisations (RTOs) Amendment 2019 (No. 1) [F2019L00445]

About this compilation

This compilation

This is a compilation of the *Standards for Registered Training Organisations (RTOs) 2015* that shows the text of the law as amended and in force on 1 July 2019 (the **compilation date**).

The notes at the end of this compilation (the **endnotes**) include information about amending laws and the amendment history of provisions of the compiled law.

Uncommenced amendments

The effect of uncommenced amendments is not shown in the text of the compiled law. Any uncommenced amendments affecting the law are accessible on the Legislation Register (www.legislation.gov.au). The details of amendments made up to, but not commenced at, the compilation date are underlined in the endnotes. For more information on any uncommenced amendments, see the series page on the Legislation Register for the compiled law.

Application, saving and transitional provisions for provisions and amendments

If the operation of a provision or amendment of the compiled law is affected by an application, saving or transitional provision that is not included in this compilation, details are included in the endnotes.

Modifications

If the compiled law is modified by another law, the compiled law operates as modified but the modification does not amend the text of the law. Accordingly, this compilation does not show the text of the compiled law as modified. For more information on any modifications, see the series page on the Legislation Register for the compiled law.

Self-repealing provisions

If a provision of the compiled law has been repealed in accordance with a provision of the law, details are included in the endnotes.

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Commonwealth of Australia

National Vocational Education and Training Regulator Act 2011

Standards for Registered Training Organisations (RTOs) 2015

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PART 1   PRELIMINARY

1. Name of Instrument

This legislative instrument may be cited as the *Standards for Registered Training Organisations (RTOs) 2015*.

2. Authority

This legislative instrument is made under:
(a) Subsection 185(1) of the *National Vocational Education and Training Regulator Act 2011*; and
(b) Subsection 186(1) of the *National Vocational Education and Training Regulator Act 2011*.

3. Purpose

3.1 The purpose of this instrument is to make:
(a) *Standards for NVR Registered Training Organisations*, being those standards specified in Attachment A; and
(b) *Fit and Proper Person Requirements*, being those requirements specified in schedule 3 of Attachment A.

3.2 For the purposes of subsection 185(2) of the *National Vocational Education and Training Regulator Act 2011*, the *Standards for NVR Registered Training Organisations* are at Attachment A.

3.3 For the purpose of subsection 186(2) of the *National Vocational Education and Training Regulator Act 2011*, the *Fit and Proper Person Requirements* are at schedule 3 of Attachment A.

4. Commencement

For each class of person or NVR Registered Training Organisation specified in column 1 of the following table, the provisions of this instrument specified in column 2, commence on the date specified in column 3.

Column 1 Class of persons or NVR RTOs	Column 2 Provision(s)	Column 3 Date of Commencement
(i) persons applying to register as a new NVR RTO on, or after, 1 January 2015	All	1 January 2015
(ii) All NVR RTOs	Clause 3.6 of Attachment A	1 January 2015
(iii) All NVR RTOs registered: (a) prior to 1 January 2015; or (b) on or after 1 January 2015, where the application for registration was made prior to 1 January 2015.	All provisions, but not including clause 3.6 of Attachment A	1 April 2015

5. Revocation

5.1 For each class of person or NVR Registered Training Organisation specified in column 1 of the following table, the provisions of the *Standards for NVR Registered Training Organisations 2012* specified in column 2, are revoked on the date specified in column 3.

Column 1 Class of persons or NVR RTOs	Column 2 Provision(s)	Column 3 Date of Revocation
(i) persons applying to register as a new NVR RTO on, or after, 1 January 2015	All	1 January 2015
(ii) All NVR RTOs	SNR 12.5 and SNR 23.5	1 January 2015
(iii) All NVR RTOs registered: (a) prior to 1 January 2015; or (b) on or after 1 January 2015, where the application for registration was made prior to 1 January 2015.	All provisions, but not including SNR 12.5 and SNR 23.5	1 April 2015

5.2 For each class of person or NVR Registered Training Organisation specified in column 1 of the following table, the *Fit and Proper Person Requirements 2011* are revoked on the date specified in column 2.

Column 1 Class of persons or NVR RTOs	Column 2 Date of Revocation
(i) persons applying to register as a new NVR RTO on, or after, 1 January 2015	1 January 2015
(iii) All NVR RTOs registered: (a) prior to 1 January 2015; or (b) on or after 1 January 2015, where the application for registration was made prior to 1 January 2015.	1 April 2015

6. Transitional Arrangements

6.1 The revocation of the *Standards for NVR Registered Training Organisations 2012* does not affect the validity of any action taken or decision made under that instrument. A decision made under the *Standards for NVR Registered Training Organisations 2012* is taken to continue to have effect as if it were made under the *Standards for Registered Training Organisations (RTOs) 2015*.

6.2 From 1 January 2015, whenever the term 'Unique Student Identifier' is used in the *Standards for NVR Registered Training Organisations 2012*, that term is taken to be replaced with the definition for Student Identifiers within Part 1 of Attachment A, until full revocation of the *Standards for NVR Registered Training Organisations 2012* takes effect on 1 April 2015.

