



RTO Management System

Policies and Associated Procedures for RTOs

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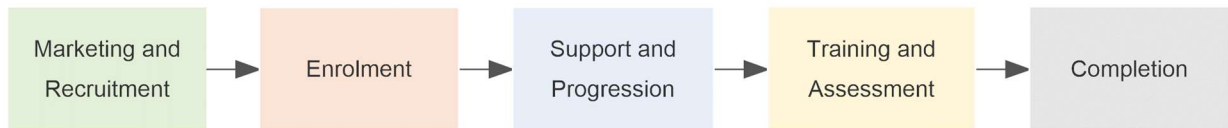
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Introduction

This set of Policies and Associated Procedures will ensure RTO meets its compliance obligations as required by:

- National Vocational Education and Training Regulator Act 2011
- VET Quality Framework including:
 - Standards for Registered Training Organisations 2015
 - Fit and Proper Person Requirements
 - Financial Viability Risk Assessment Requirements
 - Data Provision Requirements
 - Australian Qualifications Requirements

It has been ordered according to the student journey approach which is the way an RTO is audited by the Australian Skills Quality Authority (ASQA).



Regulatory compliance and governance is also addressed.

Copyright

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Definitions

The following definitions apply to this set of policies and procedures:

- **AQF:** Australian Qualifications Framework as at: www.aqf.edu.au
- **ASQA:** Australian Skills Quality Authority
- **Course:** refers to unit, qualification, skill set or group of units being packaged as a course
- **Compassionate or compelling circumstances** may include but are not limited to:
 - serious illness or injury
 - bereavement
 - major political upheaval or natural disaster in the home country requiring emergency travel and this has impacted on the student's studies
 - a traumatic experience which has impacted on the student.
- **Credit transfer:** credit provided to students for units of competency (unless licensing or regulatory requirements prevent this) where these are evidenced by AQF certification documentation issued by another education provider or AQF authorised issuing organisation or authenticated VET transcripts issue by the Registrar.
- **Critical incident:** includes but not limited to:
 - missing students
 - severe verbal or psychological aggression
 - death, serious injury or any threat of these
 - natural disaster
 - issues such as domestic violence, sexual assault, drug or alcohol abuse.
- **Cheating:** seeking to obtain an unfair advantage in the assessment of any piece of work.
- **Collusion:** unauthorised collaboration between students.
- **Deferral:** to postpone commencement of studies.
- **Marketing:** this covers all marketing communication methods.
- **Plagiarism:** to take and use the ideas and/or expressions and/or wording of another person or organisation and passing 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.
- **SRTOs 2015:** Standards for RTOs 2015: <https://www.legislation.gov.au/Details/C2018C00210>
- **Recognition of Prior Learning (RPL):** an assessment process that assess the competency of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which the applicant meets the requirements specified in the training product.
- **SMS:** Student Management System.
- **Suspension:** to temporarily postpone studies.
- **Third party:** any party that provides services on behalf of the RTO. A third party arrangement does not include a contract of employment between an RTO and its employee.

Responsibilities

It is the responsibility of the CEO supported by the management team to ensure that the policy and associated procedures are adhered to. All staff are expected to access and follow policies and associated procedures when completing work tasks.

Each policy and associated procedures include specific responsibilities.

Organisation chart

Please refer to each role's position description for a detailed outline of duties that directly relate to each policy and associated procedures.

Marketing and Recruitment

Policies and associated procedures in this section:

- Marketing Policy and Associated Procedures
- Third Party Policy and Associated Procedures.

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Course Brochure Template
- Marketing Checklist
- Marketing Consent Form
- Student Handbook
- Third Party Application Form
- Third Party Agreement
- Third Party Monitoring Form.

The documents above can be found in the Marketing and Recruitment Supporting Documents folder.

Marketing Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures have been developed to guide the RTO when undertaking marketing and advertising activities. This is to ensure that learners are provided with accurate, transparent and accessible information before enrolling in a course.

This policy and associated procedures meet the requirements of Standards 4 and 5 of the Standards for RTOs 2015.

Marketing by third parties is addressed in the Third Party Policy and Associated Procedures.

Policy statements

Marketing information

Information about training, assessment and support services provided by the RTO or any third parties contracted by the RTO enables learners to make informed decisions about enrolling into a course with the RTO and that is relevant to their needs and takes into account their existing skills and competencies.

This information is provided prior to commencement and is accessible in both electronic and print form.

Information provided by RTO to prospective and current students:

- Provides accurate, factual details ensuring full transparency regarding services offered.
- Is sufficient to allow students to make an informed choice.
- Distinguishes between nationally recognised training and any non-accredited training offered.
- Includes all of the information required under the relevant standards of the Standards for RTOs 2015:
 - Legal entity and/or trading name and RTO Code.
 - The code, title and currency of the Training Product or accredited course (as published on the National Register). A non-current training product will only be advertised or marketed while it remains on RTO's scope of registration. Any other outcomes of the course will also be provided (for example, option to apply for a licence).
 - Includes information about any third parties who are recruiting students on behalf of RTO, and their names and contact details.
 - Outlines where RTO is delivering training and assessment on behalf of another Registered Training Organisation or where training and assessment is being delivered on behalf of a third party and includes names and contact details of such.
 - Outlines any work-based training and associated arrangements a student is required to undertake as part of the course.
 - Outlines entry requirements for entry to the course.
 - Provides information on course credit (credit transfer and RPL).

- Includes information on the duration (including holiday breaks), location and mode/s of delivery.
- Includes information on facilities, equipment and learning resources available to students.
- Includes information on materials and equipment that the student is expected to provide as part of their course.
- Includes details about VET Student Loans if applicable, as well as subsidies available through government funding or any other financial support arrangements.
- Outlines any other information relevant to the registered provider, its courses or outcomes associated with those courses.
- Includes relevant cost information including all tuition and non-tuition fees, payment terms and conditions and the potential for fees to change over the duration of a course. Information is also included as relevant on any debts that may be occurred such as under the VET Student Loans scheme, or any loss of entitlement from the student undertaking the course (such as loss of entitlement for further government funded programs or student loan schemes as relevant) and refunds information.
- Outlines the grounds on which a student's enrolment may be deferred, suspended or cancelled.

The Nationally Recognised Training logo is used in accordance with its Conditions of Use outlined in Schedule 4 of the SRTOs 2015.

RTO 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.

A Marketing Consent form is used to seek consent from any individual or organisation that is referred to in RTO marketing, promotions, and advertising material.

RTO or any associated third party will not:

- guarantee that a student will successfully complete a course and will be issued with a qualification or statement of attainment
- state that a course can be completed such that it will not meet the requirements of Clauses 1.1 and 1.2
- guarantee a successful education assessment outcome
- guarantee any employment outcome arising from the completion of the training product.
- claim that a student will be eligible for any license or accreditation unless the license outcome is guaranteed by the issuer of the license or accreditation
- give any other false or misleading information or advice in relation to itself, its course or outcomes associated with the course.

All Course Brochures are developed according to information from RTO's training and assessment strategies. Marketing information will not in any way advise that the training can be completed in any other way than as described in each training and assessment strategy.

The obligations of RTO, including that RTO is responsible for the quality of training and assessment in accordance with the SRTOs 2015 and for the issuance of AQF certification documentation are fully described in the Student Handbook.

RTO will abide by all marketing, promotion, and advertising requirements under the Australian Consumer Law.

Procedures

1 Develop marketing material

- 1.1 Access this policy when planning marketing materials.
- 1.2 Access the course information from the Training and Assessment Strategy (TAS).
- 1.3 Develop the marketing materials using the relevant template (i.e., the course brochure template).
- 1.4 Review materials developed with the Marketing Checklist, TAS and approved course fees.
- 1.5 Provide the materials for approval.
- 1.6 Upon approval, publish the information (print or website) and file approvals.

2 Review marketing material

- 2.1 Follow the above procedure where there are changes to a course.
- 2.2 Have materials reapproved by the relevant person.

3 Review website

- 3.1 Complete a check of the website at least every 3 months, or upon a change, for accuracy and completeness according to this policy.
- 3.2 Make changes accordingly.

4 Develop marketing plan

- 4.1 Develop a marketing plan for marketing communications based on business objectives.
- 4.2 Implement and monitor the marketing plan.
- 4.3 Adjust the marketing plan based on effectiveness of marketing strategies or otherwise.

5 Seek marketing consent

- 5.1 Seek consent to use details and images for marketing communications using the Marketing Consent Form by providing the form to students at orientation.
- 5.2 File completed marketing consent forms.

Responsibilities

The CEO is responsible for developing the marketing plan and approval of marketing materials.

The RTO Manager is responsible for developing and reviewing marketing materials and implementing and monitoring marketing strategies as per the marketing plan.

Third Party Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures have been developed to ensure that RTO has processes in place for establishing and monitoring partnerships with third parties who provide services on behalf of RTO such as marketing, training and assessment and other relevant services.

This policy and associated procedures meet the requirements of Clause 2.3, 2.4 and 8.3 of the Standards for RTOs 2015.

Policy statements

Overview

RTO is responsible for providing services that meet the requirements of the VET Quality Framework, including the SRTOs 2015.

To ensure that third parties who deliver services on behalf of RTO also meet these requirements, RTO establishes and maintains a written agreement with all third parties who provide services on its behalf. Services may include:

- Marketing of the training products on RTO's scope
- Student recruitment
- Provision of training and assessment services
- Provision of additional services such as student support

The Third Party Agreement will outline roles and responsibilities of each party in relation to the agreed services.

Third Party Agreements

All third parties representing RTO must sign and abide by RTO Third Party Agreement.

RTO Third Party Agreement will include:

- Responsibilities of RTO, including that RTO is responsible at all times for compliance with the Standards for RTOs 2015.
- RTO requirements of the third party in representing it including but not limited to:
 - Declaring in writing and taking reasonable steps to avoid conflicts of interests with its duties as a third party of RTO.
 - Observing appropriate levels of confidentiality and transparency in their dealings with students.
 - Acting honestly and in good faith, and in the best interests of all students.
 - Having appropriate knowledge and understanding of the VET system in Australia, including the VET Quality Framework.
- RTO processes for monitoring the activities of the third party.

- The corrective action that may be taken by RTO if the third party does not comply with its obligations under the third-party agreement, including providing for corrective action.
- Grounds for termination of the third party agreement, including providing for termination in the circumstances.
- The circumstances under which information about the third party may be disclosed by the registered provider and the Commonwealth or state or territory agencies.
- The requirement for the third party to cooperate with ASQA in the provision of information and the conduct of audits as required.

RTO will notify ASQA of all third-party agreements within 30 days of the agreement commencing and within 30 days of it coming to an end.

Monitoring and corrective action

RTO will monitor all third parties using the monitoring processes described in the agreement.

RTO will take immediate corrective action where RTO becomes aware that, or has reason to believe, the third party has complied with their responsibilities as outlined above.

Termination

RTO will immediately terminate its relationship with the third party where RTO becomes aware, or has reason to believe, that the third party is engaging in practices in contravention of the third-party agreement.

Procedures

1 Process third party applications

- 1.1 Provide a Third Party Application form to the potential third party.
- 1.2 On receipt of an application, check that the application form has been completed in full and that any supporting information has been provided.
- 1.3 Send an acknowledgement that the application form has been received within 3 working days of the receipt of the application. Request additional information not provided, as relevant.
- 1.4 Review information included in application form.
- 1.5 Call referees for reports on the third party.
- 1.6 Approve the third-party application where the third party has demonstrated experience and skills, provides services that align with RTO marketing objectives and positive reports from referees are received.
- 1.7 For successful third parties, customise the Third Party Agreement and send to the third party for signing. This must be within 10 working days of receiving the application.
- 1.8 Where the third party is not deemed to be suitable, send an email within 10 working days of receiving the application advising that their application has not been successful and including the reasons why.

2 Manage third parties

- 2.1 Following the signing of the agreement, advise ASQA via ASQAnet and within 30 days of the agreement.
- 2.2 File all signed third party agreements.
- 2.3 Contact the third party to provide an induction, including an overview of the RTO, requirements and policies and associated procedures relevant to the services to be provided.
- 2.4 Provide the third party with documentation as relevant to the services being provided..

3 Monitor third parties

- 3.1 Regularly update third party with updated documentation.
- 3.2 Monitor third parties every six months using the Third Party Monitoring Form.
- 3.3 Where the Third Party Monitoring Form or feedback from students indicates that the third party may not be meeting the terms of their agreement, immediately investigate the issue.
- 3.4 Where the investigation confirms that the provider has not complied with their responsibilities as per the Third Party Agreement (except in the case of where the third party has engaged in unacceptable practices - see the following section), contact the third party in writing to advise to corrective actions that are required.
- 3.5 Implement relevant corrective actions.
- 3.6 Monitor corrective actions as required to ensure they are implemented.
- 3.7 File all documentation associated with monitoring.

4 Terminate third party agreements

- 4.1 Where third party monitoring or any other intelligence demonstrates that the third party has engaged in practices that are not acceptable under the agreement, immediately send a notice in writing to the third party advising them that their contract is terminated and giving the reasons why.
- 4.2 Remove any references to the third party on marketing materials and other relevant documentation.
- 4.3 Advise ASQA via ASQAnet of termination of the agreement and within 30 days of the agreement ending.

Responsibilities

The RTO Manager is responsible for:

- Assessing and approving third party applications.
- Managing third party applications.
- Monitoring and terminating third party agreements.

Enrolment

Policies and associated procedures in this section:

- Student Enrolment and Completion Policy and Associated Procedures
- Fees and Refunds Policy and Procedure.

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Application for Enrolment Form
- Course Entry Interview Form
- Offer letter and Student Agreement
- First Warning Letter for Non-Payment of Fees
- Second Warning Letter for Non-Payment of Fees
- Notice of Intention to Cancel Enrolment for Non-Payment of Fees
- Refund Application Form.

The documents above can be found in the Enrolment Supporting Documents folder.

Student Enrolment and Completion Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to student enrolment and completion. This ensures that there are structured processes in place for the enrolment of students, issuing of credit transfer and recognition of prior learning, changes to services and the issuing of certificates on completion.

This policy and associated procedures meet the requirements of Standard 1, 3, 5 and 7 and associated clauses of the Standards for RTOs 2015.

Policy statements

Enrolment

- Information about the enrolment process is provided in Course Brochures and the Student Handbook.
- Applicants must meet the entry requirements in order to be accepted into a course. The entry requirements are included in each Course Brochure.
- On receipt of an application, a course entry interview will be conducted and a decision made on whether the student is suitable for the course based on the course entry interview and the documentation provided by the student in support of their application.
- Where a student is accepted into the course they are provided with an Offer Letter and Student Agreement for signing to indicate their acceptance of the offer. Fees are only accepted concurrently with or following acceptance of the Offer Letter and Student Agreements as per RTO Fees and Refunds Policy and Procedure.
- RTO uses an AVETMISS compliant Student Management System to record all student information.
- Records of all enrolment records including the Offer Letter and Student Agreement and associated receipts of payment are retained for at least 2 years.

Credit transfer and RPL

- Credit towards a student's course can be provided by credit transfer or RPL. This means that students do not have to repeat units (or equivalent) already achieved and can be recognised for formal and informal learning, skills and experience.
- RTO will review all AQF certification and authenticate it as part of the process of awarding credit.
- Applicants who wish to apply for RPL will be provided with a Candidate Kit. The RPL process will be followed as per the Training and Assessment Policy and Associated Procedures.
- Applicants will be advised in writing of the outcome of their application for credit transfer and/or RPL. Where the credit provided results in a reduction of the duration of the course and fees, this will also be advising in writing.

Changes to services

- Students are informed within 3 working days of any changes to services as documented in the Student Agreement, including where there are new third party arrangements, changes to existing third party arrangements and changes in ownership.
- Where RTO is unable to offer a course prior to or following commencement, refunds will be in accordance with the Fees and Refunds Policy and Associated Procedures.

Internal transfer

- RTO allows students to transfer to other courses offered by RTO in any of the following circumstances:
 - the course better meets the study capabilities of the student; and/or
 - the course better meets the long-term goals of the student, whether these relate to future work, education or personal aspirations; and/or
 - the student provides evidence that their reasonable expectations about the current course are not being met.
- A transfer to another course within RTO will not be granted in any of the following circumstances:
 - the transfer may jeopardise the student's progression through a package of courses.
 - the student has recently started studying the course and the full range of support services are yet to be provided or offered to the student.
- Students who wish to transfer to another course must complete an *Internal Course Transfer Application Form*.
- The outcome of the student's application for course transfer will be provided in writing within 10 working days of receipt of the form. Where the application is not granted, reasons for such will be provided.

Completion

- Students are issued with certification documentation following completion of their course. All certification documentation complies with Schedule 5 of the Standards and includes a mechanism to ensure it cannot be fraudulently reproduced.
- Certification documentation will only be issued where the student's USI is on file and has been verified and where the student has paid their fees in full.
- Certification will be issued within 30 days of completion subject to the payment of all fees. All certificates issued are recorded in the Student Management System and are kept for a period of 30 years.
- Confirmation of the issuing of certificates will be provided to those who need to verify certificates.
- Certificates can be reissued on request.

Procedures

1 Process enrolment

- 1.1 Provide application for enrolment forms to applicants on request.
- 1.2 On receipt of an enrolment, check that the enrolment form has been completed in full and that all supporting information has been provided.
- 1.3 Send an acknowledgement that the enrolment form has been received within 3 working days of receipt. Request additional information not provided as relevant.
- 1.4 Enter the applicant's details into the secure Student Management System.
- 1.5 Where the USI has not been received, make a note on the applicant's file that it is to be completed at the orientation.
- 1.6 Verify all USIs.

2 Conduct course entry interview

- 2.1 Contact the applicant to arrange a suitable date and time for the course entry interview. This should be within 4 working days of receipt of the application for enrolment.
- 2.2 Conduct the course entry interview using the Course Entry Interview form.
- 2.3 Complete the Course Entry Interview form including an assessment of whether the applicant is suitable for the course.

This should also include an assessment of the student's Language, Literacy and Numeracy skills (LLN) as per the course entry requirements.

3 Process credit transfer

- 3.1 Review the student's application for enrolment form to check if they wish to apply for credit.
- 3.2 If the applicant has not included the required evidence but has indicated they wish to apply for credit transfer, contact them to provide the certificate.
- 3.3 Contact the issuing RTO to verify that the certificate is authentic.
- 3.4 Where the certificate is authentic, update the student's details on the Student Management System and advise the student of the reduction to their course duration and fees. The reduction in course duration will be as per the amount of time allocated in the timetable to the unit that the student has received credit for. See Fees and Refunds Policy and Associated Procedures for calculation for reduction of fees.
- 3.5 Issue the student's Offer Letter and Student Agreement with the reduced duration.