6.3 The Victorian Registration and Qualifications Authority (VRQA) and those RTOs regulated by the VRQA are not bound to comply with this instrument until such time as the Victorian Parliament passes an Act to amend the *Education and Training Reform Act 2006* (Vic) to incorporate appropriate references to the Standards, and that Act has commenced.

6.4 The Western Australian Training Accreditation Council (WA TAC) and RTOs regulated by WA TAC will not be bound by this instrument until such time as the *Vocational Education and Training (General) Regulations 2009* (WA) have been amended to incorporate appropriate references to the Standards, and those amendments have commenced.

Attachment A

PART 1 – PRELIMINARY

Name of Standards

These Standards are the *Standards for Registered Training Organisations 2015*. These Standards form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised qualifications.

RTOs are required to comply with these Standards and with the:

- *National Vocational Education and Training Regulator Act 2011* or equivalent legislation covering VET regulation in a non-referring State as the case requires
- VET Quality Framework

Note – the *National Vocational Education and Training Regulator Act 2011,* or equivalent legislation covering VET regulation in a non-referring State, provides the VET Regulator with the powers necessary to carry out its functions. Nothing in these Standards may be read as limiting or diminishing those powers.

These Standards should be read in conjunction with the:

- Standards for Training Packages
- Standards for VET Accredited Courses
- Standards for VET Regulators

Purpose

The purpose of these Standards is to:

1. 1. set out the requirements that an organisation must meet in order to be an RTO;

2. 2. ensure that training products delivered by RTOs meet the requirements of training packages or VET accredited courses, and have integrity for employment and further study; and

3. 3. ensure RTOs operate ethically with due consideration of learners' and enterprises' needs.

Structure

These Standards consist of eight Standards. Under each Standard is a set of Clauses of the Standard.

To comply with a Standard, the RTO must meet each of the Clauses. A person applying to register as a new RTO must demonstrate the capacity to meet these Standards for all of the person's intended scope of registration.

For each Standard a context statement is also included. The context does not form part of the Standard itself, and has been included to provide background information to help readers understand the Standard.

The Standards and Clauses are collectively referred to as Standards.

Definitions

The glossary at the beginning of these Standards defines certain words and expressions which have specific meaning in these Standards.

GLOSSARY

In these Standards, unless the contrary intention appears:

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.

Accredited short course means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

AQF certification documentation is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

Assessment means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

Assessment system is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Assessors are persons who assess a learner's competence in accordance with Clauses 1.13 to1.16.

Audit means an audit or compliance audit undertaken by the VET Regulator.

Australian Qualifications Framework (AQF) means the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.

Authenticated VET transcript has the meaning given in the *Student Identifiers Act 2014.*

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

Code means the unique identifier for units of competency, skill sets, VET accredited courses, modules, AQF qualifications or training packages as required by the Standards for Training Packages and Standards for VET Accredited Courses.

Competency means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

Current industry skills are the knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

Current industry skills may be informed by consultations with industry and may include, but is not limited to:

a) having knowledge of and/or experience using the 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 and workplaces;

d) being customer/client-oriented;

e) possessing formal industry and training qualifications; and

f) training content that reflects current industry practice.

Data Provision Requirements are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.

Educational and support services may include, but are not limited to:

a) pre-enrolment materials;

b) study support and study skills programs;

c) language, literacy and numeracy (LLN) programs or referrals to these programs;

d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;

e) learning resource centres;

f) mediation services or referrals to these services;

g) flexible scheduling and delivery of training and assessment;

h) counselling services or referrals to these services;

i) information and communications technology (ICT) support;

j) learning materials in alternative formats, for example, in large print;

k) learning and assessment programs contextualised to the workplace; and

l) any other services that the RTO considers necessary to support learners to achieve competency.

Executive officer means:

a) a person, by whatever name called and whether or not a director of the organisation, who is concerned in or takes part in the management of the RTO; or

b) an administrator, receiver and manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by a court); or

c) if the RTO is a body corporate:

    i. a person who, at any time during a period for which the organisation is registered, owns 15% or more of the organisation; or

    ii. a person who, at any time during a period for which the organisation is registered, is entitled to receive 15% or more of dividends paid by the organisation; or

    iii. the administrator of a deed of company arrangement executed by an organisation; or

    iv. a trustee or other person administering a compromise or arrangement made between the organisation and another person or other persons.

Financial Viability Risk Assessment Requirements means the requirements made under section 158 of the *National Vocational Education and Training Regulator Act* 2011 or equivalent requirements made or adopted by the VET Regulator of a non-referring State as the case requires.

Government entity means:

a) a Department of State of the Commonwealth; or

b) a Department of the Parliament established under the *Parliamentary Service Act 1999* of the Commonwealth;

c) an Executive Agency, or Statutory Agency, within the meaning of the *Public Service Act 1999* of the Commonwealth;

d) a Department of State of a State or Territory; or

e) an organisation that:

    (i) is not an entity; and

    (ii) is either established by the Commonwealth, a State or a Territory (whether under a law or not) to carry on an enterprise or established for a public purpose by an Australian law; and

    (iii) can be separately identified by reference to the nature of the activities carried on through the organisation or the location of the organisation whether or not the organisation is part of a department or branch described in paragraph (a), (b), (c) or (d) or of another organisation of the kind described in this paragraph.