4 Process Recognition of Prior Learning

- 4.1 Review the student's application for enrolment form to check if they wish to apply for RPL.
- 4.2 Send the student the Candidate Kit.
- 4.3 RPL applications are conducted as per the procedure described in the Training and Assessment Policy and Associated Procedures.
- 4.4 Update the student's details on the Student Management System following the outcome of the RPL process and advise the student of the reduction to their course duration and fees as applicable. The reduction in course duration will be as per the amount of time allocated in the timetable to the unit that the student has received credit for. See Fees and Refunds Policy and Associated Procedures for calculation for reduction of fees.

5 Finalise enrolment process

- 5.1 If the applicant is suitable for the course, create a student file.
- 5.2 Verify the student's USI or create a USI for the student following the procedures for such at: <https://www.usi.gov.au/training-organisations>
- 5.3 Customise the Offer Letter and Student Agreement for the student and send out to the student for signing. This should occur within 5 working days of receipt of the application for enrolment. The signing of the Offer Letter and Student Agreement indicates the student has accepted all terms and conditions.

- 5.4 On receipt of the signed Offer Letter and Student Agreement, send out an invoice for the first payment.
- 5.5 Following receipt of the first payment by the student, update the student's status in the SMS and send out the final confirmation of enrolment.
- 5.6 Use the student file checklist to confirm all the information has been collected.

6 Manage internal course transfers

- 6.1 Where a student wishes to transfer to another course with RTO, provide students with Internal Course Transfer Application Form.
- 6.2 Acknowledge receipt of completed forms within 3 working days of receipt.
- 6.3 Review and assess the application provided within 10 working days of receipt. For an application to be approved, supporting documentation must demonstrate that there are appropriate reasons for transferring.
- 6.4 Advise the student in writing of the outcome of their application, including a new Offer Letter and Student Agreement where the application is approved. If it is not approved, provide the reasons and advise the student of their right to access the complaints and appeals process.
- 6.5 Advise the student in writing of any refunds due relevant to their existing course.
- 6.6 Record the variation to the student's course on the SMS.

7 Manage student files

- 7.1 Update student files throughout the course according to relevant events including but not limited to course progress and attendance, support, course credit, course transfer, deferral, suspension and withdrawal and disciplinary action. Refer to all of the relevant policies and procedures for student file management.
- 7.2 Update Student Agreements as relevant based on any changes that occur once the student has enrolled (this also includes changes to third party arrangements including new third party agreements or changes in ownership). Send to the student for agreement within 3 working days of signing and adjust fees as required.
- 7.3 Send out emails to students every 6 months requesting advice of any change of contact details.
- 7.4 Update student details as required based on changes to contact details.

8 Finalise certification

- 8.1 Immediately record student assessment outcomes on the Student Management System on receipt of marked work from trainers/assessors.

- 8.2 Once all units have been completed, check that the student has paid all fees and charges.
- 8.3 Contact the student in writing regarding unpaid fees and charges if applicable.
- 8.4 Check the student's USI is on file and contact the student in writing if this has not been received.
- 8.5 Populate the testamur and record of results or statement of attainment with the student and award details.
- 8.6 Sign certification (authorised signatory).
- 8.7 Have the certification ready within 10 working days of the student having been assessed as meeting all of the requirements of their course (and having paid all of their fees and charges).
- 8.8 Retain the student's certification on file for a period of 30 years.
- 8.9 Advise the student via email that their certificate is ready for collection or email an electronic version or send via post.
- 8.10 Retain all student details including assessment outcomes for a minimum of 2 years.

Responsibilities

The Administration and Student Support Officer will be responsible for:

- checking all incoming applications for enrolment
- populating and sending out Offer Letters and Student Agreements
- invoicing
- using the student management system
- student file maintenance.

The RTO Manager will be responsible for:

- conducting course entry interviews and approving student applications.
- reviewing and approving all applications for credit transfer.
- coordinating notification of changes to services and updating agreements.
- issuing certification.

Trainers and assessors are responsible for conducting RPL.

Fees and Refunds Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to the effective and fair management of fees, charges, and refunds. This ensures that support is provided to students to assist them to complete their studies.

This policy and associated procedures meet the requirements of Clauses 5.3 and 7.3 and Schedule 6 of the Standards for RTOs 2015.

Policy statements

Information about fees and charges

RTO is committed to providing students with information about all fees and charges associated with a course, as well as its refund policy and processes.

Prospective students can access information about fees and charges and refunds in the Student Handbook and Course Brochure.

Enrolling students are fully informed of all fees and charges and the refund policy in the Offer Letter and Student Agreement.

The Offer Letter and Student Agreement includes details of all applicable fees and charges, including the application fee, tuition and non-tuition fees and the payment schedule for such and payment options. It also describes the student's consumer rights, including the right to a cooling off period depending on the relevant state/territory requirements.

Students are advised of the potential for fees and charges to change over the duration of their course.

Students are advised of any statutory cooling off period in their Offer Letter and Student Agreement.

All fees and charges will be reviewed annually and all marketing material and student information will be updated accordingly. New fees and charges will generally only apply to incoming students.

Additional fees that may apply in addition to tuition and non-tuition fees include:

Additional fees that may apply	Amount
Deferral fee	Nil
Reassessment fee (students have a total of 2 attempts and any attempt thereafter will incur the stated fee).	\$100
Fees for late payment of course fees	\$100 per week for each week the payment for course fees is delayed
Credit transfer	Nil
RPL	Application fee of \$250 Unit fee \$500

Fee protection

Fees paid by students are protected as follows:

- Students pay up to a maximum of \$1,500 in advance for services not yet provided.

Payments

Payment options are specified in the Offer Letter and Student Agreement.

All fees and charges are to be paid by the date indicated on the invoice. However, where a student is unable to make a payment by the specified date, alternative arrangements may be made by contacting the office.

All payments are to be made by bank transfer into a specified account, the details of which are provided to students. RTO will maintain a sufficient amount in the account so that it is able to repay all tuition fees already paid.

Where fees are overdue and the student has not made alternative arrangements, a first warning, second warning and notice of intention to cancel enrolment regarding non-payment of fees will be sent to the student as follows:

- First warning letter: failing to pay an invoice within 5 days of receipt or contacting RTO to make alternative arrangements.
- Second warning letter: failing to pay an invoice within 5 days of receipt of the first warning letter or contacting RTO to make alternative arrangements.
- Notice of intention to cancel enrolment: failing to pay an invoice within 5 days of receipt of the second warning letter or contacting RTO to make alternative arrangements.

Following cancellation of enrolment due to non-payment of fees, the debt will be referred to a debt collection agency.

All receipts of payments are kept for a minimum of 2 years following the student's completion of their course.

Credit transfer and RPL

A reduction of fees can apply for any units granted through credit transfer and RPL. The course tuition fees should be divided by the number of units and then the reduction applied per unit for the applicable number of units. This should be shown on the invoice.

Refunds

All application fees are non-refundable except where RTO cancels a course prior to commencement due to insufficient numbers or other unforeseen circumstances, including a sanction being imposed on the RTO.

Where the RTO cancels a course either before or after commencement, students will receive an automatic refund and do not need to complete the Refund Application Form. This will be provided within 10 working days of the default.

In all other circumstances, students are required to complete a Refund Application Form which can be accessed from our office. This form must be submitted within 10 working days of the event that led to the request for the refund. The outcome of the refund assessment will be forwarded to the student in writing within 20 working days, as well as any applicable refund.

Refunds will be paid to the person or entity from whom the original payment was received and in Australian Dollars.

The refund policy does not remove the right of the student to take further action under Australian Consumer Law.

Domestic student refunds

In addition to the above circumstances, refunds for domestic students will be calculated as follows:

<i>Circumstance</i>	<i>Refund due</i>
RTO cancels course before commencement due to insufficient numbers or other unforeseen circumstances, including a sanction being imposed on the RTO (known as provider default).	Full refund of all fees.
Student withdraws up to 4 weeks prior to course commencement.	Application fee not refunded. Refund of all other fees and charges.
Student withdraws less than 4 weeks prior to course commencement.	Application fee not refunded. Refund of 90% of all other fees and charges.
Student withdraws after commencement.	No refund. Fees for full study period (term) to be paid.
Student's enrolment is cancelled due to disciplinary action.	No refund. Fees for full study period (term) to be paid.
The student has supplied incorrect or incomplete information causing RTO to withdraw the offer of the course prior to commencement.	No refund. Fees for full study period (term) to be paid.

Procedures

1 Process invoices

- 1.1 Set up invoices in the accounting system as per the payment schedule in the signed Offer Letter and Student Agreement.
- 1.2 Send out invoices to students according to the payment schedule.
- 1.3 Once the invoice has been paid, send out a receipt of payment from the accounting system.
- 1.4 Record payment in the SMS.
- 1.5 Keep all receipts of payments for a minimum of 2 years after the student has completed their course.

2 Manage overdue fees

- 2.1 Check accounting system for overdue payments.
- 2.2 Send out a payment reminder through the accounting system for overdue fees. Give a further 5 days for payment.
- 2.3 Where invoices remain unpaid following the reminder, send out a First Warning Letter for non-payment of fees.
- 2.4 If fees remain unpaid after a further 5 days, follow up with a Second Warning Letter for non-payment of fees.
- 2.5 If fees remain unpaid after a further 5 days, follow up with a Notice of Intention to Cancel Enrolment for non-payment of fees.
- 2.6 Where the student does not pay their fees and does not appeal the decision, cancel their enrolment.

3 Process refunds

- 3.1 For provider default notify students in writing using the Student Notice of Default Form within 3 working days of the default occurring.
- 3.2 Transfer the refund to the person who made the payment.
- 3.3 Process all other refunds according to the refund table and on receipt of a request for refund from a student on Application for Refund form.
- 3.4 Update the accounting system with details of payments made.