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

Independent validation means**,** for the purposes of Clause 1.25, that the validation is carried out by a validator or validators who:

a) are not employed or subcontracted by the RTO to provide training and assessment; and

b) have no other involvement or interest in the operations of the RTO.

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

a) enterprise/industry clients, e.g. employers;

b) group training organisations;

c) industry organisations;

d) industry regulators;

e) industry skills councils or similar bodies;

f) industry training advisory bodies; and

g) unions.

Industry and Skills Council means the Commonwealth, State and Territory ministerial council established by the Council of Australian Governments (COAG), or its successor.

Industry engagement, for the purposes of Clauses 1.5 & 1.6, may include, but is not limited to, strategies such as:

a) partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;

b) involving employer nominees in industry advisory committees and/or reference groups;

c) embedding staff within enterprises;

d) networking in an ongoing way with industry networks, peak bodies and/or employers;

e) developing networks of relevant employers and industry representatives to participate in assessment validation; and

f) exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

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

Learner means a person being trained and/or assessed by the RTO for the purpose of issuing AQF certification documentation.

Licensed or regulated outcome means compliance with an eligibility requirement for an occupational licence or a legislative requirement to hold a particular training product in order to carry out an activity.

Mode of delivery means the method adopted to deliver training and assessment, including online, distance, or blended methods.

Module means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

National Register means the register maintained by the Commonwealth Department responsible for VET and referred to in section 216 of the *National Vocational Education and Training Regulator Act 2011.*

Nationally Recognised Training (NRT) Logo means the logo used nationally to signify training packages and VET accredited courses.

Operations of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

Person includes a body politic or corporate as well as an individual.

Professional development means activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and assessment, including competency based training and assessment. Examples of professional development activities include:

a) participation in courses, workshops, seminars, conferences, or formal learning programs;

b) participation in mentoring, professional associations or other learning networks;

c) personal development through individual research or reading of publications or other relevant information;

d) participation in moderation or validation activities; and

e) participation in industry release schemes.

Recognition of Prior Learning (RPL) means 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.

a) 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);

b) 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

c) 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).

Record means a written, printed, or electronic document providing evidence that activities have been performed.

Registrar has the meaning given in the *Student Identifiers Act 2014.*

Registration means registration as an RTO by the VET Regulator, where that registration is then entered on the National Register.

RTO means a Registered Training Organisation.

RTO code means the registration identifier given to the RTO on the National Register.

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

a) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or

b) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Services mean training, assessment, related educational and support services and/or any activities related to the recruitment of prospective learners. It does not include services such as student counselling, mediation or ICT support.

Skill set means a single unit of competency or a combination of units of competency from a training package which link to a licensing or regulatory requirement, or a defined industry need.

Standards for VET Accredited Courses are the standards made under subsection 188(1) of the *National Vocational Education and Training Regulator Act 2011* or the equivalent requirements adopted by a non-referring State.

Statement of attainment means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

Statistically valid means for the purposes of these Standards, a random sample of appropriate size is selected to enable confidence that the result is sufficiently accurate to be accepted as representative of the total population of assessments being validated.

Student Identifier has the meaning given in the *Student Identifiers Act 2014*.

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

Trainers are persons who provide training in accordance with Clause 1.13, 1.14 and1.16.

Training is the process used by an RTO or a third party delivering services on its behalf, to facilitate learning and the acquisition of competencies in relation to the training product on the RTO's scope of registration.

training and assessment credential are those qualifications, skill sets and units of competency, or relevant combination of those qualifications, skill sets and units of competency, specified in the table at Schedule 1.

Training and assessment strategies and practices are the approach of, and method adopted by, an RTO with respect to training and assessment designed to enable learners to meet the requirements of the training package or accredited course.

Training Package means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

Training Product means AQF qualification, skill set, unit of competency, accredited short course and module.

Unit of competency means the specification of the standards of performance required in the workplace as defined in a training package.

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

VET means vocational education and training.

VET accredited course means a course accredited by the VET regulator in accordance with the Standards for VET Accredited Courses.

VET Quality Framework comprises:

  a) the Standards for Registered Training Organisations

  b) the Australian Qualifications Framework

  c) the Fit and Proper Person Requirements

  d) the Financial Viability Risk Assessment Requirements

  e) the Data Provision Requirements

VET Regulator means:

  a) the National VET Regulator; and

b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

PART 2 – TRAINING AND ASSESSMENT

Standard 1. **The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses**

Context:

Learners, employers and industry must have confidence in the integrity, currency and value of certification documents issued by RTOs, through high quality training and assessment practices that:

- • *meet the requirements of training packages and VET accredited courses;*
- • *is responsive to industry and learner needs; and*
- • *is delivered by appropriately qualified trainers and assessors with the right support services, facilities and equipment.*

The RTO's training and assessment strategies and practices must have regard to the amount of training required for the learner to gain the competencies as specified in the relevant training package or VET accredited course. The amount of training will vary depending on the existing skills and knowledge of the learner, the mode of delivery and include any work placement arrangements.

To ensure thorough and rigorous assessment practices and results, RTOs must implement a comprehensive plan of systematic validation. RTOs must use a risk-based approach to developing the plan considering risk indicators such as the potential safety concerns to clients from an assessment outcome that is not valid, the mode of delivery, changes to training packages and/or licensing requirements.

Trainers and assessors who are involved in training and assessment delivery being considered as part of the validation process may also participate in the validation process.

There are differences in the operating characteristics and business objectives of RTOs and the evidence RTOs use to demonstrate compliance with this Standard will reflect those differences.

To be compliant with Standard 1 the RTO must meet the following:

1.1. The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

1.2. For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to:

a) the existing skills, knowledge and the experience of the learner;

b) the mode of delivery; and

c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

1.3. The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:

a) trainers and assessors to deliver the training and assessment;

b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;

c) learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and

d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

1.4. The RTO meets all requirements specified in the relevant training package or VET accredited course.

Industry relevance

1.5. The RTO's training and assessment practices are relevant to the needs of industry and informed by industry engagement.

1.6. The RTO implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

a) its training and assessment strategies, practices and resources; and

b) the current industry skills of its trainers and assessors.

Learner support

1.7. The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.

Assessment

1.8. The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):

a) complies with the assessment requirements of the relevant training package or VET accredited course; and

b) is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.

Table 1.8-1: Principles of Assessment

Fairness	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual learner by: • reflecting the learner's needs; • assessing competencies held by the learner no matter how or where they have been acquired; and • drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: • assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; • assessment of knowledge and skills is integrated with their practical application; • assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and • judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Table 1.8-2: Rules of Evidence

Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

1.9. The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:

a)   when assessment validation will occur;

b)   which training products will be the focus of the validation;

c) who will lead and participate in validation activities; and

d) how the outcomes of these activities will be documented and acted upon.

1.10. For the purposes of Clause 1.9, 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, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.

1.11. For the purposes of Clause 1.9, 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:

(i) vocational competencies and current industry skills relevant to the assessment being validated;

(ii) current knowledge and skills in vocational teaching and learning; and

(iii) the training and assessment credential specified in Item 2, or Item 5 of Schedule 1.

Industry experts may be involved in validation to ensure there is the combination of expertise set out above.

1.12. The RTO offers recognition of prior learning to individual learners.

Trainers and assessors

1.13. In addition to the requirements specified in Clause 1.14 and Clause1.15, the RTO's training and assessment is delivered only by persons who have:

a) vocational competencies at least to the level being delivered and assessed;

b) current industry skills directly relevant to the training and assessment being provided; and

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

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

1.14. The RTO's training and assessment is delivered only by persons who have the training and assessment credential specified in Item 2 or Item 3 of Schedule 1.

1.15. Where a person conducts assessments only, the RTO ensures that the person has the training and assessment credential specified in Item 2, or Item 3, or Item 5 of Schedule 1.

1.16. The RTO 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.

Individuals working under the supervision of a trainer

1.17. Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

1.18. The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

a) holds the training and assessment credential specified in Item 6 of Schedule 1.

b) has vocational competencies at least to the level being delivered and assessed; and

c) has current industry skills directly relevant to the training and assessment being provided.

1.19. Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

1.20. Without limiting Clauses 1.17 - 1.19, the RTO:

a) determines and puts in place:

i) the level of the supervision required; and

ii) any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence; and

b) ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

Delivery of the training and assessment qualifications for trainers and assessors

1.21. Deleted.

1.22. to deliver any AQF qualification or 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 hold the training and assessment qualification at least to the level being delivered.

1.23. 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:

a) hold the training and assessment credential specified in Item 7 of Schedule 1; or

b) work under the supervision of a trainer that meets the requirement set out in a) above.

1.24. The RTO must ensure that any person working under supervision for the purposes of Standard 1.23 b):

a) does not determine assessment outcomes; and

b) holds the training and assessment credential specified in Item 2 of Schedule 1.

Independent validation of training and assessment qualifications

1.25. 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**).

Transition of training products

1.26. Subject to Clause 1.27 and unless otherwise approved by the VET Regulator, the RTO ensures that:

a) where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register;

b) where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the National Register;

c) where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the National Register; and

d) a new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

1.27. The requirements specified in Clause 1.26 (a) do not apply where a training package requires the delivery of a superseded unit of competency.

Standard 2. The operations of the RTO are quality assured.

Context:

The RTO is ultimately responsible for ensuring quality training and assessment within their organisation and scope of registration, regardless of any third party arrangements where training and/or assessment is delivered on their behalf. This includes where the RTO subcontracts the delivery of services to a third party and the third party further subcontracts the delivery of services, but the AQF certification documentation will be issued by the RTO. The RTO must have a written agreement with any party that delivers services on its behalf.

The RTO is responsible for developing, implementing, monitoring and evaluating quality training and assessment strategies and practices that meet training package and VET accredited course requirements.