Responsibilities

The Administration and Student Support Officer is responsible for issuing invoices, following up on overdue fees and issuing warning letters and a cancellation notice for non-payment of fees and issuing refunds.

The RTO Manager is responsible for discussing and adjusting student financial arrangements if required, assessing refund applications and approving refund payments.

Support and Progression

Policies and associated procedures in this section:

- Student Support Policy and Associated Procedures
- Course Progress and Attendance Policy and Associated Procedures
- Deferral, Suspension and Cancellation Policy and Associated Procedures

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Orientation Presentation
- Student Code of Conduct
- Student Support Plan
- External support referrals
- Intervention Form
- First Warning Letter for Unsatisfactory Course Progress/Attendance
- Second Warning Letter for Unsatisfactory Course Progress/Attendance
- Notice of Intention to Cancel Enrolment for Unsatisfactory Course Progress/Attendance
- Deferral Application Form
- Suspension Application Form
- Withdrawal Application Form

The documents above can be found in the Support and Progression Supporting Documents folder.

Student Support Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO approach to student support. This ensures that support is provided to students to assist them to complete their studies.

This policy and associated procedures ensure that the requirements of Clause 1.7 of the Standards for RTOs 2015 are met.

Policy statements

Student support

RTO is committed to assisting students to complete their studies through the provision of academic and welfare support.

Student support needs may concern (but are not limited to):

- language, literacy and numeracy (LLN) issues
- disability
- digital literacy
- access
- cultural issues.

Student support needs are considered during the course development process by assessing the needs of the proposed target group and ensuring that the proposed training and assessment approach takes these needs into account.

As part of the enrolment process, RTO requires students to participate in a course entry interview. The course entry interview identifies student suitability for the course, as well as their support needs.

Where support needs are identified, a Student Support Plan is developed on commencement of the student in the course and in collaboration with the student. The Student Support Plan is regularly reviewed and adjusted as required.

RTO ensures that sufficient support staff are in place to meet the needs of the enrolled students. RTO nominates specific personnel for student support, the details of whom are provided to students.

An appropriate orientation is provided to students to assist them with their studies.

Students are provided with information about the support services available in the Student Handbook and as part of their orientation.

Support services provided by RTO can include:

- one-to-one support from the trainer/assessor
- support with personal issues
- access to additional learning resources
- reasonable adjustment in assessment
- social events

- buddy program
- information about external sources of support.

Where RTO is unable to provide the support service required by the student, RTO will refer the student to an external provider.

RTO surveys students about support services provided and uses the feedback to improve services provided.

Procedures

1 Assess student support needs during the course development process

- 1.1 Consider support needs of the target group for the course during the course development process.
- 1.2 Review any feedback on support services that can inform support to be provided.
- 1.3 Document agreed support services for the course in the Training and Assessment Strategy and Course Brochure.
- 1.4 Check Student Handbook and Orientation PowerPoint and update as required with the identified student support services, including details of how to access for both internal and external services.
- 1.5 Ensure all staff have access to up-to-date details of student support services.

2 Assess student support needs during the course entry interview process

- 2.1 Conduct course entry interview and identify specific support needs.
- 2.2 Discuss available support services with the student.
- 2.3 Use the Student Support Plan form to document the student's needs and how these will be actioned.
- 2.4 Refer the student to external support services where the support need cannot be met.

3 Provide orientation

- 3.1 Organise the orientation for students prior to commencing their course or on the first day of their course.
- 3.2 Conduct the orientation using the Orientation PowerPoints.
- 3.3 Answer all student questions.

4 Monitor student support needs

- 4.1 Regularly review the Student Support Plan to ensure actions are being implemented as required.
- 4.2 Adjust the Student Support Plan in consultation with the student as required.
- 4.3 At the conclusion of the student's course or when the Student Support Plan is complete, evaluate the effectiveness of the plan in consultation with the student.
- 4.4 Use the evaluation results to improve support services offered.
- 4.5 Regularly review external support services to check their details are the same as referred to in the Student Handbook and Orientation PowerPoint and to enter in any new services.

Responsibilities

The RTO Manager is responsible for:

- Considering student support needs during the course development process.
- Conducting course entry interview and identifying student needs.
- Developing and monitoring the Student Support Plan.
- Evaluating the effectiveness of student support provided.
- Providing orientations.

The Administration and Student Support Officer is responsible for:

- Providing students with information about support services.
- Providing referrals to external services.
- Referring students to the RTO Manager.

Trainers and assessors are responsible for notifying the RTO Manager of a student's support needs.

Course Progress and Attendance Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to ensuring students maintain satisfactory course progress and attendance throughout their studies to ensure they can complete their course within the required duration as specified in their Offer Letter and Student Agreement. This policy and associated procedures also outline the procedures for managing unsatisfactory progress.

This policy and associated procedures ensure that the requirements of Clause 1.7 of the Standards for RTOs 2015 are met.

Policy statements

Overview

RTO monitors students' course progress and attendance to ensure they are able to complete their course within the duration specified in their Offer Letter and Student Agreement.

RTO advises students before they commence their course of the requirements to achieve satisfactory course progress and attendance, including that students who do not meet course progress requirements are at risk of having their visas cancelled. This advice is included in the Student Handbook, Course Brochure and within the Orientation.

All records of course progress and monitoring will be kept.

Monitoring course progress and attendance

A number of strategies will be used to determine whether a student is at risk of, or is making unsatisfactory progress and attendance.

Course progress and attendance is monitored weekly during each study period as follows:

- By reviewing satisfactory completion of assessments.
- By reviewing the student's attendance record to ensure that they attend a minimum of 80% of their scheduled classes and have not been absent for more than 5 consecutive days without approval for a leave of absence.
- By assessing the student's participation in class.

Course progress monitoring will determine the need for a student to participate in an intervention strategy. RTO commits to an early intervention approach.

A student will be deemed at risk and be required to participate in an intervention strategy if:

- they have an overall result of Not Yet Competent for a unit
- do not attend classes on a regular basis
- do not participate in learning activities within the classroom.

All course progress and attendance monitoring is achieved by reviewing data on the student management system.

Intervention strategy

Students who are identified at risk of not meeting course progress and attendance requirements are required to participate in an intervention strategy.

The intervention strategy will be developed to meet the student's needs and documented in an Intervention Strategy Form.

Students who are identified as being at risk will be informed in writing that they are at risk. This will be in the form of two formal warning letters and an intention of notice to cancel enrolment as follows:

- First warning letter: after failing one or more assessment tasks of a unit following resubmission and/or not meeting a minimum of 80% attendance requirements.
- Second warning letter: after failing one or more assessment tasks of a unit following resubmission and/or failing additional assessment tasks of a unit and/or not meeting minimum of 80% attendance requirement despite an intervention strategy.
- Notice of intention to cancel enrolment: after failing one or more assessment tasks of a unit following resubmission and/or failing additional assessment tasks of a unit and/or not meeting minimum of 80% attendance requirement despite an intervention strategy.

Exceptions

An exception may be made where a student is attending at least 70% of the course contact hours and is maintaining satisfactory progress.

Extension to an expected course duration

Extensions to the course duration specified on the student's Offer Letter and Student Agreement will be allowed if:

- compassionate or compelling circumstances apply and demonstrable evidence of such is provided
- where an intervention strategy is in place (or is about to be implemented) for the student because they are at risk of not meeting course progress or attendance requirements.

Reporting

Where a student has demonstrated unsatisfactory course progress and/or attendance in a study period despite interventions implemented, RTO will:

- notify the student in writing of the intention to cancel the student's enrolment for unsatisfactory course progress and/or attendance
- inform the student of the reasons for the intention to cancel enrolment
- advise the student of their right to dispute the decision by accessing RTO Complaints and Appeals Policy Procedure within 20 days of receiving the notice of intention to cancel enrolment.

RTO will only cancel the student's enrolment if:

- the internal and external complaints processes have been completed and the decision or recommendation supports the registered provider; or
- the student has chosen not to access the internal complaints and appeals process within the 20 working day period; or
- the student has chosen not to access the external complaints and appeals process: or
- the overseas student withdraws from the internal or external appeals processes by notifying the RTO in writing.

All records will be kept on the student's file including warning letters and the notice of intention to cancel.

Procedures

1 Assess course progress and attendance

- 1.1 Review data from student management system on a weekly basis to determine if students are at risk of not meeting course progress requirements as per the definitions in the policy.
- 1.2 Check and record student attendance daily using an Attendance Sheet, the results of which are entered into the Student Management System. An attendance rate is calculated each week.
- 1.3 Contact student via SMS and email if the student has been absent for more than 5 consecutive days without approval or they will not be able to achieve 80% attendance, This should be repeated until the student responds. Inform the student that their immediate attendance is required and they will receive a First Warning Letter as specified below.
- 1.4 Review data from student management system on a weekly basis to determine if students are at risk of not meeting course progress requirements as per the definitions in the policy.

2 Provide first warning and commence intervention strategy

- 2.1 Send the student a First Warning Letter of Unsatisfactory Course Progress/Attendance. Include the letter on the student's file.
- 2.2 Use the Intervention Form to guide the meeting with the student.
- 2.3 Document agreed interventions on the Intervention Form and implement immediately. Include the Intervention Form on the student's file.
- 2.4 Monitor progress through regular communication and document progress on form.
- 2.5 In consultation with the student, adjust the intervention if required and update the Intervention Form
- 2.6 Sign off on form when the intervention is complete and the student is meeting course progress/attendance requirements.

3 Provide second warning

- 3.1 Where the student is still not meeting course progress/attendance requirements, send the student a Second Warning Letter of Unsatisfactory Course Progress/Attendance.
- 3.2 Use the Intervention Form to guide the meeting with the student.
- 3.3 Advise the student that despite the interventions agreed to, they have still not been making progress. Identify their reasons for such and document in the progress report section of the Intervention Form.