Evaluating information about performance and using such information to inform quality assurance of services and improve training and assessment is sound business and educational practice. The information used to evaluate RTO performance must be relevant to the operating characteristics and business objectives of the RTO and will vary from one RTO to another.

To be compliant with Standard 2 the RTO must meet the following:

2.1. The RTO ensures it complies with these 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.

2.2. The RTO:

a) systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and

b) systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

2.3. The RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

2.4. The 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 these Standards at all times.

2.5.

Standard 3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

Context:

To maintain the integrity and national recognition of training products, AQF certification must be consistent in presentation and RTOs must accept the certification issued by other RTOs. This is the purpose of nationally agreed requirements about the nature of certification content and presentation and maintenance. Learner needs should be met through timely issuance of AQF certification documentation and access to their records.

RTOs are not obliged to issue any certification that would be entirely comprised of units or modules completed at another RTO or RTOs.

To be compliant with Standard 3 the RTO must meet the following:

3.1. The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

3.2. All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

3.3. AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

3.4. 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.

3.5. The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; or

b) authenticated VET transcripts issued by the Registrar.

3.6. The RTO meets the requirements of the Student Identifier scheme, including:

a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;

b) 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*;

c) 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; and

d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Standard 4.   Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

> *Context:*
>
> *The RTO is ultimately responsible for ensuring transparent and accurate information about RTO services and performance is accessible to prospective and current learners and clients of the RTO, regardless of any arrangements to have this information distributed on behalf of the RTO.*
>
> *Transparent and accurate information about RTO services and performance enables prospective and current learners and clients to make informed decisions regarding their training and/or assessment needs.*
>
> *The information about RTO services and performance provided by the RTO must be relevant to and reflect the needs of the client which will vary from RTO to RTO.*

To be compliant with Standard 4 the RTO must meet the following:

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 advertises or markets 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 VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment; and

    l) does not guarantee that:

        i) a learner will successfully complete a training product on its scope of registration; or

        ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or

        iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

Standard 5. Each learner is properly informed and protected.

Context:

In order to ensure that learners are adequately informed about the services they are to receive, their rights and obligations, and the RTO's responsibilities under these Standards, the RTO must provide learners with information prior to commencement of services including any third party arrangements affecting the delivery of training and/or assessment. This is to occur regardless of the manner in which the learner has been engaged, and whether the learner was initially engaged by the RTO itself or a third party.

The RTO is to provide or make readily available information to the learner that outlines the services the RTO will provide the learner, along with the rights and obligations of the learner and the RTO.

The RTO may provide information to the learner through one or more documents, for example an enrolment form, policy, employment contract or agreement, induction handbook or documented practice, training plan or training contract.

To be compliant with Standard 5 the RTO must meet the following:

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.

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:

    a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;

    b) 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; and

        v) any work placement arrangements.

c) 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 certification documentation.

d) the learner's rights, including:

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

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;

e) the learner's obligations:

i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme 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; and

iii) any materials and equipment that the learner must provide; and

f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

5.3. Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

a) all relevant fee information including:

i) fees that must be paid to the RTO; and

ii) payment terms and conditions including deposits and refunds;

b) the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;

c) the learner's right to obtain a refund for services not provided by the RTO in the event the:

i) arrangement is terminated early; or

ii) the RTO fails to provide the agreed services.

5.4. Where there are any changes to agreed services, the 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.

Standard 6. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Subject to Clause 6.6, to be compliant with Standard 6 the RTO must meet the following:

6.1. The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

   a) the RTO, its trainers, assessors or other staff;

   b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or

   c) a learner of the RTO.

6.2. The 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.

6.3. The RTO's complaints policy and appeals policy:

   a) ensure 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) ensure 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 the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

6.4. Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the 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.

6.5. The RTO:

   a) securely maintains records of all complaints and appeals and their outcomes; and

   b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

6.6. Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in

accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

Standard 7.   The RTO has effective governance and administration arrangements in place.

> *Context:*
>
> *Business viability is critical to the ongoing sustainability of an RTO and the investment it makes in its services. If RTOs are not viable, then this negatively impacts on the quality of its training and assessment outcomes and on learners.*
>
> *Operational and financial business standards therefore provide important protective measures for the learner and RTOs, as well as acting as a disincentive for underprepared organisations to enter the market.*
>
> *The factors determining the viability of an RTO are dependent upon the business objectives and operating characteristics of the RTO. For example, the factors determining the business viability of an enterprise RTO embedded within a major Australian business may be different to those impacting upon a private provider or a publically-owned TAFE Institute.*

To be compliant with Standard 7 the RTO must meet the following:

   7.1. The RTO ensures that its executive officers or high managerial agent:

   a)   are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and

   b)   meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

   7.2. The RTO satisfies the *Financial Viability Risk Assessment Requirements*.

   7.3. Where the 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.

   7.4. The RTO holds public liability insurance that covers the scope of its operations throughout its registration period.

   7.5. The RTO provides accurate and current information as required by the *Data Provision Requirements* as updated from time to time.

Standard 8.   The RTO cooperates with the VET Regulator and is legally compliant at all times.

> *Context:*
>
> *RTOs need to comply with the requirements of the RTO Standards as well as other relevant Commonwealth, State and Territory legislation. This is critical if RTOs are to deliver training products that have integrity and which fulfil their obligations to their clients.*
>
> *It is important that third party arrangements are documented and transparent to facilitate the Regulator's knowledge that such arrangements exist. This will enable them to factor this into the risk profile they apply when enforcing compliance with the Standards and to review, in the context of RTO audits, the terms of the third party arrangements and the effectiveness of the arrangements in facilitating compliance with these Standards.*

To be compliant with Standard 8 the RTO must meet the following:

8.1. The RTO cooperates with the VET Regulator:

   a) by providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;

   b) in the conduct of audits and the monitoring of its operations;

   c) by providing quality/performance indicator data;

   d) by providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring;

   e) by providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

   f) in the retention, archiving, retrieval and transfer of records.

8.2. The RTO ensures that any third party delivering services on its behalf is required under written agreement to cooperate with the VET Regulator:

   a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

   b) in the conduct of audits and the monitoring of its operations.

8.3. The RTO notifies the Regulator:

   a) 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

   b) within 30 calendar days of the agreement coming to an end.

8.4. The RTO provides an annual declaration on compliance with these Standards to the VET Regulator and in particular whether it:

   a) currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months; and

   b) 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.

8.5. The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

8.6. The RTO ensures its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered.

SCHEDULE 1

Item	Standard	Training and assessment credentials
1		The following credential: *TAE40110 Certificate IV in Training and Assessment.*
2	1.11 1.14 1.15 1.24	One of the following credentials: Credential: *TAE40116 Certificate IV in Training and Assessment or its successor* *or* Credential: *TAE40110 Certificate IV in Training and Assessment, and one of the following:* (i) *TAELLN411 Address adult language, literacy and numeracy skills or its successor or* (ii) *TAELLN401A Address adult language, literacy and numeracy skills* *and one of the following:* (iii) *TAEASS502 Design and develop assessment tools or its successor or* (iv) *TAEASS502A Design and develop assessment tools or* (v) *TAEASS502B Design and develop assessment tools.*
3	1.14 1.15	The following credential: *A diploma or higher level qualification in adult education.*
4		The following credential: *TAESS00001 Assessor Skill Set*
5	1.11 1.15	One of the following credentials: Credential: *TAESS00011 Assessor Skill Set or its successor* *or*

SCHEDULE 1

Item	Standard	Training and assessment credentials
		One of the following credentials: Credential: *TAESS00011 Assessor Skill Set <u>or</u> its successor* <u>or</u> Credential: *TAESS00001 Assessor Skill Set,* *<u>and</u> one of the following:* *(i) TAEASS502 Design and develop assessment tools <u>or</u> its successor <u>or</u>* *(ii) TAEASS502A Design and develop assessment tools <u>or</u>* *(iii) TAESS502B Design and develop assessment tools.*
6	1.18	One of the following credentials: Credential: *TAESS00007 Enterprise Trainer – Presenting Skill Set* <u>or</u> Credential: *TAESS00014 Enterprise Trainer – Presenting Skill Set <u>or</u> its successor* <u>or</u> Credential: *TAESS00008 Enterprise Trainer – Mentoring Skill Set* <u>or</u> Credential: *TAESS00013 – Enterprise Trainer – Mentoring Skill Set <u>or</u> its successor* <u>or</u>

Item	Standard	Training and assessment credentials
		Credential TAESS00003 Enterprise Trainer and Assessor Skill Set Credential: *TAESS00015 – Enterprise Trainer and Assessor Skill Set or its successor*
7	1.23	One of the following credentials: Credential: *TAE50111 Diploma of Vocational Education and Training* *or* Credential: *TAE50116 Diploma of Vocational Education and Training or its successor* *or* Credential: *TAE50211 Diploma of Training Design and Development* *or* Credential: *TAE50216 Diploma of Training Design and Development or its successor* *or* Credential: *A higher level qualification in adult education.*

SCHEDULE 2

Independent validation requirements for RTOs delivering training and assessment qualifications or assessor skill sets from the Training and Education Training Package (or its successor)

For the purposes of Clause 1.25, the requirements for independent validation will apply as follows:

a) For an RTO applying to extend its scope of registration to include the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:

   i) the RTO's assessment tools, processes and outcomes in relation to other AQF qualifications and/or units of competency on its scope of registration, as directed by the VET Regulator; and

   ii) the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set.

b) For an RTO where its scope of registration includes the delivery and assessment of an AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), validation is of:

   i) the assessment system for delivery of the training and assessment qualification or assessor skill set; and

   ii) the RTO's assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set.

For the purposes of Clause 1.25, independent validation of AQF qualifications or the assessor skill set from the Training and Education Training Package (or its successor) must be conducted by one or more persons who collectively have:

a) current knowledge and skills in vocational teaching and learning; and

b) the training and assessment qualification or assessor skill set at least to the level being validated.