- 3.4 Document any agreed adjusted interventions on the Intervention Form and implement immediately.
- 3.5 Monitor progress through regular communication and document progress on form.
- 3.6 Sign off on form when the intervention is complete and the student is meeting course progress/attendance requirements.

4 Advise of Notice of Intention to Cancel Enrolment

- 4.1 Where the student is still not meeting course progress/attendance requirements, send the student a Notice of Intention to Cancel Enrolment for Unsatisfactory Course Progress/Attendance.
- 4.2 If the student does not appeal against the decision to cancel their enrolment or if their appeal is unsuccessful, cancel the student's enrolment for breach of course progress requirements.
- 4.3 Complete all actions associated with cancellation such as removal of student's email account, access to RTO property and so on.

Responsibilities

The RTO Manager is responsible for:

- reviewing data to check course progress and attendance
- conducting meetings with students and developing and monitoring intervention strategies
- reviewing student appeals in relation to course progress.

The Administration and Student Support Officer is responsible for:

- issuing warning letters and notices of intention to cancel enrolment.

Trainers and assessors are responsible for notifying the RTO Manager of students they consider to be having difficulties with course progress and/or attendance.

Deferral, Suspension and Cancellation Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO approach to managing the enrolment of students, specifically deferrals, suspensions, and cancellations.

This policy and associated procedures is not specifically related to any clauses in the SRTOs 2015 but ensures there are the required processes in place for deferrals, suspensions and cancellations.

Policy statements

Student-initiated deferral or suspension or cancellation

Students can defer or suspend their studies. RTO allows the deferral or suspension of studies where evidence of compassionate or compelling circumstances can be provided by students.

Evidence of compassionate or compelling circumstances will be considered as part of the decision about suspension or cancellation.

Deferrals and leave of absences will be approved for up to 12 months. However, following this the student's enrolment will be cancelled.

Students may withdraw from their course at any time. Students are entitled to a refund as per RTO Fees and Refunds Policy and Associated Procedures.

Provider-initiated suspension or cancellation

A student's enrolment may be cancelled or suspended by RTO in a range of circumstances:

- misbehaviour (i.e. not abiding by the Student Code of Conduct as outlined in this Handbook)
- not paying course fees
- not meeting course progress and attendance requirements.

Not paying course fees and not meeting course progress and attendance requirements will be managed as documented in the Fees and Refunds and Course Progress and Attendance Policy and Associated Procedures.

Any student who breaches the Code of Conduct as applicable to expected behaviour will be immediately suspended. Their case will be considered during the period of suspension and the student may then be reinstated or have their enrolment cancelled.

Where any of the above circumstances apply, the student will be contacted in writing with regard to the intended suspension or cancellation and the reasons for this.

Students will be able to access the Complaints and Appeals Policy and Procedure to appeal the decision within 20 working days of receipt of the decision.

Students enrolment will not be cancelled until the internal appeal process is complete, unless their health and wellbeing or that of others could be at risk.

Procedures

1 Process deferrals

- 1.1 Provide Deferral Form to students who request deferral.
- 1.2 Assess Deferral Form and supporting evidence to confirm that compassionate or compelling circumstances exist.
- 1.3 Complete assessment and advise student of outcome within 5 working days of receipt.
- 1.4 Where the application for deferral is approved, advise the student in writing of such.
- 1.5 Where the application is not approved, advise the student in writing of such indicating the reasons, any refunds due and advising them of their right to appeal the decision within 20 working days.
- 1.6 Issue the updated Offer Letter and Student Agreement to the student.

2 Process student-initiated suspension of enrolment

- 2.1 Provide Request for Suspension Form to students who request suspension.
- 2.2 Assess Request for Suspension Form and supporting evidence to confirm that compassionate or compelling circumstances exist.
- 2.3 Complete assessment and advise student of outcome within 5 working days of receipt.
- 2.4 Where the application for suspension is approved, advise the student in writing of such.
- 2.5 Where the application is not approved, advise the student in writing of such indicating the reasons, any refunds due and advising them of their right to appeal the decision within 20 working days.
- 2.6 For approved suspensions, update the SMS.
- 2.7 Issue the updated Offer Letter and Student Agreement to the student.

3 Process student-initiated cancellation of enrolment

- 3.1 Provide Withdrawal Form to students who request to withdraw.
- 3.2 Review Withdrawal Form to ensure all details have been provided.
- 3.3 Notify the student in writing within 5 working days of receipt of application of confirmation of their withdrawal and any refund as application as per RTO Fees and Refunds Policy and Associated Procedures.
- 3.4 Record the student's withdrawal on the SMS.

4 Manage provider-initiated cancellation of enrolment

- 4.1 Where a student misbehaves (i.e. they contravene the Student Code of Conduct), immediately investigate the incident.
- 4.2 Where the incident is considered serious to warrant further investigation, inform the student in writing of the suspension including the reasons why and the dates from which the suspension applies, as well as their right to appeal the decision within 20 working days of receiving the notice.
- 4.3 Further investigate the student's misbehaviour.
- 4.4 Inform any other relevant agencies of the issue concerning the student such as in the case of fraud or violence.
- 4.5 Where the investigation deems the student can be reinstated, advise the student in writing that their suspension is lifted.
- 4.6 Where the investigation deems the student's behaviour as so serious that they cannot be reinstated, advise the student in writing of the cancellation of their enrolment, including the reasons for the decision.
- 4.7 Record the student's withdrawal on the SMS.

Responsibilities

The RTO Manager is responsible for:

- investigating student misbehaviour
- making decisions regarding student misbehaviour and cancellation
- reporting decisions on the SMS regarding provider-initiated suspension and cancellation.

The Administration and Student Support Officer is responsible for:

- assessing deferral requests and reporting deferrals on the SMS
- assessing suspension requests and reporting suspensions on the SMS
- processing withdrawals.

Training and Assessment

Policies and associated procedures in this section:

- Training and Assessment Policy and Associated Procedures
- Plagiarism Policy and Associated Procedures
- Quality Assurance Policy and Associated Procedures
- Staff Recruitment Policy and Associated Procedures.

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Training and Assessment Strategy Template
- Industry Survey
- Industry Consultation Register
- Assessment Quality Review Tool
- Assessment Validation Schedule
- Assessment Validation Tool
- Continuous Improvement Register
- Staff Interview Form
- Trainer and Assessor Evidence File
- Induction Checklist
- Industry Currency Verification Form for Trainers and Assessors
- Position Description – CEO
- Position Description – RTO Manager
- Position Description – Trainer and Assessor
- Position Description – Administration and Student Support Officer
- Third Party Monitoring Form.

The documents above can be found in the Training and Assessment Supporting Documents folder.

Training and Assessment Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to ensure that high quality training and assessment is provided.

This policy and associated procedures meet the requirements of Standard 1 and associated clauses of the Standards for RTOs 2015.

Policy statements

Development of training and assessment strategies

Training and assessment strategies are in place for all training products on scope.

Training and assessment strategies are developed:

- to meet the requirements of training packages and VET accredited courses;
- based on industry needs;
- to enable students to meet the requirements of each unit of competency; and
- to ensure that an appropriate amount of training is provided.

Training and assessment strategies and practices are regularly reviewed as outlined in RTO Quality Assurance Policy and Associated Practices.

Industry consultation

RTO's training and assessment practices and strategies are informed by industry engagement.

RTO implements a range of strategies for industry engagement to ensure that its practices and strategies are relevant to industry.

RTO uses the outcome of industry engagement to inform its training and assessment strategies and practices.

Resourcing

RTO ensures that it is sufficiently resourced through:

- ensuring sufficient and qualified trainers and assessors to provide training and assessment to students
- ensuring sufficient student support is in place through its Student Support Policy and Associated Procedures

- identifying and procuring quality learning and assessment resources for the delivery of training and assessment
- identifying and procuring the required facilities and equipment to deliver training and assessment.

Assessment

RTO implements an assessment system that ensures that assessment (including RPL):

- meets the requirements of the relevant training package and VET accredited course
- is conducted in accordance with the Principles of Assessment and Rules of Evidence.

RTO conducts assessment validation to meet the requirements of the Standards for RTOs 2015, including developing a plan for assessment validation.

Assessment evidence is retained to meet ASQA's General Direction on retention requirements for completed student assessment items.

Assessment

RTO offers RPL to all learners.

RTO uses an RPL Tool Assessor Guide and an RPL Tool Candidate Guide for each unit of competency to conduct RPL.

Transition of training products

RTO ensures that:

- Where a training product on its scope of registration is superseded, all training and assessment for students is completed and the relevant AQF certification documentation is issued or that students are transferred into its replacement, within a period of one year from the date the replacement training product was released on www.training.gov.au.
- Where an AQF qualification is no longer current and has not been superseded, students' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from www.training.gov.au.
- Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, students' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from www.training.gov.au.
- A new learner does not commence training and assessment in a training product that has been removed or deleted from the National Register.

It is noted that the requirements above do not apply where a training package requires the delivery of a superseded unit of competency.

Third parties

- All third parties who deliver training and assessment on RTO behalf will be required to enter into a third-party agreement with RTO.
- RTO will monitor the provision of services by third parties to ensure services comply with the Standards for RTOs 2015.
- Education agent arrangements are addressed by the Education Agent Policy and Associated Procedures.