SCHEDULE 3

Fit and Proper Person Requirements

Criteria for suitability

In assessing whether a person meets the Fit and Proper Person Requirements, the VET Regulator will have regard to the following considerations:

a) whether the person has been convicted of an offence against a law of the Commonwealth or a State or Territory of Australia, or of another country, and if so, the seriousness of the offence and the time elapsed since the conviction was recorded;

b) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO had its registration on the National Register cancelled or suspended by its VET Regulator for having breached a condition imposed on its Registration;

c) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a condition of its registration under the *Education Services for Overseas Students Act 2000* or the *Tertiary Education Quality and Standards Agency Act 2011*;

d) whether the person has ever become bankrupt, applied to take the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors, and if so, the time elapsed since this event occurred;

e) whether the person has ever been disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*, and if so, whether the disqualification remains in place;

f) whether the person was involved in the business of delivering courses or other services on behalf of a person that was the subject of regulatory action described in points b) or c) above, and if so, the relevance of the person's involvement;

g) whether the person has ever provided a VET Regulator with false or misleading information or made a false or misleading statement to a VET Regulator, and if so, whether it is reasonable to assume that the person knew that the statement made or information provided to the VET Regulator was false or misleading;

h) whether the person has ever been determined not to be a fit and proper person as prescribed under any law of the Commonwealth or of a State or Territory of Australia, and if so, whether that determination remains in place;

i) whether the public is likely to have confidence in the person's suitability to be involved in an organisation that provides, assesses or issues nationally recognised qualifications;

j) whether the person has ever been an executive officer or high managerial agent of an RTO at a time that the RTO was determined to have breached a government training contract; and

k) any other relevant matter.

SCHEDULE 4

Conditions of Use of NRT Logo

The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to AQF certification documentation. The NRT Logo is a registered trade mark.

The following describes a range of situations and conditions for using the NRT Logo.

Advertisements and promotional information in any medium (print, television, radio, banners, internet, etc.)

1.   RTOs registered by any VET Regulator may use the NRT Logo to promote nationally recognised training provided that training is within the RTO's scope of registration.

2.   Impressions must not be created that may lead an observer to conclude the NRT Logo applies to all training provided by the RTO, if this is not the case. The NRT Logo cannot be used by an RTO where the training is accredited, but is outside the scope of registration of the RTO. Where training is being promoted and does not meet the requirements stipulated in the VET Quality Framework or is outside the RTO's scope of registration, it must be made clear the NRT Logo is not associated with that training.

3.   Use of the NRT Logo is only permitted where there is a direct relationship to an AQF qualification and/or unit of competency as specified within training packages or VET accredited courses.

Student information (brochures, course handbooks, prospectuses, etc.)

4.   When an RTO is promoting the training it offers and wishes to use the NRT Logo, its promotional material such as brochures, handbooks and prospectuses must clearly distinguish between nationally recognised training within the scope of registration and that which is not nationally recognised.

Corporate stationery, business cards, buildings, training resources and marketing products

5.   The NRT Logo must not be used on products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, packaging around products nor learning resources supporting training.

Certificates, Statements of Attainment and other testamurs

6.   The NRT Logo must be depicted on all AQF certification documentation issued by the RTO. These can only be issued by an RTO when the qualification and/or unit of competency are within the RTO's scope of registration. The NRT Logo must not be depicted on other testamurs or transcripts of results.

4. *Application of the AQF Qualifications Issuance Policy within the VET Sector*

5.   RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

6. 1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:

   a) the name, RTO code and logo of the issuing organisation;

   b) the code and title of the awarded AQF qualification; and

   c) the NRT Logo in accordance with the current conditions of use contained in Schedule 4.

7. 2. The following elements are to be included on the testamur as applicable:

   a) the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts);

   b) the industry descriptor, e.g. Engineering;

   c) the occupational or functional stream, in brackets, e.g. (Fabrication);

   d) where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and

   e) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.

8. 3. RTOs must not include the learner's Student Identifier on the testamur consistent with the *Student Identifiers Act 2014.*

9. 4. RTOs will:

   f) retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued;

   g) retain records of AQF certification documentation issued for a period of 30 years; and

   h) provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

Issuing Statements of Attainment

10. 5. RTOs must include the following information on a statement of attainment:

   a) the name, RTO Code and logo of the issuing organisation;

   b) a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency;

   c) the authorised signatory;

   d) the NRT Logo;

   e) the issuing organisation's seal, corporate identifier or unique watermark;

   f) the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';

11. 6. The following elements are to be included on the statement of attainment as applicable:

    a) the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities);

    b) the words 'These competencies form part of [code and title of qualification(s)/course(s)]';

    c) the words, 'These competencies were attained in completion of [code] course in [full title]'; and

    d) where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

12. 7. RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the *Student Identifiers Act 2014.*

13. 8. RTOs will:

    a) maintain registers of all statements of attainments issued;

    b) retain records of statements of attainment issued for a period of 30 years; and

    c) provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

SCHEDULE 6

Requirements for protecting fees prepaid by individual learners, or prospective learners, for services

a)   These requirements do not override obligations and requirements of the *Education Services for Overseas Students Act 2000* (Cth).

Type of RTO	Requirement

Government Entity or an Australian university	The RTO implements a policy addressing learner fee protection arrangements. This policy details how, if the RTO is unable to provide services for which the learner has prepaid, the learner will:
	• • be placed into an equivalent course such that:
	  • - the new location is suitable to the learner; and
	  • - the learner receives the full services for which they have prepaid at no additional cost to the learner; or
	• • be paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.

All other RTOs	The RTO addresses learner fee protection by implementing one or more of the following arrangements:
	14. 1. The RTO holds an unconditional financial guarantee from a bank operating in Australia where:
	  b) a) the guarantee is for an amount no less than the total amount of prepaid fees held by the RTO in excess of the threshold prepaid fee amount for each learner for services to be provided by the RTO to those learners; and
	  c) b) all establishment and ongoing maintenance costs for the bank guarantee are met by the RTO.
	15. 2. The RTO holds current membership of a Tuition Assurance Scheme approved by its VET Regulator which, if the RTO is unable to provide services for which the learner has prepaid, must ensure:
	  a) the learner will be placed into an equivalent course such that:
	    • - the new location is geographically close to where the learner had been enrolled; and
	    • - the learner receives the full services for which they have prepaid at no additional cost to the learner; or
	  b) if an equivalent course cannot be found, the learner is paid a refund of any prepaid fees for services yet to be delivered above the threshold prepaid fee amount.
	16. 3. Any other fee protection measure approved by the VET Regulator.

Endnotes

Endnote 1—About the endnotes

The endnotes provide information about this compilation and the compiled law.

The following endnotes are included in every compilation:

Endnote 1—About the endnotes

Endnote 2—Abbreviation key

Endnote 3—Legislation history

Endnote 4—Amendment history

Abbreviation key—Endnote 2

The abbreviation key sets out abbreviations that may be used in the endnotes.

Legislation history and amendment history—Endnotes 3 and 4

Amending laws are annotated in the legislation history and amendment history.

The legislation history in endnote 3 provides information about each law that has amended (or will amend) the compiled law. The information includes commencement details for amending laws and details of any application, saving or transitional provisions that are not included in this compilation.

The amendment history in endnote 4 provides information about amendments at the provision (generally section or equivalent) level. It also includes information about any provision of the compiled law that has been repealed in accordance with a provision of the law.

Misdescribed amendments

A misdescribed amendment is an amendment that does not accurately describe the amendment to be made. If, despite the misdescription, the amendment can be given effect as intended, the amendment is incorporated into the compiled law and the abbreviation "(md)" added to the details of the amendment included in the amendment history.

If a misdescribed amendment cannot be given effect as intended, the abbreviation "(md not incorp)" is added to the details of the amendment included in the amendment history.

Endnote 2—Abbreviation key

	o = order(s)
ad = added or inserted	Ord = Ordinance
am = amended	orig = original
amdt = amendment	par = paragraph(s)/subparagraph(s)
c = clause(s)	/sub-subparagraph(s)
C[x] = Compilation No. x	pres = present
Ch = Chapter(s)	prev = previous
def = definition(s)	(prev…) = previously
Dict = Dictionary	Pt = Part(s)
disallowed = disallowed by Parliament	r = regulation(s)/rule(s)

Div = Division(s)

exp = expires/expired or ceases/ceased to have

   effect

F = Federal Register of Legislation

gaz = gazette

LA = *Legislation Act 2003*

LIA = *Legislative Instruments Act 2003*

(md) = misdescribed amendment can be given

   effect

(md not incorp) = misdescribed amendment

   cannot be given effect

mod = modified/modification

No. = Number(s)

reloc = relocated

renum = renumbered

rep = repealed

rs = repealed and substituted

s = section(s)/subsection(s)

Sch = Schedule(s)

Sdiv = Subdivision(s)

SLI = Select Legislative Instrument

SR = Statutory Rules

Sub-Ch = Sub-Chapter(s)

SubPt = Subpart(s)

<u>underlining</u> = whole or part not

   commenced or to be commenced

Endnote 3—Legislation history

Name	Registration	Commencement	Application, saving and transitional provisions
Standards for Registered Training Organisations (RTOs) 2015	21 Oct 2014 (F2014L01377)	see clause 4: 1 Jan 2015 and 1 April 2015	
Standards for Registered Training Organisations (RTOs) Amendment 2017	5 July 2017 (F2017L00882)	6 July 2017	-
Standards for Registered Training Organisations (RTOs) Amendment 2019 No.1	28 March 2019 (F2019L00445)	29 March 2019 (Schedule 1)	
Standards for Registered Training Organisations (RTOs) Amendment 2019 No.1	28 March 2019 (F2019L00445)	1 July 2019 (Schedule 2)	

Endnote 4—Amendment history

Provision affected	How affected
Part 1	am 2017
Standard 1.11	rs 2017; rs No.1 2019
Standard 1.14	rs 2017; rs No.1 2019

Provision affected	How affected
Standard 1.15	rs 2017; rs No.1 2019
Standard 1.18	am 2017
Standard 1.21	rs 2017
Standard 1.22	am 2017
Standard 1.23	rs 2017
Standard 1.24	rs 2017; rs No.1 2019
Standard 1.25	am 2017
Schedule 1	rs 2017; am No.1 2019