Procedures

1 Develop training and assessment strategies (TAS)

- 1.1 Identify suitable training products for inclusion on the RTO scope through research of workforce/target client needs. Document research as a form of industry engagement.
- 1.2 Develop a training and assessment strategy using Training and Assessment Strategy template. Follow the prompts in each section of the Training and Assessment Strategy template to develop a comprehensive, compliant TAS.
- 1.3 Identify suitable industry stakeholders that can contribute to the TAS.
- 1.4 Provide an industry consultation survey, plus the Training and Assessment Strategy and a sample of associated learning and assessment resources to identified industry stakeholders.
- 1.5 Review the feedback from industry and document in the Industry Consultation Register.
- 1.6 Update TAS accordingly.
- 1.7 Procure all the resources required for the implementation of the TAS.
- 1.8 Organise scheduling of all training products.
- 1.9 As relevant, submit an application for change of scope to RTO registration on ASQAnet following the instructions within ASQAnet and providing required evidence.
- 1.10 Regularly review TAS as per RTO Quality Assurance Policy and Associated Procedures.

2 Manage assessment system

- 2.1 Quality review assessments using the Assessment Quality Review Tool prior to use to ensure they meet the requirements of the unit of competency and the principles of assessment and rules of evidence.
- 2.2 Conduct assessment using provided assessment tools and following the instructions included in the assessment tools.
- 2.3 Mark completed student work following the instructions in the assessment tools.
- 2.4 Complete checks of sample student files to check marking is correct and all associated documentation is signed and dated.
- 2.5 File completed student assessment items for at least six months following completion.
- 2.6 Archive or delete/shred completed student assessment items after six months following completion.

3 Conduct Recognition of Prior Learning (RPL)

- 3.1 Provide RPL Tool Candidate to those seeking RPL.
- 3.2 Conduct RPL of submitted student evidence using the RPL Tool Assessor.
- 3.3 File completed student assessment items for at least six months following completion.
- 3.4 Archive or delete/shred completed RPL assessment items after six months following completion.

4 Conduct assessment validation

- 4.1 Develop a validation plan using Validation Schedule and following the prompts to ensure that validation occurs to meet the requirements of Clauses 1.9, 1.10 and 1.11 of the SRTOs 2015.
- 4.2 Organise the validation team as per the Validation Schedule requirements.
- 4.3 Make arrangements for the validation and notify validation team members.
- 4.4 Conduct validation as per the Validation Schedule and using RTO Validation Tool.
- 4.5 Update assessments/reassess students based on validation findings.
- 4.6 Record findings on the Continuous Improvement Register.

5 Manage transition of training products

- 5.1 Develop a transition plan for superseded training products to include:
 - identification of students who can and can't complete within one year of the date of the training product being superseded
 - a plan for transitioning relevant students to the new qualification
 - identification of new resource requirements.
 - procurement of new resources requirements
 - submission of an application for change of scope where the training product is not equivalent
 - communication plan for all students and staff.
- 5.2 Implement the transition plan.

6 Manage third parties responsible for delivery and assessment

- 6.1 Conduct due diligence of any third party that may be suitable for a third party agreement. This should also include checking that the third party is suitable as per the General Direction – third party arrangements.
- 6.2 Provide third party agreement for signing to any third party deemed suitable following due diligence.
- 6.3 Conduct third party induction following signing of agreement.
- 6.4 Advise ASQA within 30 days of the agreement being signed via ASQAnet.
- 6.5 Monitor third party at agreed intervals using the Third Party Monitoring Form.
- 6.6 Monitor third party using the Third Party Monitoring Form.
- 6.7 Where the Third Party Monitoring Form or feedback from students indicates that the third party may not be meeting the terms of their agreement, immediately investigate the issue.
- 6.8 Where the investigation confirms that the provider has not complied with their responsibilities as per the Third Party Agreement (except in the case of where the third party has engaged in false or misleading practices – see the following section), contact the third party in writing to advise the corrective actions that are required.
- 6.9 Implement relevant corrective actions.
- 6.10 Monitor corrective actions as required to ensure they are implemented.
- 6.11 File all documentation associated with monitoring.

7 Terminate third party contracts

- 7.1 Where third party monitoring or any other intelligence demonstrates that the third party has engaged in false or misleading practices, immediately send a notice in writing to the agent advising them that their contract is terminated and giving the reasons why.
- 7.2 Advise ASQA via ASQAnet of termination of the agreement and within 30 days of the agreement ending.

Responsibilities

The RTO Manager is responsible for:

- identifying training needs and developing training and assessment strategies
- organising and conducting industry engagement
- organising all physical and human resources
- organising scheduling
- assessment file checks
- managing transition of training products
- managing third party arrangements.

The Administration and Student Support Officer is responsible for:

- entering assessment results on the SMS
- filing and archiving student assessments.

Trainers and assessors are responsible for training and conducting assessment and RPL.

Plagiarism Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures and associated outline RTO's approach to ensuring that plagiarism, cheating and collusion do not occur.

This policy and associated procedures meet the requirements of Clause 1.8 of the Standards for RTOs 2015.

Policy statements

Student integrity and honesty

RTO is committed to upholding standards of student integrity and honesty in regard to the assessment of their work and places value in the declarations of authenticity made by students.

Students are expected to act with integrity at all times and only submit work that is their own, or that has been appropriately referenced and includes acknowledgements of all texts and resource materials utilised in the development of the work.

Students and staff have a duty to ensure they gain the necessary understanding of how to correctly acknowledge and cite references and resources so as to minimise the incidents of plagiarism and cheating and the allegations of such.

Unacceptable behaviour

From time to time, there may be incidents of student plagiarism, cheating and collusion which RTO is required to act upon in order to uphold the value of assessment outcomes and the reputation of the nationally recognised training provided.

Student plagiarism, cheating and collusion in any form are unacceptable and will be treated seriously by RTO.

Procedures

1 Check for plagiarism, cheating or collusion

- 1.1 Upon the submission of all assessment tasks, students are required to sign an Assessment Cover Sheet that includes a declaration of the authenticity of the work.
- 1.2 Conduct checks using tools designed to detect plagiarism, cheating and collusion.
- 1.3 Identify and investigate any possibility of plagiarism, cheating or collusion.
- 1.4 Source evidence (through identification of the source) to support the allegation.

2 Respond to incidents

- 2.1 Provide the student found to have plagiarised, cheated or colluded with an opportunity to respond to the allegations.
- 2.2 Send a written communication to the student outlining the issues.
- 2.3 Advise the student in writing that they will be required to redo the assessment in full and of any associated charges and that in the event of any further instances their enrolment may be cancelled.
- 2.4 Keep all records of the student's involvement in alleged plagiarism, cheating or collusion.

Responsibilities

The RTO Manager is responsible for managing plagiarism, cheating and collusion.

Trainers and assessors are responsible for identifying plagiarism, cheating and collusion.

Quality Assurance Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to ensuring that all aspects of its operations are quality assured.

This policy and associated procedures meet the requirements of Standard 2 and associated clauses of the Standards for RTOs 2015.

Policy statements

Quality approach

Quality forms part of RTO commitment to students and all services provided are delivered to the highest possible standards.

Training, assessment and support services are regularly reviewed and measured for quality and effectiveness.

Students and staff are encouraged to provide feedback on how to improve service delivery.

RTO is committed to innovation, high quality, continuous improvement, contemporary best practice, and effectiveness in its provision of services.

Procedures

1 Surveying of stakeholders

- 1.1 Provide Learner Surveys to students before they complete their course.
- 1.2 Identify the need for additional surveys of students and develop as required.
- 1.3 Provide Employer Satisfaction Surveys to employers prior to students they employ completing their course as relevant.
- 1.4 Analyse the findings of all quality indicators surveys/other surveys and identify any improvements required.
- 1.5 Document findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 1.6 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 1.7 Monitor completion of actions and document outcomes on the continuous improvement register.
- 1.8 Complete quality indicator annual summary report for calendar year and submit to ASQA by 30 June each year.

2 Surveying of trainers and assessors

- 2.1 Develop a survey for trainers and assessors.
- 2.2 Provide surveys to trainers and assessors annually or at the end of a delivery period.
- 2.3 Analyse the findings of trainer and assessor survey and identify any improvements required.
- 2.4 Document findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 2.5 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 2.6 Monitor completion of actions and document outcomes on the continuous improvement register.

3 Training and Assessment Strategy review

- 3.1 Review TAS annually or as required.
- 3.2 Document findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 3.3 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 3.4 Monitor completion of actions and document outcomes on the continuous improvement register.

4 Validation outcomes

- 4.1 Conduct validation as outlined in the Training and Assessment Policy and Associated Procedures.
- 4.2 Document findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 4.3 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 4.4 Monitor completion of actions and document outcomes on the continuous improvement register.

5 Complaints and appeals

- 5.1 Manage complaints and appeals as outlined in the Complaints and Appeals Policy and Associated Procedures.
- 5.2 Document overall findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 5.3 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 5.4 Monitor completion of actions and document outcomes on the continuous improvement register.

6 Compliance schedule

- 6.1 Develop a compliance schedule to ensure that each aspect of the RTO operations is audited and reviewed.
- 6.2 Organise an external consultant at least annually to complete an internal audit.
- 6.3 Document findings on the continuous improvement register and identify required actions and associated responsibilities and timelines.
- 6.4 Communicate findings and required actions, responsibilities and timelines to relevant stakeholders.
- 6.5 Monitor completion of actions and document outcomes on the continuous improvement register.

Responsibilities

The CEO and RTO Manager are collectively responsible for all aspects of quality assurance as outlined in this policy and associated procedures.

Staff Recruitment Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO's approach to recruitment, selection, and induction in order to ensure that there are qualified and sufficient staff in place.

This policy and associated procedures meet the requirements of Clauses 1.13–1.18 of the Standards for RTOs.

Policy statements

Principles

RTO is committed to providing quality training, assessment, and support services. We recognise the importance of our human resources in meeting this commitment.

RTO will ensure that the best possible staff are attracted by advertising widely all vacant positions.

RTO is committed to equal opportunity in employment and to providing a work environment that is free from harassment and discrimination.

All decisions about recruitment will be based on merit and according to the position description requirements.

Procedures

1 Recruit and select staff

- 1.1 Identify staffing needs.
- 1.2 Develop a position description or access an existing position description. Ensure all information in the position description is accurate and identifies the key responsibilities, key selection criteria and desirable skills and attributes. For trainers and assessors, the requirements of Clauses 1.13–1.1.8 of the SRTOs 2015 must be clearly included.
- 1.3 Develop an advertisement for the position and advertise the position using the preferred recruitment channels. The advertisement will include the purpose of the role, key selection criteria, mandatory qualifications as relevant and a contact name and number.
- 1.4 Develop a short list of suitable candidates.
- 1.5 Interview shortlisted candidates using Staff Interview Form.
- 1.6 Select the most suitable candidate and check referees.
- 1.7 Send out a letter of engagement and contract to successful candidate/s and rejection letters to unsuccessful candidates.

2 Induct staff

- 2.1 Create a staff file for the new staff member. For trainers and assessors, the Trainer Assessor Evidence File must also be completed and maintained.
- 2.2 File all relevant documentation including qualifications and experience. Trainer and assessor files must include all documentation as per the requirements of Clauses 1.13–1.18 of the SRTOs 2015 must be clearly included.
- 2.3 Provide an induction for staff using Induction Checklist.
- 2.4 File the induction checklist.

3 Monitor professional development

- 3.1 Collect professional development evidence as per the organisation's requirements. For trainers and assessors, the requirements of Clauses 1.13c and 1.16 of the SRTOs 2015 must be met. For trainers and assessors, the Trainer Assessor Evidence File must be updated regularly with details of completed and planned professional development.
- 3.2 Organise professional development to meet RTO needs as required.
- 3.3 File all professional development documentation.

4 Conduct performance reviews

- 4.1 Conduct performance reviews as required.
- 4.2 Document results of the performance review.
- 4.3 Monitor actions arising out of the performance review.

Responsibilities

The CEO and RTO Manager are collectively responsible for all aspects of staff recruitment outlined in this policy and associated procedures.

Completion

Policies and associated procedures in this section:

- Student Enrolment and Completion Policy and Procedures.

Note that the Policy and Associated Procedures is included in the Enrolment and Support section of this RMS.

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Testamur
- Record of Results
- Statement of Attainment.

The documents above can be found in the Completion Supporting Documents folder.

Regulatory Compliance and Governance

Policies and associated procedures in this section:

- Course Transfer Policy and Associated Procedures
- Complaints and Appeals Policy and Associated Procedures
- Critical Incident Policy and Procedure
- Health and Safety Policy and Procedure
- Privacy Policy and Procedures.

Supporting resources and checklists (not included in this document) that are associated with this phase of the student journey:

- Acknowledgement of Complaint/Appeal Letter
- Complaints and Appeals Form
- Complaints and Appeals Outcome Letter
- Complaints and Appeals Register
- Release Application Form
- Letter of Release
- Internal Course Transfer Application Form
- Critical Incident Action Plan Template.

The documents above can be found in the Regulatory Compliance and Governance Supporting Documents folder.

An additional document not referenced above can also be found in this folder. This is the Strategic Business Plan template that may be used as required.

Complaints and Appeals Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO approach to managing complaints and appeals. This is to ensure that complaints are handled in a transparent way, as well as fairly, efficiently and effectively.

This policy and associated procedures meet the requirements of Standard 6 of the Standards for RTOs 2015.

Policy statements

Approach

Complaints may be made against the RTO, its trainers and assessors and other staff, a learner of the RTO, as well as any third-party providing services on behalf of the RTO including education agents.

Complaints can be in relation to any aspect of the RTO's services provided.

Appeals can be made in respect of any decision made by RTO. An appeal is a request for the RTO's decision to be reviewed in relation to a matter, including assessment appeals.

In managing complaints, RTO will ensure that the principles of natural justice and procedural fairness are adopted at every stage of the complaint process. This means reviewing each complaint or appeal in an objective and consistent manner.

RTO will appoint relevant person/s to manage complaints and appeals.

The internal complaints and appeals process will be conducted at no cost to students.

Potential causes of complaints and appeals will be investigated and corrective and preventative action will be taken in relation to complaint and appeals. Complaints and appeals will also be seen as an opportunity for improvement.

All individuals, including third parties will be informed of allegations made and will have the opportunity to present their case.

Nothing in this policy and procedure limits the rights of an individual to take action under Australia's Consumer Protection laws and it does not circumscribe an individual's rights to pursue other legal remedies.

RTO encourages complainants to first seek to address the issue informally by discussing it with the person involved. However, if the person is not comfortable with this or has tried this unsuccessfully, they are to follow the procedures below.

All records of complaints and appeals will be kept by the RTO and entered into the complaints and appeals register.

Complaints and appeals process

Complaints and appeals are to be made as follows:

- Submit complaint or appeal in writing using the complaints and appeals form. The complaints and appeals form outlines the information that should be provided.
- Submit complaint within 30 calendar days of the incident or in the case of an appeal within 30 calendar days of the decision being made.

Response to complaints and appeals

Complaints and appeals will be responded to as follows:

- The complaint or appeal will be acknowledged in writing within 3 working days of receipt.
- Review of the complaint or appeal will commence within 5 working days of receiving the complaints.
- Complaints and appeals will be finalised as soon as practicable or within 30 calendar days.
- Where the complaint or appeal is complex and is expected to take more than 60 calendar days to process, RTO will write to inform the complainant or appellant of this including the reasons for such. Following this update, regular updates will be provided of progress.
- The outcomes of the complaints and appeals process will be communicated in writing to the person making the complaint or appeals. This will also include the reasons for the outcome.

Complaints and appeals handling

Each individual involved in the complaint may have a support person of their choice present at any meetings to resolve the complaint or appeal.

An independent assessor will be identified to conduct a review of an assessment decision that is being appealed.

Enrolment during a complaints process

Students' enrolment will be maintained throughout the complaints and appeals process unless the complaint is in relation to misconduct.

Students' enrolment will also be maintained throughout the internal appeals processes.

Additionally:

- If the appeal is against the RTO's decision to report the student for unsatisfactory course progress or attendance, the student's enrolment will be maintained until the external process is completed and has supported or not supported the RTO's decision to cancel their enrolment.
- If the appeal is against the RTO's decision to defer, suspend or cancel a student's enrolment due to misbehaviour, RTO will cancel the student's enrolment after the outcome of the internal appeals process.

Independent appeal process

Where the internal process has failed to resolve the complaint or appeal, the matter will be referred to an independent mediator.

All associated costs are to be met by the complainant/appellant unless it is RTO that made the decision to appoint the independent party.

The independent party recommended by RTO for cases involving domestic students is the Resolution Institute. However, another mediator of the student's choice can be appointed.

During the mediation process, RTO will cooperate in full and commits to immediately implement the decision or recommendation made by the external mediator and/or take preventative or corrective action required by the decision or recommendation.

All actions taken will be communicated in writing to students.

Information about external bodies to whom complaints can be made

Complaints can also be made to the organisations indicated below:

National Training Complaints Hotline:

The National Training Complaints Hotline is a national service for consumers to register complaints concerning vocational education and training. The service refers consumers to the appropriate agency/authority/jurisdiction to assist with their complaint. Access to the Hotline is through:

Phone: 13 38 73, Monday–Friday, 8am to 6pm nationally

Email: ntch@education.gov.au

Australian Skills Quality Authority (ASQA):

Complainants may also complain to the RTO's registering body, Australian Skills Quality Authority (ASQA). It is important to understand that ASQA does not act as an advocate for individual students and is not responsible for resolving disputes between students and training providers. ASQA only uses information from all complaints as intelligence to inform regulatory activities. More information can be found at: <https://www.asqa.gov.au/complaints>

Procedures

1 Process complaints and appeals

- 1.1 File the complaints and appeals form received.
- 1.2 Send out an acknowledgement within 3 working days of receiving the complaint or appeal.
- 1.3 Record details of the complaint or appeal on receipt on the complaints and appeals register.
- 1.4 Determine whether the complaint or appeal can be resolved quickly and easily. If so, take immediate action to resolve the complaint or appeal and inform the student in writing of the outcome.
- 1.5 If the complaint is more complex, organise relevant staff to review the complaint and commence investigation.
- 1.6 Inform the complainant or appellant within 5 days of receiving the complaint that the investigation will commence or of the action that will occur in the case of simple complaints.
- 1.7 Conduct an investigation that includes:
 - checking of all facts and accuracy of information
 - requesting further information as required
 - organising a meeting with the complainant/appellant
 - identifying relevant corrective/preventative action
 - confirming a solution.
- 1.8 Where the matter is an appeal about an assessment decision, the investigation process will include an independent review of the assessment evidence and decision by another assessor. A relevant independent assessor should be organised.
- 1.9 The investigation will be completed within 30 days, or if it is considered that it will take longer to than 60 calendar days to process, RTO will write to inform the complainant or appellant of this including the reasons for such. Following this update, regular updates will be provided of progress.
- 1.10 Where the process finds in favour of the student, organise a management meeting to discuss:
 - the process and its outcome; and
 - actions to be taken to implement the decision, including both corrective/preventative actions.
- 1.11 Following the meeting, agreed actions will be immediately implemented.
- 1.12 Update the complaints and appeals register.

- 1.13 Once the investigation is complete, the complainant or appellant will be informed in writing of the outcome using the complaints and appeals outcome letter. Where the response is in relation to a complaint, the letter will advise that the internal appeals process may also be accessed.
- 1.14 Archive the complaint or appeal documentation.

2 Organise external appeals

- 2.1 In cases where the student has organised the mediator, it will be responding to the mediator's requests.
- 2.2 Cooperate with all requirements of the mediator, providing all information as required.
- 2.3 Where the mediator finds in favour of the student, organise a management meeting to discuss:
- the external process and its outcome; and
 - actions to be taken to implement the decision, including both corrective/preventative actions.
- 2.4 Following the meeting, agreed actions will be immediately implemented.
- 2.5 Advise the student of the action that RTO will take in response to the external mediator's decision.

Responsibilities

The CEO is responsible for:

- investigating complaints and appeals
- making decisions about complaints and appeals in conjunction with others.

The RTO Manager is responsible for:

- investigating complaints and appeals.
- making decisions about complaints and appeals in conjunction with others
- facilitating external decisions.

The Administration and Student Support Officer is responsible for:

- processing complaints and appeals forms
- filing all documentation.

Critical Incident Policy and Associated Procedures

Responsibilities

This policy and associated procedures outline RTO approach to managing critical incidents.

This policy and associated procedures meet the requirements of Clause 8.5 of Standard 8 of the Standards for RTOs 2015 that requires RTO to comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Policy statements

Approach to critical incidents

RTO is committed to the health and safety of staff and students. This includes having measures in place to ensure the safety of staff, students and visitors in the event of a critical incident.

At the time of the critical incident, a critical incident team will be established to manage the critical incident. The make-up of the team will depend on staff availability at the time of the incident.

Staff will be trained in the management of critical incidents and students will also receive information about critical incidents management. This will include how to seek assistance for and report a critical incident.

All staff will receive induction into their role which will include information about health and safety, as well as critical incidents. Training and updates to information will be provided to staff on a regular basis.

Post-incident support will be provided to all persons involved in the critical incident.

RTO response to critical incidents will be evaluated following each critical incident. Any improvements identified will be implemented as required.

All records of critical incidents will be filed.

Procedures

1 Respond to a critical incident

- 1.1 Immediately call the emergency services on 000 in the event of death or an immediate threat to the life of a person or to property.
- 1.2 Action evacuation procedures if required.
- 1.3 Immediately report incident to a member of the RTO management team.
- 1.4 Establish a Critical Incident Team who will meet immediately following the incident to assess the facts of the situation, who has been affected and discuss the priorities and actions to be taken. Roles and responsibilities will be allocated.
- 1.5 Assess required actions which may include but are not limited to:
 - alerting emergency contacts
 - nominating a member of the Critical Incident Team to be a main point of contact
 - liaising with external agencies, including emergency services
 - issuing a media release advising of the situation
 - informing all staff and students of the critical incident situation
 - regularly updating all staff and students of the critical incident situation
 - organising emergency counselling for those affected
 - providing details of support services that can be provided
 - seeking legal advice
 - assisting students with insurance claims.
- 1.6 Document all actions in a critical incident action plan.
- 1.7 Implement the critical incident action plan.
- 1.8 Adjust the critical incident action plan as required.

2 Evaluate critical incidents

- 2.1 The Critical Incident Team formed for the specific critical incident will meet as soon as possible after the critical incident to complete all of the following actions.
- 2.2 Review the actions taken and perceived effectiveness of the response.
- 2.3 Identify any recommendations for improvement.
- 2.4 Action recommendations for improvement.

Responsibilities

The CEO is responsible for coordinating the critical incident response.

The RTO Manager is responsible for assisting with the critical incident response.

All staff are responsible for calling emergency services as required in the event of a critical incident and notifying the management team.

Health and Safety Policy and Associated Procedures

Purpose of the policy

This policy and associated procedures outline RTO approach to managing health and safety of all staff, students, contractors, and visitors.

This policy and associated procedures meet the requirements of Clause 8.5 of Standard 8 of the Standards for RTOs 2015 that requires RTO to comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

Policy statements

Compliance with legislation

RTO meets the requirements of the WHS legislation for the State/Territory in which it is based and complies with all other relevant legislation, regulations, codes of practice, advisory and best practice standards.

Organisation responsibility and commitment

RTO is committed to:

- providing a safe and healthy environment for all staff, students, contractors and visitors and others during their participation in activities with RTO
- implementing effective risk management systems that are relevant and suitable for the organisation's scope of business
- promoting workplace health and safety at all times
- continuously improving performance in relation to health and safety
- encouraging active participation, cooperation and consultation with all staff and others in the promotion and development of measures to improve health and safety
- actively responding to, recording and investigating all incidents
- maintaining relevant policies, procedures, training, codes of conduct and systems to support and communicate effective health and safety practices throughout the organisation
- routinely conducting checks of the work environment to assess risks, identify hazards and identify areas for improvement
- taking immediate response to reduce the risk of identified workplace hazards
- providing appropriate induction, training, information and updates to staff, students and others on a regular basis about workplace health and safety.

Staff responsibility

All staff including managers have a responsibility to work safely, take all reasonable care for their own health and safety and always consider the health and safety of others who may be affected by their actions.

When staff are undertaking work from home or at an off-site location, the staff member is responsible for ensuring the environment they enter into is free from risk and occupational health and safety hazards.

Health and safety consultation and communication

Health and safety consultation and communication will be carried out as follows:

- Team meetings (where work health and safety is always an agenda item).
- One off meetings to discuss health and safety issues arising.
- Briefing sessions on new health and safety requirements/information.

Records of all meetings will be kept and action plans to address issues will be drawn up as required.

Follow up of actions to be taken will occur through regular team meetings.

Reporting

All staff, and others are required to report any identified workplace hazards and associated risks as soon as they become aware of them.

All staff, and others are required to report any incident that causes harm to a person during their participation in work and/or training activities with RTO.

Record keeping

Appropriate records of the organisation's risk management strategy, workplace hazards and workplace injuries will be accurately maintained at all times.

Procedures

1 Manage work health and safety management system

- 1.1 Identify and action WHS issues on an ongoing basis.
- 1.2 Consult with staff on WHS issues.
- 1.3 Action WHS issues as required.
- 1.4 Provide training to staff on WHS issues as required.
- 1.5 Ensure all visitors to RTO sign in and out on the Visitor Register.
- 1.6 Keep all health and safety records.

2 Conduct workplace inspections

- 2.1 Inspect the workplace for hazards and risks
- 2.2 Control hazards and risks using selected control methods or report hazards and risks.

3 Respond to incidents

- 3.1 Report any incidents using the Workplace Incident Form.
- 3.2 Submit Workplace Incident Form to relevant Manager.
- 3.3 In the case of an injury, the first person in attendance must contact the First Aid Officer or emergency services in the case of a serious injury.

Responsibilities

The CEO is responsible for overall health and safety management.

The RTO Manager is responsible for ensuring health and safety at all times and consulting staff on WHS.

All staff are responsible for identifying and reporting health and safety issues and incidents and applying safe work practices at all times.

Privacy Policy and Associated Procedures

Purpose of the policy

This policy and associated outline RTO approach to ensuring the privacy and confidentiality of all of its staff, students, and relevant others.

This policy and associated procedures meet the requirements Clauses 3.6 and 8.5 of the Standards for Registered Training Organisations 2015, as well as the National VET Regulator (Data Provision Requirements) Instrument 2020 and National VET Data Policy.

Policy statements

Privacy legislation and principles

RTO has adopted the Australian Privacy Principles contained in the Privacy Act 1988.

Collection of personal information

RTO collects personal information only for the purposes of its business operations.

RTO also collects personal information about students undertaking nationally recognised training and discloses this information to the National Centre for Vocational Education Research Ltd (NCVER).

RTO provides information to staff and students about why their information is being collected and how it will be used, as well as their ability to access information held about them.

Both staff and students have the right to request that their personal information be changed.

A Privacy Notice is included in the Application for Enrolment Form and Offer Letter and Student Agreement.

Staff contracts refer to privacy rights and obligations.

All personal information is kept secure and confidential at all times.

All persons have the right to make a complaint or appeal in relation to privacy matters as per RTO Complaints and Appeals Policy and Procedures.

Sensitive information

RTO also collects sensitive information. Sensitive information is defined in the Privacy Act to include information or opinion about such things as an individual's racial or ethnic origin, political opinions, membership of a political association, religious or philosophical beliefs, membership of a trade union or other professional body, criminal record or health information.

Sensitive information will only be used by RTO:

- for the primary purpose for which it was obtained
- for a secondary purpose that is directly related to the primary purpose
- with an individual's consent; or where required or authorised by law.

Procedures

1 Manage personal information

- 1.1 Process all personal information according to the relevant procedures.
- 1.2 Archive personal information according to the relevant procedures.

2 Provide access to records

- 2.1 Review written requests for access to records.
- 2.2 Arrange for the individual to view their personal information as requested.
- 2.3 Update personal information according to any requests made.
- 2.4 Keep all documentation relating to access to records.

Responsibilities

The CEO is responsible for ensuring privacy at all times and consulting staff on WHS.

The Administration and Student Support Officer is responsible for processing all personal information and providing access to records as required.

Approvals and document control

This set of policies and procedures has been purchased under a licence agreement with RTO Works and has been reviewed and customised to suit the RTO's specific requirements.

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Approved by:	CEO
Approval signature	Murad Tanvir
Approval date:	01 April 2024
Review date:	On or before (1 year from date of approval)